

**MOPAC**MAYOR OF LONDON  
OFFICE FOR POLICING AND CRIME

# MPS-MOPAC JOINT AUDIT PANEL

## 27 July 2020

### Met Risk Management Report

Report by: Chief of Corporate Services

Non restricted paper

#### **Report Summary**

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

This report provides Audit Panel with a synopsis of the annual corporate risk register refresh process, outlines the new register for 2020/21 and the process to ensure progress is made to manage the risks.

Risk and Assurance Board discussed and approved the outcome of the annual refresh at its meeting on 4 June. This was formally noted at Strategic Management Board on 9 July.

In terms of progress against our corporate risks, six risks are assessed to be 'amber'. Three are reported as 'limited' and three 'slipped'; the Covid-19 pandemic is the primary cause for this position for five risks. For the 6<sup>th</sup> risk, technology, movement is dependent in part on a cultural shift to improve appetite from the business to drive innovation and achieve the full support with others across the organisation.

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

Risk and Assurance Board agreed the themes from the 2019/20 register remain broadly valid. The key themes identified from the refresh process were connected to varying degrees to the impact of the Covid-19 pandemic on existing areas of risk: funding, relationships with our workforce and communities, as well as crime levels and our impact in tackling violence feature prominently.

Two new thematic areas - CONNECT and Estates - were identified and following discussion and agreement at Risk and Assurance Board were added to the corporate risk register.

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

- Our Covid-19 response has delayed some non-critical control activity for our corporate risks; where control activity has been able to be delivered in an alternative way, this has been done.
- 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 these are effectively managed.

### Corporate risk refresh approach

- 1.1. The corporate risk refresh process took place in April and May 2020. As per previous years, this involved interviewing all members of Management Board and a number of Level 2 leaders. Due to the pandemic, but also because of the in-depth work carried out during last year's process, our approach this year was more 'light-touch'. However, this did not impact on the quality of the information obtained. The thematic areas were broadly found to be still relevant. As a consequence, following our analysis, there was no seismic shift away from the themes of last year's risk register.
- 1.2. We have maintained the premise of both short and long-term risks and have built in the learning from the process over the last year to enhance Risk and Assurance Board's oversight. Specifically for short-term risks<sup>1</sup>, we are ensuring that the risk descriptions and the proposed controls are sharper, as these are the risks we want to control within the next 12 months. The application of quick, robust and strong preventative controls are key to managing these risks.
- 1.3. The target positions are reflective of a realistic position for the risk to reach within that time frame. The ambition is to ensure that our activity drives down the risk so that the target positions are achieved within the 12-month timeframe. It will then be determined whether the tolerance level for the risk has been achieved, or if more can be done to further reduce the risk.
- 1.4. The definition of a long-term risk remains the same - *those that are of most concern to the delivery of the Met Direction up to 2025* – recognising we may not be able to put in place all necessary controls within the next 12 months. The preventative controls for these risks may require more innovation or investment, and movement towards the target position may be slower.
- 1.5. Each risk owner must specify their progress against the controls. Those that report slipped, limited or no progress over the quarter, are required to provide a response to Risk and Assurance Board as to why.
- 1.6. Risk and Assurance Board discussed and approved the annual refresh at its meeting on 4 June. Following the refresh, a total of 6 risks were either remitted to a governance board i.e. Data Board, or closed. Two new risks were opened related to CONNECT and Estates. There are now 17 risks (8 short-term and 9 long-term). A summary of the Met's refreshed corporate risk register, which sets out the significant short and long term risks, is attached at **Appendix A**.
- 1.7. By way of examples, **Appendix B** provides information on four of the risks 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. For all risks, each risk owner and working lead has reviewed their risk area and agreed the controls shown in the template at **Appendix B**. Detailed

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<sup>1</sup> Short-term risks are defined as those of immediate concern. Some are rendered more acute by a number of existing issues identified in various parts of the organisation - or have the potential to manifest within the next 12 months.

templates for all risks can be provided if required, but at previous Audit Panels it was felt better to focus discussion on key areas, hence enclosing these four for this meeting.

