

# Annual Governance Statement

**April 2018**

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## **Handling Instructions**

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## 1. Introduction

The Chief Constable is accountable to the Office of the Police and Crime Commissioner (OPCC) for the delivery of efficient and effective policing and the management of resources and expenditure by the police.

This Annual Governance Statement (AGS) explains this position and how the Chief Constable governs Warwickshire Police (the 'Force') through a system of internal controls. The Governance Framework reflects the changes in the Chartered Institute of Public Finance and Accountancy (CIPFA) document "Delivering good governance' Guidance Notes for Policing Bodies in England and Wales 2016 Edition." The CIPFA document contains seven principles of governance. The arrangements described in the AGS are consistent with those principles.

The Chief Constable is responsible for maintaining the Queen's peace and the direction and control of Force staff (staff is taken to include police officers, police staff and police community support officers (PCSOs)). In discharging these functions the Chief Constable has regard to the Police and Crime Plan which sets the overarching objectives for the Force. The Police and Crime Plan is issued by the OPCC and developed in consultation with the Chief Constable and other stakeholders.

## 2. Scope

The Chief Constable is responsible for ensuring that the Force conducts its business in accordance with the law and proper standards, that public money is safeguarded, properly accounted for and used economically, efficiently and effectively. The Chief Constable also has a duty to act in the public interest that implies primary consideration of the benefits of society which result in positive outcomes for service users and stakeholders. The Chief Constable will therefore ensure the Force's functions are exercised with a clear link to a combination of the seven principles. In addition to the Force's prime aim of 'Protecting People from Harm' the Chief

Constable has stated his aspiration for the Force to ‘become great at protecting vulnerable people.’

In discharging this overall responsibility the Chief Constable is also responsible for putting in place proper arrangements for the governance of the Force’s affairs and facilitating the exercise of its functions. This includes ensuring that a sound system of internal control is maintained through the year and that arrangements are in place for the management of risk. It also includes a responsibility to ensure arrangements demonstrate the spirit and ethos of good governance which cannot be achieved by rules and procedures alone.

### **3. The Governance Framework**

The Governance Framework comprises the systems and processes, the culture and values by which the Chief Constable directs and controls the activities for which they are accountable including engagement with communities. It enables the Chief Constable to monitor the achievement of their strategic objectives and to consider whether these objectives have led to the delivery of appropriate, cost effective services including achieving value for money. The AGS includes a description of how the Chief Constable monitors the effectiveness of their governance arrangements during the year and any planned changes.

To enable effective accountability the day-to-day relationship between the OPCC and the Chief Constable is governed by the Scheme of Delegation, Financial Regulations and Contract Regulations which have been developed in accordance with the Financial Management Code of Practice.

The OPCC has also made specific delegations to the Chief Constable and his officers and put in place, on election, overarching policies that govern the operation of the Chief Constable. These include:

- Scheme of delegation
- Financial Regulations
- Contract Standing Orders

Copies of the above documents are available on the OPCC website or can be obtained from the OPCC, at 3 Northgate Street, Warwick, CV34 4SP.

The AGS is reviewed by the Joint Audit Committee (JAC) before being signed by the Chief Constable. Compliance with the Governance framework is evidenced through the Police and Crime Plan (via the Police and Crime Panel), the Performance Management Framework and the Joint Corporate Governance Framework that also includes the Financial and Contract Regulations (revised and affirmed by JAC December 2016).

The system of internal control is a significant part of that framework and is designed to manage risk to a reasonable and foreseeable level. It cannot eliminate all risk of failure to achieve policies, aims and objectives; it can therefore only provide reasonable and not absolute assurance of effectiveness.

The system of internal control is based on an on-going process designed to identify and prioritise the risks that may hinder or prevent the achievement of the Chief Constable's aims, objectives and policies, to evaluate the likelihood of those risks being realised, the impact should they be realised and to manage them effectively, efficiently and economically.

At a high level the OPCC, in the Police and Crime Plan, has stated that Warwickshire Police has the primary role in the county for:

- Putting victims and survivors first
- Ensuring effective and efficient policing
- Protecting people from harm
- Preventing and reducing crime.

Consequently it will be against these four objectives that the performance of Warwickshire Police and the Chief Constable will be primarily measured. For 2017/18 the current OPCC has agreed with the Chief Constable that there will

continue to be no specific performance objectives other than to reduce total recorded crime.

Warwickshire Police and West Mercia Police entered into an alliance where the majority of the two Forces' activity is undertaken jointly to deliver policing across Herefordshire, Shropshire, Telford and Wrekin, Worcestershire and Warwickshire. The framework which governs the alliance is underpinned by the 'Section 23' and 'Section 24' agreements (Police Act 1996).

