



**Agenda Item 05**

**JOINT AUDIT COMMITTEE  
27 June 2024**

**RISK MANAGEMENT UPDATE**

**1. 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.

**2. BACKGROUND**

- 2.1. Following the last Committee, Strategy, Delivery & Assurance (SDA) continue to integrate risk management processes through departmental Senior Leadership Team (SLT) meetings, escalating where required through Portfolio Governance Boards and the Risk and Organisational Learning Board when necessary.
- 2.2. SDA are currently in the process of recruiting a Risk and Assurance Manager to support our risk management and relevant processes.
- 2.3. Horizon Scanning is completed on a monthly basis whereby the Risk Team produce a monthly risk briefing sway document that is disseminated to departments across the organisation. To help prompt recording and consideration of new horizon scanning risks, the Risk Team share key horizon sections at the monthly SLT meetings, discussing the possibilities of risk and therefore facilitating early mitigation and treatment.
- 2.4. An example horizon scanning briefing is attached with the papers.

**3. ORGANISATIONAL RISK MANAGEMENT IN WEST MIDLANDS POLICE**

- 3.1. In relation to risk management, a summary of our forward plan and activities undertaken over the last quarter are listed below:

- 3.2. Our published Organisational Risk & Issue Management Policy includes statements on risk appetite. Following approval from the Deputy Chief Constable (DCC), several changes have been made to the agreed descriptions, including the addition of a new appetite statement relating to finance in May. These changes ensure that the descriptions of risk appetite are comprehensive and broad, aiding their practical application.
- 3.3. The Risk Team will now undertake some work to align existing open items on the risk register to a risk appetite statement. This work will be completed by the next committee.
- 3.4. During April, the Risk Team conducted several sessions within the organisation regarding the utilisation, application, and significance of risk appetite.
- 3.5. The Risk Team continues to collaborate with risk contacts in every department. These contacts are crucial to the development of risk and issue management within the force, ensuring timely updates and acting as advocates. The SLT meetings support and encourage regular updates, with escalation to the Governance Board, chaired by the FET, if updates remain static.
- 3.6. SharePoint (SP) continues to be centrally used to report and record all risks, as well as acting as a knowledge hub. Automated reminder workflows are established and being used to drive updates, empowering departments to take ownership of their risks and seamlessly driving monthly updates.
- 3.7. Performance continues to be monitored by the Strategy, Delivery and Assurance department on a monthly basis, this is reported through the Risk Tactical Board.
- 3.8. To capture key milestones and further development work, the team maintain a live RoadMap (attached).
- 3.9. A risk maturity exercise is underway and progressing well. The findings of this will be available at the next committee.
- 3.10. The Risk Team recently launched a risk culture survey within the organisation seeking feedback to identify what is working well, what isn't, and areas for improvement. The survey will remain open until September to ensure comprehensive feedback is collected. After the survey period ends, the Risk Team will analyse the results and implement a roadmap to support risk-related work in 2025.
- 3.11. After the last quarter JAC, a question was raised regarding the target risk score. The Risk Team has reviewed this and found that while there are benefits, the risk appetite serves a similar purpose, allowing us to reduce the risk score to agreed levels. In the future, the Risk Team can further explore whether having a target risk score would enhance treatment and mitigation efforts.
- 3.12. Additionally, the committee inquired if there were any corporate risks related to the HMIC engage status. Following a discussion in force, it was agreed that a corporate level risk would not be recorded. This decision was made to avoid unnecessary duplication, as both the risk register and the HMIC portal serve the same purpose in this context, and there is existing governance to manage mitigation and treatment.
- 3.13. If there are themes or trends identified that go beyond the specific recommendations from HMIC, they are captured, but tend to be captured at departmental level, unless they are considered to need escalation.
- 3.14. Previously, the committee remarked on the minimal number of risks for a force of this size. This is because we report only on corporate risks, not the broader register. Departmental risks are managed at the portfolio level, with oversight from FET leads when escalation to the corporate

level is necessary. The force has identified several key factors that contribute to the decision to escalate risks.

#### 4. PROJECT RISKS

- 4.1. In the last quarter no projects have come to a closure within the project space. Two projects within Force Contact have now closed, all project risks were closed at the project closure stage with no risks transferred to Business As Usual (BAU).

#### 5. NEW CORPORATE RISKS

- 5.1 There is no new risk for reporting this quarter.

#### 6. CRITICAL RATED CORPORATE RISK UPDATE

- 6.1. No corporate risk scores reflect a critical rating

#### 7. INCREASED CORPORATE RISK SCORES

- 7.1. During the last quarter, no corporate risk scores have been increased.

