



Performance and Resource Management Sub (Police) Committee

Date: FRIDAY, 15 NOVEMBER 2013
Time: 11.30 am
Venue: COMMITTEE ROOMS, 2ND FLOOR, WEST WING, GUILDHALL

Members: Deputy Douglas Barrow (Chairman)
Alderman Alison Gowman
Deputy Keith Knowles
Alderman Ian Luder
Kenneth Ludlam
Don Randall

Enquiries: Xanthe Couture
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Lunch will be served in the Guildhall Club at 1pm

John Barradell
Town Clerk and Chief Executive

AGENDA

Part 1 - Public Agenda

1. **APOLOGIES**
2. **DECLARATIONS BY MEMBERS OF PERSONAL OR PREJUDICIAL INTERESTS IN RESPECT OF ITEMS TO BE CONSIDERED AT THIS MEETING**
3. **MINUTES**
To agree the public minutes and summary of the meeting held on 9 September 2013.
For Decision
(Pages 1 - 4)
4. **SECOND QUARTER PERFORMANCE AGAINST TARGETS IN THE POLICING PLAN 2013-16**
To consider a report of the Commissioner of Police.
For Information
(Pages 5 - 12)
5. **HMIC STOP AND SEARCH INSPECTION**
To receive a report of the Commissioner of Police.
For Information
(Pages 13 - 20)
6. **HMIC INSPECTION (UPDATE)**
To receive a report of the Commissioner of Police.
For Information
(Pages 21 - 26)
7. **HUMAN RESOURCES - MONITORING INFORMATION APRIL 2013 - SEPTEMBER 2013**
To receive a report of the Commissioner of Police.
For Information
(Pages 27 - 36)
8. **INTERNAL AUDIT UPDATE REPORT**
To receive a report of the Chamberlain.
For Information
(Pages 37 - 46)
9. **AUDIT FRAMEWORK INSPECTION REPORT**
To receive a verbal update of the Chamberlain.
For Information
10. **CITY OF LONDON POLICE: RISK REGISTER UPDATE**
To receive a report of the Commissioner of Police.
For Information
(Pages 47 - 58)

11. **QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**
12. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT**
13. **EXCLUSION OF THE PUBLIC**
MOTION - That under Section 100(A) of the Local Government Act 1972, the public be excluded from the meeting for the following items on the grounds that they involve the likely disclosure of exempt information as defined in Part I of the Schedule 12A of the Local Government Act.

Part 2 - Non-Public Agenda

14. **NON-PUBLIC MINUTES**
To agree the non-public minutes and summary of the meeting held on 9 September 2013.

For Decision
(Pages 59 - 60)
15. **SECOND QUARTER PERFORMANCE AGAINST TARGETS IN THE POLICING PLAN 2013-16 APPENDIX**
To consider a report of the Commissioner of Police.

For Information
(Pages 61 - 96)
16. **MEDIUM TERM FINANCIAL PLAN**
To receive a verbal update of the Commissioner of Police.

For Information
17. **QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**
18. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT AND WHICH THE SUB-COMMITTEE AGREE SHOULD BE CONSIDERED WHILST THE PUBLIC ARE EXCLUDED**

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Agenda Item 3

PERFORMANCE AND RESOURCE MANAGEMENT SUB (POLICE) COMMITTEE Monday, 9 September 2013

Minutes of the meeting of the Performance and Resource Management Sub (Police) Committee held at Aldermen's Dining Room - 4th Floor West Wing on Monday, 9 September 2013 at 11.30 am

Present

Members:

Alderman Alison Gowman
Deputy Keith Knowles
Kenneth Ludlam

In attendance: Deputy Pollard (in the Chair)

Officers:

Alex Orme	- Town Clerk's Department
Xanthe Couture	- Town Clerk's Department
James Goodsell	- Town Clerk's Department
John Galvin	- Town Clerk's Department
Suzanne Jones	- Chamberlain's Department

City of London Police

Ian Dyson	- Assistant Commissioner
Hayley Williams	- Chief of Staff

1. APOLOGIES

Apologies were received from the Chairman Deputy Barrow and Alderman Ian Luder. Deputy Pollard would be acting as Chairman in Deputy Barrow's absence.

2. MEMBERS' DECLARATIONS UNDER THE CODE OF CONDUCT IN RESPECT OF ITEMS TO BE CONSIDERED AT THIS MEETING

There were no declarations of interest.

3. PUBLIC MINUTES

RESOLVED – That the minutes of the last meeting held on 30 May 2013 be approved as an accurate record.

Matters Arising

Dedicated Ring of Steel Patrols

An email had been sent to Members regarding the Ring of Steel patrols outlining their status as a City of London Corporation responsibility. The Chairman queried as to the frequency of maintenance of the checkpoint at the Northern Gate of the City to which the Town Clerk's Department undertook to investigate the situation.

Members queried as to Force visibility at the start and the end of the day, to which the Assistant Commissioner advised that the number of 15 to 20 officers was a good estimate although this figure did not take into account officers indirectly involved in patrol.

999 Call Response Rate

A Member queried as whether further work had been undertaken to analyse the call response time between the MET switchboard and the Force to improve response times. The Assistant Commissioner advised that Members might want to consider looking at the response rate target as part of the Policing Plan workshops in October and November 2013.

Item 5 – Human Resources – Monitoring Information (April 2012 to March 2013)

A Member advised she met with the Force's HR department and the matter of making the workforce more representative of the community was being addressed for the future recruitment practises.

Item 7 – Internal Audit Update Report

The Chairman raised concerns that internal audit had not presented the agreed report to the Sub Committee and sought assurance from Chamberlain's that it would be presented to the next Sub Committee.

The Chamberlain advised they had discussed the internal audit programme with the Assistant Commissioner and assured Members that internal audit would deliver its audit days in 2013-14. However they will be looking at reviewing their programme for 2014/15.

4. FIRST QUARTER PERFORMANCE AGAINST THE TARGETS IN THE POLICING PLAN

The Committee received a report of the Commissioner of Police which summarised the performance of the Force against the Policing Plan 2013-16 for the first quarter of the 2013-14 financial year. It was noted of the twenty-eight targets, twenty-two were on track to be met, five required additional work and one had no data available at the time of writing.

In response to a query from the Chairman, it was noted that the performance indicators, which contained specific and sensitive details of target progress were listed in the non-public section of the meeting to ensure Members received a complete summary of target progress. It was noted these figures were based on first quarter performance up to the end of June 2013.

Members and Officers discussed the nature of targets and if they could be improved upon. The Assistant Commissioner advised that target selection was done to ensure they could be resourced and measurable. It was noted that target setting would also be discussed at the upcoming Police Committee workshops.

The Chairman congratulated the Force on their success in areas where targets were being met.

5. INTERNAL REVIEW OF DATA QUALITY

The Committee received a report of the Commissioner of Police which highlighted the work of the Force in conducting an internal review of Data Quality within the Command & Control and the Crime Management Unit.

The Assistant Commissioner advised that this review had been done in advance of a formal inspection of Data Quality that would be carried out by the HMIC. The internal review had shown the Force was in a good position. A Member highlighted that concerns around road safety and traffic data were being resolved.

6. HMIC VALUING THE POLICE 3 INSPECTION OUTCOME

The Committee received a report of the Commissioner of Police which provided a summary of the main findings of two HMIC reports following the recent "Valuing the Police 3 Inspection".

The Assistant Commissioner advised that the Force had undertaken a good response to change arising from austerity measures. The Force had reduced its officer numbers which now were in line with the national average. The re-classification of some support posts would improve the position of the Force in national comparisons.

The City of London Corporation had signed a contract with Agilysys which the Force could utilise for non-police specific IT functions. As the East Coast Information Services contract would not move forward, Athena was now being considered as a police specific IT provider.

7. HMIC RECOMMENDATIONS 2012/2013- UPDATE

The Committee received a report of the Commissioner of Police which updated Members on the response of the Force to HMIC inspection reports for the financial year 2012/13.

The Assistant Commissioner noted that all actions had been achieved related to Anti-Social Behaviour Inspection. Two remaining actions remained outstanding under Custody Inspection as well as two remaining actions in regards to Integrity Inspection.

Members were advised that the NHS Custody Healthcare Commissioning Project, as part of the HMIC custody recommendations, would be reported on by the stated dates of November and December 2013.

The Assistant Commissioner advised that the Force did possess an adequate IT audit capability within the anti-corruption unit and was confident that by the stated completion date, the Force would have the appropriate capacity and capability to monitor and audit all of its information systems.

8. QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE

Questions were raised as follows –

A Member asked for clarification on the national target of 12 minutes response time to 999 calls, to which the Assistant Commissioner replied the call time began when the call was answered to when an officer was on the scene. The minute target was under consideration for next year's Policing Plan targets.

9. ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT

The Assistant Commissioner advised Members that the Deputy Chairman of the Police Committee had an open invitation to attend internal performance management meetings.

10. EXCLUSION OF THE PUBLIC

RESOLVED – That under Section 100(A) of the Local Government Act 1972, the public be excluded from the meeting for the following items on the grounds that they involve the likely disclosure of exempt information as defined in Part 1 of Schedule 12A of the Local Government Act.

Item	Paragraph
11	7

11. NON-PUBLIC APPENDIX - FIRST QUARTER PERFORMANCE AGAINST THE TARGETS IN THE POLICING PLAN

The Committee received the non-public appendix as part of the First Quarter Performance against the Targets in the Policing Plan.

12. QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE

There were no questions.

13. ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT AND WHICH THE SUB-COMMITTEE AGREE SHOULD BE CONSIDERED WHILST THE PUBLIC ARE EXCLUDED

There were no items of urgent business.

