

Committee(s): Police: Resource Risk and Estates Committee Police Authority Board	Dated: 27 th November 2023 13 th December 2023
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- People are safe and feel safe
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 139-23	For Information
Report author: Sasha McAulay, Risk and Audit Manager	

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 City of London Police risk register is managed using the Pentana risk 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 City of London Police is monitoring using this system.

Since the last risk profile presented to RREC a full review of all 33 Force risks and 6 Force issues has been completed with refreshed actions, owners and due dates set.

This has resulted in:

- 1 new risk
- 2 downgraded risks
- 1 upgraded risk
- 4 risks removed
- 2 issues being reverted to risks
- 1 issue being closed

The following heatmaps profile the spread of current risk scores across the CoLP organisational and operational risks – at present 9 of the 12 organisational risks and 15 of the 18 operational risks are their target risk score.

Organisational Risk	Operational Risk	Top 6 Risks
		<ul style="list-style-type: none"> ○ Inability to maintain Firearms SLA (32↔) ○ Future Police Estate does not meet operational requirements (16↑) ○ Failure to deliver 30% or more of the Change Portfolio Plan (16↓) ○ Vulnerability of Force IT network (16↔) ○ Failure of performance as National Lead Force (16↔) ○ Failure to deliver the target go-live date of the FCCRAS Programme on 1st March 2024 (16↔)
12 risks, 75% at target score	18 risks, 83% at target score	

Recommendation(s)

Members are asked to note the report.

Main Report

Background

1. This report provides a public note of City of London Police's risk profile so risks can be scrutinised by Members without providing oversight of operational actions that might prejudice police operational activity. City of London Police 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.

Force Risk Register Structure

2. The Force risk register is currently split into two sections along Organisational and Operational areas in support of the 6 priorities within the 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
3. 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 maintain police uplift numbers both locally & fraud uplift with the right skills and to meet our diversity ambitions	Our People	Chief Operating Officer	Serious	Unlikely	4	GREEN	↓	Serious	Unlikely	4	GREEN
CoLP ORG 02	Impact of Force vacancy factor on police staff workload and morale	Our People	Chief Operating Officer	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	Chief Operating Officer	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 target go-live date of the FCCRAS Programme on 1st March 2024	Our Resources	Service Delivery Director	Major	Likely	16	RED	→	Major	Likely	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	Future police estate does not meet operational requirements	Our Resources	Commissioner	Major	Likely	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	Serious	Unlikely	4	GREEN	→	Serious	Unlikely	4	GREEN

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 30% or more of Change Portfolio Plan	Efficiency & Effectiveness	AC NLF	Extreme	Unlikely	16	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 Corporate Services Review	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 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	Possible	12	AMBER	⬇	Serious	Unlikely	4	GREEN
CoLP OP 07	Rise in Acquisitive Crime	Keep people who live, work and visit the City Safe	Commander Ops	Major	Possible	12	AMBER	⬇	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	Unlikely	4	GREEN	➔	Serious	Unlikely	4	GREEN
CoLP OP 21	Inability to maintain Firearms SLA due to a) current national reflection of firearms officers and b) ongoing recruitment challenges around firearms officers	Keep people who live, work and visit the City Safe	Commander Ops	Extreme	Likely	32	RED	N/A	Major	Possible	12	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 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 Ops	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 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 Ops & 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 & Service Delivery Director	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 & NLF	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 & Service Delivery Director	Major	Unlikely	8	AMBER	➔	Major	Unlikely	8	AMBER

Changes to Risk Profile Since Last Update

Organisational Risks

- a) **CoLP ORG 01 - Failure to ensure we recruit & retain sufficient staff to maintain police uplift numbers both locally & fraud uplift with the right skills and to meet our diversity ambitions (risk downgraded to GREEN)**
- This risk has been reworded to specify that it is concerned with officer maintenance only.
 - The risk has been downgraded from an Amber risk to a Green risk. In 2023/2024, intakes are planned for September 2023 and March 2024 to maintain uplift numbers. There is also a healthy pool of transferees to be used alongside new recruits to ensure headcount is maintained against attrition.
 - Robust monitoring arrangements are in place for recruitment and attrition through People Board.
- b) **CoLP ORG 06 - Future police estate does not meet operational requirements (risk upgraded to RED)**
- Construction costs for the Salisbury Square estate have significantly increased due to inflation resulting in an additional risk of affordability.
 - Due to the severity of the impact of this emerging risk, this risk has been upgraded from an Amber risk to a Red risk. Mitigations include reviewing opportunities for collaboration and income generation. Other mitigations linked to inflation pressures and consultancy costs are being led by City Surveyor and Chamberlain.
- c) **CoLP ORG 08 - Failure to deliver Force ICT Strategy to replace and maintain ICT in support of operational activities (removal of risk)**
- This risk has been mitigated through the DITS Shared Services Agreement and is monitored through monthly management performance meeting. Additionally the managed service provider no longer exists with services provided through the Corporation. As there is now no uncertainty surrounding this risk, this risk has been removed from the Force risk register and instead performance management against the Shared Services Operating Level Agreement is be monitored through the Digital Data and Technology (DDaT) Board.
- d) **CoLP ORG 09 – Failure to deliver 30% or more of the Change Portfolio Plan (risk to be downgraded to RED)**
- A renewed focus on the delivery of the change portfolio is underway and several considerations are being factored into the future direction and consolidation of project delivery. A delivery plan for ongoing and reprioritised projects is being embedded.

