

MOPACMAYOR OF LONDON
OFFICE FOR POLICING AND CRIME

MPS-MOPAC JOINT AUDIT PANEL

4 October 2021

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 an overview of the Met's corporate risks and the status of their controls.

In terms of progress against our corporate risks, eight are assessed by the respective risk owners and working leads to be 'green' and two risks are assessed to be 'amber'. Following discussion at Risk and Assurance Board, the approach to one risk (Legitimacy), is being adapted to reflect the scale and complexity of the risk.

Key Considerations for the Panel

Risk and Assurance Board met on 7 September where they noted the progress made against the risks in first quarter since the refresh. For those risks reporting limited progress, risk owners provided a response to Risk and Assurance Board as to the reasons why.

Board members discussed the Legitimacy risk and determined a change of approach for this key corporate risk.

A draft risk maturity action plan has been developed and Audit Panel are asked to consider the keys actions to be completed to improve risk maturity across the Met.

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 these are effectively managed.
- Note the risk maturity action plan that has been developed from planned activity, findings from the risk maturity self-assessments and from the DARA audit findings.

Corporate risk update

- 1.1. 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**.
- 1.2. We have provided information on four 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

- 1.3. Eight risks are reporting a 'green' status and on track this quarter and two risks are reporting an 'amber' status. One long-term risk has seen a decrease in score, but this is due to a reassessment of score following the refresh rather than as a result of controls being implemented.

'On track' risks to note are:

- 1.4. **Violent Crime (risk 1 – short-term):** An improving trend is reported with some significant progress being made to implement controls. Notably, this quarter there have been successful results in disrupting and closing County Lines as part of Op Orochi. A new control has been included specifically focused on violence against women and girls; it is focused on making open spaces safer, progressing opportunities to prevent further incidents of violence, abuse and intimidation against women and girls and keeping the narrative at the forefront of front line policing. Each BCU has been given autonomy to design and implement their own local policing plans, focusing on open space activities incorporating engagement, enforcement and education. These plans are assisted by the Violent Crime Taskforce, MO8 (Roads and Transport Policing Command), MO7 (Taskforce) and more broadly with support from City of London Police and BTP.
- 1.5. **Standards (risk 3 – short-term):** A Professionalism & Standards Working Group (reporting into Learning & Development Executive Steering Group) has been established with individual work streams agreed for Social media & Whatsapp; Uniform and appearance and Sexual harassment in the workplace. DMC began an internal engagement campaign to install leadership focus on this risk and senior leaders were briefed at the Senior Leaders Event in July. DMC colleagues are developing an internal communications campaign with the full strategy and plan for delivery by the end of November.
- 1.6. **Public and Local Engagement (risk 9 – long-term):** Controls for this risk are categorised as either Inform, Involve or Influence. An improving trend is reported due to some strong progress within Inform, specifically '*Promoting the breadth and opportunities of existing Met engagement activity to promote Involve*'. StrIDE 25 will be officially launched during National Inclusion Week (27 September - 3 October) and over the last quarter work has taken place to plan activities to meet sixteen themes.

- 1.7. **Estates (risk 11 – long-term):** Progress to develop the Blended Working framework is progressing at pace. During this quarter a leadership pack was issued to senior leaders, briefings to COGs commenced and facilitation support was rolled out. A new communications specialist has been appointed to manage the comms aspect of blended working adoption and will produce a communication strategy by the end of September. A review of 'blended working team agreements' (BWTA) will take place in October to gauge how effective the uptake of blended working is.
- 'Limited' risks to note are:**
- **People (risk 4 – long-term):** The current and target Impact scores have been revised down to Medium (from High). This is because the leads have determined the scores were over-assessed at the point of the refresh, rather than any active reduction due to the implementation of controls. Limited progress is reported, due in the main to the level of diversity in the recruitment pipeline for officers.
 During the year (20/21) 2,438 officers were recruited delivering our officer growth. Of our new trainee officers 20.2% (449) were Black, Asian and Multiple Ethnic Heritage, 4.5% (100) were Black and 39.7% (884) were women compared to 33.8% Women, 18.1% Black, Asian and Multiple Ethnic Heritage and 4% Black in the previous year.
 We utilised equal merit provision for the three intakes in Q4. For this period the proportion of new recruits joining the Met who were Black, Asian and Multiple Ethnic Heritage was 28.9% (173), 6.2% Black (37) and 48.1% (283) women. The recruitment target for 21/22 is circa 3,000 officers which will allow us to grow by 1,344 officers with the aim of reaching our budgeted workforce target of 33,493 by March 2022.
 We have over 7,800 candidates in the recruitment pipeline (6210 PC/1590 DC) of which 26.7% (2082) are Black, Asian and Multiple Ethnic Heritage, 5.9% (226) are Black, and 40.4 % (3151) are women. Whilst we will have sufficient volume in the pipeline to meet our requirements for this financial year it will be insufficient volume in diversity.
- 1.8. **Technology (risk 7 – long-term):** The current key limitations preventing effective progress of this risk remain the same as they were before the refresh process. Namely, the loss of commercial staff, and the fact demand and ambition inevitably exceeds the resources available (as a result of the ring fencing of Officer numbers and the inability to secure / ring fence monies for IT), which is preventing further exploitation of new technology and resulting in lack of funds for critical legacy infrastructure required to maintain key services. DARA are scheduled to conduct a follow-up review of the approach to innovation proof of concepts and pilots which should assist with improving some of these areas.
- 1.9. Risk and Assurance Board commissioned a paper detailing the specific obstacles and challenges to the progression of this risk for a more substantive conversation at the next board.
- 1.10. **Legitimacy (risk 10 – long-term)**

