

Committee: Police- For information	Date: 18 th January 2017
Subject: City of London Police Risk Register Update	Public
Report of: Commissioner of Police Pol 03-17	For Information
Report author: Paul Adams, Head of Governance and Assurance Strategic Development	

Summary

The Force Strategic Risk Register has been reviewed as part of the quarterly assurance process maintained within the Force. The last risk & business continuity meeting was held on the 11th November with the follow-up meeting with the Police Committee risk lead held on the 20th December. Below are the notable highlights of the Force risk profile.

Red Risks

At this time the following risks are scored red within the risk register:

- 1) **SR 24: Inaccurate or non-provision of business/crime data:** This risk reflects both issues with the Business Objects system in Force Intelligence Bureau (FIB) to extract data from systems and the lack of business support to different systems. Work is being completed to mitigate this risk through business objects being worked on to fix the errors in running reports with support from Agilisys and a central hub of systems administrators is being formed within the I&I directorate.
- 2) **SR 25: The High Tech Crime Unit Server broken – some data irretrievably lost:** This risk was raised to cover the possibility that some data may have been lost with the failure of the high tech crime server. Work to shore up the resilience of this server has now been completed and at this stage it has been assessed that there is no impact on historic data stored, this means that no data appears to have been lost. This risk will be re-assessed in January and is likely to be reduced in score.
- 3) **SR 27: Casualty Bureau Activation:** This risk was identified by the Crime Directorate. It highlights a short term risk posed by the Metropolitan Police Services (MPS) and Force using two different systems for the casualty bureau until the MPS completes its upgrade currently scheduled for January 2017. In the short term the risk is being mitigated with additional training within Force as it affects the ability of the Force to identify missing persons should the bureau be activated and staff sent out to hospitals. Once the MPS upgrade has been completed the risk will be evaluated to see if the capability of the MPS in trained staff exists on the new system and rescored accordingly.

Amber Risks

There are 7 Amber risks currently listed in the register:

- 1) **SR 04: Underperforming as Lead Force for Economic Crime**
- 2) **SR 12: Reduction of Economic Crime Directorate (ECD) external funding streams**

- 3) **SR 14: IT Business Continuity**
- 4) **SR 16: Impact of continued savings on Force Capability**
- 5) **SR 22: Rapid pace and scope of transformational change impacts on Force services, capability and functions**
- 6) **SR 23: Force unable to dynamically respond to funding stream changes**
- 7) **SR 26: Failure to deliver Emergency Services Mobile Communication programme (ESMCP)**

Details of these risks are listed within the main body of this report.

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 & business continuity group.
2. This report sets out the position of the Force Strategic Risk Register following the risk & business continuity group held on the 11th November 2016. The risk register has been amended and updated following this meeting.

CURRENT POSITION

3. 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. We therefore present the current position of our risk register for Committee to note.
4. The Force risk & business continuity group provides 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. This process is reviewed each year and refined where appropriate to ensure it remains fit for purpose and provides sound oversight to the risk process. The assurance meetings have taken place on a quarterly basis since the 3rd May 2011.
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 Assurance Group to add information, where appropriate, to the Force risk profile.

6. During 2016 the Assistant Commissioner has initiated a review of risk controls to ensure that Green risks truly reflect the position assigned to them, this is a rolling programme of review and at the time of report writing assurance has been given to the controls around the following risks:

- July: SR 01: Inadequate response to terrorism within the City
- August: SR 03: Inadequate management of a high profile event
- September: SR 02: Reduction in public confidence in the Force as a result of terrorist attack against City
- September: SR 21: Inadequate response to a cyber investigation
- October: SR 18: Vulnerability of Force IT network security being compromised
- November: SR 05: Reduction in staff morale/well-being

The position of the Force risks as at 31st December 2016 is detailed below:

