Joint Audit Committee September 2019

Preventing crime, protecting the public and helping those in need

www.west-midlands.police.uk

Ref	Risk Trend	Risk Description	Risk Owner	Working Lead (s)	Initial score	Current
20	↔	Records Management	Director of CS	A.D. Information Management	12	9
34	↔	Disclosure	ACC Crime	Head of FCID	14.07	7.34
40	↔	Vulnerability	ACC Crime	Head of PPU	9.9	6.9
39	↔	Police Settlement	Director of CS	A.D. Finance	6.9	6.9
44	NEW	Serious Violence in under 25s	ACC Local Policing	Project Guardian Lead	10	6
26	↔	Workforce Demographics	Director of POD	A.D. Organisation Development	9	6
35	↔	Detective Resilience	ACC Crime	Head of FCID	6	6
41	↔	Demand	ACC Operations	Head of Contact	9	6
45	NEW	PEQF	Director POD	A.D. Organisational Learning & Development		
43	↔	Specialist Recruitment & Retention	Director of POD	A.D. Business Partnering	6	6
46	NEW	Britain's exit from EU- Intelligence sharing	ACC Operations	Silver Lead	5	5
36	↔	Airwave Replacement	Director of CS	A.D. IT&D	12	4.6
47	NEW	Britain's exit from the EU – Supply Chain	ACC Operations	Silver Lead	4	4
33	↔	Workforce Resilience	Director POD	A.D. Business Partnering	9	3

Records Management

Historically the Force had 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 inconsistent results

Key Controls

- Review, mapping & weeding of all physical records
- Records management requirement built into new systems as legacy systems are replaced
- Increase communications regarding importance of data quality

Activity

- Project team is progressing well but there have been some complexities leading to some delays
- Policy & guidance refresh is underway to reinforce importance of data quality
- IM are represented on all project boards relating to IT systems

Governance

Owner: DCC
Lead: Kate Jeffries
Scrutiny: Strategic Information Management Board

Disclosure

West Midlands Police is committed to bringing offenders to Justice. Part of that requirement is compliance with CPIA. There have been high profile examples nationally where failures in disclosure within the Criminal Justice System have led to cases collapsing or charging being brought inappropriately

Key controls

- Disclosure training roll out
- Review of disclosure practices (ROCU, FCID, Intel)
- Internal Audit

Activity

- A disclosure champions mtg is being established on a bimonthly basis to maintain momentum and share learning.
- Disclosure management document to provide an open and transparent basis for disclosure decisions and to encourage disclosure discussions at an early stage for relevant non-sensitive material is being trialled through homicide with a view to rolling it out across the force.

Governance

Owner: ACC Crime
Lead: DCS Payne
Scrutiny: Crime Governance Board

Vulnerability

The cumulative impact of increased understanding of 'hidden crimes' and the continued increase in reporting create a risk that capacity could be outstripped by demand impacting on our ability to protect the vulnerable from harm.

Key controls

- Vulnerability Improvement Board in place as a thematic board in it's own right
- Vulnerability improvement plan drafted incorporating national vulnerability action plan and all HMICFRS vulnerability recommendations.

Activity

- Vulnerability improvement plan in place
- Approach to vulnerability has developed into an exploitation strategy & work is ongoing to understand how this can be addressed in conjunction with SOC.
- Force wide THRIVE working group established to ensure consistent understanding and application of THRIVE across WMP

Governance

Owner: ACC Crime
Lead: Head of PPU
Scrutiny: Vulnerability Improvement Board

Police Settlement

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 and the change to pension arrangements creates further uncertainty.

Key controls

- Influence National debate on Police Funding
- Review and continue to scrutinise financial planning
- Continued focus within change programme and EER to maximise benefits

Activity

- CC Thompson is the NPCC lead for finance and continues to articulate the need to review the way Forces are funded
- Thorough financial planning used continually with the additional pay rise for officers included in the medium term financial plan
- Benefits to be scrutinised through force governance arrangements

Governance

Owner: Director of Commercial Services
Lead: Assistant Director of Finance
Scrutiny: Commercial Services Governance Board

Serious Violence in Under 25s

The increase in volume of serious violence (gun and knife crime) in the under 25s and the cumulative risk around community safety could impact on the force capacity to respond impacting on public confidence and safety.