**Risk position update**

- 1.8. There are six risks that are assessed to be 'amber' in terms of progress for this first report of the new register to the Audit Panel. It should be noted that only one risk (Money - risk 7) is a new risk on the refreshed risk register.
- 'Slipped' risks to note are:**
- 1.9. **Money (risk 7 – short term)**  
**Public and Local engagement (risk 10 – long-term)**  
**Legitimacy (risk 16 - long-term):**  
 Effective control activity for all three of these risks have been particularly impacted by delays caused by the Covid-19 pandemic. Additionally, in relation to Risk 16 specifically, this risk is intrinsically linked with the short-term Public and Local engagement (risk 9) where there has been a wealth of engagement during this period which has been focused on the pandemic response and the Black Lives Matter movement.
- 'Limited' risks to note are:**
- 1.10. **Violent Crime (risk 1 – short-term):** The Met, MOPAC and the Violence Reduction Unit are continuing to work together to progress the identified controls and these are being reviewed on a quarterly basis. However, due to the onset of the pandemic, the launch of 'Schools Watch' - which is a significant control - has been delayed. In light of this, different ways in which children can be reached and to keep them safe have been adopted i.e. more online / domestic violence engagement being two options.
- 1.11. **People (risk 11 – long-term):** Whilst control activity for 'attraction' and 'recruitment' continues, these two areas have been somewhat impacted by the pandemic which has required a different approach i.e. switching to digital formats rather than face to face. These are not insurmountable challenges, but coupled with a change in public concerns, progress this quarter is limited.
- 1.12. **Technology (risk 18 – long term):** There has been limited progress against this risk and the position is unchanged. The target score (Low likelihood v Low impact) will only be achieved with a cultural shift to improve appetite from the business to drive innovation and achieve the full support with others across the organisation and MOPAC to implement a control structure that supports rapid delivery. Timescales for implementing controls remain to be determined. Following the refresh process, work is being done to identify some short-term controls to help drive this risk towards its target position; we have used the pandemic to make more rapid progress in some areas including the use of video conferencing across and outside the organisation with partners such as those within the criminal justice system. This will continue to be built upon to enhance the positive outcomes.

**2. 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.

**3. 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.

**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 A** – Summary of corporate risks and heat maps – July 2020

**Appendix B** - 'Road to target' assessments for example corporate risks – July 2020  
– Official Sensitive

## SHORT-TERM

Ref	Risk Trend	Risk Description	Risk Owner	Working Lead(s)	Target position
1 VH v VH	New	<b>VIOLENT CRIME</b> Our efforts with partners and communities fails to sustainably reduce violent crime	AC Frontline Policing	Head of Profession – CP, Inclusion & Engagement	M v M
2 M v VH	New	<b>WELLBEING</b> Failure to look after the wellbeing of our staff at a time where usual working practices are challenged (due to Covid-19), leading to a lack of employee confidence, poorer engagement and poor performance	Chief of Corporate Services	Director of HR	L v VH
3 M v H	New	<b>CONNECT</b> Implementation of CONNECT severely undermines operational performance	AC Frontline Policing	SRO CONNECT Programme	L v M
4 L v H	New	<b>BREXIT</b> New post-BREXIT arrangements for cross-border cooperation are inadequate to manage the risk posed by dangerous offenders in London	Deputy Commissioner	DAC Operations	L v H
5 M v H	New	<b>GOVERNANCE</b> Failure to enable BAU and drive change and innovation in an agile way with proportionate controls which provide MB with the assurance they need on the effective use of public money	Chief of Corporate Services	Director of Strategy and Governance	L v L
6 H v H	New	<b>ORGANISATIONAL AGILITY</b> Failure to be organisationally agile	Deputy Commissioner	DAC Professionalism / Director of Strategy & Governance	M v H

# Appendix A - Corporate risk register July 2020 – post refresh

## SHORT & LONG-TERM

Ref	Risk Trend	Risk Description	Risk Owner	Working Lead(s)	Target position
7 H v H	New	<b>MONEY</b> <b>(SHORT)</b> High risk of overspend as a result of currently unfunded Covid-19 costs, risks of lost income; and other in-year pressures, with inadequate mitigations to cover all risks, could require disruptive action to control spending in the latter half of the year which impacts adversely on performance	Chief of Corporate Services	Head of Finance	L v L
8 H v H	New	<b>MONEY</b> <b>(LONG)</b> Highly unpredictable financial outlook undermines ability to plan effectively; coupled with an inadequate efficiency strategy at present, risks undermining operational performance and sub-optimal decision-making		Head of Finance / Director of Strategy and Governance	M v L
9 VH v H	New	<b>PUBLIC &amp; LOCAL ENGAGEMENT</b> <b>(SHORT)</b> Failure to engage effectively to address appropriate priorities and manage community expectations taking into consideration Covid-19 impacts and policing related issues of concern connected with Black Lives Matter which will have a negative impact on public confidence and policing legitimacy and undermine our ambition to reduce the confidence gap between London's communities	AC Professionalism	HoP – CP, Inclusion & Engagement	M v M
10 M v H	New	<b>PUBLIC &amp; LOCAL ENGAGEMENT</b> <b>(LONG)</b> Failure to engage effectively to address appropriate priorities and manage community expectations will have negative impact on public confidence and policing legitimacy			M v M

