

MOPACMAYOR OF LONDON
OFFICE FOR POLICING AND CRIME

MPS-MOPAC JOINT AUDIT PANEL

3 October 2022

Met Risk Management Report

Report by: Acting Chief of Corporate Services

Non-restricted paper

Report Summary

Overall Summary of the Purpose of the Report

This report provides an overview of the Met's corporate risks and the status of their controls. In terms of **progress** (*Progress status*), ten are assessed by the respective risk owners and working leads to be 'green' and two risks are assessed to be 'amber'.

Key Considerations for the Panel

Risk and Assurance Board on 7th September noted the progress made against the risks in first quarter since the annual refresh. For those risks reporting limited progress, the Risk Owner provided a response to Risk and Assurance Board as to the reasons why and was asked to provide further detail during the meeting.

Members discussed the Legitimacy risk as a substantial agenda item and they considered the significant controls and activity occurring across the Met to increase trust and confidence. This has been incorporated into Appendix B for Audit Panel.

Also included in this report is a response to the action raised at the last meeting "*How does the MPS assure itself on the effectiveness of controls in place and how is this assessed?*"

The Commissioner and Deputy Commissioner will review the corporate risk register in the coming weeks.

Interdependencies/Cross Cutting Issues

- The Met's governance improvement plans reported in a separate paper to this meeting include controls for some of our risks.

Recommendations

The Audit Panel is recommended to:

- Note the Met's key risks and the governance that is in place to ensure effective management of them.

Action - How does the MPS assure itself on the effectiveness of controls in place and how is this assessed?

1.1. Risk owners (and risk leads where appointed) have primary responsibility to check and test the effectiveness of controls for their risks. The roles and responsibilities for risk owners are clearly set out in the **Risk Management Framework guidance**. Risk owners must be a member of the Chief Officer Group or Senior Leadership Team at a business group / BCU / OCU level. They:

- provide leadership to the risk management process;
- hold risk leads to account and provide strategic steer and direction where appropriate;
- review and monitor risks;
- ensure learning is shared and acted upon.

Risk leads play an important role in the risk management process and act on behalf of the risk owner to lead on the analysis of the risk. They:

- lead to ensure that individual risks are analysed appropriately and understood;
- have an awareness of relevant risk controls even if they are not directly under their line management;
- monitor to ensure that controls are progressed appropriately;
- review the risk area regularly to assess likelihood of occurrence and potential impact of the risk;
- raise issues of concern with the risk register owner (via the risk owner);
- ensure aspects of learning are progressed.

At a local and business group level, risks (and the effectiveness of the controls) are discussed at SLT meetings and / or discrete risk meetings i.e. Frontline Policing Risk Board.

1.2. Corporate risk meetings such as Risk and Assurance Board, Health, Safety and Wellbeing Board and Portfolio Investment Board provide a higher level of scrutiny for risks. Board members (internal or external e.g. MOPAC) seek assurance from risk owners on the effectiveness of controls, risk scores and trend at these meetings. If assurance is not forthcoming, board members will task risk owners to provide more information or carry out additional work.

1.3. We are currently progressing assurance mapping work (probably within the Continuous Policing Improvement Command (CPIC)) that would help support and challenge the effectiveness of controls with leads; a separate note detailing was provided to Audit Panel.

1.4. Alongside these measures, within Corporate Services and through the annual discussions with Management Board members, areas of risk where additional assurance is sought – or where confidence is lower - , are identified for inclusion in the annual Audit Plan.

2. Corporate risk update

- 2.1. A summary of the Met's corporate risk register, which sets out the significant short and long term risks, is attached at **Appendix A**. We have provided information on five of the risks at **Appendix B** including risk appetite and the key controls in progress to improve the position of the risk. It sets out the status of those controls and provides an overall assessment on the progress being made towards achieving the 'target score' with four possible options: On Track; Limited; Slipped and No progress. Detailed templates for all risks can be provided if required.

Risk position update – 1st quarter

- 2.2. Over the last quarter, ten risks are reported as progressing 'on track' and two risks are reporting an improving trend:
- IT enabled business change (risk 2);
 - Capability (risk 5)

No risks have improved their risk score.