Force Strategic Risk Profile Summary

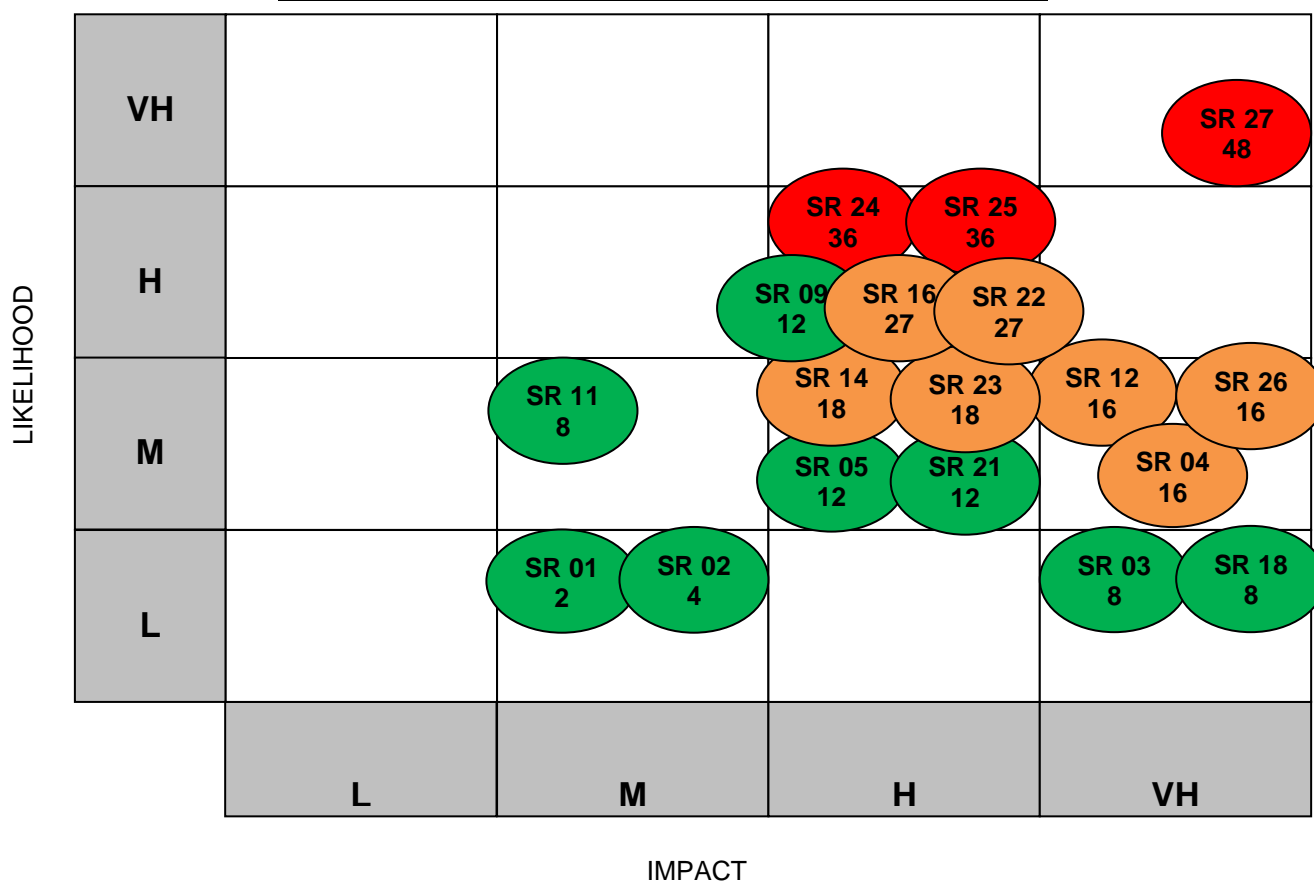
FORCE STRATEGIC RISK SUMMARY		Previous				Current				Trend			Control Colour
Ref	Description	I	L	C	RM	I	L	C	RM	I	L	C	
SR 01	Inadequate response to terrorism within the City	M	L	1	2	M	L	1	2	→	→	→	GREEN
SR 02	Reduction in public confidence in the Force as a result of terrorist attack against City	M	L	2	4	M	L	2	4	→	→	→	GREEN
SR 03	Inadequate management of a high profile event	VH	L	2	8	VH	L	2	8	→	→	→	GREEN
SR 04	Underperforming as Lead Force for Economic Crime	VH	M	2	16	VH	M	2	16	→	→	→	AMBER
SR 05	Reduction of staff morale/well-being	H	M	2	12	H	M	2	12	→	→	→	GREEN
SR 09	Delivery of new Force Estate	H	H	1	12	H	H	1	12	→	→	→	GREEN
SR 11	Delivery of Policing Plan Priorities and Measures	M	M	2	8	M	M	2	8	→	→	→	GREEN
SR 12	Reduction of ECD external funding streams	VH	M	2	16	VH	M	2	16	→	→	→	AMBER
SR 14	IT Business Continuity	H	M	3	18	H	M	3	18	→	→	→	AMBER
SR 16	Impact of continued savings on Force Capability	H	H	3	27	H	H	3	27	→	→	→	AMBER
SR 18	Vulnerability of Force IT network security being compromised	VH	L	2	8	VH	L	2	8	→	→	→	GREEN
SR 21	Inadequate response to a cyber investigation	H	M	2	12	H	M	2	12	→	→	→	GREEN
SR 22	Rapid pace and scope of transformational change impacts on Force services, capability and functions	H	H	3	27	H	H	3	27	→	→	→	AMBER
SR 23	Force unable to dynamically respond to funding stream changes	H	M	3	18	H	M	3	18	→	→	→	AMBER
SR 24	Inaccurate or non-provision of business/crime data	-	-	-	-	H	H	4	36	-	-	-	RED
SR 25	The High Tech Crime Unit Server broken – some data irretrievably lost	-	-	-	-	H	H	4	36	-	-	-	RED
SR 26	Failure to deliver ESMCP programme	-	-	-	-	VH	M	2	16	-	-	-	AMBER
SR 27	Casualty Bureau Activation	-	-	-	-	VH	VH	3	48	-	-	-	RED