This risk was a substantial agenda item at Risk and Assurance Board on 7 September. Board members agreed this remains a significant corporate risk but due to its size and complexity, and because legitimacy it is at the very heart of policing by consent, a different approach to other corporate risks is required. Work is ongoing to determine how all the different strands of legitimacy we are engaged with are brought together to produce a regular strategic narrative.

Risk maturity action plan

- 1.11. We have analysed the findings from the recent risk maturity self-assessments carried out by OCU / BCU Commanders and, in conjunction with pertinent actions from the recent DARA risk management audit and activity already planned, we have developed a draft action plan (**Appendix C**) which sets out key activity and milestones to improve our risk maturity.
- 1.12. As mentioned at the recent Audit Panel briefing focused on risk management, this action plan is considered a 'live' document and as such, as and when additional activity that supports an increase in risk maturity is recognised, it will be added to the action plan.
- 1.13. We will provide regular updates on the progress of the action plan and will inform Audit Panel when milestones are achieved and when new actions are identified.

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 – October 2021

Appendix B - 'Road to target' assessments for example corporate risks – October 2021 – Official Sensitive

Appendix C – Risk maturity action plan Sept 2021

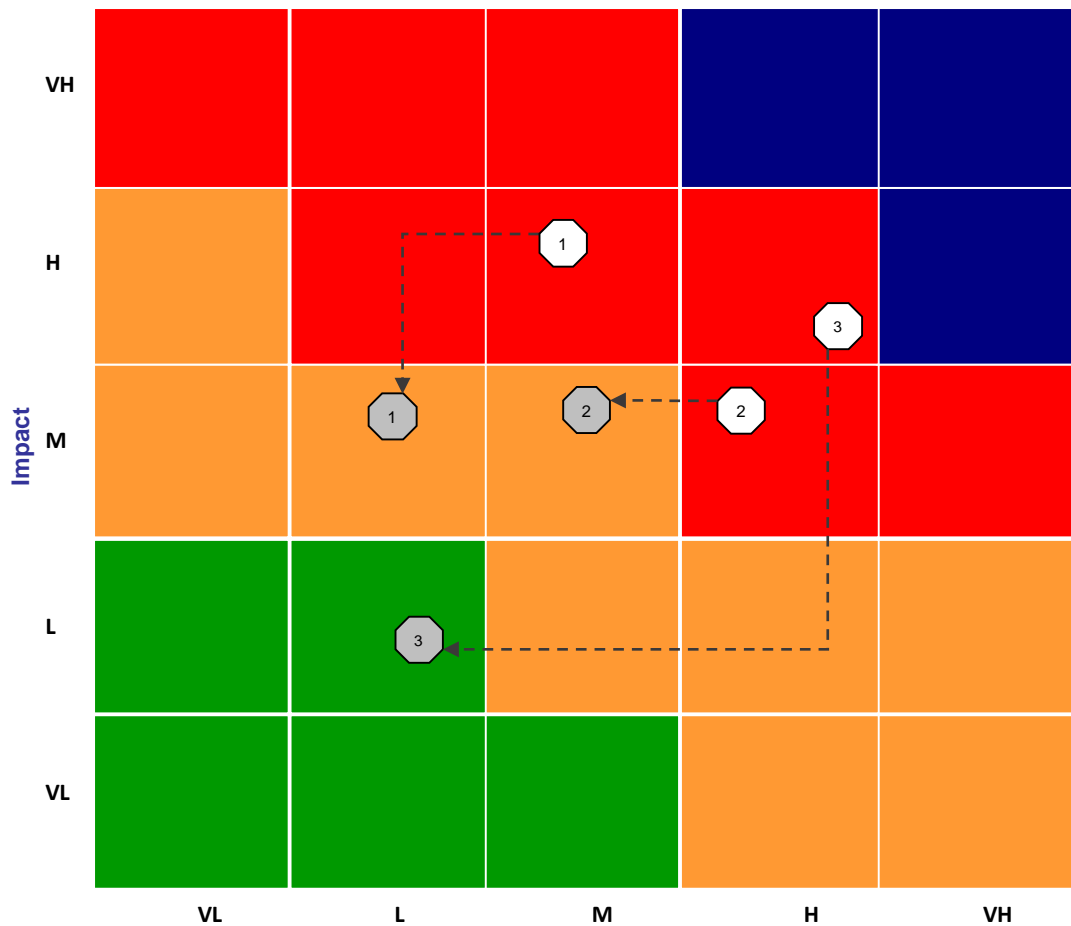
SHORT-TERM

Ref	Risk Trend	Risk Description	Risk Owner	Working Lead(s)	Target position
1 M v H	↓	VIOLENT CRIME Our operational efforts and the work to mobilise partners do not translate into decreases in violent crime leading to more victims and impacting on confidence in the Met to keep London safe	AC Frontline Policing	Head of Profession – CP, Inclusion & Engagement Cmdr Frontline Policing	L v M
2 H v M	↔	NEW SYSTEMS Failure to successfully deliver large scale Met and national technology programmes (i.e. CONNECT, Command & Control, LMS, LRM, ESM & ANPR) significantly undermining operational delivery	Deputy Commissioner	Chief Digital and Technology Officer	M v M
3 H v H	↔	STANDARDS Failure to communicate and uphold clear standards for our workforce undermines public confidence in the Met	AC Professionalism	DAC Professionalism	L v L