The meeting ended at 12.48 pm

Chairman

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Committee: Police Performance and Resource Management Sub-Committee	Date: 15 th November 2013		
Subject: Second Quarter Performance against Targets in the Policing Plan 2013-16	Public		
Report of: Commissioner of Police POL 51/13	For Information		
<u>Summary</u>			
<ol style="list-style-type: none"> 1. This report summarises performance against the Policing Plan 2013-16 for the second quarter of the 2013-14 financial year. 2. At the end of September 2013, of the 28 policing plan targets, 21 were on track to be met (GREEN), 3 were graded as AMBER, indicating that additional work is required to ensure the targets are met, 1 has been graded RED, indicating that it is unlikely to be met by the end of the year, and 3 are shown as WHITE, where the Force is still to receive the second quarter results from surveys. 			
1.1.1a Increase the number of engagements with the community aimed at deterring people supporting terrorism or violent extremism	GREEN		
1.1.1b All relevant plans within CoL scrutinised by the CT Architectural liaison team	GREEN		
1.1.1c Deploy intelligence led, high visibility policing operations to counter the terrorism threat and reassure the public	GREEN		
1.1.1d Ensure that at least 90% of people surveyed consider the City of London Police is prepared and capable of policing the terrorist threat effectively	GREEN		
1.2.1a Increase the number of government and industry sectors providing economic crime data to the National Fraud Intelligence Bureau	GREEN		
1.2.1b Increase quantity and quality of fraud prevention products disseminated by the N FIB (Quality/Quantity)	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center; background-color: #008000; color: white;">GREEN</td> <td style="width: 50%; text-align: center; background-color: #008000; color: white;">GREEN</td> </tr> </table>	GREEN	GREEN
GREEN	GREEN		
1.2.1c Disrupt the top 10 organised crime groups causing the greatest harm	GREEN		
1.2.1d Ensure at least 90% of fraud victims are satisfied with service provided	WHITE		
1.2.1e Increase by 10% the no. of officers, public sector and private sector fraud investigators trained by the Fraud Academy	GREEN		
1.2.1f Conduct reviews of investigations to inform Fraud Academy training courses and best practice toolkits	GREEN		
1.3.1a Meet all national requirements for public order mobilisation to support the SPR	GREEN		
1.3.1b Deliver ongoing organisational improvements and development relating to public order deployments (complaints)	GREEN		
1.3.1b (2) As above (Debriefs)	AMBER		
1.3.1c Ensure that at least 85% of residents and businesses are satisfied with the information received in relation to pre-planned events	GREEN		
1.4.1a Reduce levels of victim-based violent crime compared to 2012-13	AMBER		

1.4.1b Reduce levels of victim-based acquisitive crime compared to 2012-13	GREEN
1.5.1a Support the City of London Corporation's casualty reduction target through enforcement and education activities	GREEN
1.5.1b Increase the number of uninsured vehicles seized and unlicensed drivers apprehended compared to 2012-13	AMBER
1.5.1c Increase the number of referrals to the Safer Cycle Scheme compared to 2012-13	GREEN
1.5.1c(2) Increase the number of referrals to the Driver Alert Scheme compared to 2012-13	GREEN
1.6.1a Ensure that at least 90% of those reporting antisocial behaviour are satisfied with the service provided by the police	WHITE
1.6.1b Reduce the average annual number of rough sleepers in the City	GREEN
1.6.1c Actively promote, with partners, effective stewardship and crime prevention activities within licensed premises	GREEN
1.6.1d Run intelligence led operations to target threats associated with the night time economy	GREEN
1.7.1a Ensure at least 85% of City street population surveyed consider the police in the City of London are doing a good or excellent job	WHITE
1.7.1b Ensure at least 90% of victims of crime are satisfied with the service provided by the police	RED
1.7.1c Respond to at least 95% of 999 calls within the national target of 12 minutes	GREEN

Recommendation

It is recommended that your Sub Committee receives this report and notes its contents.

Main Report

Background

1. This report presents Force performance against the targets and measures published in your Committee's Policing Plan 2013-16 for the first and second quarters of the 2013-14 financial year. All relevant performance information is contained within Appendix 'A' with only those areas where targets currently graded as AMBER or RED highlighted within the body of the report itself.
2. As previous reports, this performance report includes a brief overview of Force performance that is not covered by specific targets.

3. There are some targets that have bespoke traffic light definitions which are referenced in Appendix A. The general traffic light criteria used in this report is as follows:
 - Green – target on course to be achieved by due date;
 - Amber – target will not be met without additional work/resources;
 - Red – unlikely the target will be achieved, even with additional work/resources or the target has not been achieved by the due date;
 - White –awaits data.

Current Position

Overview of Force Performance

4. Last quarter's report to your Committee highlighted that it had been a challenging start to the financial year. In some respects that level of challenge continues, although good progress is being made against the policing plan targets and the Force has enjoyed some notable successes outside of performance against targets.
5. A comparison with the same period last year shows that between 1st April 2013 and 30th September 2013:
 - Total victim-based crime (which includes violence against the person, sexual offences, robbery, burglary, theft and criminal damage) rose by 3.5% (79 more offences than the previous year). The largest increases were recorded in the categories of violence against the person with injury (24 more offences), theft from the person (53 more offences), shoplifting (33 more offences) and criminal damage (24 more offences). However, the increases were offset by reductions in other areas, for example there were 34 fewer non-domestic burglaries and 'theft other' fell by 49 offences compared to last year.
 - The detection rate for total victim-based crime has improved from the 16.8% reported last quarter to 18.6%, however, it remains below the 20.5% recorded at the same point last year.
 - Crimes against statute, which includes drugs offences, possession of weapons, public order offences and 'miscellaneous crimes

against society'¹, fell compared to 2012-13, from 514 crimes to 397 crimes, a significant reduction of 22.8%.

- At the end of the second quarter, total notifiable crime was down by -1.4% or 38 fewer offences (2731 crimes compared to 2769 the previous year).
6. In addition to those items reported in last quarter's report, notable Force achievements and activities during the second quarter include:
- Several successful prosecutions, including:
 - A criminal sentenced to 7 years imprisonment for fraudulently obtaining a £1.5m loan;
 - 3 British men sentenced to a total of 43 years imprisonment by a Florida court following a 7 year joint investigation with the US and Spanish authorities;
 - 4 gang members who committed a stabbing in the City were imprisoned at the Central Criminal Court for a total of 39 years.
 - In July the Force launched an international enforcement operation with the Romanian authorities and Europol aimed at tackling criminality impacting on the UK Payments sector.
 - The Force signed a section 22 collaboration agreement with the Metropolitan Police to fast-track the authorisation of intrusive surveillance across London.
 - During August the Force lead a national campaign aimed at tackling fraud that targets participants of the Hajj. This continues.
 - The Secretary of State for International Development publicly congratulated the Overseas Anti-Corruption Unit for its role in bringing a man to justice who had been selling fake bomb detectors around the world.
 - During September Lloyds of London invested more than £200k into the Insurance Fraud Enforcement Department, which will fund 3 additional detectives bringing the Unit up to 35 members of staff.
 - The Police Intellectual Property Crime Unit launched with the arrest of two men in Birmingham suspected of committing several thousand pounds worth of DVD counterfeiting.

¹ These crimes include prostitution, going equipped for stealing, perjury, perverting the course of justice, and possession of false documents, amongst others.

Comment on Target Performance- by exception

7. **1.2.1d - To ensure that at least 90% of fraud victims are satisfied with the service provided.** The result of the survey for the second quarter is still to be received by the Force. The target is, therefore, currently shown as WHITE. Members might recall that at the end of the first quarter the Force recorded an 83% satisfaction rate against this target which was therefore graded AMBER.
8. **1.3.1b – To deliver ongoing organisational improvements and development relating to public order deployments from debriefs.** This target was graded as AMBER at the end of the second quarter as there was one organisational debrief dating from August where learning was identified but no action had been taken as a result. This will be remedied before the end of the 3rd quarter.
9. **1.4.1a - Reduce levels of victim-based violent crime compared to 2012-13.** This target continues to be graded as AMBER. Despite sustained effort since the beginning of the year, the Force has not managed to reduce levels of violent crime compared to last year. By the end of the second quarter the Force had recorded a 14.9% increase compared to the same point last year (301 incidents compared to 262). Whilst it will not be impossible to achieve this target by the year's end, it will be extremely challenging. Looking purely at a 12 month rolling trend indicates that without considerable levels of resources dedicated to this target, the Force could end the year with an increase of 12.7% in levels of violent crime.
10. Special operations are continuing targeting violent crime and the night-time economy. A range of tactics are being deployed and additional covert resources have been funded to deploy inside licensed premises who then alert officers to situations that might lead to incidents of violence. A dedicated crime prevention strategy is being formulated in response to a comprehensive analytical assessment of both violent and acquisitive crime. On top of this, Support Group are deploying saturation patrol tactics in affected areas, preventing further offences from occurring.
11. It must be noted that levels of violent crime are currently running at an average of just under 2 per day. This makes the challenge to reduce the level further difficult. However, the Force is continuing to address the issue with using all tactical options and appropriate resources.
12. **1.5.1b – Increase the number of uninsured vehicles seized and unlicensed drivers apprehended compared to 2012-13.** At the end of the

second quarter the Force had recorded 216 unlicensed and uninsured seizures compared to 264 at the same point last year. Specific operations are being planned for weekends (when more resources, including use of Special Constables, will be able to be applied to the situation), which is also when there are usually more ANPR activations. Special arrangements are being made with the Motor Insurance Bureau to co-ordinate activity to facilitate insurance checks being made. The Force is confident that with the additional work this target will be met.

13. **1.6.1a – To ensure that at least 90% of those reporting antisocial behaviour are satisfied with the service provided by the police.** At the time this report was prepared, the Force had not received the quarter two survey results. At the end of the first quarter, the Force had achieved this target.
14. **1.7.1a –To ensure that at least 85% of the City’s street population surveyed consider the police in the City of London are doing a good or excellent job.** At the time this report was prepared, the Force had not received the quarter two survey results. At the end of the first quarter, the Force had achieved this target.
15. **To ensure at least 90% of victims of crime are satisfied with the service provided by the police.** Whilst the second quarter’s survey results have not yet been received by the Force, this target has been graded RED and not WHITE because the 82.7% recorded at the end of the first quarter was so low that to achieve the target by the end of the year the Force will need to achieve a level of 93% or more over the remaining three quarters. Whilst that level might be achieved for one quarter, it is very unlikely that it will be achieved for all three; it is therefore in reality, unlikely the Force will meet this target by the end of the year.
16. Victims cite the principal reason for dissatisfaction is not being kept informed about what is happening with their case. Remedial action has been taken, and detailed feedback provided by victims is provided to Directorate Heads to enable them to take the necessary action to improve future performance. Additionally, an article has been broadcast on the Force’s ‘City Net’ front page highlighting to officers the importance of follow up action from the victim’s perspective and how this can impact on how the Force is perceived.
17. In addition to this, the Force is exploring the possibility of having a dedicated ‘victims champion’ within Criminal Justice who will be a dedicated resource to take on victim satisfaction issues. There is also a

further piece of work being undertaken to contact every victim by phone that has completed the survey and stated they are dissatisfied, to actually have a conversation with them about why they felt dissatisfied. Lastly, the Force has commissioned consultants to fully review the whole end to end process of crime investigation. The results of this review will be used to inform any future victim strategies.

Conclusion

18. At the end of the second quarter the Force had made some good progress against the majority of policing plan targets. The two areas of concern where the targets might not be met are to reduce victim-based violent crime (although there will be a sustained effort to achieve this target) and the victim of crime satisfaction level, which is unlikely to be achieved.

