# WMP Corporate Risk Register Sept 2017 – Monitored Risks

| | Risk | Current Status |
|---|---|---|
| 1 | Current flat cash settlement means that there are still savings required.  Lifting the public sector pay cap with no additional funding is creating additional budgetary pressure. | This is an on-going concern and thorough financial planning is used effectively to mitigate risk.  The WMP2020 programme is constantly reviewed to achieve affordability requirements.<br><br>CC David Thompson is NPCC Finance lead and therefore WMP are active participants in the work to demonstrate the requirement for additional police funding.<br><br>Mid-term financial plans are being reviewed to incorporate pay settlements. |
| 2 | The continued national focus on historic enquiries could impact on operational service delivery, exacerbating financial risks to the Force & impacting upon public confidence. | The cumulative impact of a number of historic enquiries is being monitored through Legal Services and the Crime Governance Board.  Concerns are escalated to the Organisational Learning & Risk Board. |
| 3 | There is a risk that changes to funding of partner agencies could impact on our ability to deliver collaborative services in the future. | The impact on service delivery is identified through local risk registers and can be escalated as appropriate.  This is monitored through the Risk & Organisational Learning Team within Intelligence.<br><br>Where this is particularly acute e.g. Mental Health services, WMP are working with the Combined Authority to mitigate the impact. |
| 4 | Airwave Replacement (National ESMCP Programme)<br><br>There is a risk that the introduction of the new airwave replacement, planned to happen in early 2018, will lead to increased costs and additional change requirements being placed on WMP impacting on service delivery.  After a national review the programme is now estimated to achieve delivery in mid-2019. | This is subject to professional project support from the WMP2020 Programme.  WMP are working with the other forces in the region to ensure integrated planning and a smooth transition.<br><br>IT&D participate in a bi-monthly meeting with national representatives from the programme to ensure WMP gain access to timely and accurate information. This will help manage the risk of uncertainty around the programme. Representatives from Force Contact and Fleet are also invited. |
| 5 | The force relies upon a number of legacy ICT systems which are due for imminent replacement. Due to staff turnover within IT&D, historical knowledge required to maintain these systems is limited. | The long term mitigation for this risk is the implementation of the Command & Control & Operational Policing Solutions, due in 2018/19. Medium term mitigation is in place with IT&D maintaining sufficient skilled staff for maintenance. Change or development requests to legacy systems are strictly monitored through Technical Design Authority to avoid the risk of unforeseen implications. |