- The risk description has been re-worded to more clearly define that failure is considered to be the inability to deliver 30% or more of the Change Portfolio Plan.
 - The risk score has been downgraded from Red (24) to Red (16)
- e) All other organisational risks have been reviewed and updated, retaining their current risk scores

Operational Risks

f) CoLP OP 21 Inability to maintain Firearms SLA due to a) current national reflection of firearms officers and b) ongoing recruitment challenges around firearms officers (new risk)

- A new risk was added to the risk register in October 2023 relating to a potential inability to maintain firearms service level agreement due to the emerging national reflection period of firearms officers and ongoing recruitment issues. This risk is currently the highest on CoLP's risk profile and is being closely monitored with compliance reviewed daily and a number of other mitigations in place.

g) CoLP OP 06 – Rise in Violent Crime (issue to revert back to an off-target risk)

- Due to improved internal governance, including Tactical Tasking and Co-ordination Group (TTCG), there is a clear focus on strategic assessment of this crime type, enhanced understanding of seasonal trends and better collaborations with a partnership strategy soon to be published.
- This risk has been treated as an issue (a realised risk) since August 2022, however from data presented at Performance Board in August 2023, this issue is to be reverted back to being a risk as there are reductions on this crime type year on year and much lower levels of violence in the City than the national average. The risk is to be scored currently as amber with a target of green, new actions are in place to reach the target score.

h) CoLP OP 07 – Rise in Acquisitive Crime (issue to revert back to an off-target risk)

- This risk has been treated as an issue (a realised risk) since August 2022, however from data presented at Performance Board in August 2023, this issue is to be reverted back to being a risk not an issue, noting that there have been consistent increases in crime over the last 6 months and this is driven by volumes of 'Theft from the person' and 'all other theft'. This does not currently show any signs of slowing down, so this risk will need careful monitoring.
- The risk is to be scored currently as amber with a target of green. New actions are in place to reach the target score.

i) CoLP OP 12 - Failure to utilise Action Fraud reports and Intelligence (removal of risk)

- This risk has been closed. It is historic and there is no longer uncertainty in this area with the progress of FCCRAS captured in existing risks CoLP ORG 04 and CoLP OP 13.

j) CoLP OP 16 - Drop in victim satisfaction with services delivered by the Force and CoLP OP 18 - Force is not able to provide the services required to look after vulnerable victims (risks to be split in future)

- Both of these risks are victim focussed, one covering victim satisfaction, the other services for vulnerable victims. In order to more accurately reflect the nature of differing crime types and more effectively manage them, there will be separate risks for each of Operations/Security and National Lead Force portfolios. A full risk assessment to define, assess, analyse and manage these four risks will be undertaken by the end of 2023

k) CoLP OP 19 - Force unable to respond to victims within City within adequate timescale due to failure in process (removal of risk)

- CoLP was graded 'Good' in the HMICFRS PEEL inspection report 2021/22 for responding to the public. Response times are monitored monthly with proactive action taken and discussed with the MPS. For September 2023, I grade responses were at 96% attendance within 15 minutes, S grade responses were at 98% attendance within 60 minutes and E grade responses were at 98%.
- This risk has therefore been downgraded to green, its target score and has been removed from the risk register based on performance over the last 2 years and HMICFRS inspection results.

l) CoLP OP 20 - EVCU unable to deliver requisite services (risk to be removed)

- This risk will be incorporated into the new victim focused risks that will replace CoLP OP 16 and 18.

m) All other operational risks have been reviewed and updated, retaining their current risk scores

Issue Log

- n)** A full review of all 6 issues has now been completed. As already outlined two issues, CoLP OP 06 and 07 relating to increases in violent and acquisitive crime, have been reverted back to risks.
- o)** UKSV Vetting Delays has been closed as an issue as agreed at the Force People Board in September 2023. This issue was concerned with the external vetting delays that were experienced as a result of the demand generated by the Police Uplift Programme across England and Wales. Now that the programme has been delivered, the demand on UKSV vetting has reduced

resulting in improved capacity and timeframes. The internal CoLP vetting capacity issue remains on the issue log as a separate issue of concern.

Conclusion

4. The risk profile of City of London Police is continually reviewed and updated 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 on new and emerging risks and any significant change in existing risk scores as part of City of London Police's assessment of its own risk profile.
5. A new risk framework has been developed to streamline and strengthen risk management through the introduction of Tier 1 (Strategic), Tier 2 (Operational) and Tier 3 (Business Area) level risks managed through appropriate governance. Risk management will migrate over to this new framework in the next quarter
6. This report is aligned to the current risk framework with Tier 2 (Strategic) level risks to be reported to RREC from 2024.

Appendices-

- Appendix 1 – Risk Scoring Criteria
- Appendix 2 – Force Risk Registers (Operational and Organisational) (**Non-Public**)
- Appendix 3 – Force Issue Log (**Non-Public**)

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

		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

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