Background Papers:

- **Appendix “A” Performance Summary (non-public)**

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Agenda Item 5

Committee: Police: Performance and Resource Management Sub Committee	Date: 15 th November 2013
Subject: HMIC Stop and Search Inspection	Public
Report of: Commissioner of Police Pol 53/13	For Information

Summary

Between October 2012 and April 2013, Her Majesties Inspectorate of Constabulary (HMIC) conducted a national inspection of all 43 police forces in England and Wales in Stop and Search. The inspection was entitled 'Stop and Search Powers: Are the police using them effectively and fairly?' The inspection methodology took the format of interviews with staff, examination of documentary evidence and focus groups to triangulate findings.

Members may recall that the Force underwent a 'Next Steps' Inspection on Stop and Search, conducted by the National Policing Improvement Agency (NPIA) in November 2012 which was reported to your committee in February 2013. The findings from this inspection were positive for the Force.

The national thematic inspection resulted in 10 recommendations being made including areas such as defining stop and search, monitoring compliance, complaints process and also training. The report details the recommendations and shows the current Force position against each recommendation.

Additionally, for the actual City of London Police Inspection a number of observations were made by the HMIC in relation to specific issues including provision of data, monitoring and community impact and consultation. Again the observations are listed in the main report with a current Force position. This essentially gives a baseline position from which to work.

A draft action plan has been drawn up to address both the national recommendations and the observations made when the Force was inspected. This is being monitored by the Stop and Search Working Party and the Force's PMG. Further reports on progress will be submitted to your Sub -Committee in the future

to monitor progress.

Recommendations

It is recommended that the report be received and its contents noted.

Main Report

Background

1. Between October 2012 and April 2013, Her Majesties Inspectorate of Constabulary (HMIC) conducted a national inspection of all 43 police forces in England and Wales in Stop and Search. The inspection was entitled 'Stop and Search Powers: Are the police using them effectively and fairly?'¹
2. The objectives for this inspection were:
 - to determine how effectively and fairly the police service is using the powers of stop and search in the fight against crime;
 - to establish whether operational police officers know how to use stop and search powers tactically as part of evidence-based practice to fight crime; and
 - to identify how the powers can be used in a way that builds the public's trust in the police, supporting the legitimacy of the service rather than eroding it.
3. There is no clear definition or agreed understanding of what constitutes an effective stop and search encounter. The statutory powers of stop and search are provided to assist police officers in the prevention and detection of crime, and to avoid unnecessary arrests in circumstances where a quick search on the street might confirm or eliminate an officer's suspicions.

Inspection Methodology

4. Nationally, five hundred senior managers were interviewed, including police officers of the rank of inspector and above, and

¹ <http://www.hmic.gov.uk/media/stop-and-search-powers-20130709.pdf>

focus groups were held with over five hundred and fifty operational constables and frontline supervisors.

5. To test what HMIC were told in these interviews, HMIC made unannounced visits to at least two police stations in each force area, and analysed their stop and search data at a local and national level. They also reviewed the policies, procedures and guidance documents relating to stop and search that were available to operational police officers.
6. HMIC also checked at least two hundred completed records from each police force to assess both their compliance with the Police and Criminal Evidence Act 1984 Code A² and whether sufficient grounds for conducting searches were recorded.
7. Of the 8,783 stop and search records examined nationally 27% did not include sufficient grounds to justify the lawful use of the power. The corresponding figure for the CoLP, from a sample of 200 records, was 18%.
8. Members may recall that prior to this HMIC inspection, the Force had commissioned a 'Next Steps' Inspection of Stop & Search procedures by the National Police Improvement Agency (NPIA), now College of Policing, in November 2012. This was reported to your Committee in February 2013 (Pol 11/13 refers). This inspection broadly mirrored the inspection protocol of the HMIC. The 'Next Steps' findings were generally very positive for the Force.
9. This subsequent thematic inspection report of all 43 Forces makes ten specific recommendations. These are listed below with an update of the current position within the CoLP for each of the recommendations.

² https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/117594/pace-code-a-2011.pdf

National Recommendations

Recc No	Recommendation	CoLP position
1	Chief Constables and the College of Policing should establish in the stop and search Authorised Professional Practice document a clear specification of what constitutes the effective and fair exercise of stop and search powers, and guidance in that respect. This should be compliant with the code of practice.	Awaits guidance from Chief Constables Council and the College of Policing. Nothing in the feedback from either inspection from HMIC or NPIA gave cause for concern
2	Chief Constables should establish or improve monitoring of the way officers stop and search people, so that they can be satisfied their officers are acting in accordance with the law (including equality legislation and the code of practice), and that the power is used effectively to prevent crime, catch criminals and maintain public trust. This monitoring should, in particular, enable police leaders to ensure officers have the reasonable grounds (and, where applicable, authorising officers have the reasonable belief) required by law to justify each stop and search encounter.	Both inspections found that supervision of stop & search was carried out by first line supervisors and was an ongoing process. There is continuing work, through the Organisational Learning Forum to ascertain any issues connected with individual stops, and any subsequent learning and dissemination of this learning to the relevant staff.
3	Chief Constables should ensure that officers carrying out stop and search encounters are supervised so that they can be confident that the law is being complied with and that the power is being used fairly and effectively. Particular attention should be given to compliance with the code of practice and equality legislation.	This is covered at point 2.
4	The College of Policing should work with Chief Constables to design national training requirements to improve officers': understanding of the legal basis for their use of stop and search powers; skills in establishing and recording the necessary reasonable grounds for suspicion; knowledge of how best to use the powers to prevent and detect crime; and understanding of the impact that stop and search encounters can have on community confidence and trust in the police. Specific training should also be tailored to the supervisors and leaders of those carrying out stops and searches.	Awaiting feedback from the College. The NPIA inspection identified Stop & Search training delivered to new recruits, both regular & special constables, by the CoLP as good practice. This training includes an input by a community representative who is a published commentator on the subject.
5	Chief Constables should ensure that officers and supervisors who need this training are required to complete it, and that their understanding of what they learn is tested.	This requires further work to establish any learning needs in addition to those training products currently being delivered (see recommendation 6).
6	Chief Constables should ensure that relevant intelligence gleaned from stop and search encounters is gathered, promptly placed on their force intelligence systems, and analysed to assist the broader crime fighting effort.	Recording of Stop & Search encounters have been recorded on the Force UNIFI Intelligence System since August 2013. This was actioned with the specific purpose to capture stop & search

		<p>data, in quick time, to inform ongoing police operations in order to counter criminality. This recording is being further refined with briefings, being delivered over next 3 months, to operational officers to address emerging data input issues.</p>
7	<p>Chief Constables should, in consultation with elected local policing bodies, ensure that they comply with the code of practice by explaining to the public the way stop and search powers are used in their areas and by making arrangements for stop and search records to be scrutinised by community representatives. This should be done in a way that involves those people who are stopped and searched, for example, young people.</p>	<p>A Stop & Search Community Scrutiny Group is being formed. The formation of the group has been delayed to enable young persons from the Mansell Street estate to be identified and invited. The initial meeting is scheduled for mid November. Part of the Group's remit will be to critically examine anonymised Stop & Search records (Form 386).</p>
8	<p>Chief Constables should ensure that those people who are dissatisfied with the way they are treated during stop and search encounters can report this to the force and have their views considered and, if they wish, make a formal complaint quickly and easily. This should include gathering information about dissatisfaction reported to other agencies.</p>	<p>Historically and currently, there have been a low number of complaints connected to the use of Stop & Search within the City (7 since January 2013). These complaints are closely supervised by PSD and there are no trends identified from those complaints. Customer Satisfaction Surveys are sent to those making complaints to the CoLP. In addition surveys have been sent to residents and the business community to establish their confidence in the CoLP complaints system including why they may not have made a complaint against police in the past.</p>
9	<p>Chief Constables should introduce a nationally agreed form (paper or electronic) for the recording of stop and search encounters, in accordance with the code of practice.</p>	<p>The Force awaits recommendations from Chief Constables' Council.</p>
10	<p>Chief Constables should work with their elected local policing bodies to find a way of better using technology to record relevant information about stop and search encounters, which complies with the law and reveals how effectively and fairly the power is being used.</p>	<p>Technological solutions are being scoped to enable Airwave to record encounters, this will mirror the system used by Greater Manchester Police. At the present time this is expensive and is most likely to be achieved when mobile devices are rolled out to front line staff.</p>

Force Inspection

10. In addition to the outcomes from the National Thematic Inspection, feedback contained in the CoLP Force inspection report contained the following observations. As before, the current position within the CoLP is added after each observation.

No	Observation	CoLP position
1	Statistical data could be provided to police committee on an agreed regular basis	Data is already supplied to CoLP Performance Management Group (PMG) on a quarterly basis and can be reported to the relevant member at update meetings
2	Publish a force definition of an effective outcome from the use of stop and search powers.”	This awaits national guidance (see recommendation 1) and subsequent work by the Force Stop & Search Working Party. However, stop & searches resulting in an arrest are already monitored and reported at the Force PMG
3	To monitor and analyse the effectiveness of the use of the power.	See 8 above
4	To analyse or review for effectiveness, fairness or impact upon the community	This will be standing item at the Stop & Search Community Scrutiny Group.
5	To analyse the effects of the use of stop and search powers on recorded and detected crime, including mapping of searches against crimes.	The Force Intelligence Bureau has been asked to consider tracking all individuals that have been stopped and searched in order that any recidivism can be monitored in relation to future offending patterns. This applies rigour to the process by following evidence based management and gives an indication as to which interventions work best to prevent crime
6	To conduct public surveys seeking the views of people subjected to stop and search by the force.	This requires further work to be directed by the Force Stop & Search Working Party with a view to using the same mechanisms currently used by the Force for satisfaction surveys. Surveys will be conducted with sufficient rigour to ensure that sufficient samples will lead to statistically significant results; this links to point 16, tracking of those stopped.
7	To conduct force audits to assess the fair and effective use of stop and search.	This has commenced. No untoward trends have been identified.

8	To ensure all records contain sufficient information to support reasonable grounds.	This is linked to the above. Any trends will be fed into the OLF to inform any future training requirement. All Stop & Search records are countersigned by the officer's supervisor
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11. This report is intended to give Members an overview of the national Stop and Search Inspection and the local Force Inspection. A draft action plan has been drawn up to address both the formal recommendations from the National Thematic inspection and the observations from the Force inspection. This will be subject to periodic review by the Force Stop and Search Working Party and quarterly updates to the Force's PMG meeting. This essentially gives a baseline for the Force from which to work. Further updates to your Sub Committee will also follow.

