



Agenda Item 05

JOINT AUDIT COMMITTEE
22 December 2021

RISK MANAGEMENT UPDATE

PURPOSE OF REPORT

- 1.1 To provide members of the committee with oversight of the risk registers for the Chief Constable and the Police and Crime Commissioner. The report also provides an update on developments in the organisational risk processes of the Force.

BACKGROUND

West Midlands Police – Risk Management

- 2.1 Since the last committee, the Force's corporate risk register has been reviewed to ensure there is the appropriate definition, mitigation, leadership and scrutiny for each risk.
- 2.2 Over the past 20 months one of the most significant external factors that has had a noticeable impact on the risk profile of the Force is COVID-19. The pandemic impact to WMP has gradually reduced over the past six months and although it still presents some residual challenges, it is now being managed via business as usual. We continue to monitor the external environment and the possible emerging risks to the workforce and to the public that COVID-19 may bring to staff wellbeing and operational activities.
- 2.3 The following amendments, outlined in paragraphs 2.4 - 2.7, have been made to the risk register.
- 2.4 We have seen a slight reduction in the residual risk profile of the Police Cadet Leaders – Safeguarding risk (CRR16). Mandatory training compliance has increased from 60% to 81%. Cadet Leaders who have not had the training by 31 December 2021 will have their involvement paused pending completion of the training workshop.
- 2.5 Recruitment & Retention/Uplift (CRR09) – There has been a slight reduction in the Uplift programme element of this risk. The applications window has been temporarily paused until Spring 2022 as the Uplift pipeline is well-established and does not currently pose an immediate high risk to our inability to meet the Uplift numbers. Although there has been a slight reduction, the overall risk does remain high due to the issues relating to recruitment processes and the student programme.

- 2.6 As part of the quarterly corporate risk review process, a new risk has been added to the Force risk register since the last committee meeting:
- Probation Data Sharing & Disclosure (CRR20) – The risk that the Force does not have the appropriate oversight and a centralised process to deal with and record the information requests made by the Parole Board. This risk has been assessed as *Critical*, due to its potential impact of ICO fines and possible GDPR breaches. Whilst the mitigating controls have been implemented and an IT solution is finalised, the likelihood remains high.
- 2.7 We have also closed the following risk:
- Mutual Aid – 2020 United Nations Climate Change Conference: COP26 (previously part of CRR12) – The COP26 element of this risk has been closed from the risk register. The COP26 conference has now ended and the elements relating to this part of the risk will now be taken forward and managed part of the Portfolio learning process. The CW Games 2022 element of the risk remains and has been assigned a new risk ID of CRR21 Mutual Aid & Resourcing, to differentiate between the closed risk and the risk that still remains.
- 2.8 As the Strategy & Direction Team continues to develop and embed the Risk Management process within WMP, the plans for the next quarter include:
- Continue to embed the risk governance reporting and escalation process to ensure there is a robust mechanism for capturing critical/high rated risks which should be escalated to the Corporate Risk Register.
 - A risk management Internal Audit has been completed and the findings have been drafted. An action plan will be developed to ensure the recommendations raised in the report are fully addressed and implemented.
 - Review and update the risk management strategy, this will also include a revised policy and procedure document. Creation of an action plan template to assist senior leaders and Strategy & Direction with risk tracking and targeted risk treatment actions. The action plan will record:
 - The nature of the risk treatment
 - The action to be completed
 - The control owner
 - Target completion date
- We will also produce a new risk template for logging and assessing potential new corporate risks, ensuring a consistent and structured process to notifying Strategy & Direction of new risks.
- Finalise and seek final approval of the risk appetite statement, and determine quantitative risk tolerance levels to provide a structure for WMP to work within. The development of action plans will ensure that we are able to work towards driving the corporate risks to their target position.
 - We will continue to explore opportunities to align our risk reporting to this committee with the OPCC now that the new Police & Crime Plan has been published.
 - Training materials to be finalised to be provided to relevant staff across the Force in FY22/23. A risk awareness session will also be provided to the Joint Audit Committee members in January 2022 in conjunction with the OPCC.
- 2.9 We continue to factor the ongoing risk management review and others into the business planning and performance management arrangements currently in place and will continue to update JAC on the prioritisation and progress of the improvement actions at future meetings.