- The 'Section 23' agreement sets out how joint Force finances will be managed on day-to-day basis including the financial arrangements for cost sharing.
- The 'Section 24' agreement allows either Force to conduct policing on the other's geographical area.

The governance framework of the Chief Constable includes arrangements for ensuring that day-to-day policing undertaken within the alliance is properly managed, risks identified and, where possible, mitigated.

The 'Delivering Good Governance standard for public services 2016' sets out the seven good governance core principles. The key elements of the systems and processes that comprise the governance arrangements that have been put in place for the Force and how the Force adheres to these seven principles are set out below.

#### **4. Principle A: Behaving with integrity, demonstrating strong commitment to ethical values and respecting the rule of law**

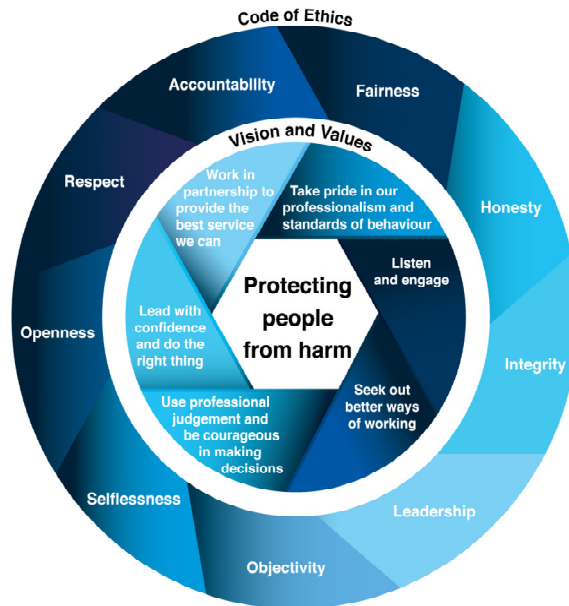
Evidence to demonstrate Principle A includes;

Code of Ethics, values, ethical standards, assurance, professional behaviour set out the standards expected of our workforce. This is underpinned by specific documents including;

The framework of governance established through the Scheme of Delegation, Financial Standing Order and so on seeks to establish high standards of conduct in specific areas of business and also seeks to reduce the likelihood of errors and

prevent fraud. Specific officers will have responsibility for policing the implementation of these policies and reporting irregularities to the Chief Constable or appropriate officer.

The alliance agreed a common Vision and Values and is widely shared with staff supported by the Code of Ethics. These values provide a unified purpose for the two organisations and a clear direction to our workforce and our stakeholders on how the Forces operate.



Conduct is governed by specific policies that cover the activities of a police force. These policies also consider the conduct of officers and staff and the standards expected by the public, for example the Force sets policies and standards for gifts, hospitality and sponsorship issues and maintains an electronic register to ensure proper governance and transparency. Police officers are required to seek the express permission of the Chief Constable before taking up a second job or pursuing separate business interests, details of which are held on a register of business interests.

At a national level, the Force participates in the National Fraud Initiative which attempts to identify fraud by sharing and comparing employee data across the public sector.

Within the Force there are two formal codes of conduct, one for police officers and one for police staff. Both codes define the standards of personal behaviour expected. The codes stress the importance of honesty, integrity, fairness, impartiality, politeness and tolerance. The officer code also sets out requirements in terms of use of force, performance, execution of duties and other general conduct expectations. Certain staff, e.g. qualified accountants or solicitors, will have professional codes of conduct to which they are held to account. In addition all staff are security vetted, the level of vetting depending on the role undertaken. In addition the alliance emphasises the national Code of Ethics as the foundation for the two forces' vision and values.

The Force subscribes to the police service's Statement of Common Purpose and Values which includes the requirement to act fairly with integrity, common sense and sound judgment. The Force operates a whistle-blowing policy. Where the highest standards of ethical and professional behaviour have not been met officers are encouraged to report these through the Anonymous Integrity Reporting Line.

The Professional Standards Department (PSD) has developed a strategy based on the principle of the four Ps:

- Prevent: Work to prevent threat created by wrong doing, poor judgement and potential corruptors to reduce harm and outstanding risk.
- Pursue: Relentlessly pursue those who set out to do wrong and create harm.
- Protect: Protect our communities, the forces, and our staff by creating an environment in which our processes and systems are resilient enough to resist harm.
- Prepare: Prepare the forces and our communities to withstand any outstanding risks which we have not successfully mitigated.



## 5. Principle B: Ensuring openness and comprehensive stakeholder engagement

Evidence to demonstrate Principle B includes:

- a) The Warwickshire Police web site, significantly revised in 2015, includes the current Freedom of Information (FOI) publication scheme in its 'Your right to information' pages.
  
- b) A public record of decision making by Chief Officers in their monthly Executive Board is also maintained (redacted as necessary).
  