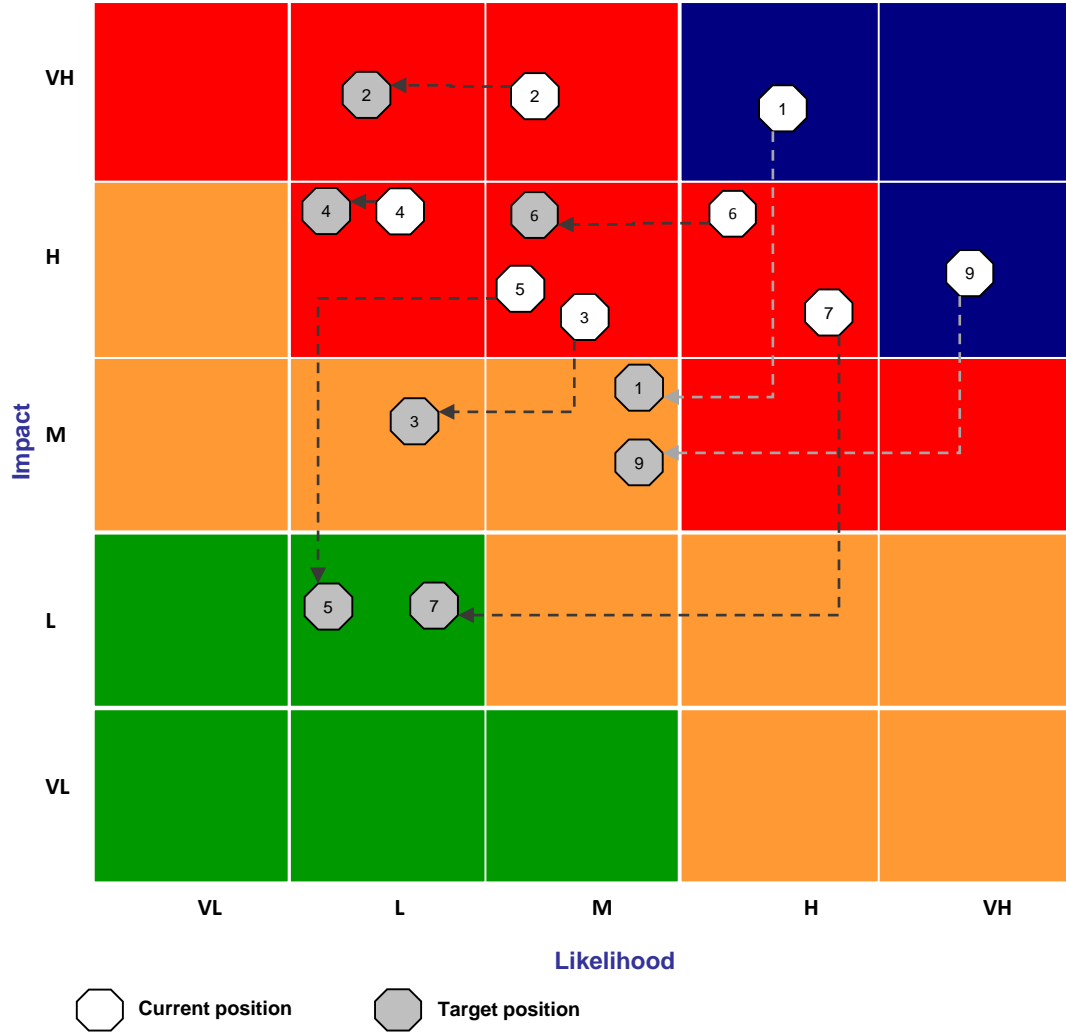
# Appendix A - Corporate risk register July 2020 – post refresh