Two risks are reporting 'limited' progress – these are two technology-based risks:

- Technology (risk 7);
- Cyber (risk 11)

'On track' risks to note are:

- 2.3. IT enabled business change (risk 2) - Over this reporting period, the SROs for CONNECT and Command and Control have commissioned some external assurance to inform project management:
- For CONNECT, the review provided considerable assurance of the programme management structure, including its ability to identify and manage risk. Drop 1 remains on track for delivery in November 2022.
 - For Command and Control, the project team has developed an action plan to address the issue raised in assurance; including (1) Reset / realignment of delivery principles; (2) Strengthen collaborative approach; and (3) Focus execution/programme health using data.
- 2.4. Capability (risk 5) - The corporate Learning Management System (LMS) went live on 22 August (learning module only). It brings together all learning records, course bookings, training (including NCALT and LinkedIn Learning) and certifications together under a single integrated platform; a phased approach will continue to bring on-line other elements of the LMS. This includes the interface with the Firearms Asset Management System but this will not go live in 2023 due to complexity of work and the need to align with AMS implementation.
- 2.5. The Risk and Assurance Board Chair challenged the Risk Owner on whether the overall trend is one of 'improving'. The Risk Owner was resolute that the trend is one of improving, stating that the LMS is a significant control for this risk and is one area that HMICFRS has referred to across a number of

inspection reports as vital to provide confidence that we are efficient in meeting current and likely future demand and reducing risk.

‘Limited’ risks to note are:

- 2.6. **Technology (risk 7 – long-term):** Limited progress is reported this quarter due to the recent change in leadership of the key controls and in DP, plus the high abstraction period for the summer. The Risk and Assurance Board Chair questioned the (newly appointed) Risk Owner about some the control activity implemented over the summer (significantly the Digital and Data Strategy) and asked what other measures of internal control are in train to support improvements in this risk. These were discussed and the Chair and board members were assured that coordination will be through a new strategic governance board that will also manage any technical interdependencies.
- 2.7. **Cyber (risk 11 – long-term):** As with the previous risk, the limited progress was predominantly due to the availability of key individuals to submit a full update. The Risk and Assurance Board Chair raised concerns to the Risk Owner about the quality of the update provided and other members queried the efficacy of the controls identified suggesting that causal factors related to the ‘Grey Estate’, and the associated control activity, were missing. The Risk Owner agreed to re-scope the risk in its entirety (including controls) before the next Risk and Assurance Board so that a meaningful update can be provided.
3. **Equality and Diversity Impact**
Individual control owners should ensure that their work to prevent and mitigate corporate risk has a positive race and diversity impact. Equality impact assessments will be undertaken on significant programmes of work.
4. **Financial Implications**
It is anticipated that the costs associated with the areas of work identified in the register will be met from the relevant unit’s staff and officer budgets. Any funding required over and above these existing budgets will be subject to the normal MOPAC/Met governance approval and planning processes.
5. **Legal Implications**
There are no direct legal implications arising from the recommendations contained in this report. Regulation 3 of the Accounts & Audit Regulations 2015 requires both the MOPAC and the Commissioner, as relevant authorities, to ensure that they have a sound system of internal control, which includes effective arrangements for the management of risk.
6. **Risk Implications**
The corporate risk report assists the Met to manage and track risk to the achievement of organisational objectives focusing particularly on whether controls are fit for purpose and manage risk areas as intended.
7. **Contact Details**
Report author: Tracy Rylance, Strategy & Governance

8. Appendices and Background Papers

Appendix A – Summary of corporate risks post RAB refresh – October 2022

Appendix B – ‘Road to target’ assessments for example corporate risks – October 2022 – Official Sensitive

