

<b>Committee(s):</b> Police: Resource Risk and Estates Committee  Police Authority Board	<b>Dated:</b> 4 November 2022  24 November 2022
<b>Subject:</b> City of London Police Risk Register Update	<b>Public</b>
<b>Which outcomes in the City Corporation's Corporate Plan does this proposal aim to impact directly?</b>	1- People are safe and feel safe
<b>Does this proposal require extra revenue and/or capital spending?</b>	N/A
<b>If so, how much?</b>	N/A
<b>What is the source of Funding?</b>	N/A
<b>Has this Funding Source been agreed with the Chamberlain's Department?</b>	N/A
<b>Report of:</b> Commissioner of Police Pol xx-22	<b>For Information</b>
<b>Report author:</b> 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 purchased by the Corporation and the Force risks have been placed within this system so that they are presented in the same format as other parts of the City of London Corporation.

This report highlights the Operational and Organisational risks the Force is monitoring using this system.

### 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 Force Chief Officer level. Each month the Force Chief Officer Team meeting receives an update from the Audit & Assurance Board. This board is chaired by Assistant Commissioner (AC) Betts and reviews the Force risk profile monthly. The last meeting took place on 18<sup>th</sup> October 2022. 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. This paper provides a public note of the Force risk profile so the risks of the Force can be scrutinised by Members without providing oversight of operational actions that might prejudice police operational activity. The Force has consulted with the Chair and Deputy Chair of Resource Risk and Estates Committee who have indicated that they are satisfied with the presentation of this report as it appears on the agenda.

### **Current Position**

4. The Assistant Commissioner for Operations & Security 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 18<sup>th</sup> October where the Force risk profile was reviewed and updated. The results of this meeting are presented for oversight to members within this paper.

### **Force Risk Register Structure**

6. The Force risk register is split into two sections along Organisational and Operational areas in support of the 6 priorities within the new Policing Plan.
  - 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
7. 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 to 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
CoLP ORG 14	Under recruiting PUP uplift, this would mean we would not receive the full grant funding available to the officer	Efficiency & Effectiveness	AC Ops	Serious	Unlikely	4	GREEN	N/A	Serious	Unlikely	4	GREEN
CoLP ORG 15	Over recruiting PUP officers, this would mean Force would be over establishment	Efficiency & Effectiveness	AC Ops	Major	Likely	16	RED	N/A	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 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 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 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 hampers 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' hampers 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
<b>CoLP OP 16</b>	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
<b>CoLP OP 17</b>	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
<b>CoLP OP 18</b>	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
<b>CoLP OP 19</b>	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
<b>CoLP OP 20</b>	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

8. Since the last update two new risks have been raised to the risk profile to cover the financial implications of over recruiting or failure to meet Police Uplift numbers. Details on these risks are as follows:
  - 1) Under recruiting Police Uplift Programme (PUP) uplift, this would mean we would not receive the full grant funding available to the officers.
    - **Cause:** Force unable to fulfil the PUP uplift recruitment due to not having sufficient officers joining the Force as part of the PUP programme.
    - **Event:** The number of officers joining the Force as part of PUP is not as many as planned due to drop out, vetting failure and an increase in attrition rate of existing officers meaning the uplift targets are not met.
    - **Effect:** The Force would not receive the full grant funding available for the recruitment of the uplift officers and this would impact the Medium Term Financial Plan.
    - **Mitigations & Assessment:** Dedicated PUP Senior Responsible Officer (SRO), Chief Officer oversight, Programme Manager and team, new attraction campaign, retention measures etc. As the Force is currently on track it is considered a green risk has been added to the risk register for oversight until the uplift has been achieved.
  - 2) Over recruiting PUP officers, this would mean Force would be over establishment.
    - **Cause:** Recruitment is greater than police officer attrition rate causing the Force to be over police officer establishment.
    - **Event:** Force attrition rate for officers is lower than predicted and we over recruit student officers and transferees. This will result in the Force being over establishment.
    - **Effect:** The Force will be over establishment and have increased staff costs for Police Officer numbers. This will impact on the MTFP assumptions and will cause issues with delivering a balanced budget. This is likely due to the lead times with recruitment and that attrition rate predictions are not 100% accurate as a lot is down to officer choices.
    - **Mitigations & Assessment:** Mitigations include close monthly pipeline monitoring and reprofiling. The reduction of courses in Q4 and the closure of recruitment for Q1 and Q2 next year if required. Assessment as a red risk at this time due to the financial impact this may have on the Force budget assumptions and the actions required to bring the payroll back within budget envelope.



9. There has been no reassessment in scoring in other risks.

### **Risk Of Concern**

10. 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**

11. Both of these risks are now being managed as issues within the Force (Risk that have been realised). A suite of operational measures is being put into place to ensure we combat the rise in criminality and work to protect the public within the City reducing the impact crime has on residents, workers and visitors within the City.

12. The crime levels are monitored on a monthly basis within the Force performance board, this provides direction to Force taskings, and the Force is working to target criminality hotspots in line with the Force Annual Christmas Campaign to tackle the current rising trends.

### **Conclusion**

13. 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
- Appendix 2 – Force Risk Registers (Operational and Organisational) (Non-Public)
- Appendix 3 – Force Issue Log (Non-Public)

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

## (C) Risk scoring grid

		Impact				
		X	Minor (1)	Serious (2)	Major (4)	Extreme (8)
Likelihood	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

<b>RED</b>	Urgent action required to reduce rating
<b>AMBER</b>	Action required to maintain or reduce rating
<b>GREEN</b>	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

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