

Committee(s): Police: Resource Risk and Estates Committee Police Authority Board	Dated: 5 September 2022 27 September 2022
Subject: City of London Police Risk Register Update	Public
Which outcomes in the City Corporation's Corporate Plan does this proposal aim to impact directly?	1
Does this proposal require extra revenue and/or capital spending?	N/A
If so, how much?	N/A
What is the source of Funding?	N/A
Has this Funding Source been agreed with the Chamberlain's Department?	N/A
Report of: Commissioner of Police Pol xx-22	For Information
Report author: Paul Adams, Strategic Development	

Summary

This report provides members with the current position of the refreshed risk profile highlighting the risks against the achievement of the Policing Plan objectives.

The Force risk register is now managed using the Pentana risk system used by the City of London Corporation and the Force risks have been placed within this system so that they are presented in the same format as other areas within the Corporation. This report shows, for the first time, the Force risks reported within this format.

Recommendation(s)

Members are asked to note the report.

Main Report

Background

1. In accordance with the City of London Corporation's responsibilities as a Police Authority, it is appropriate that this 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.
2. The Force risk register continues to be monitored at Chief Officer level. Each month the Chief Officer Team meeting receives an update from the Audit & Assurance Board. This board is chaired by Assistant Commissioner Betts and reviews the Force risk profile monthly. A supporting cascade of risk registers at strategic board level and business area are being refreshed to align to the new risk profile and will be used to support the management of the Force strategic risk register.

3. At the Police Authority Board in February 2022, the Police Authority presented their risk register. It was noted that this should be aligned with the Force's albeit there needed to be separation as mitigations by the Authority may necessarily need to be different to those of the Force. It was also requested at the Resource Risk and Estates Committee in February 2022 for the Risk Register updates to be in the public section of the meeting in future. It was noted that this would require some elements previously presented to be redacted, as such there is limited detail on the mitigations and management of some of the operational risks within this update.

Current Position

4. As aforementioned, AC Betts chairs a monthly Audit & Assurance meeting which oversees the Force risk profile. This has met since March 2022. It has aligned the Force risks with the new Policing Plan structure with the input of senior managers.
5. The last Audit & Assurance meeting was held on the 16th August where the Force risk profile was reviewed and updated. The results of this meeting are presented for oversight to Members within this report.

Changes to Risk Scoring Matrix

6. As stated within the last update, Members will be aware that the Force previously operated its own risk scoring system based on a 4x4x4 matrix (Impact, likelihood & Control Scoring) used by other Police Forces. In order to align the Force risk register with the Police Authority Board risk profile the Force has adopted the matrix used by the City of London Corporation as Police Authority, this will score risks using Impact and Likelihood only.
7. Due to the nature of policing, there will be some risks where mitigations by the Force will not influence impact and likelihood assessments. Previously, the Force had been able to show how these were being managed by considering the maturity of controls. Now the assessment of risk has aligned with the City of London Corporation format, there may be a number of risks shown as amber or red that would have previously been shown as green due to Force control assessments being considered.

Force Risk Register Structure

8. The Force risk register is now split into two sections along Organisational and Operational areas in support of the 6 priorities within the new Policing Plan 2022-25.
 - Organisational Risk Areas
 - Our People
 - Our Resources
 - Efficiency & Effectiveness
 - Operational Risk Areas
 - Keep People who live, work and visit the City Safe and feeling safe
 - Protect the UK from the threat of Economic & Cyber Crime
 - Putting the victim at the heart of everything we do

9. The current risks within each area are detailed within the following tables for Members' reference.

Ref	Organisational Risks	Associated Organisational Priority	Owner	Impact	Likelihood	Score	Traffic Light	Trend	Target Impact	Target Likelihood	Target Score	Target Traffic Light
CoLP ORG 01	Failure to ensure we recruit & retain sufficient staff to meet uplift numbers both locally & fraud uplift with the right skills and to meet our diversity ambitions	Our People	AC OPS (COO)	Major	Possible	12	AMBER	➔	Major	Possible	12	AMBER
CoLP ORG 02	Impact of maintaining Force vacancy factor on police staff workload and morale	Our People	AC OPS (COO)	Serious	Possible	6	AMBER	➔	Serious	Possible	6	AMBER
CoLP ORG 03	Force lacks experienced officers due to uplift number and retirement of experienced officers due to changes in pay and conditions	Our People	AC Ops	Serious	Possible	6	AMBER	➔	Serious	Possible	6	AMBER

