

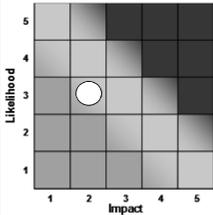
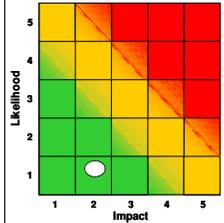
Risk Register for Office of the Police and Crime Commissioner, West Mercia
Register Owner - Andy Champness, Chief Executive West Mercia OPCC

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|-------------------|------------------------|
| ○ | West Mercia Risk level |
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| | |
| Date : March 2020 | |

1

The risk of the Police and Crime Commissioner not meeting his statutory responsibilities.

The PCC has been given a number of statutory responsibilities. Failure to meet any of these responsibilities could lead to possible litigation and poor reputation

| Risk Owner | Initial Risk Level | Desired Outcome | Action Summary | Delivery Date | Action Owner | Last Quarter | Current Risk Level | Owners Prediction | Reassurance Mapping (verified reassurance in order to Tolerate) |
|----------------|-----------------------------------------------------------------------------------|------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------|-------------------|-------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------|-------------------|------------------------------------------------------------------------------------------------|
| Andy Champness |  | Statutory responsibilities are met | The PCC has appointed a Monitoring Officer (the Chief Executive) to manage the PCC's legal affairs and ensures compliance with the law. |  | John Campion (WM) | |  | | There are no breaches of statutory regulations and no litigation. Annual Audit Letter awaited. |
| | | | The PCC has appointed a Section 151 Officer (the Treasurer) to manage the PCC's financial affairs and ensure compliance with financial regulations, value for money and probity. |  | John Campion (WM) | | | | |
| | | | Performance of the Monitoring Officer through regular reviews, annual appraisal, formal and informal discussions. Maintaining a professional relationship | ongoing | John Campion (WM) | | | | |
| | | | The PCC is fully briefed and receives timely information on all issues that are public facing, novel, repercussive and contentious | ongoing | Andy Champness |  | | | |
| | | | A scheme of corporate governance determining the governance structure of the PCC is in operation and reviewed annually. The structure ensures that new legislation and guidance affecting the PCC's office is implemented in a timely and reasonable manner. | annually | Andy Champness | | | | |
| | | | Formal memorandum of understanding with the Chief Constable as part of the Scheme of Governance |  | Andy Champness | | | | |
| | | | Compliance with new legislation such as General Data Protection Regulations in addition to other changes around the document marking system to be implemented, ensuring that data is legally compliant and adequately protected. |  | Andy Champness | | | | |
| | | | The Joint Audit and Standards Committee reviews corporate governance and ethical issues on a regular basis | ongoing | John Campion | | | | |
| | | | The PCC produces an Annual Report that sets out how objectives have been met and obligations satisfied. |  | John Campion | | | | |
| | | | The decision making process is formalised and transparent with all key individual PCC decisions being published, and any joint decisions captured and published in the Alliance Governance Group minutes. |  | Andy Champness | | | | |

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The risks arising from the termination of the Strategic Alliance.

Notice to end the Strategic Alliance has been served by the West Mercia PCC and Chief Constable. Following direction from the Secretary of State, the current arrangements will end in March 2020. This creates various challenges for each force which need to be effectively managed, throughout the transition process, and beyond March 2020.

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| Andy Champness | | An orderly exit by all parties from the current Strategic Alliance is enabled that continues to deliver policing requirements | Formal monthly meetings of the Alliance Transitional Governance Group are arranged on a regular basis with all Alliance partners represented. | | Andy Champness | | | | Whilst the ending of the Strategic Alliance carries risk for both partners, clear transition plans for service delivery beyond April 2020 have been developed for West Mercia. |
| | | | The respective partners decide future arrangements for services pooled under the existing Alliance, including protective services and support services. The current strategic alliance will terminate in March 2020, however, it will take longer for some services to be disaggregated and therefore needs to occur in an agreed manner to ensure a smooth exit from the Alliance for both parties. Some services have already transitioned and plans are established for the majority to transition in March 2020. Only 4 services remain beyond that. | ongoing | John Campion | | | | |
| | | | The Strategic Alliance partners agree an exit strategy, including a transition plan to be implemented, to manage the withdrawal process for all partners from the current Alliance arrangements. | ongoing | Andy Champness | | | | |
| | | | Operational plans are developed to establish operational requirements following the end of the Alliance and the financial, legal, ICT and HR implications are all fully identified. | ongoing | Andy Champness | | | | |
| | | | Areas of negotiation and any tensions are identified and any issues are dealt with in a professional manner. An Independent Team provided through the Home Office is supporting delivery of this action. | ongoing | Andy Champness | | | | |
| | | | A new Section 22A Agreement regarding the post Alliance ongoing work with ICT Transitioning, Forensic and Storage has been agreed. A Financial Settlement covering Warwickshire's costs of implementing the exit strategy has been agreed. | | Andy Champness | | | | |

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The risk that the Police and Crime Commissioner does not hold the Chief Constable to account

A primary role for the PCC is the scrutiny of the Chief Constable. A failure to do this effectively could lead to the failure to meet the aspirations in the Police and Crime Plan, poor Police performance and reputational damage to the PCC.