- c) A Strategic Assessment is produced annually and provides a picture of current policing issues, with consideration given to local and national priorities; key threats against the control strategy and emerging issues. The Strategic Assessment gives an overview of the current and medium term issues affecting, or likely to affect, Warwickshire Police and West Mercia Police. It references the strategic policing plan. Where possible, the Assessment is developed in conjunction with Community Safety Partnerships, to ensure the force fully reflects our communities concerns.
  
- a) The force publishes its Equality Report annually. The force works closely with Independent Advisory Groups locally and on a strategic level to increase levels of trust and understanding in our diverse communities, support the most vulnerable and make sure our engagement is targeted and meaningful.
  
- b) The OPCC and Chief Constable meet most weeks to discuss and scrutinise performance. The OPCC is also invited to attend the quarterly Forces' Performance Management Group. The meeting agenda is supported by a monthly performance report relating to the key performance measure set out in the Police and Crime Plan. It identifies major themes that contribute to

providing a quality of service to victims of crime and looks at the wider 'health' of the alliance.

c) **Organisational Change**

The OPCC is invited to the Transformation Board both as an influencer and decision maker. These meetings inform the governance and assurance role of the OPCC and keep them updated with change activity.

d) **Community engagement strategy**

The Force actively involves communities across the counties. The approach involves public meetings including community forums, as well as telephone surveys. There is also active involvement with the full range of media such as press, TV, social media and the Force website to ensure the communication of a wide range of topics.

e) There is a formal Communications and OCC contact strategy with an overarching Consultation and Engagement strategy. This is a virtuous circle with each strategy supporting the other.

**Communications Strategy 2017 - 2021**



f) The Safer Neighbourhood approach is central to policing in Warwickshire, there are 33 Safer Neighbourhood Teams (SNTs). Police Officers, Police Community Support Officers, Special Constables and other volunteers work with partners to keep communities safe and improve the quality of life for local people while tackling Force and local priorities. Each SNT holds meetings at which problems and issues identified by the local community are discussed. Each SNT has a website where updates on action to tackle local priorities are posted together with details of local events, surgeries and other useful information. Members of the local community can access local crime information and provide feedback to teams or contact them directly. The SNTs and Special Constabulary have their own Twitter feeds, for example @warksspecials.

g) **Victim surveys**

The Force undertakes telephone victim surveys.

h) **Chief Financial Officer (CFO)**

To enable effective accountability the day-to-day relationship between the OPCC and the Chief Constable is governed by the Scheme of Delegation, Financial Regulations and Contract Regulations which have been developed in accordance with the Financial Management Code of Practice. The CFO produces a financial report for the monthly Executive Board which considers progress against the Medium Term Financial Plan.

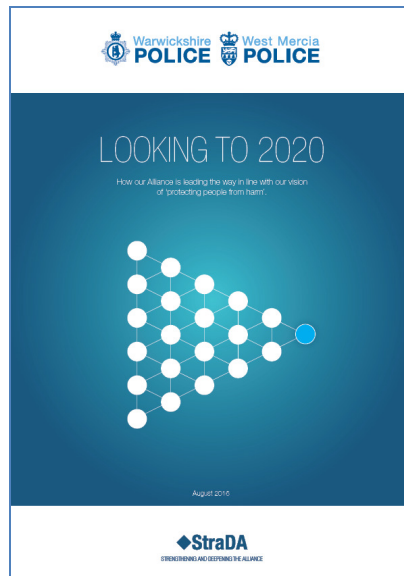
i) **Record of legal advice provided to Chief Officers**

All Legal Advice is usually provided to Chief Officers and their staff to agreed timescales. Records exist in the legal case management system (Visual Files) database and email. Where a file is created in relation to the request, the advice, email or other audit trail is also copied to the file.

- j) There is an established process to track advice by case name or reference number within Legal Services. The performance management of file audit trail and inputting is closely managed by the team line managers.

## 6. Principle C: Defining outcomes in terms of sustainable economic, social and environmental benefits

Evidence to demonstrate Principle C includes:



a) **Strategic Vision**

The alliance has developed its medium term strategy called Vision 2020. This describes what the Force will look like by 2020 and how the Force will achieve it.

b) **Organisational transformation**

The Change Programme is overseen by a Senior Responsible Officer (SRO) who is also the Deputy Chief Constable for Warwickshire Police.

- c) The Change Programme manages the totality of change across the alliance in a coordinated and integrated manner assessing value for money, projects, sequencing of projects and bids for change via a Transformation Board.