#### 8. REDUCED CORPORATE RISK SCORES

During the last quarter, one corporate risk has seen a reduction in scoring.

#### PCC TRANSITION TO MAYORAL GOVERNANCE

**LOW**

*There is an overall arching risk to WMP that business continuity could be disrupted by the process of transitioning from PCC to mayoral governance because the PCC owns our assets/estates, has control of funding, and is integrated into our governance frameworks etc. All of this is required to be moved across to the West Midlands Combined Authority (WMCA).*

- 8.1. Due to the Judicial Review won by the PCC and the subsequent court of appeal hearing that the Home Office lost, there will be no transition for the May 2024 elections.
- 8.2. The likelihood score has been adjusted to reflect the above. The intentions of the elected Mayor regarding this issue will be considered in the future.
- 8.3. A learning meeting took place in May, involving the West Midlands Combined Authority, PCC office, and WMP.
- 8.4. Key stakeholders gathered to discuss what went well during the project up until the court of appeal hearing, what didn't go well, and what could be improved in the future. All organisations agreed to implement the learnings into their ways of working should a similar scenario arise again.

- 8.5. It is expected that if such a project is needed in the future, it will take several years to implement due to the necessary legal instrument that must be laid. Therefore, the risk will be closed once the formal Organisational Learning report from the WMCA facilitator is received.

## 9. CORPORATE RISKS UPDATE

Updated information has been provided for the risks listed below.

### FINANCIAL MANAGEMENT

**MEDIUM**

*There is a risk that WMP's finances are not sustainable over the medium term and/or efficiency savings required may adversely impact the operational services.*

- 9.1. The associated risks with the 2024/25 budget have now been mitigated. The 2024/25 budget is balanced, and budget reports have now been finalised and signed off by the PCCs office, the Chief Constable and Deputy Chief Constable.
- 9.2. 2024/25 marks the final year of the 3-year funding settlement. There is still a gap in the medium term for 2025/26 and the recommendation is that this risk remains open and is amended to reflect ongoing medium-term uncertainty regarding future budgets.
- 9.3. Future year settlements are still to be understood, and may be impacted by 2024 electoral activity. Based on current funding assumptions, it is estimated there will be a gap of approx. £10m in 2025/26, which may increase as we move through the medium term.
- 9.4. Budget planning and finance have taken into consideration the last point.
- 9.5. Risk reviewed by portfolio owner and happy for this to be monitored.

## 10. CORPORATE RISK MOVEMENTS AWAITING APPROVAL

There are two corporate risks awaiting movement in the last quarter.

### OFFICER AND STAFF RIGHT TO WORK CHECKS

**MEDIUM**

*WMP has historically not had a process that accurately records the documents evidencing the right to work status of employees who are non-British nationals, those with dual citizenship or whose birthplace was outside of the UK. This is standard practice, and work has begun to rectify this issue.*

- 10.1 During April and May, the Workforce and Resourcing team reviewed all cases of concern.
- 10.2 Over half of the cases that were of concern were deemed as not requiring a check due to the length of time the person had been working for the force and the legislation that governs this.
- 10.3 The remaining colleagues have now provided the relevant documentation which has been validated by their line manager.
- 10.4 A small number were identified where the Right to Work date expires in the future; audit processes have been put in place to contact these colleagues ahead of the expiry date.

- 10.5 A small number of queries remain outstanding where individuals are currently away from work either due to long term sick or suspension etc. The Workforce and Resourcing Team are in the process of concluding these enquiries.
- 10.6 Processes have been put in place within the Recruitment Team utilising Oracle to ensure all documents are verified and recorded with report to trigger a notification for future expiry dates.
- 10.7 Once the enquiries are completed the risk owner is anticipating closure with assurance in place that long term this will be managed through the systems.

**PLATO EMBEDDED LEARNING – MAJOR INCIDENT READINESS**

**LOW**

*Failure to deliver the national PLATO training and operational responder expectations with competing demand and rate of staff changes. Due to a lack of local ownership there is a risk that annual refreshers will not be scheduled for CPD days within departments.*

- 10.8 This risk related to the rollout of JOPS2 which relied on local delivery at Local Policing Units level by local people trained to deliver the input. This was successfully achieved.
- 10.9 The risk has remained open with the introduction of JOPS3 in October which did not rely on this method of delivery. JOPS3 needs to be trained to TFCs and those with other tactical command responsibilities on Local Policing Areas as well as Force Contact Supervisors.
- 10.10 All staff have been trained as of January 2024 with the exception of around 20 Force Contact (FC) Supervisors. As this sits as a separate issue, this risk has been resolved and a new issue will be established for Force Contact at a departmental level.
- 10.11 The risk owner has proposed training to FC of JOPS3 which is nationally mandated for delivery to all Tactical Firearms Commanders, those who have tactical level responsibilities and control room supervisors.
- 10.12 Risk has been submitted to the Operation portfolio for consideration of closure on the basis that departmental governance register for Force Contact is updates to reflect this.
- 10.13 Compliance around the eLearning is monitored through Force Performance Day chaired by the DCC.