Key controls

- Additional funding has been allocated to WMP
- Dedicated project team established with SMEs through out the business.
- Managed through FTDB

Activity

- Increasing capacity for P4 logs to release neighbourhood resource to concentrate on prevent activity
- Dedicated force support resource allocated to violence suppression particularly during night time economy
- Project Guardian has an open invitation to portfolio boards

Governance

Owner: ACC Local Policing
Lead: Project Guardian Lead
Scrutiny: Force Tactical Delivery Board

Workforce Demographics

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.

Key controls

- Review of approach to Diversity & Inclusion
- Review of recruitment and promotions processes

Activity

- Force wide plan in development
- D&I week held and well attended
- Departmental D&I plans are in place and each dept. has a local D&I governance board. D&I representatives attend the departmental D&I meetings. The D&I plans are reviewed as part of QPR process and any key risks are escalated to the Business Partners. The plans are reviewed bi-annually internally and will also be externally reviewed annually.
- Positive Action supporting all recruitment & promotions processes
- All FET leads sponsor a strand of D&I

Governance

Owner: Director of POD
Lead: Assistant Director, Organisational Development & Learning
Scrutiny: POD Governance Board

Detective Resilience

In terms of detective resilience it is a challenge to recruit detectives, and to provide them with the skills to carry out their roles, resilience becomes particularly difficult at PIP 3 and 4 and in particularly stressful roles

Key Controls

- Review of detective resilience at all levels
- Introduction of the detective academy

Activity

- The detective academy has been introduced and there are now regular cohorts of detectives being trained to meet the business need.
- Resilience at all levels is monitored and scrutinised through the Detective Academy Strategic Group.

Governance

Owner: ACC Crime
Lead: Head of FCID
Scrutiny: Investigators (Detective) Strategy Group

Demand Management

Increased demand on policing with limited understanding of how it moves through the system impacts on our ability to create and execute effective plans to ensure effective and efficient delivery of policing

Key controls

- DDI Dashboards to give better access to management information to inform decisions
- Gold group task to look at journey maps for incident types to identify pinch points and give insight into what could be done to make the process more efficient.

Activity

- First phase of DDI dashboards delivered 2018
- Journey map complete for Domestic Abuse, further work to expand to other areas
- Summer demand has been well managed and will be debriefed with a view to expanding the approach across the whole year.

Governance

Owner: ACC Operations
Lead: Head of Contact
Scrutiny: Resilience Board

PEQF

Should WMP fail an audit by ESFA or Ofsted then we may be in a position where we (HEI and force) cannot deliver training and all students would have to be handed to an alternative provider, resulting in significant reputational damage to the force and disruption of supply chain for front line resilience

Specialist Recruitment & Retention

Changing and increased requirements for specialist skills within the workforce create a risk that WMP will not be able to recruit and retain sufficiently skilled people to deliver the service we aspire to.

Key controls

- Clarity of the expectation of ESFA and Ofsted audits
- Continued close liaison with ESFA and Ofsted
- Conduct trial audits, particularly in first year
- Data analyst support
- Improved data collation processes
- Continued updating of associated policy and procedures (e.g. safeguarding, welfare)

Activity

- New Risk

Governance

Owner: Director of POD
Lead: Assistant Director Business Partnering
Scrutiny: POD Governance Board

Key Controls

- Workforce plans to be developed for all departments capturing requirements over the next 5 years

Activity

- Workshops have taken place with all departments and NPUs to determine the requirement

Governance

Owner: Director of POD
Lead: Assistant Director, Business Partnering
Scrutiny: POD Governance Board

Preventing crime, protecting the public and helping those in need
www.west-midlands.police.uk

Britain's Exit from the EU – Intelligence sharing

Uncertainty around the arrangements for Britain's exit of the European Union could result in disruption to Information sharing and intelligence arrangements

Airwave Replacement

There is a risk that the introduction of the new airwave replacement, will lead to increased costs and additional change requirements being placed on WMP impacting on service delivery

Key controls

- Work has been undertaken to ensure that systems are in place to maintain intelligence sharing
- Regular Gold, Silver, Bronze meetings are in place and feeding in to the national reporting structure.