Ref	Organisational Risks	Associated Organisational Priority	Owner	Impact	Likelihood	Score	Traffic Light	Trend	Target Impact	Target Likelihood	Target Score	Target Traffic light
CoLP ORG 04	Failure to deliver the FCCRAS Programme.	Our Resources	Service Delivery Director	Extreme	Unlikely	16	RED	➔	Extreme	Unlikely	16	RED
CoLP ORG 05	Police Funding: Failure to maintain a balanced budget	Our Resources	CFO	Major	Possible	12	AMBER	➔	Major	Unlikely	8	AMBER
CoLP ORG 06	Estate does not meet operational requirements	Our Resources	Commissioner	Extreme	Unlikely	16	RED	➔	Major	Unlikely	8	AMBER
CoLP ORG 07	Failure to deliver Force Fleet Strategy to replace and maintain vehicle fleet in support of operational activities	Our Resources	Commander Ops (COO)	Serious	Unlikely	4	GREEN	➔	Serious	Unlikely	4	GREEN
CoLP ORG 08	Failure to deliver Force ICT Strategy to replace and maintain ICT in support of operational activities	Our Resources	AC NLF	Serious	Possible	6	AMBER	➔	Serious	Possible	6	AMBER

Ref	Organisational Risks	Associated Organisational Priority	Owner	Impact	Likelihood	Score	Traffic Light	Trend	Target Impact	Target Likelihood	Target Score	Target Traffic Light
CoLP ORG 09	Failure to deliver on Change Portfolio Plan	Efficiency & Effectiveness	AC NLF	Extreme	Possible	24	RED	→	Extreme	Unlikely	16	RED
CoLP ORG 10	Failure to implement HMICFRS Inspection and CoL Internal Audit Recommendations	Efficiency & Effectiveness	AC Ops	Major	Unlikely	8	AMBER	↓	Major	Unlikely	8	AMBER
CoLP ORG 11	Vulnerability of Force IT network security being compromised. Including data exfiltration, denial of service, ransomware and other malicious activity across the force network and systems that would have a direct impact on operational effectiveness and capability.	Efficiency & Effectiveness	AC NLF	Extreme	Possible	16	RED	→	Extreme	Unlikely	16	RED
CoLP ORG 12	Failure to deliver Target Operating Model (TOM)	Efficiency & Effectiveness	Commissioner	Serious	Possible	6	AMBER	→	Serious	Possible	6	AMBER
CoLP ORG 13	Loss of public confidence in professionalism and trust with Force	Efficiency & Effectiveness	AC Ops	Major	Possible	12	AMBER	→	Major	Unlikely	8	AMBER

Ref	Operational Risks	Associated Policing Plan Priority	Owner	Impact	Likelihood	Score	Traffic Light	Trend	Target Impact	Target Likelihood	Target Score	Target Traffic Light
CoLP OP 01	Realisation of a Terrorist Event with inadequate Force response	Keep people who live, work and visit the City Safe	Commander Ops	Major	Unlikely	8	AMBER	↓	Major	Unlikely	8	AMBER
CoLP OP 02	Failure to respond to Organised Crime Group (OCG) activity	Keep people who live, work and visit the City Safe	Commander Ops & NLF	Serious	Unlikely	4	GREEN	→	Serious	Unlikely	4	GREEN
CoLP OP 03	Failure to contain a public order event	Keep people who live, work and visit the City Safe	Commander Ops	Serious	Unlikely	4	GREEN	→	Serious	Unlikely	4	GREEN
CoLP OP 04	Inadequate response to a Civil Emergency	Keep people who live, work and visit the City Safe	Commander Ops	Serious	Unlikely	4	GREEN	→	Serious	Unlikely	4	GREEN
CoLP OP 05	Failure to respond to Child Sexual Exploitation (CSE) within City	Keep people who live, work and visit the City Safe	Commander Ops	Serious	Unlikely	4	GREEN	→	Serious	Unlikely	4	GREEN
CoLP OP 06	Rise in Violent Crime	Keep people who live, work and visit the City Safe	Commander Ops	Major	Likely	16	RED	↑	Serious	Unlikely	4	GREEN
CoLP OP 07	Rise in Acquisitive Crime	Keep people who live, work and visit the City Safe	Commander Ops	Major	Likely	16	RED	↑	Serious	Unlikely	4	GREEN
CoLP OP 08	Lack of resilience in Force Control room hinders ability to respond	Keep people who live, work and visit the City Safe	Commander Ops	Serious	Unlikely	4	GREEN	→	Serious	Unlikely	4	GREEN
CoLP OP 09	Lack of capacity and skills officers' hinders ability to investigate homicides	Keep people who live, work and visit the City Safe	Commander Ops	Serious	Possible	6	AMBER	→	Serious	Unlikely	4	GREEN

