

MOPACMAYOR OF LONDON
OFFICE FOR POLICING AND CRIMEMETROPOLITAN
POLICE

TOTAL POLICING

AUDIT PANEL

Monday, 18 January 2021

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 and systems development work and counter fraud activity. There is also a forward look to planned activity for the coming quarter.

Key Considerations for the Panel

- Nine reviews have been finalised since the Panel last met with a further eight at draft report and 11 in progress.
- Key reviews finalised include; Environment & Sustainability Management and Operational Learning and Development and follow ups of; Well-Being Strategy Development and Implementation, Occupational Health Arrangements and Smarter Working Asset Management (improved assurance rating from limited to adequate) and Framework Supporting Met Inclusion and Diversity Strategy and Met Counter Fraud Arrangements, where both remain rated as limited.
- Audits underway include; Domestic Abuse - Management of Resources, Information Management – Data Quality, Gold Group Governance and MPS Risk Maturity Framework and follow up reviews of the MPS Budgetary Control Framework and Framework Supporting Release Under Investigation.
- DARA Counter Fraud activity has included preparations for the National Fraud Initiative data matching exercise, which is due to commence.
- Key pieces of advisory work carried out include facilitating and advising on the;
 - MOPAC/MPS decision-making pilot
 - MOPAC Change Programme
 - Met Learning and Development Programme

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 Met risk assessments submitted to the Panel. The follow up reviews of the MPS Counterfraud Arrangements and D&I Strategy and Implementation are also addressed in separate agenda items of this meeting.

Recommendations

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

1. Supporting Information

Audit Activity Undertaken

- 1.1. The outcomes of the nine reviews finalised since the Panel last met, are summarised in the **Appendix**, which also details counter fraud activity and systems development work undertaken. A further eight reviews are at draft report stage and 11 in progress.
- 1.2. Key reviews finalised include; Environment and Sustainability Management – Investment Decisions and follow ups of; Forensic Management and Control Framework, Smarter Working Asset Management, Well-Being Strategy Development and Implementation and Occupational Health Arrangements (Optima Review). The follow up reviews of the Framework Supporting the Met Inclusion and Diversity Strategy and Met Counter Fraud Arrangements, remained rated as limited overall, updates on action being taken to address the issues outstanding are considered under the separate agenda items for this meeting of the Panel.
- 1.3. Reviews at draft report include; Met Detention Delivery Framework, Cyber Security, Financial Assurance Programme – Overpayments, MOPAC Budgetary Control Framework and Financial Assurance Framework, and follow up reviews of the Framework Supporting Release Under Investigation and Safeguarding Delivery Framework.
- 1.4. Since the Panel last met significant pieces of advisory work have continued, providing timely risk and control advice to senior management in key areas of the business as processes are developed. This includes;

Operation Learning and Development

- DARA reviewed the effectiveness of the control framework to support proposed changes to the Met's Learning and Development approach, being delivered through the Learning Transformation Programme. Our advisory report set out our findings and conclusions with particular emphasis on governance and risk management arrangements and processes supporting the development, communication and future implementation of plans. We are continuing to work with the Programme SRO and L&D Commander in an advisory capacity, highlighting potential risk and control issues as the Programme progresses.

MOPAC Change Programme

- DARA are supporting the recently launched MOPAC Change Programme, in particular in reviewing core processes and supporting reviews of commissioning, procurement and contract management practice. This will support areas of activity identified within the audit work programme.

Decision Making

- DARA continue to facilitate and advise MOPAC and Met colleagues on the proposed pilot supporting a potential change in delegation levels from MOPAC to the MPS. This includes reviewing; the role of a Level 2 PIB; the

supporting assurance framework, definition of accountabilities and roles and responsibilities and the monitoring and oversight arrangements being established to support the new decision - making process.

- 1.5. DARA continue to attend the Forum recently re-established to oversee counter fraud activity in the MPS, advising on the revised TOR to support the work of the Forum and on the implementation of the Anti-fraud Strategy. The recently completed DARA follow up review of the counterfraud arrangements was considered at the latest meeting in January. Under the MOU with DPS, DARA are continuing a fact-finding review of procurement activity in a specific area of the business. Preparation is also now complete for the 2020/21 National Fraud Initiative exercise, which is about to commence.
- 1.6. Key pieces of work planned for the rest of this quarter include; MOPAC Oversight of Police Complaints, Commercial Life Cycle, Introducing New Technology – Governance, Violent Crime – Partnership Focus and the follow up review of Police Overtime.

Planned Activity for the Next Quarter

- 1.7. DARA intend to finalise those reports at draft and report on those areas in progress. Key work planned includes; Financial Assurance Programme – Asset Management, MPS Ethical Framework, Governance Review of Met Recovery and Renewal Programme, Project/Programme Management – Governance and MOPAC Internal Governance. Follow up reviews include; Disclosure – Case File Management, Merlin and Transformation Governance – Benefits Realisation.
- 1.8. Key advisory work on the decision-making framework will continue with MOPAC and MPS colleagues as the Pilot goes live, and DARA will continue to support and advise the MOPAC Change Programme.

DARA Performance

- 1.9. A total of 43% of reviews are at report stage and 20% in progress/scoping and time is being spent broadly as planned across the areas of DARA activity. Both DARA and the business continue to adapt well to the challenges presented by the new work environment with the vast majority of work being conducted remotely. DARA are currently on target to deliver the plan to support the Annual Report in June 2021. This will be kept under review and closely monitored as we move into a period of further lockdown, which may present a potential increase in operational pressures.
- 1.10 A Senior, Risk and Assurance Auditor will take up post in February and plans to launch a Trainee Audit Scheme will progress with the launch planned for later in the year.

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

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7. Appendices and Background Papers

Appendix 1 – Summary of DARA Activity