Conclusion

12. The HMIC inspection was mostly very positive and follows on from the positive feedback given by the NPIA as a result of their 'Next Steps' inspection in 2012. The HMIC have indicated that they will revisit this area of business in the next 18 months to assess progress made against the national recommendations.

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Agenda Item 6

Committee: Police: Performance and Resource Management Sub Committee	Date: 15 th November 2013
Subject: HMIC Inspections (Update)	Public
Report of: Commissioner of Police POL 54/13	For Information
<p style="text-align: center;"><u>Summary</u></p> <p>On 8th February 2013 Members at your Police Performance and Resource Management Sub Committee requested an update on the City of London Police response to HMIC inspection reports for the financial year 2012/13. In order to track the progress made subsequent meetings in May and September 2013 have received updates on the progress of these reports</p> <p>This report highlights progress on:</p> <ul style="list-style-type: none">• Custody Inspection Recommendations- there are two actions that still remain outstanding, which are reliant upon the progress associated with the National Health Service (NHS) Custody Healthcare service• Integrity Inspection Recommendations- there are two actions still outstanding which relate to the development of software solutions for auditing / monitoring integrity. <p>Outstanding actions from the plans are attached (Appendix A)</p> <p>Recommendations It is recommended that Members note the contents of this report.</p>	

Main Report

Background

1. On 8th February 2013 Members at your Police Performance and Resource Management Sub Committee requested an update on the City of London Police response to HMIC inspection reports for the financial year 2012/13. In order to track the progress made subsequent meetings in May and September 2013 have received updates on the progress of these reports.

Current Position

Custody

2. Between 18th and 20th June 2012 HM Inspectorate of Prisons and HM Inspectorate of Constabulary conducted an unannounced inspection of the Force's custody suites at Snow Hill and Bishopsgate Police Stations.
3. An improvement plan based on the report's recommendations was immediately developed to address areas for improvement, which contained thirty seven actions. To date, two actions remain outstanding, and these actions are dependent upon the development of the partnership with the National Health Service for a custody healthcare service. This is a national project and it has suffered from many delays, it is envisaged that this programme will take effect from April 2014. In order to address some of the issues around infection control the Force Custody Manager has developed an Infection Control Action Plan, in consultation with G4S. Several of the areas for action will be resolved now, without awaiting the completion of the commissioning process. In October 2013 HMIC visited the force to review our action plan and were satisfied with the progress made and will not be revisiting in relation to the existing plan.
4. Responsibility for Custody sits with Commander Wayne Chance, ACPO Operations, who maintains oversight and governance of the work carried out in this area by the Uniformed Policing Directorate. The Chief Inspector Uniformed Operations is the chair of the Custody User Group (CUG) and has responsibility for progressing recommendations and reporting progress through Performance Management Group and Organisational Learning Forum which are both chaired by the Assistant Commissioner. Performance in this area is also scrutinised at Directorate level by the Directorate Commander through the Uniformed Policing Directorate Business Plan.

Integrity

5. In 2011 HMIC published a thematic report entitled 'Without Fear or Favour – A review of police relationships' which looked at the system of controls that seek to prevent and tackle relationships that create a conflict of interest and therefore a risk to police impartiality. In other words, police relationships that could lead to the public not being treated fairly by the police. The review included relations with the media, disclosure of

information, hospitality, gratuities, procurement, contracts and business interests.

6. Responsibility for Integrity sits with the Assistant Commissioner who is the Force lead for Professional Standards and maintains oversight and governance of the work carried out in this area. The Head of Professional Standards Directorate chairs the Professional Standards Directorate Working Group which has responsibility for progressing HMIC recommendations. The Integrity Action Plan had seventy one actions; two currently remain outstanding and will not meet the proposed completion date of November the 1st as outlined in the previous plan. These are both in relation to developing a software solution for auditing and monitoring integrity and this is largely dependent on other areas of business of the Force. The scope of this piece of work has now broadened out to include other areas of the Force that use IBM covert systems rather than being done in isolation. A new business case is being drawn together and a new bid to the Resource Allocation Board (RAB) will be submitted in due course. The aspirational date for completion of this is April 2014. Manual monthly review of systems is in place in order to bridge the gap in developing a technical solution .In addition the Integrity Standards Board has been convened to provide scrutiny on integrity matters and is working closely with the College of Policing in developing this area of work.

Conclusion

7. This report identifies the progress made on the two HMIC inspections conducted during this reporting period (2012/13). The outstanding areas will continue to be addressed by the monitoring of the Directorate action plans.

Background Papers:

HMIC-ASB-A Step in the Right Direction POL 46/12

HMIC-Integrity Re-Inspection POL 66/12

HMIC- Custody POL 79/12

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OUTSTANDING ACTIONS FROM HMIC INSPECTIONS**CUSTODY****35 Actions Completed****2 Amber Actions**

HMIC Recommendation	Action taken	Commentary	Status/ Completion date	Action Owner
All clinical rooms should be fit for purpose and meet infection control guidelines.	Custody manager to monitor progress of NHS Commissioning. Improvement action plan to be discussed with General Services Director	The custody manager is monitoring advice and guidance coming from the on-going NHS Custody Healthcare Commissioning Project. In the interim, an Infection Control Action Plan has been developed and the Custody Manager, in discussion with G4S, is defining the areas of responsibility. Several of the areas for action will be resolved now, without awaiting the completion of the commissioning process.	Reviewed October 2013 with HMIC – for review January 2014.	Custody Manager
There should be a mental health liaison and/or diversion scheme to enable detainees with mental health problems to be identified and diverted in to appropriate mental health services as required.	Mental health liaison and diversion scheme to be developed and integrated into custody procedures.	This action now forms part of the NHS Custody Healthcare Commissioning Project and is a standing item at the London Liaison and Diversion Commissioning Group, which has a police representative. The group is working towards an integrated solution for diversion from the CJS.	Reviewed October 2013 with HMIC – for review January 2014.	Custody Manager

Appendix A- Pol /13
INTEGRITY

69 Actions Completed

2 Amber Actions

Self Assessment Question	Action taken	Commentary	Status/ Completion Date	
Is there sufficient covert auditing capability within the anti-corruption unit and is this supported by adequate IT?	HoPSD to ensure all force systems can be accessed covertly by Counter Corruption Unit (CCU). Various software products that are being used by other PSD's are being scoped by the CCU. This is also now part of a larger piece of work around updating IBM systems which are used in other areas of the force for covert monitoring and so the scope of the project has broadened out.	Manual monthly review of systems is in place. The Integrity Standards Board has been convened to provide scrutiny. The scope of this piece of work has now broadened and a new business case is being drawn together by a number of departments. A further bid will be submitted to RAB in due course.	April 2014	Head of PSD
Does the organisation have appropriate capacity and capability to effectively monitor and audit all its information systems, and practice an evidenced risk-based approach?	Ongoing project to identify and install appropriate monitoring software. it was agreed the Force would engage consultants to assist it to identify 'information asset' owners. This is also now part of a larger piece of work around updating IBM systems which are used in other areas of the force for covert monitoring and so the scope of the project has broadened out.	Force Information Manager is advising on the requirements. The scope of this piece of work has now broadened and a new business case is being drawn together by a number of departments. A further bid will be submitted to RAB in due course.	April 2014	Senior Information Risk Owner

Committee:	Date:
Police: Performance and Resource Management Sub Committee	15 th November 2013
Subject: Human Resources - Monitoring Information April 2013 – September 2013	Public
Report of: Commissioner of Police POL 55/13	For Information

SUMMARY

This report sets out the Force's Human Resources monitoring data for the six month period from 1 April 2013 to 30 September 2013. The data is presented in the format previously agreed by the Committee.

The data in the report includes information on:

- Force strength - which is currently 752 (rounded FTE) Police Officers and 385 (rounded FTC) Police Staff (including PCSO's).
- Joiners and leavers - 5 Police Officers joined the Force during this period and 26 left. There have been 19 new Police Staff joiners, and 21 leavers.
- Ethnicity - The proportion of regular officers from an ethnic minority in the Force is 5.9%.
- Sickness - average working days lost are for Police Staff 7.6 days and for Police Officers 5.2 days
- Grievances - 7 separate grievance cases, submitted by 1 Police Officer and 6 Police Staff.
- ETs – 4 received during the reporting period.

RECOMMENDATION

It is recommended that:

Members note the contents of this report.

BACKGROUND

1. It has been agreed that Human Resources would provide a performance monitoring report every six months. This report provides information for the reporting period between 1 April 2013 and 30 September 2013.

WORK FORCE MANAGEMENT

2. The City of London Police currently has an overall strength of 752 (rounded FTE) Police Officers, against an establishment model of 730.5. The establishment is based on the 'City First' model which was implemented on the 1st April 2013; however there have been a number of agreed changes since 'go live', due to new units established as a result of additional funding streams received, which has increased the overall establishment figure since 1st April 2013. As previously reported to your Sub Committee there are limited options for reducing Police Officer numbers, and as a Force, we continue to manage Police Officer numbers down to strength over a planned three year period in a manageable way using natural wastage, the three year period being 2012 to 2015. All vacancies are managed via a Budgeted Post Board which is chaired by the Assistant Commissioner and oversees all workforce planning activity within the Force and reviews the model to ensure that we continue to operate and reduce the number of staff in line with the Medium Term Financial Plan (MTFP).
3. The strength of Police Staff is currently 385 (rounded FTE) against an establishment model for City First of 446.7. These figures are inclusive of Police Community Support Officer's (PCSO) and staff on current Fixed-term contracts. However this figure excludes agency workers (of which there are 66) who are principally employed to deliver time limited work, projects and transitional arrangements to the new structure

Rounded FTE		31 March 2011	31 March 2012	1 April 2013	1 October 2013
Officers	Establishment	878	886	712.5	730.5
	Strength	872	822	775	752
Staff	Establishment	417	412	422.5	446.7
	Strength	337	330	394	385
PCSO's (included in the Staff numbers)	Establishment	52	52	16	16
	Strength	44	38	16	15.48
Specials	Establishment	100	100	100	100
	Strength	84	99	89	74
Volunteers	Strength	4	24	25	16

4. The Force is actively recruiting Special Constables during 2014, given that current strength falls below our target establishment.

LEAVERS

5. During the reporting period, 26 Police Officers, 7 Special Constables and 21 Support Staff left the City of London Police. The breakdown of reasons for leaving the Force is provided in the tables below for each staff group.