SHORT-TERM

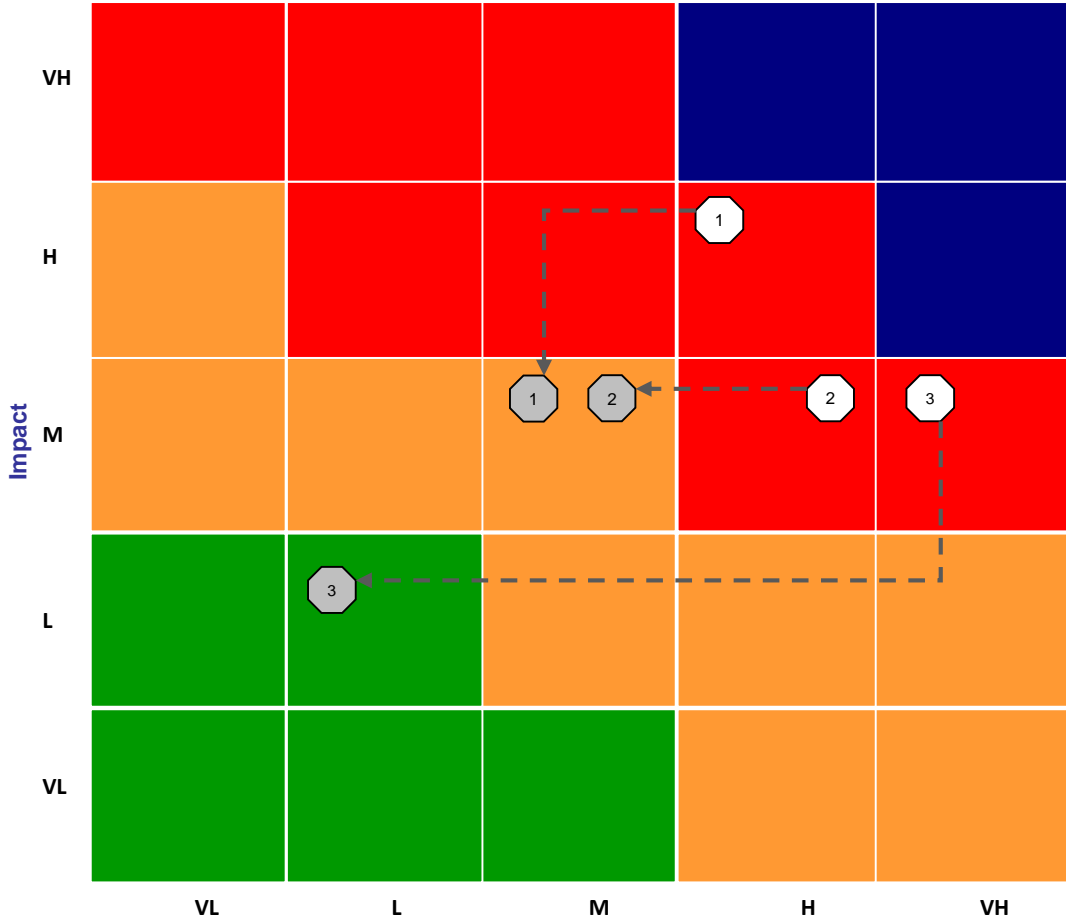
Ref	Risk Trend	Risk Description	Risk Owner	Working Lead(s)	Target position
1 H v H	↔	PEOPLE (Growth) Failure to meet FY 2022/23 growth target	Interim Director of Resources	T / HR Director	M v M
2 H v M	↓	IT ENABLED BUSINESS CHANGE Failure to successfully deliver CONNECT and Command & Control significantly undermining operational delivery	Chief Digital and Technology Officer	DAC Transformation	M v M
3 VH v M	↔	STANDARDS Public confidence in policing in London is further undermined by the reality and perception of professional standards in the Met	AC Professionalism	DAC Professionalism	L v L