- d) HMICFRS commented that the forces' change management programme, Vision 2020, is well resourced and includes people with experience of project management and those with operational experience.
- e) See Principle B, (c) for evidence of OPCC involvement in transformation.
- f) Collaboration agreements with other forces and emergency services  
Warwickshire Police and West Mercia Police entered into an alliance where the majority of the two Forces' activity is undertaken jointly to deliver policing across Herefordshire, Shropshire, Telford and Wrekin, Worcestershire and Warwickshire.
- g) **Community engagement and development**  
See Principle B, (d) and (e) for evidence.
- h) **The Safer Neighbourhood approach**  
See Principle B, (f) for evidence.
- i) **Performance measures and monitoring**  
Daily performance can be accessed from the intranet from the 'Performance Dashboard.' The Dashboard provides comprehensive alliance crime, incident and satisfaction data on a self-service basis. Reports are provided internally both weekly and monthly to inform decision makers and monitor performance trends. Both forces' performance is reviewed as part of the quarterly Performance Management Group. The meeting agenda, relates to the key performance measure set out in the Police and Crime Plan, identifies major themes that contribute to providing a quality of service to victims of crime and looks at the wider 'health' of the alliance.
- j) Acting on HMICFRS assessments and recommendations  
The Force considers carefully HMICFRS recommendations and acts upon

them through a series of coordinated actions plans 'owned' by the appropriate Chief Officer. These are managed and measured through the monthly Strategic Service Improvement Board overseen by the DCC for West Mercia Police.

- k) Record of decision making and supporting material  
See Principle B, (b) evidence.

- l) **Partnership working**

Formed in 2015, Place Partnership brings together the property expertise of six public sector authorities (Worcester City Council, Hereford and Worcester Fire Authority, Worcestershire County Council, Redditch Borough council, West Mercia Police and Warwickshire Police) into one transformative company that acts as a joint property vehicle to achieve change. The Director of Enabling Services is a non-executive Director.

- m) Place Partnership's founding shareholders collaborated to create a joint property vehicle to jointly manage estate and property services. Initial objectives include:
  - n) Greater opportunity to achieve cost savings
  - o) Create efficiencies and economies of scale across property management services
  - p) Greater opportunity to explore co-location and use of assets for organisations
  - q) Integration and sharing of resources, greater resilience
  - r) Greater scope to drive local regeneration and growth
  - s) Access to a centralised property database and helpdesk

## 7. Principle D: Determining the outcomes necessary to optimise the achievement of the intended outcomes

Evidence to demonstrate Principle D includes;

- a) Organisational transformation

See Principle C, (b) for evidence.

The Change Programme manages the totality of change across the alliance in a coordinated and integrated manner assessing value for money, projects, sequencing, and bids for change via a Transformation Board.

### HMICFRS comments

The PEEL (Effectiveness) inspection was a broad inspection concluding on 15 September 2017. Covering much of operational policing, the inspection assessed the principle components of operational policing and had core questions:

1. How effective is the force at preventing crime, and tackling anti-social behaviour? (Crime prevention).
2. How effective is the force at protecting vulnerable people and supporting victims? (Vulnerability)
3. How effective is the force at tackling serious and organised crime, including its arrangements for meeting its national policing responsibility? (Serious and organised)

The Force was assessed as 'Requires Improvement'.

The investigation of crime and reduction of re-offending was not inspected in its own right during this inspection as part of HMICFRS risk based approach – both forces having been graded as 'Good' in this area the previous year.

The Force(s) received individual reports in spring 2018.

**Comment [W1]:** Needs updating, Helen Kinrade.

a) **Medium Term Financial Plan**

The CFO, in conjunction with the Treasurer produces and maintains the MTFP, which supports and is integrated with Force business plans. The MTFP is refreshed regularly at key times in the planning cycle. The budget for the current year and the MTFP are reported on in a monthly report for discussion at the Executive Board meeting. HMICFRS commented in the 2017 PEEL Efficiency report regarding how will the forces were planning for the future. The overall grading for both forces was 'good'. It concluded that the forces' plans are sufficient to achieve its vision for the future. Financial plans are based on its experience of collaboration as part of its alliance arrangements, providing a firm base for its transformational programmes.

- b) The alliance has already saved £60m over recent years and is facing further financial constraints. Additional savings requirements have been placed on the alliance by both PCC's and plans are being implemented to reduce the alliance's total revenue budget by £16m by April 2018. The alliance has made an accurate assessment of future savings requirements until 2021/22. This is based on sound assumptions, which have been validated by external auditors.