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| Andy Champness | | The Police and Crime Commissioner scrutinises and challenges the Chief Constable to deliver the Police and Crime Plan | Regular meetings are held with the Chief Constable to monitor strategic implementation, operational matters and policing performance both within the Force and across the Alliance. An Assurance Programme and Delivery Plan has been developed. This sets out what issues will be considered to ensure the Chief Constable is held to account for all key matters. The minutes of the meetings are published on the website | ongoing | Andy Champness | | | | Reports to Police and Crime panel & HMICFRS reports |
| | | | Involvement in, monitoring of and challenging the Force performance through the performance monitoring framework | ongoing | Natasha Noorbakhsh | | | | |
| | | | Regular reports on performance at a regional and national level on areas such as ROCU/roads policing/Strategic Policing Requirement/Counter Terrorism | ongoing | John Campion | | | | |
| | | | Regular reports and meetings with HMICFRS to keep abreast of national developments in order to challenge the Chief Constable | ongoing | John Campion/ Andy Champness | | | | |
| | | | Roles, responsibilities of the Joint Audit and Standards Committee will be kept under review. | annual | Liz Hall | | | | |
| | | | There are new members of the revised West Mercia- only Joint Audit and Standards Committee. Training and development plans will be established over the coming months. | | Andy Champness | | | | |

5

The risk of inadequate commissioning of Victims Services

Victims services deals with the victims of crime and is a sensitive, emotional issue. To get this wrong would bring serious consequences to the lives of our citizens and significant reputational risk to the PCC.

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| Glyn Edwards | | Provision of effective Victims Services that meet the needs of victims and provide value for money for the Commissioner | Developed and implemented a commissioning strategy/intentions document. | ongoing | Claire Richardson | | | | Victims are satisfied with the services provided measured through qualitative surveys and forums. Positive perception of local providers. Value for money being provided by service providers. |
| | | | Effective engagement with potential commissioning partners with shared outcomes ensuring joint benefits can be realised. | ongoing | Claire Richardson | | | | |
| | | | Recognition of threat to PCC through reduction in partners budgets which could lead to cost shunting and inequitable services across the region. | ongoing | Claire Richardson | | | | |
| | | | Ongoing development of the market place to deliver support service opportunities for the PCC's. | ongoing | Claire Richardson | | | | |
| | | | Ongoing review of West Mercia's Commissioners grant scheme to ensure outcomes and value for money are achieved. | ✓ | Claire Richardson | ↔ | | | |
| | | | Victims Services are coordinated through the Victims Advice Line embedded in the Force. Face to face Victims' Services are commissioned from external providers and service performance is kept under review. | ✓ | Claire Richardson | ↔ | | | |
| | | | Development of and participation in action surveys and customer satisfaction surveys for qualitative and quantitative information | ongoing | Claire Richardson | | | | |
| | | | Additional resources for commissioning within the OPCC to provide support to the Commissioning Manager | ✓ | Claire Richardson | | | | |
| | | | Participation in occasional dialogue with regional victims colleagues from PCC offices | ongoing | Claire Richardson | | | | |
| | | | Grants Issued and monitored in compliance with grant conditions. Rigour is applied to recover any underspending of grant to enable it to be reallocated to achieve maximum benefit and value for money. | ✓ | Claire Richardson | | | | |

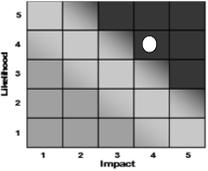
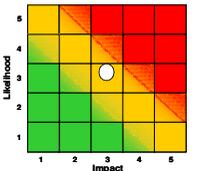
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The risk that we do not manage our partnerships effectively could lead to our objectives not being achieved, poor value for money and adverse impact on the reputation of the Police and Crime Commissioner.

Community Safety Partnerships (CSPs) and Criminal Justice Partnerships are just some of the key partners assisting the Police and Crime Commissioner to deliver his priorities. Failure to manage these partnerships effectively could lead to the objectives not being achieved, poor value for money and adverse effects on the MTFP.