# WMP Corporate Risk Register - Sept 2017 Managed Risks

| | Step 1: Identification | | | | Step 2: Evaluation | | | Step 3: Current Mitigation | | | | Step 4: Assurance | Updates |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Sub Risk ID | Risk Description and cause | Strategic Lead | Tactical Lead | Impact | Likelihood | Initial Risk | Risk Controls | Impact | Likelihood | Residual Risk | | Control Assurance | Activity Against Risk |
| CRR27 | **Hillsborough Inquiries** | DCC | Lisa-Marie Smith | 3.3 | 4 | 13.2 | The Force is committed to ensuring cooperation with openess, transparency and a willingness to learn from the past | 3.3 | 3.7 | 12.2 | | Assessment by Legal Services with experienced external lawyers and regular consultation with the Executive Team. | Legal Services closely monitor progress in order that WMP can appropriately cooperate and support the inquiry |
| CRR29 | **Birmingham Pub Bombings** | ACC Cann | Lisa-Marie Smith | 3.3 | 3 | 9.9 | The Force is committed to ensuring cooperation with openess, transparency and a willingness to learn from the past | 3.3 | 3 | 9.9 | | Assessment by Legal Services with experienced external lawyers and regular consultation with the Executive Team. | Legal Services closely monitor progress in order that WMP can appropriately cooperate and support the inquiry |
| CRR20 Formally CRR2.a, 2d.a, 2d.b | **Records Management** The Force has an immature records management capability, which means that we have difficulty accessing physical and digital records and once accessed there is limited assurance of the quality. There is a lack of understanding regarding the legacy rules that apply to digital searches within specific systems therefore searches can return inconsistant results. | Neil Chamberlain | Kate Jeffries | 3 | 4 | 12 | 1. The National Information Assurance maturity model will be used as a framework for improvement of assurance measures. This will be monitored through the SIMB. 2.Information Management are currently working with Accenture to agree new data standards for all data that will be captured within any solutions to be introduces as part of WMP2020. 3. Information management are conducting a case study of all physical assets (to include detained property, tapes, crime files, PPU records etc) to help inform the WS estates project. This will be used to provide an evidence base to assess the scale of the risk and will be used to determine an options paper for the Executive Team. 4. A team is being established (fixed term for 3 years) to work through WMP estate to better understand and map the physical records we hold. This will allow a weeding process to take place (in line with the parameters set within the Child Abuse Inquiry and Undercover policing Inquiries) and for central storage solutions to be explored. | 3 | 3 | 9 | | Assurance for physical records assurance will be gained through the Estates project & monitored through the benefits realisation regime. Assurance regarding digital records will be managed through information management under the direction of the SIMB. | An Information Assurance Working Group has been established, reporting to the SIMB, and is currently meeting on a monthly basis to ensure this area of business is driven forward. The new Information security team are completing BIAs for all systems to ensure we have the information relating to what they hold and are used for to ensure we have suitable plans. The project team are in place, this is being goverened through SIMB and project governance. |
| CRR8a | **Inability of ICT to maintain and develop In house Intelligence systems** Many ICT systems were developed some time ago. Due to staff turn over within the department there has been a loss of key developers meaning that specialist skill and knowledge is limited and new staff members wouldn't be familiar with older IT solutions. This impacts on the capacity of the organisation to maintain and further develop IT systems to meet changing needs. | ACC Murray | Chris Todd | 2 | 4 | 8 | 1. Key legacy systems are scheduled for replacement within the WMP2020 Programme. The Operational Policing Solution (Op Pol Sol)programme will provide a Crime, Intelligence & Case/Custody Solution in 2019. Until this goes live, IT&D will focus on maintenance activity only & any requests for development or change will be strictly governed through the Technical Design Authority. 2. IT&D will maintain staff with sufficienmt knowledge of legacy systems to undertake maintenance & essential development activity. | 2 | 4 | 8 | | Governance is through Technical Design Authority | The Operational Policing Solution project commences in Autumn 2017 & is due for completion in 2019. |
| CRR2b | **Information Sharing with Statutory Bodies** WMP have numerous statutory partners, including seven Local Authorities. A number of data sharing agreements exist but there isn't a consistent information sharing agreement with all partners or a system to support it. This could limit our opportunities to conduct compresensive analysis, and implement appropriate responses to tackle issues at a strategic and tactical level. | ACC Murray | Chris Todd | 3 | 3 | 9 | 1. WMP participated in a partnership project (Opera) to develop more consistent information sharing 2. Public Health England and WMP lead a joint project to understand violence utilising data across health and policing. 3. The tier 1 partnership group has been established through the WMP 2020 work to engage partners and ascertain the appetite for more partnership working. 4. The establishment of Multi Agency Safeguarding Hubs is also increasing the opportunities for information sharing with partners. 5. Strategic Assessment 2016/17 and Violence Alliance conference (10th Feb 2016) with partners to assist the production of a common understanding of the risk if we fail to integrate our data and consequences to communities. 6. A review of all current information sharing agreements has been completed to ensure that they are still fit for purpose. 7. The Data Driven Insights Project enterprise search capability will enable more accurate assessment of criminal justice data and evidence has shown that this has been a source that has greatly assisted in directing intervention and prevention opportunities. | 3 | 2 | 6 | | Governance is through Crime Governance Board | This is a long term workstream that is linked to a number of projects and the WMP 2020 programme. Mitigation is being built into the DBCs within the WMP2020 programme but will take some time to affect the residual risk score. As part of the Intelligence function review a new role of partnership liaison officer is being created. Their role will be to understand what data sets are held by partners and to negotiate and manage access to that data in a streamlined manner. The PILOs are now in place and work has started to map the data held by partners and start negotiating access where appropriate. The PILO role is embedding. The current priority is ensuring the CSP analytical function has access to the necessary data set. |