**11. CLOSED AND DE-ESCALATED CORPORATE RISKS**

No corporate risks have been closed in the last quarter.

**12. POLICE AND CRIME COMMISSIONER – RISK MANAGEMENT**

**Methodology**

- 12.1 The Committee is aware the PCC’s risk register is based on the risks associated with the functions of the PCC and the risks associated with the delivery of the police and crime plan, which are referred to as topical risks.

12.2 As a separate corporation sole it is right and proper that the OPCC has a separate risk register to WMP, as they are able to control the levers and the mitigations of the same risks in different ways which complement the overall limitation of liability to both entities.

12.3 Following the judicial review into the transfer of Policing powers, and the subsequent election of a PCC, the risk register has been thoroughly reviewed by the SMT.

12.4 The current OPCC risk register is attached.

### 13. RISKS TO THE DELIVERY OF THE POLICE AND CRIME PLAN

13.1 There is a separate delivery plan which details all the actions required to deliver the PCC's police and crime plan. Senior Management Team within the OPCC regularly review the delivery plan and RAG rate each action. The areas of the plan currently classified as red are detailed below.

| Area  | Detail  |
|---|---|
| Resources.  | Long-term funding is essential for sustainability and community safety initiatives. Embracing a green agenda promotes environmental responsibility and resilience. While investment in crime prevention activities safeguards communities and deters criminal behaviour.  |
| Improving quality of investigations and outcomes.               | Improving the performance of investigations and outcomes is a priority, especially in vulnerable areas such as rape, sexual assault, stalking and harassment, and other sexual offences. West Midlands Police continues to be one of the highest-ranking forces nationally for outcomes classified under Evidential Difficulties in these areas.                |
| Reduce vehicle crime across the West Midlands.                  | Vehicle crime in the West Midlands remains higher than in most similar force areas. While progress has been made in reducing these crimes in 2023/24, sustained efforts are needed to further decrease the number of offences.  |
| Increase diversity in West Midlands Police workforce.           | Efforts to reach the goal of adding 1,000 officers from underrepresented backgrounds by 2025 are underway, though progress remains below the set target. Additionally, there is ongoing focus on advancing the representation and career progression of underrepresented groups within the workforce.   |
| Reduce disproportionality in the use of Stop and Search powers. | Disproportionality in Stop and Search persists, with individuals from Asian ethnic groups being 1.7 times more likely, and those from Black ethnic groups being 2.7 times more likely, to be stopped and searched compared to members of White ethnic groups in 2023/24.  |
| Increase the positive outcomes for Stop and Search.             | West Midlands Police saw a decrease in positive outcomes for Stop and Search from 30% in 2022/23 to 29% in 2023/24, falling short of the target of at least 50% outlined in the police and crime plan.  |
| Accessing police services through 101 contact method.           | In 2023/24, the accessibility of police services through 999 saw a rise to 93% compliance within the 10-second service level agreement. Yet, the performance regarding 101 showed a 74% compliance rate within the 3-minute service level agreement. It is imperative that West Midlands Police enhances this performance to improve access to police services. |

13.2 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.

These include PCC and Chief Constable meetings where performance of the Force is discussed on a monthly basis. Where there are performance concerns, there are deep dives to understand the issues.

- 13.3 The most recent performance reports to the Strategic Policing and Crime Board remain February 2024, due to the elections, and are available through the links below.

[SPCB-27.02.24-Agenda-Item-4-Performance](#)

[SPCB-27.02.24-Agenda-Item-4a-PCC-Performance-Scorecard](#)

[SPCB-27.02.24-Agenda-Item-4b-PCC-Performance-Statement](#)

The performance report provides an overview of performance against the National Crime and Policing Measures in a format used as West Midlands Police's (WMP) official statement on performance and activities undertaken. This statement is published along with a statement from the Police and Crime Commissioner, as well as a Police and Crime Plan Key Performance Indicator (KPI) scorecard for measures where data is available.

## 14. NEW CORPORATE RISKS - OPCC

- 14.1 The review of the risk register has identified five new corporate risks for the OPCC.