c) **Corporate Governance Framework**

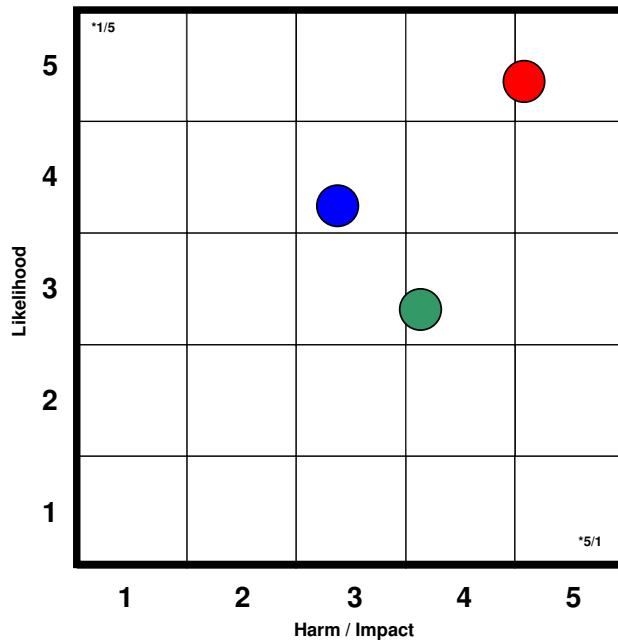
The Force has a well understood corporate governance framework evidenced in this AGS.

d) **Risk management**

Strategic Risk is mapped based on two axes; Likelihood and Harm/Impact. The Risks are owned by Chief Officers and a supporting narrative describes mitigation. Risks are mapped as shown in the following illustrative (example). Chief Officers consider Strategic Risk during their monthly Executive Board meetings.



### Illustrative Strategic Risk Map



a) Strategic assessment

See Principle B, (c) for evidence.

b) Feedback surveys (Health and Wellbeing)

The 2016/17 Health and Wellbeing survey has been conducted by People Services and Durham University. The results of this survey are due to be presented to Chief Officers later this year.



## 8. Principle E: Developing the Force's capacity, including the capability of its leadership and the individuals within it

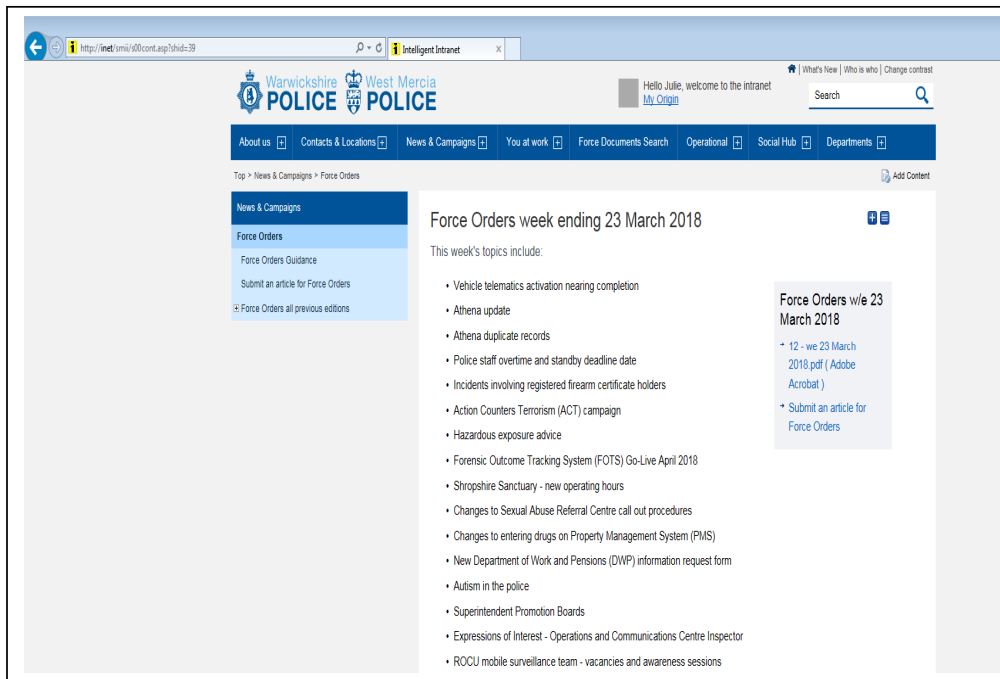
Evidence to demonstrate Principle E includes:

- a) **Capability of its leadership and the individuals within it**  
Following feedback from the Health and Wellbeing survey a number of changes were made to the PDR process during 2015/16. This included the provision for individuals to be assessed by on-going line manager observation and regular, informal performance monitoring without the requirement, in some circumstances, to provide documented evidence of their performance.
- b) The College of Policing (CoP) revised the national PDR model to support the introduction of the Professional Development for Policing (PDP) programme. A new national PDR model has been operating across the alliance since late 2016.
- c) As the CoP PDP programme is progressively introduced the PDR process will be further developed for use as the vehicle for recording assessment decisions relating to:
  - a. Continuing Professional Development (CPD)

- b. Assessment and Recognition of Competence (ARC)
- c. National Police Promotion Framework (NPPF)