Ref	Operational Risks	Associated Policing Plan Priority	Owner	Impact	Likelihood	Score	Traffic Light	Trend	Target Impact	Target Likelihood	Target Score	Target Traffic Light
CoLP OP 10	Force Cyber Crime Unit ability to respond to a Cyber Threat impacting City businesses or residents	Protect the UK from the threat of Economic & Cyber Crime	Commander NLF	Serious	Possible	6	AMBER	➔	Serious	Possible	6	AMBER
CoLP OP 11	Failure of performance as National Lead Force	Protect the UK from the threat of Economic & Cyber Crime	Commander NLF	Extreme	Unlikely	16	RED	➔	Extreme	Unlikely	16	RED
CoLP OP 12	Failure to utilise Action Fraud reports and Intelligence	Protect the UK from the threat of Economic & Cyber Crime	Commander NLF	Major	Unlikely	8	AMBER	➔	Major	Unlikely	8	AMBER
CoLP OP 13	Failure to maintain existing services within Action Fraud System	Protect the UK from the threat of Economic & Cyber Crime	Service Delivery Director	Major	Unlikely	8	AMBER	➔	Major	Unlikely	8	AMBER
CoLP OP 14	Failure of High profile/risk Investigation	Protect the UK from the threat of Economic & Cyber Crime	Commander NLF	Serious	Unlikely	4	GREEN	➔	Serious	Unlikely	4	GREEN
CoLP OP 15	Failure to tackle OCGs operating within the City/Nationally committing economic and/or cyber crime	Protect the UK from the threat of Economic & Cyber Crime	Commander NLF	Serious	Unlikely	4	GREEN	➔	Serious	Unlikely	4	GREEN

Ref	Operational Risks	Associated Policing Plan Priority	Owner	Impact	Likelihood	Score	Traffic Light	Trend	Target Impact	Target Likelihood	Target Score	Target Traffic Light
CoLP OP 16	Drop in victim satisfaction with services delivered by the Force	Putting the victim at the heart of everything we do	Commander Ops & NLF	Serious	Possible	6	AMBER	➔	Serious	Possible	6	AMBER
CoLP OP 17	Force positive outcome rate for all crime decreases	Putting the victim at the heart of everything we do	Commander Ops	Serious	Possible	6	AMBER	➔	Serious	Possible	6	AMBER
CoLP OP 18	Force is not able to provide the services required to look after vulnerable victims	Putting the victim at the heart of everything we do	Commander Ops & NLF	Major	Unlikely	8	AMBER	➔	Major	Unlikely	8	AMBER
CoLP OP 19	Force unable to respond to victims within City within adequate timescale due to failure in process	Putting the victim at the heart of everything we do	Commander Ops	Serious	Possible	6	AMBER	➔	Serious	Possible	6	AMBER
CoLP OP 20	ECVCU unable to deliver requisite services	Putting the victim at the heart of everything we do	Commander NLF	Serious	Possible	6	AMBER	➔	Serious	Possible	6	AMBER

Changes to Risk Profile Since Last Update

10. Since the last update to Members the following amendments have been made to the risk scoring:
- 1) **Failure to ensure we recruit & retain sufficient staff to meet uplift numbers both locally & fraud uplift with the right skills and to meet our diversity ambitions:** This risk was raised to red reflecting the payment being made to officers joining the MPS and the impact this might have on recruitment and retention within Force and the ability to meet uplift numbers through retaining existing staff. It has since been re-assessed as Amber as the Force met its August intake numbers for recruits.
 - 2) **Failure to implement to HMICFRS Inspection and CoL Internal Audit Recommendations:** The assessment of this risk has reduced to target score due to progress made by the Force to implement recommendations. This has reduced the score from 12 to 8.
 - 3) **Realisation of a Terrorist Event with inadequate Force response:** This risk was re-assessed internally by the Specialist Operations Business Area looking at the controls in place to mitigate against this risk. As a result, this has been re-assessed as Amber, or target score has also been re-assessed and set at this new level for the Force to maintain.
 - 4) **Rise in Violent Crime:** Following our July Performance Board and the review of the Crime statistics this risk was raised to Red to reflect the current rise in crime trends within the City. Actions are being put into place within Force tasking to address crime hotspots and action the factors contributing to the rise in the City as the City returns to pre-Covid levels of activity.
 - 5) **Rise in Acquisitive Crime:** As above.
11. The two crime risks are being monitored and may be actioned going forward as issues should the Force be unable to influence the crime trends in the short to medium term. Our Policing Plan performance update contains specific information on the rise in crime and trends that are being actioned in a bid to mitigate these risks.
12. Appendix 2 for this paper contains the risk reports for the Force risks listed on the Pentana system. ***A number of actions have been implemented and logged against each risk and closed. Only actions that remain open are shown as part of the update report.*** A complete log of actions is available within the Pentana system should members require oversight of this for future reference.