### The funding for the VRP is discontinued or not sustained at the same level

**HIGH**

*There is a risk that the funding for the VRP will be removed or significantly reduced by the Home Office, leading to a loss of knowledge and capacity in the VRP team, loss of services targeted to vulnerable young people and a lack of support for a regional response to reduce violence.*

- 14.2 This risk is high as there are minimal mitigations except lobbying for funding to continue which the VRP can use to reduce the inherent risk.

- 14.3 However steps are being put into place to ensure that wherever possible there are sustainability plans for the work of the VRP to continue.

### Public trust and confidence in Policing diminishes

**MEDIUM**

*There is a risk that a fall in public confidence undermines the effectiveness of WMP and Policing in the region.*

- 14.4 This risk is medium as in the post-Wayne Cozens era and in light of many public reports of individual failings, the confidence in Policing in general, and West Midlands Police in particular, is at a record low point.

- 14.5 The Commissioner can, through judicious use of his governance forums, allow the public to regain confidence through holding the force to account in terms of its fairness, and using the Ethics Committee to demonstrate how new developments in Policing in the West Midlands put ethical considerations at the heart of the debate.

### The OPCC has an inadequate Safeguarding for its staff, volunteers and suppliers

**MEDIUM**

*There is a risk that the lack of a clear Safeguarding policy, ownership of the policy, and a check on its implementation would lead to volunteers being put at risk from other volunteers, and service recipients being put at risk from OPCC staff, volunteers or suppliers.*

14.6 This risk has been mediated down to medium from high through mandatory safeguarding training for all staff and volunteers in the VRP and OPCC. And through specific training for identified safeguarding leads.

14.7 The vetting status of all volunteers has been reviewed, and terms and conditions have been amended for grants and contracts to require suppliers to have, and to implement, safeguarding training and standards for their own staff.

|   |               |
|---|---------------|
| <b>Business continuity is not maintained due to a natural, operational or IT disaster</b> | <b>MEDIUM</b> |
|---|---------------|

*There is a risk that the lack of business continuity planning could lead to a loss of access to existing systems and ways of working being compromised as the result of a natural, operational or IT disaster.*

14.8 The Institute for Civil Protection and Emergency Management now considers business continuity threats from outside actors to be a “when” not an “if” event, and as such the risk of this is inherently high.

14.9 The existence and easy access to disaster recovery and business continuity plans and the annual exercises for SMT on MAGIC style emergencies enable a high level of certainty that the mitigations are in place against loss of service.

|  |            |
|--|------------|
| <b>Asset base is insufficient to meet the operational needs of the Chief Constable</b> | <b>LOW</b> |
|--|------------|

*There is a risk that inadequate amounts of, or inadequately targeted investment, delivers a Fleet, ICT and Estates asset base which is insufficient to meet the operational requirement. This could lead to the MTFP poorly aligning with the asset planning, and being insufficiently demand led, assets which are not fit for use in the twenty first century or ICT which falls behind in terms of technological capability.*

14.10 The PCC is the owner of the assets which are used by the Chief Constable in delivering the operational requirement. Therefore, it is important that the balance of spending on assets and revenue, on maintaining the infrastructure as well as keeping the everyday spending in mind, are balanced and proportionate and today’s money is spent on reducing tomorrow’s costs as well as meeting today’s needs.

## **15. INCREASED CORPORATE RISK SCORES - OPCC**

15.1 During the last quarter, no corporate risk scores have been increased.

## **16. REDUCED CORPORATE RISK SCORES - OPCC**

16.1 During the last quarter, one risk has reduced, which relates to the resources of the PCC being sufficient to deliver the Police and Crime Plan, and operational Policing.

16.2 This was increased last quarter as uncertainty around the financial circumstances of Birmingham City Council made it difficult to forecast how that would impact on WMP and WMOPCC. As more information emerges, our ability to respond and mitigate those issues increases, hence the decrease in score, although there remain serious concerns about the proposed withdrawal of that funding, and the lack of engagement with the Commissioners, despite reaching out to make those links.



## 17. CLOSED AND DE- ESCALATED CORPORATE RISKS

- 17.1 During the last quarter, one risk has been closed. This was the risk that appropriate arrangements were not made for an effective transfer of the Police and Crime Commissioner functions to the Combined Authority Mayor for the West Midlands.
- 17.2 Following the judicial review, the transfer will not now take place, and the OPCC and WMCA have met to discuss the lessons learned from the transfer, and were able to identify how they would approach such an event in the future.

## 18. RECOMMENDATION

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

### CONTACT OFFICER

**Name:** Melissa Horton

**Title:** Senior Risk and Assurance Manager (WMP)

**Name:** Jane Heppel

**Title:** Chief Finance Officer (OPCC)