**Comment [W2]:** Awaiting update from HR, Tina Smith.

- d) Within Warwickshire Police the PDR process will also form an integral part of the Talent Management Strategy which is currently being rolled out across the alliance.
- e) The CFO has a responsibility set out in the Financial Management Code of Practice to ensure the finance function is resourced and fit for purpose.
- f) **Workforce plans**  
Workforce planning is managed through the Workforce Management Group which meets monthly.
- g) **Staff directions and updates (Force Orders)**  
Force Orders are published weekly on the alliance intranet and emailed to all staff. An archive of previous Force Orders is maintained.



h) Articles are included to give guidance and direction to staff about topics considered organisationally important. These include:

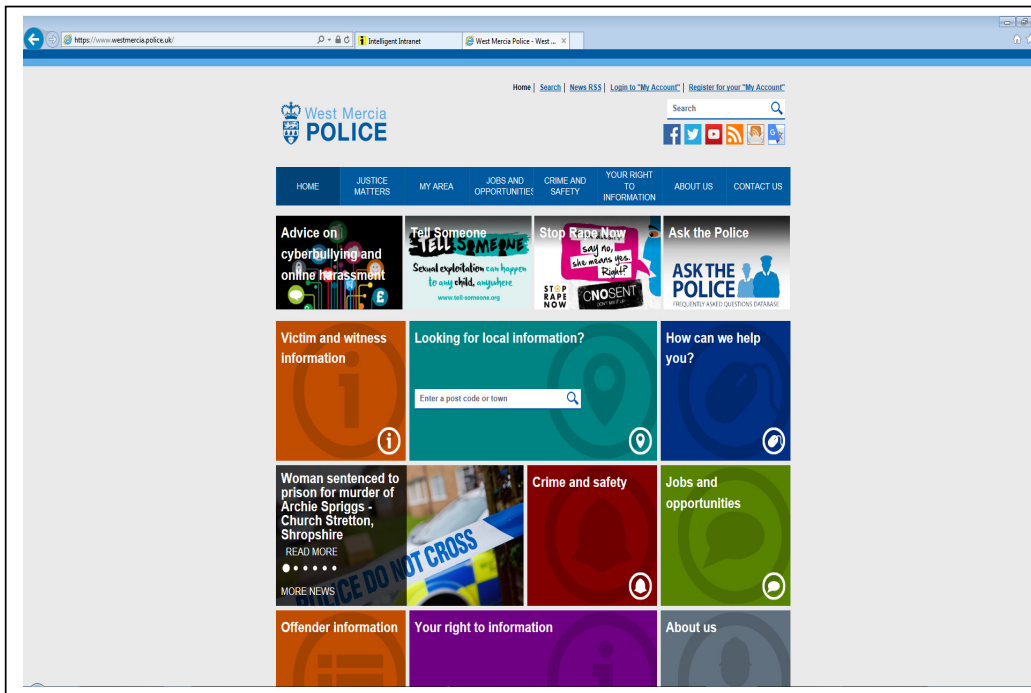
- Messages from Chief Constables
- Chief Constable's commendations, honours and awards
- Transformation Board updates
- Operational articles – changes in law and or practice
- PCC updates
- Staff moves
- Job opportunities
- Courses and training

i) **Police Federation surgeries**

Warwickshire Police Federation hold regular surgeries throughout the year. Details are posted on the alliance intranet.

j) **Effective website**

The force made significant changes to its website in 2015 to increase the effectiveness of two way communication with its communities.



## 9. Principle F: Managing risks and performance through robust internal control and strong public financial management

Evidence to demonstrate Principle F includes:

### a) **Analysis & Strategic Improvement**

ASI has a wide portfolio, including evidence based analysis to support strategic decision making. Reporting ultimately to the DCC West Mercia its portfolio includes Analysis and Research, Performance, Force Crime Registrar, Assurance, Strategic Risk and Organisational Learning, Business Planning, Strategic Equality and Diversity.

### b) **Risk management**

See Principle D, (d) for evidence.

- c) The alliance Risk Officer has a dual role of Strategic Risk and of leading the co-ordination of the Organisational Learning Framework. Lessons learnt across the organisation are curated onto the alliance intranet into themes.
  
- d) Reports and minutes from Executive Board  
See Principle B, (b) for evidence.
  
- e) **Business plans**  
The force, during 2017, required each key department to produce a set of business plans. The plans will be refreshed annually.
  
- f) **Business planning cycle**  
The alliance is codifying its business planning cycle incorporating key decision points through the year. Financial pressures and risks feed into the MTFP.
  
- g) **Reports on the activity of the Force Crime Registrar (FCR)**  
The FCR has a team who undertake audits of crime recording under the Home Office Counting Rules. A Crime Data Integrity meeting is chaired by a Superintendent, who reports quarterly into the DCC of Warwickshire.
  
- h) **Freedom Of Information Act (FOI) arrangements**  
FOI requests are managed for the alliance by the Information Compliance Unit. They collate requests for both forces and manage responses back to those who submit requests.
  