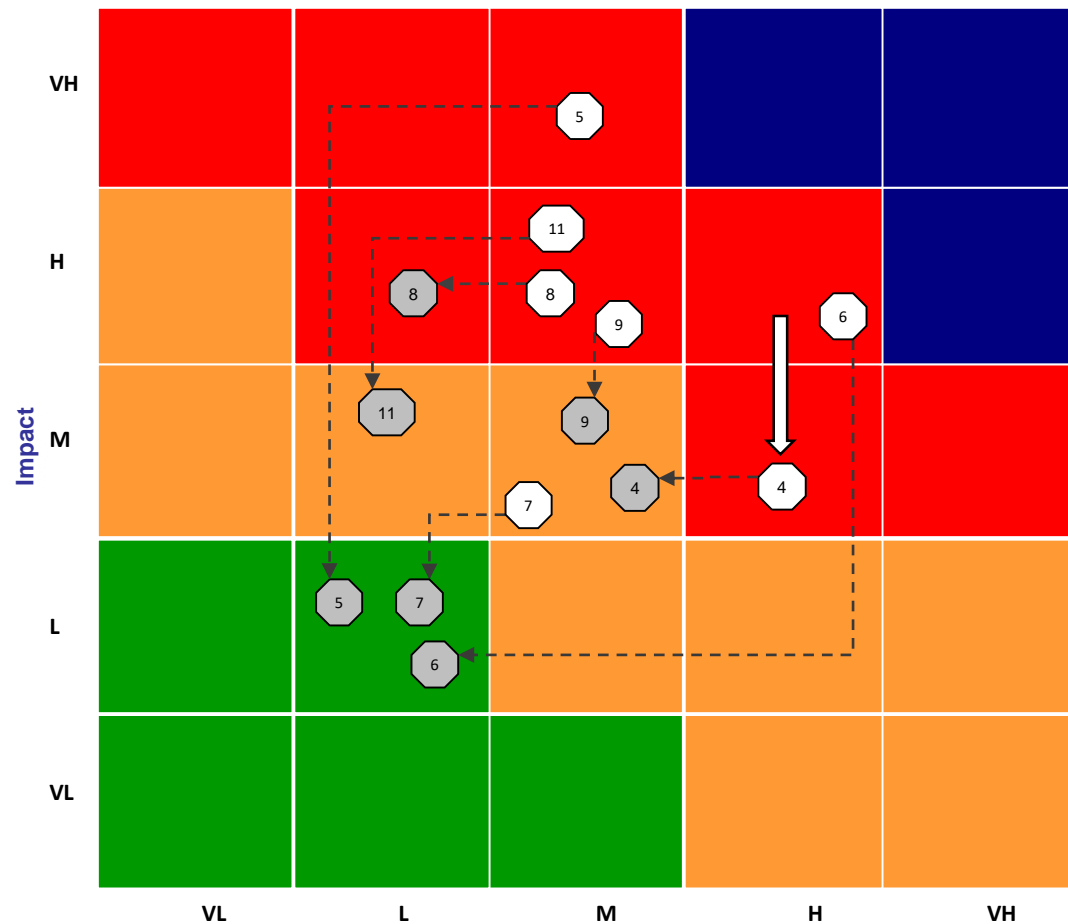
LONG-TERM

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	Director of HR	M v M
5 M v VH	↔	CAPABILITY Failure to ensure our workforce is appropriately skilled to deliver effectively in a changing environment	AC Professionalism	Director Learning	L v L
6 H v H	↓	MONEY Failure to demonstrate and articulate the Met's efficiency, VfM and financial agility leading to low confidence from our funding partners and potential loss of funding	Chief of Corporate Services	Director of Finance Director of Strategy and Governance	L v L
7 M v M	↔	TECHNOLOGY Conservative approach to implementing technology and use and access to data impedes delivery – reduces ability to capture benefits, in particular qualitative benefits, of maximising value from data & technology	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		LEGITIMACY <i>Legitimacy in the Met is weakened – Risk description not agreed - Agenda item for further discussion September RAB</i>	Commissioner	Director of Strategy and Governance	
11 M v H	↓	ESTATES 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 impedes our operational delivery	SRO Estates Programme	Director of Property Services	L 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			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		7	2	
Care for each other, work as a team and be an attractive place to work			11	
Learn from experience, from others and constantly strive to improve			5	
Be recognised as a responsible, exemplary and ethical organisation			3, 4, 6, 9	

Risk 10 is still to be finalised

Ref	Source	Issue / Problem	Action	Owner	Initial milestone date	What does success look like?	Update
Achieving an embedded risk culture							
1	Planned activity through BAU engagement	Inconsistency of understanding of risk management across the Met	RAB to review the Statement annually and the CoCS and Deputy to sign the risk management statement annually as part of the process to deliver the annual governance statement.	Risk & Assurance Board	January 2022 & annually thereafter	Statement revised annually in accordance with best practice by the Planning & Risk Team, reviewed by RAB, signed by the Deputy Commissioner & Chief of Corporate Services and posted on the internet with the Annual Governance Statement	