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

Current Closed Risks December 2016

SR 06	Failure to contain expenditure within agreed budgets	CLOSED 14/08/12
SR 07	Increased dissatisfaction with quality & delivery of service to community.	CLOSED 04/03/13
SR 08	Adverse Impact of Jubilee, Torch Relay, Olympic & Paralympics Policing on Force capability.	CLOSED 21/11/12
SR 10	Delivery of Fraud Academy	CLOSED 28/11/12 To be managed at Directorate level
SR 15	Delivery of IAMM (Information Assurance Maturity Model)	CLOSED 03/12/13 To be managed at Directorate level
SR 13	Department Staff Vacancies affecting ICT Business Continuity	CLOSED 31/07/14 Reflecting SMB decision 16/07/14
SR 19	Failure in Provision of Custody Services	CLOSED 25/08/15
SR 17	Continued pressure on funding streams reducing overall Force budget	CLOSED 15/03/16
SR 20	Policy approval and management process leaves Force open to potential litigation	CLOSED 15/03/16 To be managed at Directorate level

CONTROL ASSESSMENT DECEMBER 2016



8. The Force risk & business continuity group discussed the risk profile in detail at their last meeting, details of the existing risks are provided below for reference:
9. There was one new risk added to the risk register since the last meeting in August, this reflected the discussions of that meeting and ensured the risk was raised from the Crime Directorate:
 - **SR 27: Casualty Bureau Activation:** This risk was identified by the Crime Directorate. It highlights a short term risk posed by the MPS and Force using two different systems for the casualty bureau until the MPS completes its upgrade currently scheduled for January 2017. In the short term the risk is being mitigated with additional training within Force as it affects the ability of the Force to identify missing persons should the bureau be activated and staff sent out to hospitals. Once the MPS upgrade has been completed the risk will be evaluated to see if the capability of the MPS in trained staff exists on the new system and rescored accordingly.
10. This risk was the only addition to the Force risk profile prior to the meeting of the 11th November 2016.
11. Details of the existing risks within the register are provided for an overview of position.
 - **SR 01: Inadequate response to terrorism within the City:** This is a long standing risk within the strategic risk register that is maintained to ensure that the Force has sound oversight on this priority area. The controls and assessment are robustly reviewed at the risk and business continuity group to ensure that the Force retains sufficient capability to effectively mitigate this risk. This risk has also been reviewed as part of the Force's assurance activity into control scoring.
 - **SR 02: Reduction in public confidence in the Force as a result of a terrorist attack against the City:** As with SR 01 this risk is retained on the risk register to ensure corporate oversight is maintained. This risk is reviewed to ensure controls remain current and the Force is in a position to effectively mitigate the risk should it be realised. This risk has also been reviewed as part of the Force's assurance activity into control scoring.
 - **SR 03: Inadequate management of a high profile event:** This risk is substantially managed within the register and as with the previous 2 is maintained to ensure the Force retains oversight and regularly reviews controls in this area to ensure it is prepared should the risk be realised. This risk has also been reviewed as part of the Force's assurance activity into control scoring.
 - **SR 04: Underperforming as Lead Force for Economic Crime:** While still reported as Amber this risk position has been reviewed and refined within year to reflect all the work undertaken to mitigate it. This reflects an

improving position and rising maturity of Force controls to manage this risk. While still scored as Amber this risk is being managed towards Green as performance is closely monitored within ECD with the controls reviewed and updated within year to reflect all the work that is going on to ensure ECD performs.