- i) **HMICFRS assessments and recommendations**  
The Service Improvement Board, chaired bi-monthly by the West Mercia DCC, considers HMICFRS assessments and recommendations in order to assure the force and alliance that the recommendations are implemented and endure.
  
- j) Strategic Decision Making is undertaken through the following Boards:

- Executive Board (monthly)
- Alliance Governance Group (monthly)
- Workforce Management (monthly)
- Transformation Board (bi-monthly)
- Joint Negotiating and Consultation Committee (generally quarterly)
- Strategic Diversity Group (quarterly)

k) Operational Decision Making:

- Chief Officer Meeting (weekly)
- Daily Management Meeting
- Directorate Management Meeting (DMM) (monthly)
- Tactical Tasking & Co-ordinating (monthly)
- Performance Management Group (quarterly)
- Strategic Tasking & Co-ordinating (annual with six monthly review)
- Directorate Sub-Groups and Business Area meetings
- Programme/project board meetings (as necessary)

## 10. Principle G: Implementing good practices in transparency, reporting and audit to deliver effective accountability

Evidence to demonstrate Principle G includes:

- a) Reports and minutes from Executive Board  
See Principle B, (b) for evidence.

- b) **Formal annual reports**  
See Principle B, (c) for evidence.

- c) **Audits**  
The Warwickshire Police and Crime Panel form part of the governance arrangements for the force. Their role is to maintain a regular check and balance on the performance of the directly elected Police and Crime Commissioner.

Under the alliance Warwickshire Police and West Mercia Police have a single Assurance Team. The programme of work is agreed annually with the Deputy Chief Constable of West Mercia (DCC) and ratified by the Joint Audit Committee (JAC).

- d) Grant Thornton are the external auditors of the Force and conduct audits of the alliance's financial accounts to ensure they are prepared in accordance with legislation, accounting standards and good practice. As well as issuing a statutory opinion on the accounts they also issue a statutory opinion on the Chief Constables arrangements for securing value for money, measured as economy, efficiency and effectiveness, which sits alongside the HMICFRS assessment work.
- e) All audit recommendations are reported through the Joint Audit Committee. The JAC is made up of six independent members who have extensive audit backgrounds. They meet with representatives from the alliance, the lead auditors and relative partners on a quarterly basis to consider all outstanding internal and external audit reports.
- f) Further scrutiny is provided by Her Majesty's Inspectorate of Constabulary and Fire and Rescue Service (HMICFRS) independently assesses operational policing processes and reports the performance of both forces at national level.

## **11. Review of effectiveness**

The Chief Constable has responsibility for an annual review of the effectiveness of the Governance Framework. The Governance Framework has been reviewed, and continues to be reviewed, for its effectiveness by the Chief Constable, the Deputy Chief Constable and the joint Chief Officer Team. The work of the internal and external auditors, HMICFRS, the Force Risk Officer and Assurance Lead Officer (who both have responsibility for the development and maintenance of the governance environment) inform the review of effectiveness. A significant input is



taken from priorities identified in the annual planning cycle and the resultant Control Strategy.

The HMICFRS (through the annual value for money inspection) and the external auditors (through the annual audit of the statement of accounts) assess whether the Force is on target to achieve savings targets that have been set out in the Medium Term Financial Plan.

The work of the internal and external audit and inspection agencies continues to inform the development of the governance framework as the Alliance arrangements continue their development.

## 12. Strategic Risk 2017

In last year's AGS 2017, the Chief Officers of Warwickshire Police and West Mercia Police identified the following eight risks to the two Forces at that time. During the year there have been no significant issues.

The eight identified risks were:

Risk	Mitigation or resolution
The key assumptions in the medium term finance plan are materially different to the current / future indicators	Ongoing actions include: The Medium Term Financial Plan for 2016/2017. Treasury Management Strategy. Detailed budget. Detailed Capital Programme. Environmental Scanning, monitoring and tracking of the environment.
Health and Wellbeing of staff	Ongoing activity includes: 2018 staff survey. Recruit to and complete the new Occupational health structure. Employee Assistance Programme. Scrutiny of staff attendance.
Delays in Athena BRC	Athena is managed through a comprehensive project plan overseen by DCC of Warwickshire.
Achieving, in line with Control Strategy priorities and Vision 2020 the ability to be 'great' at protecting the most vulnerable	Ongoing activity includes: Staff being trained/briefed in relation to 'vulnerability' and the THRIVE assessment Overview and scrutiny in relation to vulnerability is delivered through LPA DMM and the Alliance DMM. The establishment of multi-agency harm hubs. Recommendations from the most recent HMIC PEEL inspection have been acted upon. Dedicated resources have been allocated to form the foundations of a Vulnerability Working Group. Protective Services and Analysis and Service Improvement are working together to define what is 'great' and determine who is the 'most'