Risk Of Concern

13. Based on this profile there are two risks of concern that the Force is seeking to mitigate: these are:

- **Rise in Violent Crime**
- **Rise in Acquisitive Crime**

14. The Force is putting into place action plans to address the rise in criminality and is monitoring the impact these have on crime rates.

Conclusion

15. The risk profile of the Force is continually reviewed and updated within Force to ensure it remains relevant. The Police Authority is kept informed of the Force Risk Profile as part quarterly update schedule 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.

Appendices

- Appendix 1 – Risk Scoring Criteria
- Non Public Appendix 2 – Pentana Risk Reports for Operational and Organisational risks

Paul Adams

Head of Governance & Assurance

T: 020 7601 2593

E: paul.adams@cityoflondon.police.uk

Appendix 1: Risk Scoring Criteria

(A) Likelihood criteria

	Rare (1)	Unlikely (2)	Possible (3)	Likely (4)
Criteria	Less than 10%	10 – 40%	40 – 75%	More than 75%
Probability	Has happened rarely/never before	Unlikely to occur	Fairly likely to occur	More likely to occur than not
Time period	Unlikely to occur in a 10 year period	Likely to occur within a 10 year period	Likely to occur once within a one year period	Likely to occur once within three months
Numerical	Less than one chance in a hundred thousand (<10-5)	Less than one chance in ten thousand (<10-4)	Less than one chance in a thousand (<10-3)	Less than one chance in a hundred (<10-2)

(B) Impact criteria

Impact title	Definitions
Minor (1)	Service delivery/performance: Minor impact on service, typically up to one day. Financial: financial loss up to 5% of budget. Reputation: Isolated service user/stakeholder complaints contained within business unit/division. Legal/statutory: Litigation claim or find less than £5000. Safety/health: Minor incident including injury to one or more individuals. Objectives: Failure to achieve team plan objectives.
Serious (2)	Service delivery/performance: Service disruption 2 to 5 days. Financial: Financial loss up to 10% of budget. Reputation: Adverse local media coverage/multiple service user/stakeholder complaints. Legal/statutory: Litigation claimable fine between £5000 and £50,000. Safety/health: Significant injury or illness causing short-term disability to one or more persons. Objectives: Failure to achieve one or more service plan objectives.
Major (4)	Service delivery/performance: Service disruption > 1 - 4 weeks. Financial: Financial loss up to 20% of budget. Reputation: Adverse national media coverage 1 to 3 days. Legal/statutory: Litigation claimable fine between £50,000 and £500,000. Safety/health: Major injury or illness/disease causing long-term disability to one or more people Objectives: Failure to achieve a strategic plan objective.
Extreme (8)	Service delivery/performance: Service disruption > 4 weeks. Financial: Financial loss up to 35% of budget. Reputation: National publicity more than three days. Possible resignation leading member or chief officer. Legal/statutory: Multiple civil or criminal suits. Litigation claim or find in excess of £500,000. Safety/health: Fatality or life-threatening illness/disease (e.g. mesothelioma) to one or more persons. Objectives: Failure to achieve a major corporate objective.

(C) Risk scoring grid

Likelihood	X	Impact			
		Minor (1)	Serious (2)	Major (4)	Extreme (8)
Likely (4)		4 Green	8 Amber	16 Red	32 Red
Possible (3)		3 Green	6 Amber	12 Amber	24 Red
Unlikely (2)		2 Green	4 Green	8 Amber	16 Red
Rare (1)		1 Green	2 Green	4 Green	8 Amber

(D) Risk score definitions

RED	Urgent action required to reduce rating
AMBER	Action required to maintain or reduce rating
GREEN	Action required to maintain rating

This is an extract from the City of London Corporate Risk Management Strategy, published in May 2014.

Contact the Corporate Risk Advisor for further information. Ext 1297

October 2015