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| Glyn Edwards |  | Effective partnership working assisting the PCC to achieve their objectives | Full engagement with partners including involvement in the development of the police and crime plan. | ✓ | Claire Richardson | |  | ↔ | Effective relationships and communication are key but the delivery of services relies heavily on partners. It is recognised that the OPCC can only mitigate against some of the risk with partners. Regular confirmed attendance at meetings, partners engagement with the OPCC and response to consultations will be seen as positive signs of effective partnership. |
| | | | Regular meetings and contact with partners including CSPs, Victims' forums, Safer stronger partnerships, and Health and Wellbeing Boards to enable the monitoring of partnership objectives and ensure effective engagement with partners. | ongoing | Claire Richardson | | | | |
| | | | Regular contact and engagement with the Criminal Justice Board | ongoing | Chris Jensen | | | | |
| | | | Engagement with Police and Crime Panel and their respective sub groups | ongoing | Andy Champness | | | | |
| | | | Membership of the West Mercia Safer Roads Partnership | ongoing | Andy Champness | | | | |
| | | | Active involvement in Place Partnership Ltd to manage assets | ongoing | Andy Champness | | | | |
| | | | Police and Crime plans have been prepared following extensive consultation with the public by the PCC. The Police and Crime Plans have been reviewed by the Police and Crime Panels and have been approved.. | ✓ | Gareth Boulton | | | | |
| | | | Appropriate funding mechanism and monitoring arrangements for partners put in place with regular reviews | ✓ | ELizabeth Hall / Claire Richardson | | | | |

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The risk of failure in performance by external partners including the Force impacting negatively on the delivery of the Police and Crime Plan.

The Police and Crime Plan is the vehicle by which the Police and Crime Commissioner identifies their aspirations for the coming year. Performance against this plan is the major way in which the PCC's performance can be monitored. The delivery of the plan is reliant on the performance of external partners, including the Force. Any failure of performance by these partners can impact on the delivery of the Police and Crime Plan.

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| Andy Champness | | An effective performance monitoring process that identifies performance failure at its earliest opportunity. | Monitoring of Police performance on a regular basis through Force Delivery Group and Holding to Account meetings. | ongoing | Natasha Noorbakhs/ Jackie Irvin | | | | External partners including the Force achieve or exceed the level of performance expected. Where this is not achieved there is a clear understanding of the issues that inhibited performance. |
| | | | For partners funded through the PCCs grants schemes and other Community Safety Grants a rigorous process is required before funding agreed. Key objectives and achievements must be identified and how this helps the PCC achieve the aspirations in their Police and Crime Plan. The process is kept under regular review. | ✓ | Claire Richardson / Elizabeth Hall | | | | |
| | | | Effective engagement and involvement in Crime Reduction Board , Local Criminal Justice Board, representation on the YJS Management Board | ongoing | John Campion | | | | |
| | | | Grants awarded to partners reviewed on a regular basis. Successful grant applicants required to provide regular reports | ✓ | Claire Richardson | | | | |
| | | | Grants awarded to partners reviewed on a regular basis. Successful grant applicants required to provide regular reports | ✓ | Claire Richardson | | | | |
| | | | To consider options and issues arising from greater collaboration between Fire and Rescue Authorities and PCC's | ongoing | John Campion/ Andy Champness | | | | |
| | | | Monthly assurance meeting between the PCC and CC dedicated to force performance, operational issues and HMICFRS. | ongoing | John Campion/ Jackie Irvin | | | | |

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The risk of the Police and Crime Commissioner failing to engage with the community

To engage with the public is a primary concern for the Commissioner. He is the link between the public and the Force. The public need to know that he is doing the job for which he was elected. If public engagement is ineffective then this can have an adverse effect on the reputation of the PCC, lack of public buy-in to the PCC plans as they do not reflect their concerns, loss of confidence on the PCC and Force

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| Andy Champness | | Effective engagement and communication with the public to ensure that confidence in the PCC and the Force remains high and that the Police and Crime Plan accurately reflect public concerns. | West Mercia PCC has a communication and engagement strategy outlining how they intend to involve the public and consult with them. The strategy also includes tracking media coverage and environmental scanning. | ongoing | Andy Champness/ Gareth Boulton | | | | Effective relationships and communication with the public are critical through a number of different channels. Regular attendance at meetings, varied public engagements, along with effective media officers managing direct contact with the office, social media outputs and websites can all be seen as positive signs of effective engagement. |
| | | | The PCC has a strategy on stakeholder engagement and consultation. WM PCC has appointed 5 Community Ambassadors. | | Gareth Boulton | | | | |
| | | | Both PCCs have effective and resourced communication arrangements in place. | | Andy Champness | | | | |
| | | | The PCC has a media strategy in place which outlines how they can contact the public and put across their ideas and how the public can contact them. All external correspondence is logged and responded to. | ongoing | Gareth Boulton | | | | |