

## AUDIT PANEL

### Friday, 22 September 2017

## Met Audit and Inspection Report

Report by: The Director of Strategy & Governance

### **Report Summary**

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

This report provides an update on:

- The exercise to review all open actions from DARA audits since April 2015;
- HMIC inspection activity with a particular focus on the national child protection inspection and the PEEL inspections.

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

The Panel may wish to consider:

- the latest position around our internal audit data and the improving governance of this area;
- the conclusions of HMICFRS's latest update regarding the National Child Protection Inspection.

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

- The work being undertaken to "clean" our internal audit data and improve the governance around this is linked to our governance improvement plans.
- Actions being taken to address the findings of HMIC's Child Protection report are significant controls for the safeguarding risk reported in the Met's risk report.

### **Recommendations**

The Audit Panel is recommended to:

- a. Note the continuing progress to "clean" our internal audit data and the improving governance position around this.
- b. Note HMICFRS activity.

## 1. Supporting Information

1.1. This report provides an update on:

- The exercise to review all open actions from DARA audits since April 2015;
- HMIC inspection activity.

### Internal audit update

1.2. Over the last quarter Met Management Board leads have received a report of all open internal audit risks for their business areas. We have updated our action tracker; the tables on below show the current position in relation to actions in progress and overdue for initial and follow-up audits.

1.3. **Table 1:** This table provides a breakdown of risks from initial audits in progress by business area, as at the end of August 2017.

Audits				
	Apr 15 - Aug 17	Sept onwards	Ongoing	Comment
Commercial & Finance	0	15		Actions ongoing from 4 audits all are within date
Digital Policing	0	6		Actions ongoing from 1 audit all are in date
DMC	0	4		Actions ongoing from 1 audit all are in date
Legal	0	0		No open audits
People	3	24	2	Work is ongoing against 6 audits. The 3 overdue actions relate to the Performance Management Framework - Senior Police Officer audit. 2 open actions from other audits do not appear to have agreed deadlines
Professionalism	13	30		Work is ongoing against 5 audits. 8 of the overdue actions relate to the External Training and Development audit, 3 from the Police Officer Discipline Framework, 2 from the Data Security Assurance Framework audit
SCO	0	11		Work is ongoing against 2 audits, all actions are in date
S&G	0	0		No open audits
SO	0	0		No open audits
TP	16	2		Work is ongoing against 4 audits, all appear to have overdue actions
Transformation	0	20		Work is ongoing against 3 audits, all actions are in date

1.4. **Table 2:** This table provides a breakdown of risks from follow-up audits in progress by business area, as at the end of August 2017.

Follow-up Audits				
	Apr 15 - Aug 17	Sept onwards	Ongoing	Comment
Commercial & Finance	2	9		Actions ongoing from 3 follow-up audits, the 2 outstanding actions relate to the Estates and Digital Policing strategy interdependencies. Progress is significant for both actions but not yet complete.
Digital Policing	0	0		No open follow up audits
DMC	0	1		Work ongoing against 1 follow up audit
Legal	0	0		No open follow up audits
People	6	2		5 outstanding actions relate to the Workforce Data and Deployment audit, 1 is from the Police Officer Recruitment audit and is related to the date of SSCL go live
Professionalism	13	7	1	Work is ongoing against 8 follow up audits. 5 of the overdue actions relate to the ICT Access and Security - Key Applications audit, 5 relate to the Strategic Planning for Training audit, 1 from the Complaints Management Framework audit, 1 from the Management and Control of Inventories audit, 1 from the Vehicle Fleet Maintenance Framework audit
SCO	21	9	2	Work is ongoing against 9 follow up audits with outstanding actions against most.
S&G	2	10		Work is ongoing against 3 follow up audits. The 2 outstanding actions relate to the Corporate Risk Assessment and Management Framework audit
SO	0	1		Work ongoing against 1 follow up audit
TP	33	5		Work is ongoing against 7 follow up audits. 18 outstanding actions relate to the Partnership Framework audit
Transformation	0	0		No open follow up audits