Police and Crime Commissioner – Risk Management

Methodology

2.10 The PCC’s risk register is based on the risks associated with the functions of the PCC and the risks of delivering the police and crime plan which are topical risks.

Risks – the Functions of the PCC

2.11 The table below details the risks and consequences to the West Midlands Police and Crime Commissioner relating to the functions of the PCC.

PCC Function	WMPCC Risks & Consequences
Secure an efficient and effective police force for their area	Arrangements in place do not secure an efficient and effective police force for the West Midlands
Appoint the Chief Constable, hold them to account for running the force, and if necessary dismiss them	The PCC does not hold West Midlands Police to account effectively
Set the police and crime objectives for their area through a police and crime plan	The priorities and actions of the Police and Crime Plan are not delivered
Set the force budget and determine the precept	The resources of the PCC are not sufficient to deliver the police and crime plan and for West Midlands Police to operate
Contribute to the national and international policing capabilities set out by the Home Secretary	West Midlands Police does not contribute to national and international policing capabilities
Bring together community safety and criminal justice partners, to make sure local priorities are joined up	Lack of effective partnerships

Topical Risks

2.12 The topical risks relating to the delivery of police and crime plan have been determined through the construction of the OPCC delivery plan. The delivery plan details all the actions required to deliver the PCC’s police and crime plan that was finalised in October 2021. The number of actions in the delivery plan is 310 and the Senior Management Team with the OPCC have RAG rated each action. The number of actions that fall within each RAG classification are detailed in the table below with a definition of the RAG rating.

Delivery Plan RAG Classification

RAG Status of Action	Definition	Number
Green	Action complete or substantially complete	78
Amber	Action underway and will be completed within timescale	182
Red	Limited or no activity undertaken to deliver the action	50

2.13 The topical risks included in the risk register are the themes from all those actions that are currently classified as red in the delivery plan. It is important to note that the Police and Crime Plan was only

agreed in October 2021 and progress will be made against actions in the coming months through to the end of the PCC's term.

OPCC Risk Register

2.14 The risk register included in the attached appendix details the risks of the OPCC based on the above methodology. The scoring of risks is based on the Impact and Likelihood as set out in the table below. It is planned to include direction of travel in for each risks score in future versions of the attached register.

Impact	VERY HIGH (V)	5	10	15	20	25
	HIGH (H)	4	8	12	16	20
	MEDIUM (M)	3	6	9	12	15
	LOW (L)	2	4	6	8	10
	NEGLECTIBLE	1	2	3	4	5
	IMPACT / LIKELIHOOD	VERY RARE	UNLIKELY	POSSIBLE	LIKELY	VERY LIKELY
Likelihood						

2.15 It is important to note that the topical risks from the police and crime plan have not yet been scored.

Commentary on Risks

2.16 Each section of the police and crime plan is supported by a number of measures that will be monitored through the Commissioner's term in office. This will be through regular performance reporting to the Strategic, Policing and Crime Board and other governance arrangements. Where there are performance concerns there will be deep dives to understand the issues.

2.17 A reason for the mitigated scores being relatively high is the current position of West Midlands Police in terms of performance measures and the measures that are being developed for areas of the police and crime plan.

2.18 The level of resources to support police and crime prevention is scored high due to the level of demand across WMP and the PCC's overall funding position. There are also risks around the lack of multi-year settlements for areas such as the Violence Reduction Unit.

2.19 In terms of the topical risks, as detailed already, these reflect the position with the progress in implementing the actions from the police and crime plan.

3 RECOMMENDATION

3.1 The Committee to note the contents of the report and appendices.

CONTACT OFFICER

Name: Veronica Ejizu
Title: Governance, Risk and Assurance
Senior Manager

Name: Mark Kenyon
Title: Chief Finance Officer

BACKGROUND DOCUMENTS

Risk Appendix 1 and 2