Activity

- National and regional structure is in place to ensure forces are aware of new arrangements
- Background work has been completed to ensure WMP can meet any new requirements

Governance

Owner: ACC Operations
Lead: Silver Lead
Scrutiny: Gold Structure

Key Controls

- Project management support provided
- Regional working to ensure integrated planning

Activity

- The slippage in the national programme has reached the stage where WMP are unable to complete their migration to ESN until after the Commonwealth Games in 2022. New radios have been purchased to replace the ageing fleet and are being rolled out. A number of items of Airwave infrastructure are approaching end of life; Programmes are in place to refresh all that equipment but there has been slippage. IT&D continue to monitor.

Governance

Owner: Director of Commercial Services
Lead: Assistant Director of IT&D
Scrutiny: Organisational Change Board

Preventing crime, protecting the public and helping those in need
www.west-midlands.police.uk

Britain's Exit from the EU – Supply Chain
Uncertainty around the arrangements for Britain's exit of the European Union could result in disruption to supply chain resulting in delays in deliveries.

Key controls
- Bespoke plans are in place
- Regular Gold, Silver, Bronze meetings are in place and feeding in to the national reporting structure.

Activity

- Stock checks completed on some critical supplies
- Suppliers and service providers have been contacted to ensure they have plans in place to mitigate any disruption.

Governance
Owner: ACC Operations
Lead: Silver Lead
Scrutiny: Gold Structure

Workforce Resilience
Despite substantial recruitment, there is concern as to whether this will address attrition rates due to sustained austerity (retirement rates)

Key Controls
- Review the workforce plan to ensure it is fit for purpose

Activity

- There is a workforce plan and accompanying recruitment plan in place which tracks strength and attrition over a 5 year period to ensure strength mirrors budgeted establishment.
- Currently there are sufficient new recruits planned for 19/20 to deliver a strength position which matches the budgeted establishment.
- Business partnering are working with every Department and NPU to ensure the business needs are met.

Governance
Owner: Director of POD
Lead: Assistant Director, Business Partnering
Scrutiny: POD Governance Board

ARCHIVED

Preventing crime, protecting the public and helping those in need

www.west-midlands.police.uk

Significant Systems Change

The cumulative impact of a number of major IT changes replacing legacy systems coming into Force in a short time frame could create a risk to effective service delivery

Key Controls

- All systems subject to professional project management
- Strict governance through IT& digital, project & programme boards, Design Authority and Organisational Change Board.

Activity

- Change freeze agreed and coming into effect at the end of March 2019 to ensure that no structural changes that could impact on the implementation of the new systems take place.
- ESMCP replacement agreed to be postponed until post Commonwealth Games reducing the cumulative impact of change

Governance

Owner: DCC
Lead: Head of Business Transformation
Scrutiny: Organisational Change Board/ Force Executive

- Archived from Corporate Risk Register and remitted to change portfolio
- Strong management around this risk through Change portfolio
- The delay in Connect means that changes will not be as close therefore giving time for people to adjust to new systems.

Partnership Working

There is a risk that changes to funding of partner agencies could impact on our ability to deliver collaborative services in the future.

Key controls

- Work closely with partners to understand any changes to service delivery

Activity

- All NPUs are represented on the Local Health & Wellbeing boards where commissioned services are discussed.
- Meeting scheduled to determine whether this risk can be remitted to Local Policing.

Governance

Owner: ACC Local Policing
Lead: NPU Commanders
Scrutiny: Local Policing Governance Board

- This has been managed within Local Policing
- Agreements for the partnership approach to violence and the new approach to Serious Organised Crime and Exploitation give new opportunities to manage any challenges within this area.
- The residual risk score on this risk is low and it was agreed that this could be managed within local policing and escalated if necessary.