## LONG-TERM

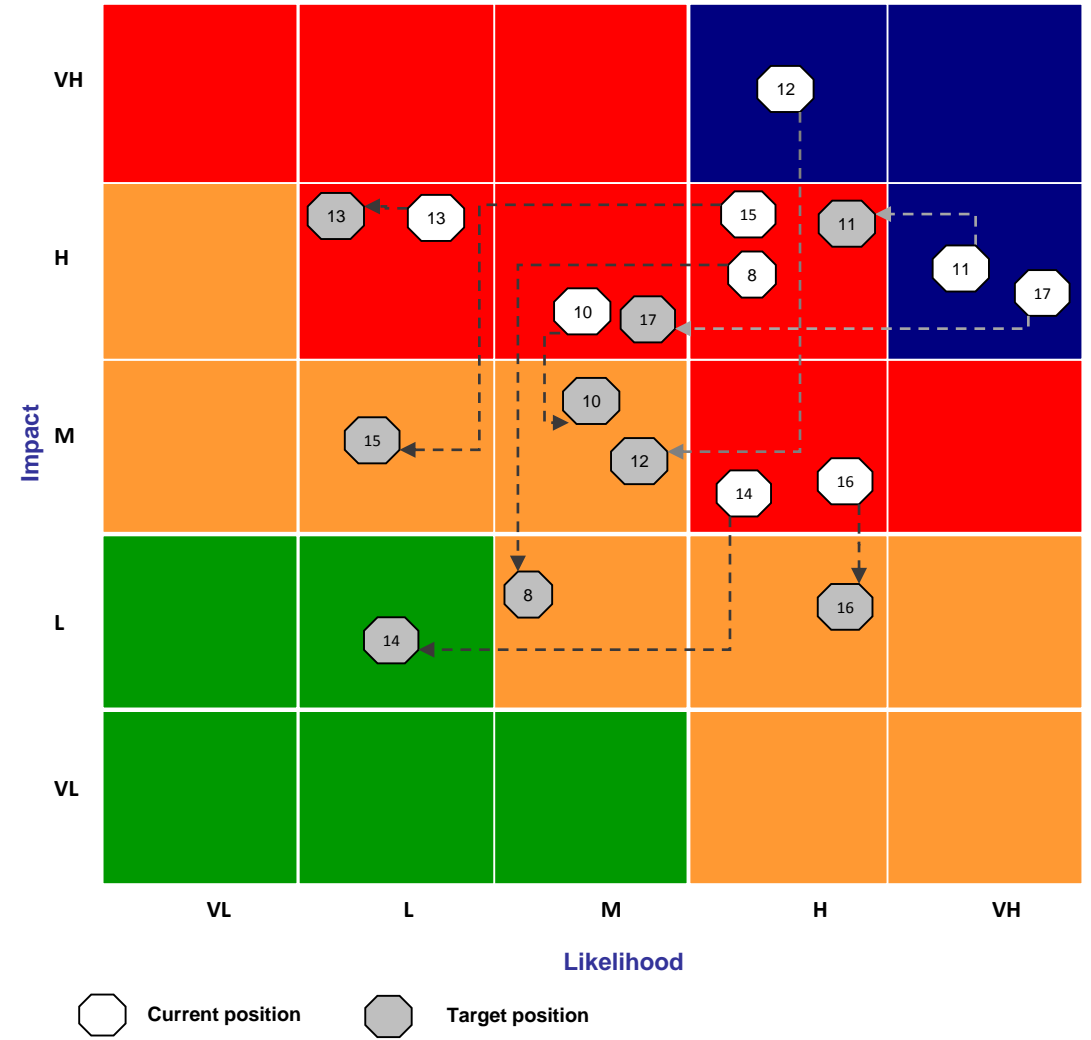
Ref	Risk Trend	Risk Description	Risk Owner	Working Lead(s)	Target position
11 VH v H	New	<b>PEOPLE</b> Failure to attract, recruit and retain a diverse and representative workforce and support their progression within the organisation	Chief of Corporate Services	Director of HR	H v H
12 H v VH	New	<b>CAPABILITY</b> Failure to ensure our workforce is appropriately skilled to deliver effectively in a changing environment	AC Professionalism	Director Learning	M v M
13 L v H	New	<b>COVID-19</b> Met Service delivery fails as a result of sustained disruption caused by Covid-19	AC Mark Simmons Management Board Lead	DAC Operations	L v H
14 H v M	New	<b>TECHNOLOGY</b> Conservative approach to implementing technology impedes delivery – reduces ability to capture benefits, in particular qualitative benefits, of technology.	Chief Information Officer	Digital Policing Directors Director Strategy & Governance Transformation Director Director of Commercial Services Heads of Profession	L v L
15 H v H	New	<b>CRIME PREVENTION</b> 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 M
16 H v M	New	<b>LEGITIMACY</b> Legitimacy in the Met is weakened because we fail to strike the right balance of ethical and effective policing in light of new and emerging tools and tactics	Deputy Commissioner	Head of Intelligence Cmdr Frontline Policing	H v L
17 VH v H	New	<b>ESTATES</b> Failure to adapt sufficiently to new ways of using our buildings results in higher estate costs than affordable; and / or budgetary caps on estates spending resulting in estates provision that doesn't align sufficiently to operational requirements	Chief of Corporate Services	Director of Property Services	M v H

# Appendix A - Corporate risk register July 2020 – post refresh

## SHORT-TERM HEAT MAP



## LONG-TERM HEAT MAP





## Alignment with Met Direction pillars

Focusing on what matters most to Londoners			4,13,15,	
Mobilising partners and the public			10	1
Achieving the best outcomes in pursuit of justice and in the support of victims				
Seize the opportunities of data and digital tech to become a world leader in policing			3, 14	
Care for each other, work as a team and be an attractive place to work			2	17
Learn from experience, from others and constantly strive to improve			5	12
Be recognised as a responsible, exemplary and ethical organisation			6, 7, 8, 16	9, 11