- **SR 05: Reduction of staff morale/well-being:** While currently scored Green this risk may be influenced by the future staff survey and will be re-assessed in the new year as the risk profile is refreshed, a critical indicator linked to this risk is staff sickness which remains low with the Force performing in the top quartile of the Home Office national league tables for police officer and support staff sickness. This risk has also been reviewed as part of the Force's assurance activity into control scoring.
- **SR 09: Delivery of new Force Estate:** This risk provides oversight to any potential issues with implementing the accommodation project. It is currently scored as Green but will be re-assessed once the next phase of the programme commences. Meetings in December around this programme have yet to be reflected in the scoring and assessment of this risk
- **SR 11: Delivery of Policing Plan Priorities and Measures:** This risk covers the ability of the Force to deliver its in-year priorities. Should adverse performance issues be highlighted at PMG that impact a number of measures this risk will be reassessed. This will be refreshed at 1st April to take into account the 2017/18 Policing Plan and the proposed shift with the Policing Plan Priorities being based on the 4P Plans of the main threat and harm areas detailed in the Force Control Strategy.
- **SR 12: Reduction of ECD external funding streams:** While still reported as Amber this risk has been reviewed extensively within year and reflects an improved position from the start of the year with the maturity of controls and assessment of position.
- **SR 14: IT Business Continuity:** The implementation of infrastructure as a Service (IAAS) will significantly improve the position of this risk. Once this has been completed the risk will be re-assessed to reflect the improved position within Force and also outline the current gaps with continuity that were not part of IAAS. The AC has initiated a new IT board which will maintain oversight of IT issues and risks and be the main point of scrutiny for these areas; this will feed into the risk and business continuity group.
- **SR 16: Impact of continued savings on Force Capability:** This risk reflects the current financial challenges facing the Force and how this may impact on our capability to deliver the core policing services we are required to provide within the City. This is currently scored as Amber reflecting the current financial situation, and will be reviewed next year once the work to build the Force budget with the Corporation has been completed.

- **SR 18: Vulnerability of Force IT network security being compromised:** This risk is scored as Green having started the year as Amber, this reflects the same scoring as the review in August. The risk is reviewed as part of the work of the Information Management Board that reviews the IMB risk register to ensure the integrity of the Force IT network is maintained as well as other risks around information. This risk has also been reviewed as part of the Force's assurance activity into control scoring.
- **SR 21: Inadequate response to a cyber investigation:** The inclusion of this risk reflects the increased profile of Cyber Crime and ensures that the Force retains oversight of its capability to manage this crime threat and respond accordingly. This risk has also been reviewed as part of the Force's assurance activity into control scoring.
- **SR 22: Rapid pace and scope of change impacts on Force services, capability and functions:** This risk was raised by the Commissioner for inclusion in the risk register last year to ensure the Force managed the amount of change it was going through effectively and had strategic oversight of this change within the risk profile. It is currently assessed as Amber reflecting the scope and extent of the change facing the Force. The Force change Board maintains oversight on all Force change programmes and this risk will ensure that
- **SR 23: Force unable to dynamically respond to funding stream changes:** This is the new risk raised to replace SR 17 reflecting the work undertaken within finance to define and balance the budget for next financial year.
- **SR 24: Inaccurate or non-provision of business/crime data:** This risk reflects both issues with the Business Objects system in FIB to extract data from systems and the lack of business support to different systems. Work is being done to mitigate this risk through business objects being worked on to fix the errors in running reports with support from Agilisys and a central hub of systems administrators is being formed within the I&I directorate.
- **SR 25: The High Tech Crime Unit Server broken – some data irretrievably lost:** This risk was raised to cover the possibility that some data may have been lost with the failure of the high tech crime server. Work to shore up the resilience of this server has now been completed and at this stage it has been assessed that there is no impact on historic data stored, this means that no data appears to have been lost. This risk will be re-assessed in January and is likely to be reduced in score.
- **SR 26: Failure to deliver ESMCP programme:** This risk was raised by the Force Change Board to monitor the implementation of the Air Wave replacement programme. This will monitor the costs of the programme as well as the capability of the equipment to ensure the programme delivers benefit to the Force. This is scored as an Amber risk at this time as there

are unknowns around preferred suppliers and costs for the new equipment which the Force has no control over.

12. The next risk and business continuity group is scheduled for the February/March 2017 (date still to be confirmed) where the risk profile will be reviewed.
13. The Police Committee Risk Lead met with the Assistant Commissioner on the 20th December to discuss the Force risk process and register in more detail. At this meeting an overview of each risk was given along with an update on the risk audit programme with the risks that had been reviewed to date. At this meeting the Force was requested to look into the inclusion of two additional risks to the risk profile, these were, staff shortages and vetting.
14. It was requested that staff shortages be looked at as some areas of the business were explaining performance levels due to lack of qualified staff and vetting was an issue identified as a potential bottleneck for recruitment. At this time these areas are still being reviewed by the Force for assessment within the risk profile.

OTHER SIGNIFICANT IMPLICATIONS

15. 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

16. The risk profile of the Force is continually reviewed and updated quarterly to ensure it remains relevant to the Force. The Police Committee are kept informed of the Force Risk Profile 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

	Impact Level			
Risk Area	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