2	Planned activity through BAU engagement Risk maturity self-assessment	In some teams there is a lack of awareness of Planning & Risk Team	<ul style="list-style-type: none"> - Refresh the Planning and Risk intranet page with clear links to guidance and templates - Socialise to OCU Commanders / Heads of Department - Maintain regular slot on risk management for newly promoted Ch Supt & Supts - Expand membership of Risk Forum to help drive consistency 	Planning & Risk Team	Nov-21 Dec-21 Ongoing Oct-21	Increased scores within the risk maturity assessment responses on the awareness of the Planning and Risk Team and the support and guidance it provides	
3	Planned activity through BAU engagement Risk maturity self-assessment DARA audit	Risk information needs to improve to ensure it complies with minimum standards	<ul style="list-style-type: none"> - Review all corporate templates (to include risk register, risk escalation, risk reporting templates) to ensure they are still fit for purpose and amend as necessary - look to include opportunity management to support innovation - Revise training offer to OCU / BCUs - this will incorporate coaching / remedial support to ensure compliance with minimum standards - Scope an on-line training option (long-term) - Support the development of key risk indicators at OCU / BCU level 	Planning & Risk Team / Senior leaders and business group heads	Oct-21 Oct-21 Jan-22 Dec-21	Better quality risk registers complying with minimum standards across the Met which also reflects relevant risks identified through audit or inspection	
4	Planned activity through BAU engagement DARA audit	Risk appetite doesn't feature below corporate level & tolerance levels are not set across the Met	<ul style="list-style-type: none"> - Review current risk appetite criteria and scope if still appropriate and amend if necessary - Introduce thematic risk appetite across Business Group risk registers - Scope the introduction of tolerance levels for the Corporate risk register with a view to expanding this out across the organisation (long-term) 	Planning & Risk Team	Sept-2021 July-22 Dec-22	Corporate risk have a determined risk appetite per risk. Strategic Business level risks have a determined thematic risk appetite in accordance with the agreed organisational risk appetite criteria and effective risk management is in place aligned to that appetite	- MO9 (Met Det) are trialling the use of thematic risk appetite on behalf of MO
5	Planned activity through BAU engagement	Risk maturity assessment had become a low priority due to resource constraints. Self assessment questionnaire circulated however needs to be refined following first benchmark return	- Review and update risk maturity assessment questionnaire	Planning & Risk Team	Dec-21	All OCU / BCU Commanders complete an annual risk maturity assessment and develop implementation plans to address areas of improvement driven through local SLTs	