	vulnerable.
Risk	Mitigation or resolution
The quality of data inputted into systems	Recruitment of a full time Knowledge and Information Manager
Meeting our financial challenge but failing to deliver our service, or, delivering our service but failing to meet our financial challenge.	The Investigative and Local Policing Models have been agreed, tested, installed and measured for assurances that we have achieved our service aspirations within the budget. The alliance Control Strategy defines our activity. However, when we select an activity that is not synchronised with that strategy, its value cost is questioned.
Crime with firearms	The risk that the alliance fails to maintain sufficient accredited AFOs through the difficulties of recruiting and retaining AFOs. Currently using overtime as a short term expedient Increasing training capacity Increasing financial reward
Alliance legacy systems	Alliance legacy command and control systems going off line. The new OCC and introduction of SAAB Safe will fully mitigate this risk and the Head of ICT will prepare short term mitigation.

### 13. Strategic Risk 2018

This AGS, 2018, refers to the Strategic Risk Map which is compiled by the Strategic Organisational Learning and Risk Officer in conjunction with Chief Officers. The Strategic Risk Map is reviewed monthly at the alliance Executive Board meeting. A supporting narrative is provided for each risk and the Risk Map is reviewed by the JAC.

Risk	Mitigation or resolution
<u>Information Quality</u> Data compliance, quality, availability and maintaining compliance with legislation.	Workshop / Training to Info Asset Owners within the alliance Identifying the root cause themes to poor data quality. New Info Security Manager recruited and in post. New Knowledge Information Manager selected.
<u>OCC Programme</u> Risk of delays to go-live.	Enhanced governance. Options paper from key external stakeholders. Contingency plans created. Critical resource paths identified and subject to enhanced measures, support and reports.
<u>Authorised Firearms Officers</u> Maintain numbers.	Transferees from other forces. Double shift running of training courses. Centralising patrol bases. Overtime to cover vacancies. Ongoing reviews of our responses. Ongoing review of Strategic Threat and Risk Assessment. Promotional video. Taster Days. Deliver practical roads policing day and ARV overview for new student officers. Internal selection process for Task Force PC vacancies.

<b>Risk</b>	<b>Mitigation or resolution</b>
<p><u>Financial impacts - The Medium Term Financial Plan</u> The delivery of the financial savings plan set against an uncertain medium term political and economic climate.</p>	<p>The Medium Term Financial Plan for 2018/2019 Update for Chiefs Council Treasury Management Strategy Financial Risk assessment at Treasurer Level.</p>
<p><u>ICT Capacity and Capability</u> The risk being that ICT projects are not managed correctly and become reactive, so do not support Transformation Programme initiatives</p>	<p>Risk acknowledged by Transformation Director, Enterprise Architect, Head of ICT, Dept. Head of ICT. Recruitment of key skills anticipated in March 2018. New management structure to lead ICT, March 2018. Further specialist skills recruited in August 2018.</p>
<p><u>Health and Wellbeing</u> The ongoing, consistent monitoring and understanding of factors that affect health and wellbeing and the deployment of a consistent strategy to tackle the causes outlined.</p>	<p>Fairness, Diversity and Inclusion Policy, supported by a Board chaired by the Director of Enabling Services. Activity using inputs from the recommendations identified from the wellbeing charter audit, recommendations from the Staff Survey, complex case review learning and consulting with the workforce through engagements such as PMG. Action plans that will deliver localised activity based upon welfare survey data.</p>
<p><u>Protecting the most vulnerable</u> The ongoing level of skills and development required, set against competing demands around the training for new IT, to ensure that we as an alliance perform at the highest level to understand and respond to vulnerability in line with our vision.</p>	<p>Rollout of the CoP one day 'Vulnerability' training to frontline staff. Evaluation of the current LPA structures. The HMIC Effectiveness Board and the Strategic Vulnerability Board are now in place and provide the necessary overarching governance, linked into the Service Improvement Boards and Performance Management Group.</p>
<p><u>Athena</u> The risk that Athena will cause pressures across the organisation which may result in reduced performance, protection or staff wellbeing</p>	<p>Critical Incident Management Meeting raised. Mandatory Briefings to all staff on key errors from supervisors. New IMU model introduced with hybrid crime call function re-introduced. Action plan in place, led by head of ICT to address wider internal ICT issues A new round of roadshows is being planned for February 2018.</p>

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#### **14. Conclusion and commitment statement**

All of these risks have the potential to impinge on our ability to deliver effective policing. I remain satisfied that focus on these areas, through regular scrutiny of the Risk Register and ownership at Chief Officer level will ensure that the Risks are mitigated, the savings required are delivered and police officers and police staff remain effective in the changing policing model.

Signed:

**Martin Jelley, Chief Constable of Warwickshire Police**