

## AUDIT PANEL

### Friday, 22 September 2017

## Met Risk Management Report

Report by: The Deputy Commissioner

### **Report Summary**

#### ***Overall Summary of the Purpose of the Report***

This report provides a high level overview of the Met's corporate risk register focussing on new risks and those that have improved or worsened over the last quarter.

#### ***Key Considerations for the Panel***

Two of our new risks have been further scoped this quarter and information is provided in the report to allow consideration of these. Other changes to risks are:

- The information management risk is worsening.
- Controls for the safeguarding and demand management risks have improved.
- One new risk around fair treatment is added to the register.

#### ***Interdependencies/Cross Cutting Issues***

- The Met's governance implementation plans reported in a separate paper to this meeting include significant controls for some of our risks.
- Information from this report informed the Joint Met/MOPAC risk paper.

### **Recommendations**

The Audit Panel is recommended to:

- a. consider the Met's key risks and whether appropriate governance is in place to ensure these are effectively managed.

## 1. Supporting Information

- 1.1. An overview of the Met's corporate risk register is attached at **Appendix 1**. This risk register sets out the key risks that will prevent the Met from achieving its objectives and was discussed by Risk & Assurance Board on 05 September 2017.
- 1.2. Two of our risks (safeguarding and demand management) are shown as improving this quarter. Whilst the scores have not changed in terms of likelihood and impact the control environment for both risks is improving. Key controls include the appointment of a Head of Profession for Safeguarding at Commander level and the implementation of a clear framework around this and a comprehensive demand mapping exercise being carried out in the Met change team.
- 1.3. Risks around capability and insight – two risks identified in the 2017 risk register refresh - have been scoped over the last quarter and are set out below.
- 1.4. **Capability:** We need to do more work to understand the residual risks and key controls for this risk but have found a number of challenges relating to:
  - Conflicting and competing demands to deliver training;
  - How training bids are evaluated;
  - The qualifications/skills of our trainers;
  - The national curriculum for police officers.
  - The quality of our investigations.
- 1.5. There are wider issues which we have yet to scope in detail which were identified during the risk refresh. These included legacy issues from major change, a challenging London market and our exit/entry strategies.
- 1.6. **What are we doing to fix this?** We are:
  - Rolling out the Leading for London programme from the autumn.
  - Reviewing our training unit.
  - Exploring opportunities to reshape our workforce through initiatives such as Police Now, Direct Entry and outsourcing to centres outside of London.
  - Continuing to be innovative in addressing our detective shortfall and have good governance in place around this.
  - Actioning plans to address some of our capability issues in Met CC.
- 1.7. **Insight:** Whilst there is work ongoing to improve our insight capability it is not currently brought together in one place and probably doesn't form the "whole" solution.
- 1.8. **What are we doing to fix this?** Current controls for this risk include:
  - A programme of work that is reshaping our performance service: rationalising the number of performance reports, creating refreshed and easy to locate intranet dashboards (including the new Safeguarding

Dashboard) and increasing the time analysts spend on generating insight.

- Exploring how other forces (such as Avon and Somerset Police) have made use of smart analytics and how this could be applied in the Met as our technology changes.
- The scoping of a Met wide strategic insight function.
- The introduction of an Organisational Learning Board chaired at AC level that will consider our research priorities and organisational learning processes.

1.9. The **Information Management** risk is trending upwards this quarter. This is not a new risk and Management Board spent some time considering the issues around this area during a deep-dive in March. Whilst these are challenging issues that will take some time to solve, the risk is again trending upwards this quarter - although not enough to change it's scoring. This is because:

- The IT systems managing FoIA and Data Protection requests and our paper records are old and fragile, and present a risk to compliance. We are scoping the possibility of new systems, but no replacement plans or funding are yet in place.
- The Met remains under monitoring by the Information Commissioner's Office (ICO) as, despite concerted action, we continue to fail to achieve the statutory time limit of 20 working days for at least 90% of requests FoIA.
- The Met is not currently MoPI compliant: in March 2018, we are supposed to be deleting electronic files – this is unachievable whilst we do not have POLE review of records and a deletion capability. There is a reliance on MiPS and the Information Futures programme to enable MoPI reviews.

1.10. **What are we doing to fix this?** A significant number of controls are in place to manage this risk, the detail of which is managed by the Information Assurance and Security Board chaired at AC level. Risk & Assurance Board discussed the risk and agreed to review their risk appetite in this area.

1.11. One **new** risk has been added to the Met's risk register this quarter. This is: "failure to demonstrate fair treatment resulting in a loss of confidence in our legitimacy and ability to keep London safe with key stakeholders including communities, our partners and our staff". This risk will be scoped over the next quarter.

1.12. Audit Panel is invited to consider the Met's key risks and whether appropriate governance is in place to ensure these are effectively managed.

## 2. **Equality and Diversity Impact**

Individual control owners will ensure that their work to prevent and mitigate corporate risk has a positive race and diversity impact. Equality impact assessment will be undertaken on significant programmes of work.

**3. Financial Implications**

It is anticipated that the costs associated with the areas of work identified in this report 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.

**4. 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.

**5. 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.

**6. Contact Details**

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**7. Appendices and Background Papers**

**Appendix 1** – Met risk register and summary reports (Restricted)