Police Officers

Reason for leaving CoLP	2012 /13	2013/14
Death in service	0	0
Dismissed	1	0
Medical Retirement	0	2
Retirement	37	14
Transfer	5	4
Resignation	7	6
Total	50	26

Special Constabulary

Reason for leaving CoLP	2012/13	2013 /14
Death in service	0	1
Resignation	9	5
Joined Regulars	1*	0
Dismissal	0	1
Total	10	7

*Joined another force

Support Staff

Reason for leaving CoLP	2012/13	2013 /14
Death in service	0	0
Dismissed	1	3
Medical Retirement	1	0
Retirement	11	3
Transfer	1	0
Resignation (inc end of contract)	43	15
(To join the Police Service, not CoLP)	1	0
Total	58	21

RECRUITMENT

6. The City of London Police has run 55 recruitment campaigns aimed at recruiting to vacant posts for Police Officers, and 50 recruitment campaigns aimed at recruiting to vacant posts for Police Staff.
7. It is important to note that the numbers of campaigns run, against the number of Police Staff and Police Officers recruited to post will differ as a result of individuals failing to pass the 'vetting' process. As a result further recruitment campaigns are required.

Police Officer recruitment

8. Five Police Officers were recruited during the period (recruited into specialist posts), all of whom were transferees; no Special Constables were appointed during this period.

Support Staff recruitment

9. Nineteen individuals have been appointed during this period.

EQUALITY & DIVERSITY ELEMENTS

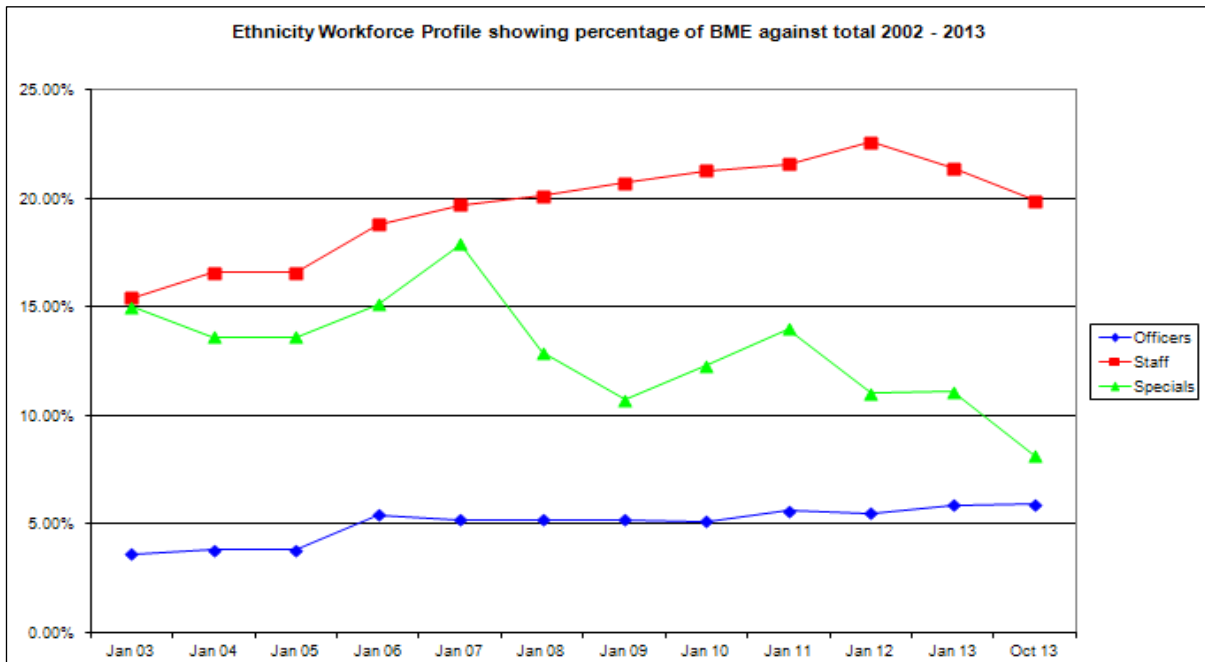
Ethnicity

10. During the previous 12 months there has been a small increase in the percentage of Black and Minority Ethnic (BME) Police Officer numbers. However on closer examination of the data, it is evident that the increase is as a result of the reduction in the numbers of Police Officers identified as 'white' as opposed to an increase in the numbers of Police Officers identified as

'BME'. The Force continues to work to increase the numbers of BME Police Officers as part of its ongoing recruitment initiatives

How the workforce has changed over the last 10 years...

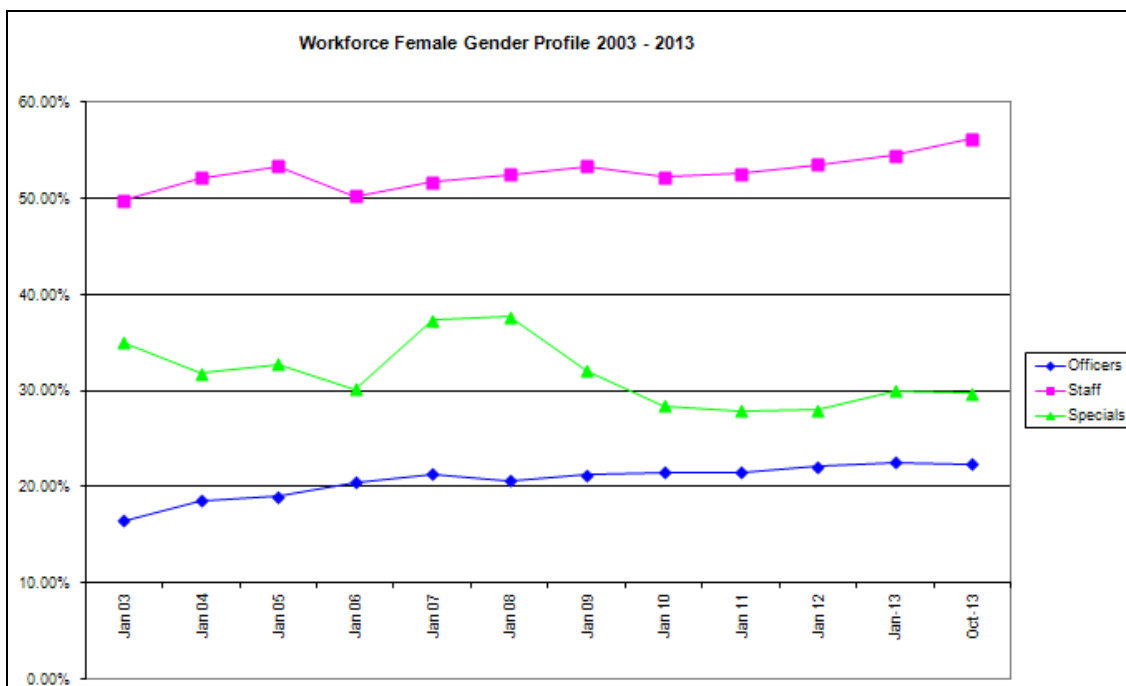
11. The graph below identifies the percentage changes over the last 10 years, of the proportion of BME staff in the City of London Police, against the total workforce. It is identified that in the case of Police Staff the percentage of people identified as BME has decreased slightly from 22.6% to 19.9% (Jan 2012 – Oct 2013). In the case of Special Constables there is little change between Jan 2012 (11%) and Jan 2013 (11.11%). However there has been a significant decrease to 8.11% between January 2013 and October 2013 due to a number of Special Constables leaving the force (the reasons for leaving identified earlier in this report). In the case of Police Officers, there has been slow growth in percentage terms from 3.6% in 2003 to 5.91% in 2013. Future growth will be affected by the recruitment of Student Officers, planned for 2014



Gender

12. During the 10 years 2003 - 2013 the percentage of female officers has steadily grown to 22%. Support staff female representation is 56.2%.

13. The graph below shows the percentage change, over the last 10 years, of the proportion of females against the total workforce. It can be seen that in the case of staff, the percentage of females has remained over 50%. In the case of Specials the percentage has fluctuated around $\pm 30\%$ but that should be seen against a steady growth in Special Constables from around 50 in 2003/04 to 100 in 2012. In the case of officers there has been gradual growth in percentage terms from 16.5% in 2003 to 22.5% in 2013.



Disability

14. There are currently 32 Police Officers, 23 Police Staff, 3 Special Constables and 1 Volunteer who identify themselves as having a disability.
15. Currently 40 officers and 13 staff are working under either 'recuperative' or 'restricted' duties. Restricted duties do not indicate disability as they are usually advised as a temporary solution following consultation with the Occupational Health Service to assist staff to return to work following injury or illness. All restricted and recuperative duties are regularly reviewed and managed as part of sickness absence management.

Sexual Orientation

16. All Police Officers and Police Staff are invited to define their sexual orientation on application to the City of London Police. Across the workforce 21 staff have identified themselves as Lesbian, Gay, Bisexual or Transgender (LGBT). However, many staff choose not to answer this question.

Age

17. The age profile of Police Staff ranges between 20 and 60+. There are two staff members aged over 65 and 18 staff members who are aged between 60 and 65. Special Constables' ages range from 21 to 65.
18. The age profile of Police Officers spans between 23 and 59 years. There are 15 Officers between the ages of 56 and 59.

Religion and Belief

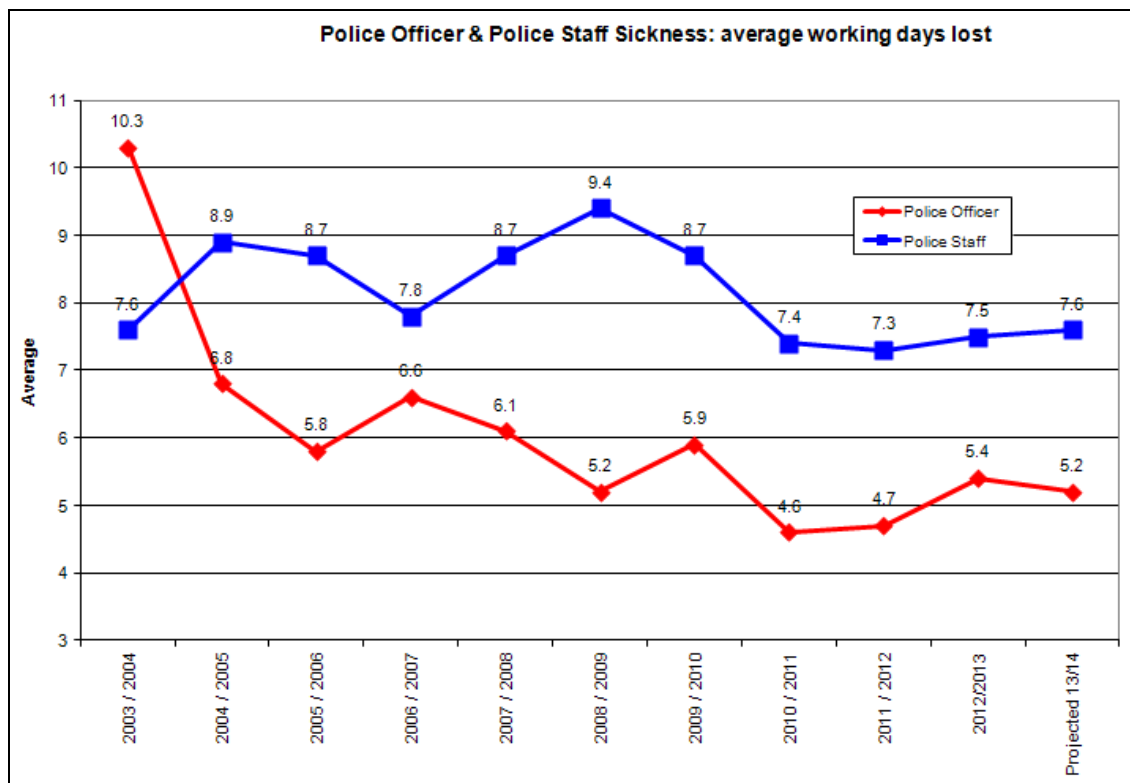
19. Currently 35.6% of the workforce identifies themselves as Christian, 2.8% as Muslim, 2.7% as 'another religion or belief' and 24.1% as having no religion or belief with the remaining 34.9% not disclosing a religion or belief.