1.5. Key points to note from the review are:

- HQ units and SO appear to have some good processes in place to ensure that audit actions are tracked and on target. Where they are overdue they are generally reported to SLTs and there is an awareness of overdue actions and the reasons for these.
- Updates for a few audits are still outstanding so our figures will continue to change throughout September as we continue to work with audit leads to understand why actions are out of date or how they are progressing and to agree the closure of obsolete actions with DARA.
- TP, SC&O and Professionalism have a high number of overdue actions and attract a high number of actions from follow-up audits. We are working with these business groups to improve their processes and ensure that we have an understanding of why some actions are overdue.
- As an example, TP has extended its Risk Board to include assurance information (becoming a Risk & Assurance Board) and have invited DARA to attend to provide updates on the work that they are undertaking. This will raise the visibility of DARA activity across the command team, give clear direction around audit leads and sign off of actions.
- The first of these meetings will take place on 11 September 2017 (nb: papers are submitted for Audit Panel on 08 September). Tracking of actions will take place through the TP Risk & Assurance Board and it will provide a forum for ACTP to hold audit leads to account for delivery to approved timescales.
- We will be working with DARA in September to verify that they are content with the actions that we have closed during this process and to set up a formal process for closure of follow-up actions and extensions to original timelines if required.

- Once the new processes are agreed the Met's Risk & Assurance Board will receive reports of actions that are more than 3 months overdue enabling leads to be held to account for delivery more effectively.

- 1.6. Audit Panel is asked to note the continuing progress to “clean” our internal audit data and the improving governance position around this.

#### **HMICFRS update**

- 1.7. In August, HMIC changed its name to HM Inspectorate of Constabulary and Fire & Rescue Services (HMICFRS) in recognition that it now inspects this area.
- 1.8. In June Audit Panel requested that the outcome of the **HMIC PEEL Efficiency and Legitimacy Inspection** carried out in May and any actions arising from it; be reported to the meeting. . It is anticipated we will receive the draft report to conduct pre-publication checks by mid-September with the final report being published in November 2017. We have no further information at the current time on content over that provided to the June meeting of Audit Panel.
- 1.9. HMICFRS begin their **National Child Protection Re-inspection** on 11 September for a 2 week period. On 10 August HMICFRS has published their quarter 2 update reviewing the Met's progress against the recommendations from the 2016 National Child Protection Inspection (NCPI). This quarter's activity focussed on the outcomes of improvement activity and the work of our Child Protection inspection team.
- 1.10. They concluded that:  
*“Despite the scale and complexity of the challenges faced by the force, HMICFRS is pleased that progress has been and continues to be made in some important areas. We also note that several of the actions identified will take time to become part of routine practice and demonstrate significant improvements. However, HMICFRS is concerned that in other equally critical areas progress is less apparent, with limited evidence that the activity the force is undertaking is meeting the objectives of its own action plan or leading to tangible improvements in practice.*

*HMICFRS is somewhat encouraged that the force's newly established internal auditing processes were identifying many of the same issues. However, we were concerned to find little evidence of senior leaders using this information to make tangible changes to operational practices and improve the nature and quality of decisions to protect children”.* The full report can be found here:

[www.justiceinspectorates.gov.uk/hmicfrs](http://www.justiceinspectorates.gov.uk/hmicfrs)

- 1.11. The Child Protection Gold Group chaired by DAC McNulty continues to address issues highlighted in the report published on 25 November 2016 through a comprehensive action plan.
- 1.12. The **PEEL Effectiveness Inspection 2017** will take place between 9 and 20 October 2017. The cross-over between the vulnerability question of PEEL Effectiveness and the NCPI inspection is such that despite an improved

position regarding safeguarding, we think we're unlikely to receive a grading any higher than "requires improvement" and there is a significant chance our grading could still be "inadequate". Action plans from the previous inspection published in March are being reviewed in preparation for the inspection and there are no significant concerns to raise.

1.13. Audit Panel is asked to note HMICFRS activity.

**2. Equality and Diversity Impact**

This paper outlines the findings of audit and inspection activity across the Met. Any significant programmes of work undertaken to implement recommendations will be subject to equality impact assessment.

**3. Financial Implications**

There are no direct financial implications arising from this report. Any additional financial implications from the findings of audits and inspections will be subject to Met investment processes.

**4. Legal Implications**

There are no direct legal implications arising from this report.

**5. Risk Implications**

Audits and inspections can highlight significant corporate risks. These are analysed by the Insight Team and included in the Met's risk management framework where applicable. This paper has no direct health and safety implications.

**6. Contact Details**

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**7. Appendices and Background Papers**

None