LONG-TERM

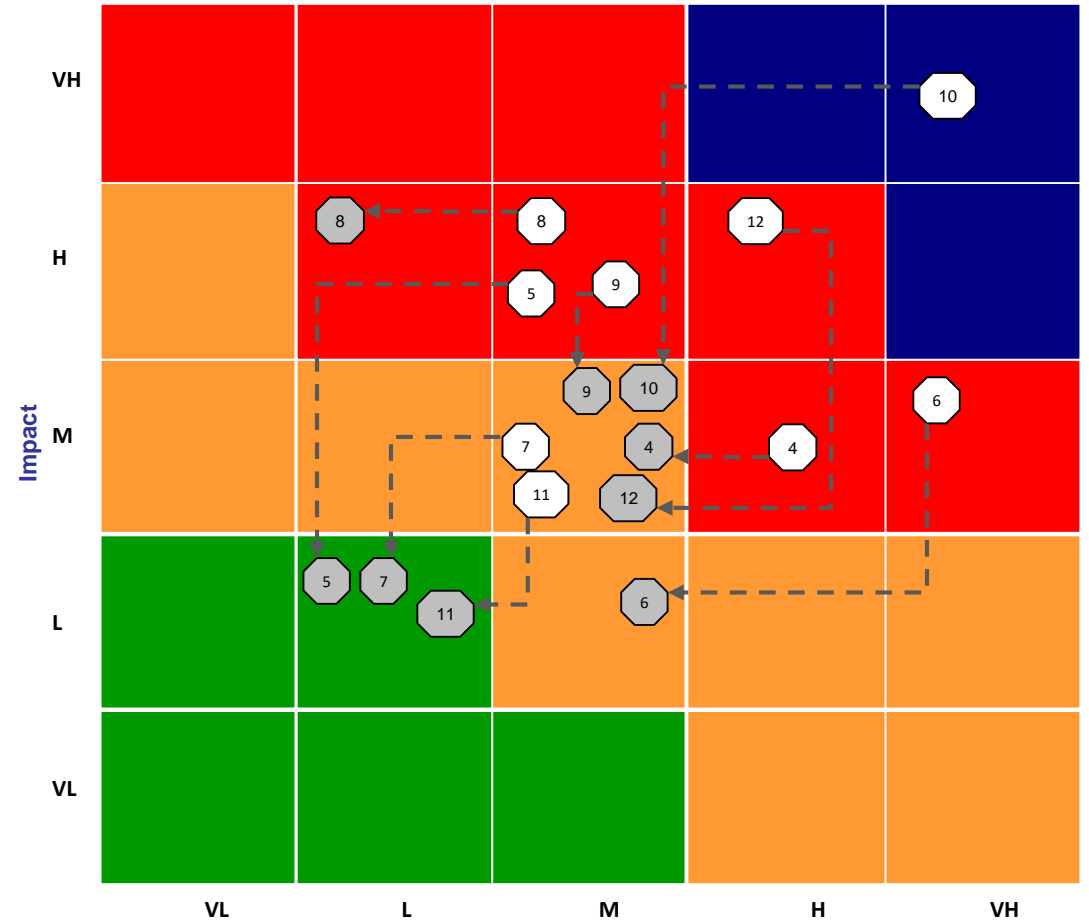
Risk Trend key - Improved (↓), Worsened (↑) or is Unchanged (↔)

Ref	Risk Trend	Risk Description	Risk Owner	Working Lead(s)	Target position
4 H v M	↔	PEOPLE Failure to attract, recruit and retain a diverse and representative workforce and support their progression within the organisation	Chief of Corporate Services	T / HR Director	M v M
5 M v H	↓	CAPABILITY Failure to ensure our workforce is appropriately skilled to deliver effectively in a changing environment	AC Professionalism	Director Learning	L v L
6 VH v M	↔	PEOPLE (Competency / Capability gap) The level of inexperience or lack of confidence alongside stretched or the lack of supervision leads to service failures	AC Frontline Policing	Commander Local Policing Head of HR Service Delivery	M v L
7 M v M	↔	TECHNOLOGY Lack of a clear roadmap and sufficient capabilities at all levels means we don't fully exploit digital and data	Chief Digital and Technology Officer	Digital Policing Directors Director Strategy & Governance Transformation Director Director of Commercial Services Heads of Profession	L v L
8 M v H	↔	CRIME PREVENTION Insufficient and ineffective crime prevention fails to prevent victimisation and undermines community confidence in policing	AC Professionalism	Head of Profession – CP, Inclusion & Engagement	L v H
9 M v H	↔	PUBLIC & LOCAL ENGAGEMENT Our diversity and inclusion initiatives, communication and engagement activities do not have the positive impact sought in raising confidence amongst Black communities and other groups where a confidence gap exists	AC Professionalism	Head of Profession – CP, Inclusion & Engagement	M v M
10 VH v VH	↔	LEGITIMACY Legitimacy in the Met is undermined by a range of internal and external factors	Commissioner	AC Professionalism	M v M
11 M v M	↔	CYBER A lack of appropriate security controls could lead to a compromise in any of if not all CIA (confidentiality, integrity, accessibility). This 'troika' would cause catastrophic damage to the MPS.	Chief Digital and Technology Officer	Head of Security Delivery & Secure Architecture	L v L
12 H v H	↔	CRIMINAL JUSTICE Inability to influence external issues related to Criminal Justice system leading to sub-optimal performance	AC Met Ops	Cmdr Criminal Justice	M v M

SHORT-TERM HEAT MAP



LONG-TERM HEAT MAP



Alignment with Met Direction pillars

Focusing on what matters most to Londoners			8	
Mobilising partners and the public				
Achieving the best outcomes in pursuit of justice and in the support of victims			12	
Seize the opportunities of data and digital tech to become a world leader in policing		7, 11	2	
Care for each other, work as a team and be an attractive place to work			1	
Learn from experience, from others and constantly strive to improve			5, 6	
Be recognised as a responsible, exemplary and ethical organisation			3, 4, 9	10