SICKNESS ABSENCE MANAGEMENT

20. The Home Office and Her Majesties Inspectorate of Constabulary (HMIC) monitor sickness absence by working hours lost against "available working hours". During the period under review, working hours lost were 17,302 for officers and 11,453 for police staff. In percentage terms, (working time lost / Contracted Hours available) this is 2.57% for police officers and 3.81% for police staff.
21. However, the City of London and other organisations use working days lost as a comparator. The average working days lost for officers is 5.2 against a target of 6 and staff 7.6 against a target of 7. Excluding long term sickness the average is reduced to 2.6 and 3.3 respectively. It should be noted that there were particular circumstances that contributed to the final figure of 7.5 for support staff last financial year, those being natural uncertainty around changes brought in by City First, (although a number of support mechanisms were in place) and

a number of teams running below strength. In addition, the group of staff most affected by the changes brought about by the City First model were PCSOs, who experienced a high level of sickness.

22. Support is provided to managers on dealing effectively with Sickness Absence Management, with a training programme being delivered to all managers during October and November 2013.



23. 50% (1,003 days) of Police Officer sickness and 57% (867 days) of Police Staff sickness is 'long-term'.

GRIEVANCES

24. During the reporting period a total of 7 grievances have been raised which consisted of 6 grievances from Police Staff and 1 grievance from a Police Officer.
25. The City of London Police have received four Employment Tribunal claims within the reporting period which relate to claims of race discrimination and / or disability discrimination which are currently being actively managed with the

Comptroller and City Solicitors and are currently awaiting 'Case Management Discussion' meetings.

RECOMMENDATIONS

26. Members are asked to note the contents of this report.

CONCLUSION

27. The City of London Police continues to actively manage its workforce. Officer numbers continue to be monitored and are reducing to the City First model establishment in line with plans within the Medium Term Financial Plan. There is a significant amount of recruitment being undertaken, particularly for police support staff to fill vacant established posts permanently to create a more stable workforce and reduce the use of agency staff that will, going forward, only be utilised to meet time limited projects and areas of extraordinary need. Where 'areas of concern' have been noted, such as levels of support staff sickness, work is actively being undertaken around improved training for line managers. In addition, future planned recruitment for student officers will help to improve the direction of travel for the diversity mix of Officers.

Background Documents:

HR Monitoring Information data
Home Office Guidance
Equality and Diversity Information 1st October 2013

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Agenda Item 8

Committee:	Date:
Police Performance and Resources Sub-Committee	15 th November 2013
Subject: Internal Audit Update Report	Public
Report of: Chamberlain	For Information

Summary

This report is six monthly update to your sub-committee and includes details of internal audit reviews undertaken between April and October 2013, as well as further information on the progress being made in the completion of the 2013/14 Internal Audit Plan (Appendix 1).

Good progress is being made in the completion of the 2013/14 Internal Audit plan. Six spot check reviews out of seven planned have been completed between 1st April and the 31st August 2013: Property & Front Offices; Travel Expenses; Pre-employment Screening; Recruitment (Control Self-Assessment) (CSA) exercise; Police Officers' Allowances and Ad Hoc Payments; and Procurement Processes (paragraphs 2 to 10). In addition, three planned full reviews have been progressed to fieldwork stage: City First Project – Outcomes; City Police Assurance Mapping Exercise; and Compensation Claims (paragraphs 11 to 13).

Internal audit work to date has established that satisfactory controls are in place for the areas that have been examined, although there are a number of minor weaknesses.

Property & Front Offices: an absence of checking and certifying banking reconciliations at Snow Hill and Wood Street Police Stations; and delay in banking of income at Bernard Morgan House.

Travel Expenses: nationally agreed overseas travel expense currency conversion rates ("K-rates") have not been consistently retained in support of claims; police officers are not always completing the correct form when returning from overseas trips.

Pre-employment Screening and Recruitment: copies of letters inviting candidates to interview for job posts are not always retained on personnel files.

Procurement Processes: Evidence of quotations received for the procurement of goods and services are not always retained.

Agreeing implementation date for the recommendations arising from these reviews has been delayed because of the absence of the Director of Corporate Support. Now that he has returned to work, this will be completed by 11th November and an update will be provided to your sub-committee.

Recommendation

Members are asked to note the work that internal audit have undertaken, the plans for the current year and offer any observations on the work to be done.

Main Report

Background

1. The previous update report presented to your sub-committee in May 2013 included details of the outcome of those internal audit reviews finalised during the period 1st April 2012 to 31st March 2013. It also included details of the 2013/14 Internal Audit Plan This report includes a summary of the status of these reviews (Appendix 1), and summaries in respect of completed reviews for this financial year to date.

Internal Audit Plan 2013/14 – Progression to date

2. Good progress is being made in completing the 2013/14 Internal Audit Plan. Work related to the City Police has been prioritised with the completion of six spot checks in the first six months of the year. In addition, three of the six full audit reviews are currently at fieldwork stage. Details of the work completed to date and reviews currently at fieldwork stage are included below.

Summary of Audit reviews

Property & Front Offices (4 days)

Recommendations	Red	Amber	Green	Total
Frequency of banking	0	0	1	1
Division of duties	0	0	1	1
Total	0	0	2	2
Accepted	0	0	2	2

3. For a sample of transactions reviewed, there were satisfactory controls. There were some minor weaknesses in controls over the certification of weekly reconciliations at Snow Hill and the promptness of banking and division of duties at Bernard Morgan House.

Travel Expenses (5 days)

Recommendations	Red	Amber	Green	Total
Overseas Expenses	0	0	2	2
Total	0	0	2	2
Accepted	0	0	2	2

4. Internal controls over travel and subsistence claims for business travel within the UK are robust and there is compliance with Standard Operating Procedures (SOPs).
5. Controls over overseas travel and subsistence claims are generally adequate except for a weakness in the audit trail with regard to the absence of some business cases submitted to the Finance Administration Section to support the legitimacy of overseas travel claims.
6. There is a minor weakness in the provision of currency exchange rate details (HMRC “K-rates”) to support claims for hotel expenses. Also, officers are not always completing the relevant Form 186 (b) after returning from overseas trips, which should be submitted, together with any unspent currency. In addition, the Finance Administration Section are not following up cases to ensure that the form is returned fully completed within 14 days after return flights, in accordance with Statements of Operational Procedures (SOPS).

Pre-Employment Screening (5 days) 

7. An examination of the personnel files for a sample of ten staff appointed in the period between 1st June 2012 and 18th June 2013 identified that they were properly vetted in accordance with HR policies. The vast majority of appointments in this period were civilian staff (69 out of 76 appointments). In each case, staff were appropriately vetted and cleared through the Force’s Vetting Officer in accordance with documented procedures. There were no recommendations as a consequence of this review.

Recruitment (including control self-assessment (CSA)) (3 days) 

Recommendations	Red	Amber	Green	Total
Maintenance of Personnel Files	0	0	1	1
Total	0	0	1	1
Accepted	0	0	1	1

8. Generally, controls surrounding the recruitment staff prior to employment are operating satisfactorily. There are, however, weaknesses with regard to the maintenance of some documentation. Copies of letters inviting applicants for formal interview, as well as those confirming the appointment of job posts, were not available, or were missing from personnel files.

Police Officers’ Allowances and Ad Hoc Payments (5 days) 

9. For a sample of allowances and payments, audit testing identified that allowances and ad-hoc payments made to police officers are being properly applied and authorised appropriately in accordance with Police Orders and Police Regulations 2003. There were no recommendations as a consequence of this review.

City Police Procurement (5 days)

Recommendations	Red	Amber	Green	Total
Evidence of quotations	0	0	1	1
Total	0	0	1	1
Accepted	0	0	1	1

10. Generally, controls over the procurement are operating satisfactorily, and in accordance with Financial Regulations. Sample testing established that quotations are sought for services valued in excess of £5,000, although in one of the cases examined as part of sample testing, written quotations were not retained.

City First Project (5 days) (current status: fieldwork in progress)

11. A number of meetings were held with City Police staff over the summer in order to establish the scope for this review. The basis of the scope has now been agreed to deliver an independent assurance by Internal Audit of the accuracy of the High Level Evaluation Results which the Commissioner plans to report to the Police Committee in December 2013. This is being achieved by reference to data from iTrent (in respect of staffing numbers), CBIS budget reports, together with the Chamberlain's Financial Services staff comments (in respect of budget savings) and fleet records (in respect of reductions in fleet numbers). It is anticipated that this work will be fully completed by 30th November 2013 with a view to including the results in the December Police Committee report on City First outcomes.

Assurance Mapping Exercise (5 days) (current status: fieldwork in progress)

12. The information required in order to perform this exercise has now been obtained (31st October 2013). This includes details of critical business systems; due diligence activities; strategic risks; and emerging risks. The current stage is examining the management activity; corporate and third party functions; and Internal Audit work related to these areas. Any gaps in coverage will be identified and recommendations made accordingly.

Police Compensation Claims (20 days) (current status: fieldwork delayed)

13. The terms of reference for this review have been agreed and testing schedules planned. Due to a major special investigation relating to another Department, resources were diverted from this review resulting in the fieldwork being delayed. That investigation is now drawing to a close and it is anticipated that work will resume on this review at the beginning of November 2013.

