

Principal Risk: Unable to reliably measure the ratio of contribution against benefit of collaborative effort (7573)

PCP Priority: Ambitious Collaboration

Status: Treat

Risk Rating

Inherent

Residual

Target

Original

Last Review

13		15
13		15
13		10

Controls & Mitigation

Chief Constables Operating Board – (1)

Business case for Police & Fire Collaboration
(1) – *including benefits management*

Change Board oversight of business cases and
benefits management for Collaborations

Assurances / Evidence

Internal Audit Collaborations 2020/21 –
Reasonable Assurance

Additional Activities

Mapping of live Collaborative initiatives
and the status of any effectiveness
reviews, including an analysis of the
benefits management approach for past
and future collaborations.

Internal Audit Collaborations 2022/23

Executive Group Leads: Head of Business Design and Assurance

Latest Review: May 2022

Review Remarks: Actions and controls reviewed with Head of Business Design & Assurance. Some actions from the 2020/2021 Collaborations internal audit assignment have been deferred pending another exercise during 2022/2023. Any new collaborations and their benefits will be monitored through the Change Board process. No changes to scoring or status at this review.

Principal Risk : Failure to ensure effective financial control and financial planning processes (7581)

PCP Priority: Enhancing the Customer Experience

Status: Treat

Risk Rating

Inherent

Residual

Target

Original

Last Review

16		16
13		15
10		10

Controls & Mitigation

Financial Regulations (1)

MTFP (1)

CFOs in place for PCC and CC (2)

Internal Audit Plan (1)

External Audit

Balanced financial plan for the next 4 years (to 2026) based on current assumptions (1)

Regular Financial Reporting to Board (1)

Assurances / Evidence

Robustness of Estimates and Adequacy of Reserves report provided by PCC CFO

Internal Audit Annual Opinion (3)

External Audit Annual Completion Report

Internal Audit 2122 (3) – *Capital Investment Programme (Partial Assurance), Financial Planning (Substantial Assurance), Benefits Management (Substantial Assurance)*

Additional Activities

Provision of information to Budget Holders needs to be quicker or ideally automatic.

Executive Group Leads: CFOs

Latest Review: August 2022

Review Remarks: Actions and controls reviewed. Action pertaining to capital investment program audit have been closed out. Cause re Council tax receipts in 21/22 removed. Additional cause re inflationary pressures added. This is also reflected in an increase in the residual financial impact and as a result the overall risk score.

Principal Risk : Partial or Total Loss of IT Service Provision which impacts on service to the public (8004)

PCP Priority: Enhancing Customer Experience

Status: Treat

Risk Rating

Inherent

Residual

Target

Original

Last Review

13		13
10		10
6		6

Controls & Mitigation

IT Security Applications and processes (including IT Healthcheck etc) (1)

Departmental Business Continuity Plans (current and exercised) (1)

ICT Recovery Plan (1)

Vulnerability Management (1)

Refinement of ICT business continuity arrangements to reflect learning from Covid experience

Assurances / Evidence

Internal Audit 21/22 (3) – *Cyber Risk Management (Reasonable Assurance)*

Cyber Essentials Certification

Additional Activities

Augmentation of health check and vulnerability management processes

Review of system priorities in order to inform and refine disaster recovery arrangements.

Executive Group Leads: MD Enable

Latest Review: August 2022

Review Remarks: Reviewed by Head of ICT.

Reviewed by Head of ICT. No change to scoring or status. Numerous servers have been failed over between data centres. This is demonstrating the ability to run applications between them meaning that in the loss of a data centre prioritised applications could be made available at the working data centre. A project will start around December to redesign the server infrastructure and depending upon need and cost all critical and important applications will be set to run from a single data centre.

Principal Risk : The practical implications of the increased funding for additional Police Officers place additional strain on the capacity of support/ enabling services (8049)

PCP Priority: Enhancing Customer Experience

Status: Treat

Risk Rating

Inherent

Residual

Target

Original

Last Review

14		14
13		10
10		6

Controls & Mitigation

Service Planning Processes to enable understanding and certainty in real client demand and inform enable NY service offering.

Vetting uplift for FRS

Introduction of an increasingly Agile approach to service delivery

Development and Implementation of Joint Strategic Estate Management Plan

Collaboration Steering Group

Assurances / Evidence

Sign off enable leadership model incorporating consultation feedback.

Impact assessment of all areas effected HR, ICT, Estates, Transport, Finance

Sickness absence rate at 3.2%

Additional Activities

Create approval for common architecture for ICT across NYP and NYFRS

Consolidation of business systems and processes (for example Finance)

Executive Group Leads: MD Enable

Latest Review: May 2022

Review Remarks:

No changes to status or scoring at this review. Control pertaining to increasing resource agility has evidence to suggest that it is effective in mitigating the risk (sickness absence in enable is 3.2% (4% is good) and staff survey results delivering positive results in terms of satisfaction). In terms of the uplift for support staff in NY the growth required has been far lower than predicted in the Home Office model at approximately £1m compared to a predicted £2 - £2.5m