6	Planned activity through BAU engagement Risk maturity self-assessment DARA audit	Heads of Business Groups and O/BCUs are not fostering a positive risk management culture for throughout their Business Group/O/BCU.	- Senior leaders to develop Business Group level risk management implementation plans (including opportunity management and assurance mechanisms) to ensure a consistent application of the risk management framework - Each Business Group will be provided with an indicative position of their risk maturity and the targetted areas for improvement within their OCUs / BCUs.	Senior leaders and business group heads Planning & Risk Team	Dec-21	Risks are routinely escalated through governance structures and discussion and challenge takes place at the appropriate level enabling decision making. Each business group is able to evidence that it has reached level 4 (embedded) risk maturity.	- This risk maturity assessments have provided the benchmark from which we will operate moving forward. - Planning & Risk Team are engaged at FLP & MO level presenting to COG / Risk Board on risks and issues. For MO this also includes a spotlight on a OCU risk register on a rolling basis. - SO has recently moved to using 4Risk software as part of the CTPHQ network - this is based on the Met criteria and risk matrix. The system allows for effective decision making through various reports
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Improving governance

7	Planned activity through BAU engagement Risk maturity self-assessment DARA audit	Not all key boards have a mechanism to discuss key risks	- Engage with strategic level Board Chairs to develop or enhance processes to ensure there is a summary of relevant significant risks which are considered at least quarterly by the Chair - Risk leads challenged on the implementation of controls.	Planning & Risk Team / Strategic Secretariat / Director of Strategy and Governance Chairs of corporate and strategy boards	Oct-21 Ongoing	A summary of significant risks is maintained by each Business Group COG and considered at each meeting (or at least quarterly if more frequent). Strategic level Boards review relevant key risks emanating from COGs. Appropriate accountability is in place and individuals are empowered to deliver in line with strategic objectives which are cascaded through planning processes.	Strategic Boards are: • Performance Board • People & Learning Board • Inclusion, Diversity and Engagement Board • Data Board From this group, Data Board has a bespoke risk register. The Health, Safety & Wellbeing Board also has a risk register. Strategic Management Board reviews the corporate risk register at every meeting.
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8	Planned activity through BAU engagement Risk maturity self-assessment	Inconsistent approach to the effective management of contractual and partnership risks	- Partnership and shared risks to be considered as part of individual business group risk management processes to achieve a better understanding of risk, performance and assurance controls and a focus on these in risk implementation plans - Business groups are considering partnership risks - BCU / OCUs should consider partnership risks locally including the effective mangement of dependencies	Heads of Business Groups, Directors & Heads of Departments	Jul-22 Ongoing Ongoing	Proportionate processes are in place to ensure that risks arising from involvement with contractors and partners (including those related to data) are effectively managed (internally & externally).	Engagement with Commercial Services to ensure the new system being implemented reflects Met risk management criteria.
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Improving organisational learning

9	Planned activity through BAU engagement Risk maturity self-assessment	The framework to effectively capture, assess and disseminate organisational learning is immature leading to an inconsistent approach across the Met	<ul style="list-style-type: none"> - Engage with Head of Organisational Learning to develop processes to effectively capture and validate learning from risk management and ensure that it is disseminated appropriately (this is feeding into the pilot OL Hubs being led by the OL Team) - Organisational Learning Board to review processes and commission the next steps. - Socialising the process across all Business Groups - Amend Risk Management guidance notes and templates and training to reflect changes 	AC Professionalism, Head of Organisational Learning and Senior leaders	<p>Nov-21</p> <p>Jan-22</p> <p>Feb-22</p> <p>Feb-22</p>	The Met routinely identifies and embeds learning at all levels from individual to corporate.	Meeting with Paul Clarke (Head of OL) 27 July
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