Implementation of Audit Recommendations

14. There are no outstanding unimplemented recommendations related to internal audit reviews prior to this financial year. Due to the sickness absence of the Director of Corporate Support, it has not been possible, at the time of preparing this report, to agree the implementation dates for Internal Audit Recommendations in respect of the internal audit work 2013/14 detailed above. Now that the Director has returned to work, 11th November and an update will be provided to your sub-committee.

Conclusion

15. Good progress is being made in completing the 2013/14 Internal Audit Plan. Whilst a number of recommendation have been made to date (six GREEN priority rated in total), no significant control weaknesses have been identified to date.

Background Papers

Appendix 1 Internal Audit Plan Status Report 2013/14

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Schedule of Internal Audit Projects 2013/14

Full Reviews				Recommendations			
Project	Planned Days	Planned Completion Date	Current Stage	Total Red	Total Amber	Total Green	Total
<p>CITY FIRST PROJECT</p> <p>The major review of the Force was completed in March 2013. An internal audit review of the on-going project work was undertaken during 2012/13. This review will look at the outcomes of the City First Project, including lessons learned and initial compliance to the revised Force structure as this is bedded in.</p>	5	30 th November 2013	Fieldwork				
<p>POLICE PROJECT OFFICE</p> <p>This review has been requested by Assistant Commissioner Ian Dyson to examine the work of the Project Office, its processes, compliance with relevant City regulations, and how the office's activities interface with the City Corporations overall capital works programme.</p>	10	31 st December 2013	Planning				

Full Reviews				Recommendations			
Project	Planned Days	Planned Completion Date	Current Stage	Total Red	Total Amber	Total Green	Total
<p>ASSURANCE MAPPING EXERCISE In order to provide Members with details of how the risks City's departments and the City Police face are mitigated, and to identify areas where limited internal audit resources need to be targeted, a programme of assurance mapping exercises will, therefore, be undertaken.</p>	5	30 th November 2013	Fieldwork				
<p>POLICE COMPENSATION CLAIMS During the course of police operations there are inevitable incidents where innocent parties are inadvertently affected by police activity. The management of claims made against the Police including arrangements to mitigate the risk of claims being made will be examined.</p>	20	31 st December 2013	Fieldwork				
<p>THIRD PARTY PAYMENTS The City Police procure a range of services from external organisations in support of their operations; this expenditure includes consultancy work. This review will include an analysis of the categories of payments and determine compliance with the City's Financial Regulations. It will also examine budgetary control and establish the justification for making expenditure of this nature.</p>	15	31 st December 2013	Terms of Reference Drafted	-	-	-	-

Full Reviews				Recommendations			
Project	Planned Days	Planned Completion Date	Current Stage	Total Red	Total Amber	Total Green	
FEES AND CHARGES The City Police generates income for operational and advisory activities where legislative powers to do so exist. This review will examine the processes, controls and security related to the collection, recording and banking of income. It will also consider the activity of the Force in seeking new income streams.	20	31 st March 2014	Not started	-	-	-	-
Spot Check Reviews							
Property & Front Offices	4	26 th June 2013	Completed	-	-	2	2
Procurement Processes	5	30 th September 2013	Completed	-	-	1	1
Police Performance Measures	3	31 st March 2014	Not started	-	-	-	-
Police Officers' Travel Expenses	5	25 th July 2013	Completed	-	-	2	2
Pre-Employment Screening	5	8 th August 2013	Completed	-	-	-	-
Recruitment CSA	3	8 th August 2013	Completed	-	-	1	1
Seized Goods	5	31 st March 2014	Not started				

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Committee: Police: Performance and Resource Management Sub Committee	Date: 15 th November 2013
Subject: City of London Police: Risk Register Update	Public
Report of: Commissioner of Police POL 52/13	For Information

Summary

The Force Strategic Risk Register has been reviewed as part of the quarterly assurance process maintained within the Force with notable amendments to the register as follows:

- *SR 04: Underperforming as Lead Force for Economic Crime:* The financial aspects of this risk have been removed to formulate a specific risk within the risk register (SR 12)
- *SR 06: Failure to contain expenditure within agreed budgets:* This risk is formally closed within the register as it is considered business as usual but will remain monitored to take into account changed in the financial climate the Force may face in the long term future.
- *SR 07: Increased dissatisfaction with quality & delivery of service to community:* This risk was closed to reflect the business as usual aspect of this area and the continued assurance of the control levels having been Green for over a year within the document. However a decision was taken at SMB in September to re-open this risk for continued monitoring.
- *SR 08: Adverse Impact of Jubilee, Torch Relay, Olympic & Paralympics Policing on Force capability:* This risk is closed due to the successful implementation of the events it covered.
- *SR 09: Delivery of new Force Estate:* This risk remains un-assessed awaiting the implementation of the new Estate Programme.
- *SR 12: Loss of ECD external funding streams:* Added as a result around discussion concerning SR 04 to cover the bespoke financial risk the Force may hold around the provision

of Economic Crime services and capability.

- *SR 13: Department Staff Vacancies affecting ICT Business Continuity:* This is a new risk that picks up the current shortage of staff within ICT. Initially vacancies were created as the Force scoped moving to the ECIS consortium, now that this approach is not being taken a long term solution of ICT staff numbers and structure is being scoped but there remains some areas where staff numbers do not support the maintenance of services efficiently.
- *SR 14: IT Business Continuity:* This risk is monitoring the business continuity arrangements for Force critical systems that support the delivery of our policing plan priorities. This will allow the Force to identify areas of potential weakness so that management decisions can be made about the provision of IT resources based on the criticality of systems and the likelihood of an event making a system unavailable.
- *SR 15: Delivery of IAMM (Information Assurance Maturity Model):* This risk looks at the Force's ability to comply with the information Assurance Maturity Model. The group discussed this risk in detail and currently the full impact of non-compliance is being requested from Intelligence & Information to inform the overall risk position.
- *SR 16: Impact of CSR savings on Force Capability:* This risk was added as part of the review of the risk register at SMB. Despite delivering City first there remain long term financial challenges for the Force. This risk will pick up the impact of these challenges and the possible effect of capability once the full extent of the next round of CSR savings becomes clear.

RECOMMENDATION

It is recommended that Members note the content of this report.

Main Report

BACKGROUND

1. The Force Strategic Risk Register remains monitored on a quarterly basis by the Force Risk Assurance Group currently chaired by the Assistant Commissioner. The last meeting of this group took place on the 6th August where the risk profile of the Force was reviewed and the risk register was updated to reflect the discussions of the group.

CURRENT POSITION

2. In accordance with the City of London Corporation's responsibilities as a police authority, it is appropriate that your Committee is made aware of critical risks, which may impact on service delivery or performance, together with any plans to eliminate or mitigate critical risks, and the changing risk profile of the Force.
3. The Force has initiated a risk assurance process to provide oversight to the risk register cascade and to provide a forum for the Assistant Commissioner to actively question all risk registers within the Force and allow Directors to collectively assess their risks and control measures. This aims to provide a top-down and bottom-up approach to the management of risk within Force and has evolved to take into account the structural changes within the Force brought about as a result of City First Implementation.
4. The assurance meetings have taken place on a quarterly basis since the 3rd May 2011. The last meeting to be held was chaired by the Commander on the 6th August 2013, where the Force risk profile for 2013/14 was reviewed for the first time in relation to the current set of performance measures and control assessments associated with each risk.
5. The Strategic Risk Register continues to be supported by a cascade of Directorate risk registers that are maintained and reviewed by Directors in support of the delivery of their portfolio business plans. Significant risks from Directors areas that they define as unmanageable by them alone are also discussed at the Risk Review Group to add information, where appropriate, to the Force risk profile.
6. Subsequently the Force Risk Profile was also reviewed at the Force SMB on 21st August where a new risk SR 16 was added to the register. The full risk register was then presented to the Police Committee Lead for Risk, Deputy Doug Barrow, for his oversight on the 5th September.

7. The position of the Force risks as at 24th September 2013 is detailed below:

Risk Detail		Current				Trend			Control Colour
Ref	Description	I	L	C	RM	I	L	C	
SR 01	Inadequate response to terrorism within the City	M	L	1	2	→	→	→	GREEN
SR 02	Reduction in public confidence in the Force as a result of terrorist attack against City	M	L	2	4	→	→	→	GREEN
SR 03	Inadequate management of a high profile event	M	L	2	4	→	→	→	GREEN
SR 04	Underperforming as Lead Force for Economic Crime	H	M	3	18	→	→	→	AMBER
SR 05	Reduction of staff morale/well-being	H	H	2	18	→	→	→	AMBER
SR 06	Failure to contain expenditure within agreed budgets	NA	NA	NA	NA	NA	NA	NA	CLOSED
SR 07	Increased dissatisfaction with quality & delivery of service to community.	M	L	2	4	→	→	→	GREEN
SR 08	Adverse Impact of Jubilee, Torch Relay, Olympic & Paralympics Policing on Force capability.	NA	NA	NA	NA	NA	NA	NA	CLOSED
SR 09	Delivery of new Force Estate	-	-	-	-	NA	NA	NA	WHITE
SR 10	Delivery of Fraud Academy	NA	NA	NA	NA	NA	NA	NA	CLOSED
SR 11	Delivery of Policing Plan Priorities and Measures	M	L	3	9	→	→	→	GREEN
SR 12	Loss of ECD external funding streams	H	M	2	12	NA	NA	NA	GREEN
SR 13	Department Staff Vacancies affecting ICT Business Continuity	H	H	3	27	→	→	→	AMBER
SR 14	IT Business Continuity	H	M	3	18	→	→	→	AMBER
SR 15	Delivery of IAMM (Information Assurance Maturity Model)	M	M	4	16	→	→	→	AMBER
SR 16	Impact of CSR savings on Force Capability	-	-	-	-	NA	NA	NA	WHITE

Key: I: Impact. L: Likelihood. C: Control. RM: Risk Matrix Score (Full criteria contained within Appendix A)

8. The position of each risk was discussed by the risk review group and a summary of the new developments in the risk profile is presented below for information.