Appendix

| | | | | Step 2: Evaluation | | | | | | | | |
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<table>
<tr><td colspan="4">Step 1: Identification</td><td colspan="3">Step 2: Evaluation</td><td>Step 3: Current Mitigation</td><td colspan="3"></td><td>Step 4: Assurance</td><td>Updates</td></tr>
<tr><td>Sub Risk ID</td><td>Risk Description and cause</td><td>Strategic Lead</td><td>Tactical Lead</td><td>Impact</td><td>Likelihood</td><td>Initial Risk</td><td>Risk Controls</td><td>Impact</td><td>Likelihood</td><td>Residual Risk</td><td>Control Assurance</td><td>Activity Against Risk</td></tr>
<tr>
<td>CRR30</td>
<td><u>Independent Inquiry into Child Sexual Abuse</u></td>
<td>ACC Murray</td>
<td>Lisa-Marie Smith</td>
<td>3</td>
<td>3</td>
<td>9</td>
<td>The Force is committed to ensuring cooperation with openess, transparency and a willingness to learn from the past</td>
<td>2</td>
<td>3</td>
<td>6</td>
<td>Assessment by Legal Services with experienced external lawyers and regular consultation with the Executive Team.</td>
<td>Legal Services closely monitor progress in order that WMP can appropriately cooperate and support the inquiry</td>
</tr>
<tr>
<td>CRR26</td>
<td><u>Workforce Demographics</u><br>Due to sustained austerity inhibiting recruitment for a number of years, some functions within the force are less representative of the communities we serve. This creates a risk to public confidence and operational service delivery.</td>
<td>Ali Layne-Smith</td>
<td>Rebecca Davies</td>
<td>3</td>
<td>3</td>
<td>9</td>
<td>1. Targeted recruitment positive action to encourage applications from under represented groups within the West Midlands for all volume recruitment.<br>2. Work undertaken to scrutinise the reasons why applicants from under represented groups may be unsuccessful and learning fed into future assessment centres.<br>3. WFSG have conducted some work to understand the levels of under represented groups within each NPU and Department.<br>4. HR have undertaken work to understand the progression of officers and staff from under represented groups to identify if a disproportionate percentage of unsuccessful candidates are from these groups and what can be put in place to assist in their development.<br>5. Robust mechanisms in place for recruitment and selection to ensure fairness and transparency in the process.<br>6. Specific briefing re HPDS and fast track targeted at under represented groups.<br>7. All job or promotion interviews will be done by someone trained in unconscious bias<br>8. Oracle Fusion is providing richer sources of data and swifter access to enable a swift response.</td>
<td>2</td>
<td>3</td>
<td>6</td>
<td>Some success has been seen within the recent round of PC recruitment. Due to the level of recruitment currently taking place increases will not significantly change the demographics of the Force as a whole but opportunities will continue to be sought.<br><br>Positive action has been built in as BAU for all recruitment campaigns. Due to the level of recruitment currently taking place the overall workforce demographics will not change significantly in the short term and progress will need to be monitored on a longer term basis.</td>
<td>September 2017 - Despite an uplift in recruitment and a sustained committment to positive action and attraction strategies, data suggests limited success to date. A new Diversity & Inclusion team have recently been appointed within POD to further develop our strategy and practice across all elements of recruitment, progression and retention.</td>
</tr>
<tr>
<td>CRR 33</td>
<td><u>Workforce Resilience</u><br><br>Despite substantial recruitment, there is concern as to whether this will address attrition rates due to sustained austerity (retirement rates)</td>
<td>Ali Layne-Smith</td>
<td>Chris Thurley</td>
<td>3</td>
<td>3</td>
<td>9</td>
<td>A recruitment plan is in place and being monitored through Force Executive.</td>
<td>3</td>
<td>2</td>
<td>6</td>
<td>This is regularly monitored through Workforce Strategy Board and governed at Force Executive</td>
<td>September 2017 - 50 new officers already started, 100 student officers in training and nearly 300 more going through the recruitment process. POD are actively addressing opportunities to modernise roles so as to release officers & employ specialist police staff and there is a comprehensive plan to address sickness absence</td>
</tr>
<tr>
<td>CRR28</td>
<td><u>Inquiry into undercover policing</u></td>
<td>ACC Murray</td>
<td>Lisa-Marie Smith</td>
<td>2.6</td>
<td>3</td>
<td>7.8</td>
<td>The Force is committed to ensuring cooperation with openess, transparency and a willingness to learn from the past</td>
<td>2.6</td>
<td>2</td>
<td>5.2</td>
<td>Assessment by Legal Services with experienced external lawyers and regular consultation with the Executive Team.</td>
<td>Legal Services closely monitor progress in order that WMP can appropriately cooperate and support the inquiry</td>
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<tr>
<td>CRR2c</td>
<td><u>Information Security</u><br>Failure to comply with Home Office standards within the Code of Connection (CoCo) could lead to WMP being disconnected from the CJX, resulting in loss of access to external email, internet, PNC, PND, e Borders and other National systems. This would result in a risk to service delivery and would impact on our ability to protect people from harm. Recent changes within the accreditation process have led to a more rigorous assessment process.</td>
<td>DCC</td>
<td>Kate Jeffries</td>
<td>4</td>
<td>4</td>
<td>16</td>
<td>WMP Information Management lead has engaged with the national body NPMIRT. Information Management have worked with IT&D to agree priority work & ensure this is scheduled appropriately within our work programme to achieve accreditation as soon as is feasible & without major disruption to either day to day business or WMP2020.</td>
<td>4</td>
<td>1</td>
<td>4</td>
<td>Managed by the DCC as SIRO and prioritised within both IT&D and Information Management Management. Regular updates are provided to the Executive Team.</td>
<td>Update July 2017 - In terms of the residual risks regarding servers and XP machines, whilst a lot of work has been done to mitigate this the programme of work to get them replaced/upgradded will run until the end of December therefore this will be too late for the accreditation schedule. The accreditation process is now managed by two bodies and the second one NPIRMT are likely to fail our acreditation. In reality they are unlikely to disconnect us from the PSN however this could impact on our ability to make new change requests which could impact on our ability to implement ESMCP and Op Pol Sol, both projects are aware of this risk.</td>
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