

MOPACMAYOR OF LONDON
OFFICE FOR POLICING AND CRIME

MPS-MOPAC JOINT AUDIT PANEL

28 March 2022

Director of Audit, Risk and Assurance

Progress Report

Report by: Director of Audit, Risk and Assurance, HIA for MOPAC and the MPS

Report Summary

This report summarises the work carried out by the Directorate of Audit, Risk and Assurance (DARA) since the Panel last met, which includes internal audit risk and assurance reviews, advisory work and counter fraud activity. There is also a forward look to planned activity for the coming quarter.

Key Considerations for the Panel

- Seven reviews have been concluded since the Panel last met, one rated substantial, two adequate, two limited and two advisory reports. A further nine reviews are at draft report and ten in progress.
- Key reviews concluded include; the follow up review of the Framework Supporting the Delivery of SIAM2, Specialist Operations Risk Management Framework, MOPAC Complaints Oversight and RRB Role, and Covert Asset Management and Police Property Act Fund (PPAF) both rated limited.
- Audits at draft report stage include; the Asset Management Corporate System, DP Control Environment – Grey Estate and follows ups of Vetting and Security Clearance, Information Management and the Commercial Framework. Key audits underway include; Predatory Offender Units, MOPAC Corporate Services, and the BCU Framework Supporting Operational Delivery.
- Key pieces of advisory work continued including, facilitating and advising on the development of the MOPAC Oversight Framework and SO Risk Management Framework, and supporting work within the Rebuilding Trust and Confidence Action Plan in liaison with DPS colleagues within the Met.

Interdependencies/Cross Cutting Issues

DARA review activity informs the MOPAC and Met Governance Improvement Plans being considered at this meeting and provides assurance on key areas of risk identified in the MOPAC and MPS risk assessments.

Recommendations

The Audit Panel is recommended to consider the outcome of DARA work undertaken to date and the status of current and planned activity.

Supporting Information

Audit Activity Undertaken

- 1.1. The outcome of the reviews concluded since the Panel last met are summarised in the **Appendix**, which also details counter fraud activity and advisory work undertaken. A further nine reviews are at draft report stage and ten underway.
- 1.2. Key reviews at draft report stage include; Fixed Asset Management, DP Control Environment – Grey Estate, MOPAC VRU Commissioning Framework and follow up reviews of the Cyber Security Framework, Information Management – Data Quality and Security and Vetting and Security Clearance.
- 1.3. Since the Panel last met a number of significant pieces of advisory work have continued providing advice to senior management in high priority/risk areas. As well as advising on the development of the MOPAC Oversight Framework submitted to this meeting of the Panel as part of the MOPAC governance update, the following advice and support has been provided.
 - Rebuilding Trust and Confidence – Operation Rainier
DARA continued to work alongside DPS colleagues as part of the review of current investigations into allegations of sexual misconduct and domestic abuse against Met officers and staff, to make certain that those who made the allegations are being properly supported, and the investigations are comprehensive. We are also supporting the dip sample of cases from the last 10 years where sexual misconduct and domestic abuse allegations have been made and those accused remain in the Met, to ensure that appropriate management measures (including vetting reviews) have been taken. This quarter in particular, advice has focussed on the analysis and reporting of key findings, including areas of learning identified and how these can be addressed.
 - Property Services - Next Generation Service Delivery Programme
In liaison with Property Services, DARA continue to advise on the governance, risk management and decision-making arrangements, communications, and business engagement and infrastructure in place to support the procurement and the transition to the new operating arrangements. The PSD Control Risk Self-Assurance (CRSA) framework has also been developed and is now owned and being taken forward by the SMT, helping to identify key process risks to delivery of Property Services strategic objectives and self- evaluate the controls and assurance mechanisms in place.
 - Specialist Operations (SO) Risk Management Framework
DARA worked alongside the SO Compliance and Assurance team to support the recent development and planned roll out of a cloud-based risk management solution (4risk). The risk management framework continues to develop and improve with governance structures, lines of accountability, roles and responsibilities and key processes clearly defined. Definition of a risk appetite for SO is to help inform risk assessments, mitigating actions, key decisions and future reporting to their Board. Clearer alignment of risk management and business planning activity will further support consideration of key risks to the delivery of agreed objectives. Several suggestions to further improve the

framework as it develops have been agreed and DARA will continue to work in liaison with SO colleagues as revised processes embed and mature.

- 1.4. In liaison with AC Frontline Policing, the preparation for the BCU programme has been finalised and fieldwork commenced at South East BCU. The BCU based approach will help evaluate demand and resource utilisation across a range of key activities and will consider the degree to which effective risk management, performance and assurance activity provides insight, informs decisions and supports the achievement of positive outcomes. Key operational areas to be reviewed include; violence reduction, partnerships, robbery, hate crime and VAWG. These areas have been prioritised over initial planned reviews of County Lines, modern slavery, mental health project and volunteers. Our BCU review activity will also inform the work being carried out by the Met in developing a Command Assessment Framework.
- 1.5. In the counter fraud area (**Appendix** refers), the 2020/21 National Fraud Initiative exercise is underway with 6,101 matches received, (743 pensions, 84 payroll and 5,274 Creditors). Work continues to investigate and resolve the matches with DARA having reviewed and cleared 6,033 matches, with a further 68 under investigation. DARA also continue to work in liaison with DPS colleagues in identifying areas for pro-active analysis in those areas of the business subject to increased risk of fraudulent activity.

Planned Activity for the Next Quarter

- 1.6. Reviews at draft report stage and underway will be finalised and work commenced on those reviews planned for the next quarter (**Appendix** refers). This includes; Crime Recording Assurance Framework, Aviation Command – Delivery Framework, MOPAC Budgetary Control Framework and advisory work on Managing Change – implementation of the Calam Recommendations.
- 1.7. DARA will continue to support and advise the MOPAC Change Programme and conclude on work supporting Op Rainier. DARA are also working with the Met Commander leading on the Rebuilding Trust and Confidence Plan in developing the Command Assessment Framework.

DARA Performance

- 1.8. To date work has been undertaken on 83% of the plan with 63% at report stage, 20% in progress/scoping and 17% planned - to inform the Annual Report to be presented to the Panel in July 2022. Time is being spent broadly as allocated across the areas of DARA activity. The planned review of the OCSAE Command has been postponed due to HMICFRS review activity currently underway and as referred to above areas for review at BCU have been reprioritised.
- 1.9. Plans to launch a Trainee Audit Scheme have been finalised with adverts about to be issued. Three vacancies remain, currently being covered by temporary agency provision, a recruitment campaign has commenced.

2. Equality and Diversity Impact

The MOPAC and MPS commitment to diversity and inclusion are considered in all activities carried out by DARA. The DARA work plan is designed to provide as wide a range of coverage of MOPAC and the MPS as possible.

3. Financial Implications

There are no direct financial implications arising from the report. There is a risk of loss, fraud, waste and inefficiency if agreed actions arising as a result of audit activity are not implemented effectively. Savings and recoveries made as a result of DARA activity enable funds to be better directed towards core policing.

4. Legal Implications

There are no direct legal implications arising from the report.

5. Risk Implications

There are no direct risk implications arising from the report. Completion of the audit plan enables the Director of Audit, Risk and Assurance to provide assurance on the effectiveness of risk management arrangements.

6. Contact Details

Report author: Julie Norgrove, Director of Audit, Risk and Assurance
Email: julie.norgrove@mopac.london.gov.uk

7. Appendices and Background Papers

Appendix 1 – Summary of DARA Activity – Official Sensitive