9. ***SR 04: Underperforming as Lead Force for Economic Crime:*** This risk was discussed at length to ensure the group was content with how it was represented within the register. It was noted that within this risk there were financial implications for the Force should funding streams for Economic Crime activities be withdrawn by partners. As a result of these discussions it was agreed to create a new entry within the risk register as reflected in SR 12 in the previous table.
10. The Force holds a strategic risk around underperforming as National Lead Force for Fraud (NLF) for two primary reasons. Firstly - and linked to the strategic risk around finance, the performance of NLF assets is critical to maintaining a significant proportion of the Force's annual revenue (all NLF funding streams are tied to challenging performance criteria). Secondly, the establishment of the National Crime Agency, with its defined Economic Crime Command, has driven high level discussions within the Home Office and law enforcement community around the positioning of NLF – even its mere existence. These conversations are not confined to the Force, Similar concerns have been voiced in relation to the MPS retaining primacy over counter-terrorist policing. The risk is rated as amber, not because NLF performance is below par, but in recognition that any fall in performance might jeopardise our NLF status'
11. ***SR 06: Failure to contain expenditure within agreed budgets:*** This was previously closed by the risk review group in August 2012 as it was agreed managing the budget was business as usual within the Force. However it remains discussed at each meeting so any changes in the wider financial position can be assessed and if necessary the risk can be reopened to address them. At the meeting in February the group confirmed that this risk should in the short term remain closed as the Force had managed its financial position through delivery of the City first Programme.
12. ***SR 07: Increased dissatisfaction with quality & delivery of service to community:*** The Risk Review Group considered the position of this risk noting the score had remained low and unchanged for over a year within the register. A decision was taken to therefore close the risk reflecting that this was also business as usual with the Force and the indicators within the Policing Plan around satisfaction would provide a steer to the Force should community satisfaction become an issue and need addressing. However, at the Strategic Management Board meeting in September a decision was taken to re-open this risk for monitoring reflecting the importance the Commissioner places on ensuring satisfaction with the services delivered by the Force to the community.

13. ***SR 08: Adverse Impact of Jubilee, Torch Relay, Olympic & Paralympics Policing on Force capability:*** This risk was closed in November 2012 reflecting the end of this activity and accepting the good job the Force did in managing these commitments over the course of last year.
14. ***SR 09: Delivery of new Force Estate:*** The group considered scoring this risk for the first time but also acknowledged that the programme had yet to formally begin. This risk remains on the register to note reflecting the importance of this issue and will be formally scored once the programme has begun and relevant information is available to inform the risk position more adequately.
15. ***SR 12: Loss of ECD external funding streams:*** This is a new risks added as a result of discussions around SR 04 taking out the separate financial issue around the Force's economic crime capability and function.
16. ***SR 13: Department Staff Vacancies affecting ICT Business Continuity:*** This risk was raised from within the Corporate Services Directorate for the attention of the Risk Review Group where it was discussed at length and the impact ICT business Continuity would have on the existing Force Risks and delivery of our Policing Plan Priorities. Initially vacancies were created as the Force scoped moving to the ECIS consortium, now that this approach is not being taken a long term solution of ICT staff numbers and structure is being scoped but there remains some areas where staff numbers do not support the maintenance of services.
17. Out of 29 staff positions 8 are filled with permanent staff, 8 are filled with temporary staff, 6 are filled by fixed term contracts and one vacant position is covered with a supplier arrangement. There are currently 6 vacant positions within the department.
18. The main area of concern is within the networks team which has four of these vacancies. The maintenance of the Force airwave equipment is the biggest risk with both these positions now vacant. A supplier arrangement is being put into place to mitigate this and provide continuity for the Force.
19. The department will continue to provide cover for vacant positions using fixed term contracts and agency staff until a strategic decision is made about the long term future of ICT provision within the Force that will allow the recruitment of full time staff.
20. ***SR 14: IT Business Continuity:*** IT business continuity was raised to highlight areas where Force systems could potentially impact on the ability of the Force to deliver its Policing Priorities. Linked to potential ICT staff shortages this risk looks at the Business Continuity Arrangement for the

Critical systems and is currently tracking the development and implementation of Force business continuity for these as part of the risk monitoring, this is also linked to the oversight provided within the Corporate Services Business Plan where ICT business continuity is reported monthly.

21. ICT business continuity continues to progress as the Force tests the resilience of its critical systems. The long term solution to the provision of ICT services will assist the Force in maintaining its systems as a picture becomes clearer as to the investment pattern required to update the infrastructure and move to the new estate within the Estates Programme. Investment in business continuity can be increased as part of the estates programme and ICT will be engaged to ensure decisions are made and a risk appetite for each system is defined to assist investment decisions.
22. To address both SR 13 & SR 14 the Force has employed an IT consultant to scope the long term options for the provision of ICT services so that certainty can be provided to ICT staff and procurement decisions can be made to upgrade our infrastructure.
23. The resultant consultant report will allow the Force to provide certainty for ICT provision:
 - The Force will need to make a strategic decision on the long term delivery of ICT services.
 - A plan will then be devised to migrate to the model for these new services.
 - A new ICT strategy can be developed to deliver this plan
 - Certainty can be provided to ICT staff and a plan to move from Agency and temporary staff can be developed to provide long term staffing cover for the provision of ICT services.
24. ***SR 15: Delivery of IAMM (Information Assurance Maturity Model):*** This risk looks at the Force's ability to comply with the Information Assurance Maturity Model. The possible impacts of not achieving compliance are:
 - Loss of Public confidence
 - Reduced Services
 - Loss of services

- Reputation - Credibility with partners
- Reputation and Finance –imposition of a fine for non compliance

25. **SR 16: Impact of CSR savings on Force Capability:** This risk was added as part of the review of the risk register at SMB. Despite delivering City first there remain long term financial challenges for the Force. This risk will pick up the impact of these challenges and the possible effect of capability once the full extent of the next round of CSR savings becomes clear.

OTHER SIGNIFICANT IMPLICATIONS

26. Robust implementation of risk management ensures the Force can address the barriers and opportunities it faces so that it continues to comply with all of its obligations, statutory and non-statutory.

CONCLUSION

27. The risk profile of the Force is continually reviewed and updated quarterly by the Force Risk Assurance Group. The Police Committee are kept informed of the Force Risk Profile twice a year to ensure they are briefed of new and emerging risks and any significant change in existing risk scores as part of the Force's assessment of its own risk profile.

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Appendix A: Force Risk Scoring Criteria

FORCE RISK SCORING CRITERIA

IMPACT ASSESSMENT TABLE

Risk Area	Impact Level			
	Low	Medium	High	Very High
Financial	Can be managed within service budget. Or – Results in a financial loss of £10K or less to the Force.	Can be managed within overall budget. Or – Results in a financial loss of £50K or less to the Force.	Will need major budgetary re-allocations and / or savings. Or – Results in a financial loss of between £50K - £250K to the Force. Or – Up to 10% of budget. (Which ever is smaller)	Will need to borrow - a major financial threat. Or – Results in a financial loss of over £250K to the Force. Or – Up to 25% of budget. (Which ever is smaller)
Health & Safety	Incident resulting in minor cuts and bruises.	Incident resulting in broken limbs.	Incident resulting in hospitalisation.	Incident causing widespread injuries and/or deaths.
Reputation	Cursory mention in local press and/or government / audit reports.	Definite adverse mention in press and/or government / audit reports.	Front page on the Standard, possibly national press.	National and possibly international interest or questions asked in parliament.
Planning/Service Delivery	Minimal impact on service delivery. Or – Minor impact on Divisional plan achievement.	Significant impact on service delivery. Or – Disruption on Divisional plan achievement. Or – Minor impact on Force plan achievement	Major impact on service delivery. Or – Failure of a Divisional plan. Or – Disruption of the Force plan.	Catastrophic impact on service delivery. Or – Failure of the Force plan.
Project	Has the potential to materially affect a stage of the project. Or – Has a minor short-term impact on the delivery of a project stage.	Has the potential to cause weakness to the ability to complete a project stage within identified resources. Or – Has a moderate term or medium term impact on the ability of the project to be completed.	Has the potential to cause the failure of one of the project stages. Or – Has a large short-term or longer-term impact on the delivery of the project. Or – Impacts upon the delivery of associated projects.	Has the potential to cause the failure of the project. Or – Could cause other Force projects to fail.
Business Continuity	Has the potential to materially affect a Divisional output. Or – Minor impact on Force outputs. Or – Minor Impact on the ability of the Force to undertake its statutory duties.	Has the potential to disrupt a Divisional output. Or – Has the potential to materially affect a Force output. Or – Materially affects the ability of the Force to undertake its statutory duties.	Has the potential to cause a Divisional Output to fail. Or – Has the potential to disrupt a Force output. Or – Disrupts the ability for the Force to undertake its statutory duties.	Has the potential to cause the outputs of the Force to fail. Or – Serious disruption/impairment to Force capability/outputs. Or – Could cause the Force to fail to undertake its statutory duties.
Security	Could cause distress to individuals. Or – Loss of Force earning potential.	Has the potential to affect diplomatic relations. Or – Loss of earning potential to the City of London. Or – Prejudice individual security.	Has the potential to threaten life directly. Or – Facilitates the commission of serious crime. Or – Disrupt significant operations. Or – Significant loss of earnings to City of London.	Has the potential to affect the internal stability of the UK. Or – Cause widespread loss of life. Or – Raise international tension. Or – Threaten National finances.

LIKELIHOOD ASSESSMENT TABLE

Likelihood Probability			
Low	Medium	High	Very High
Negligible risk A probability of less than 30% of the risk occurring. Or This risk is a remote risk and it is envisaged that this may occur within a timescale of 4 years or more	Possible risk A probability of between 30-70% of occurring. Or This is a risk that could occur in less than 4 years but in more than 2.	Probable risk A probability of between 70-85% of being realised. Or This risk is likely to occur in a timescale of no more than 2 years.	Certain risk A probability of 85% or more of occurring. Or It is likely that the risk will be realised within a twelve month period

RISK MATRIX TABLE

LIKELIHOOD	VH	7	11	14	16
	H	4	8	12	15
	M	2	5	9	13
	L	1	3	6	10
	L	M	H	VH	

Key: L= Low, M=Medium, H= High, VH= Very High

Control Assurance within the Risk Register

The Strategic Risk Register is contains the Corporate risks identified for the Force. Each risk has a suite of identified controls that have been scored individually following the criteria below:

Control levels

- 4) **None:** Although controls are being worked on there are none in place to mitigate the risk at this time.
- 3) **In Place:** Control measures have been introduced for the risk but there is no assurance as to their effectiveness, they remain untested.
- 2) **In Place & Tested:** Control measures have been introduced for the risk and they have undergone assurance testing. Additional measures or improvements have been identified but not implemented.
- 1) **Comprehensive & Tested:** Control measures have been introduced for the risk and they have undergone assurance testing, where appropriate improvements and additional controls have been implemented. There are currently no additional measures identified to mitigate the risk more effectively.

This score is reflected within the document next to each control assessed.

Force Risk Multiplier Numbers

Impact		Likelihood		Control	
Low	1	Low	1	Comprehensive & Tested	1
Medium	2	Medium	2	In Place & Tested	2
High	3	High	3	In Place	3
Very High	4	Very High	4	None	4

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Agenda Item 14

By virtue of paragraph(s) 7 of Part 1 of Schedule 12A
of the Local Government Act 1972.

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Agenda Item 15

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