

AGENDA ITEM 12

JOINT INDEPENDENT AUDIT COMMITTEE

JUNE 2023

RISK REGISTER AND BUSINESS CONTINUITY OVERVIEW

1. PURPOSE OF REPORT

1.1 This paper provides the Joint Independent Audit Committee (JIAC) with a summary of activity pertaining to the “Corporate Risk Management” aspect of its terms of reference. JIAC are presented with an overview of developments on the Principal Risk Register (section 2) and an overview of business continuity management activity (section 3). These matters are routinely discussed in detail by management at the Risk & Assurance Board (RAB).

2. RISK REGISTER DEVELOPMENTS

Risk Management Update

2.1 This section of the report covers the period to 31 May 2023. During the reporting period monthly reports on risk register activity have been submitted to Executive Board. Risk and Assurance Board has also continued to convene monthly and considers risk register matters by exception.

2.2 At the time of writing this report some Principal Register entries were reviewed with owners after material had been submitted with consideration at Executive Board (23 May 2023) and Risk & Assurance Board (19 May 2023).

Principal Risk Register

2.4 The diagram in appendix A sets out the position on the Principal Register at 31 May 2023:

2.5 A summary of the latest review remarks for each of the entries is included in the table below. No risks have been escalated to or deferred from the Principal Register during the reporting period.

2.6

7581: Failure to ensure effective financial control and financial planning processes

Last Review Remarks:

PCC CFO. Controls updated and revised review date set where necessary. Residual scoring adjusted as there has been an increase in residual probability due to the unexpected overspend during the 2022/2023 financial year and concerns about the controls in place to ensure that an overspend doesn't materialise again in 2023/2024.

8584: Long term vacancies and high turnover impacts negatively on the ability to deliver effective and consistent services.

Last Review Remarks:

Head of People Services. Responses and controls reviewed. A monthly "recruitment and vacancy meeting" has been established to monitor the position across the force and direct activity to critical areas (for example FCR). Where necessary this results in a decision to over recruit to minimise operational impact.

No change to scoring or status at this review.

8628: Prevailing difficulties in the retention and recruitment of Detective roles impact on services to the public.

Last Review Remarks:

Updated with Head of Crime. No change to the residual risk score. Measures have been implemented to try and reduce the vacancy factor and work towards the revised FTE target 112 Detective Constables in CID, however this remains ambitious as other departments are uplifting investigative resources and drawing from the same pool. We continue to recruit transferees Detective Constables to North Yorkshire but transferees to other Forces and internal promotion processes have a negative impact on local DC numbers.

8755: Organisational capacity and capability is stretched by a focus on delivering improvements required as a result of HMICFRS findings in addition to previously approved change activity

Rationale for escalation:

Acting ACO Resources. Risk reviewed, no changes to scoring or status but ownership to be reallocated.

8004: Partial or total loss of IT Service Provision which impacts of service to the public

Last Review Remarks:

Acting ACO Resources / Head of ICT. System prioritisation exercise with Business Continuity team is complete and approved. New infrastructure design in progress to give full redundancy for Priority 1 systems and a hot standby provision for Priority 2 and Priority 3 systems. Delivery expected Q4 2023. No change to scoring or status.

8586: Failure to effect smooth transition of enableNY to the potential mayoral governance model

Last Review Remarks:

Acting ACO Resources. Risk reviewed and assessed. Action recorded to reflect the plan to baseline existing services and define future service provision. This will allow gap analysis and an investment profile to be determined alongside options for delivering the services to NYP and NYFRS.

3. BUSINESS CONTINUITY MANAGEMENT

3.1 Throughout the reporting period Business Continuity (BC) activities have continued in line with the annual BC programme. The programme is adjusted as necessary to reflect organisational changes in order to ensure that NYP’s identified critical functions are maintained during periods of change and disruption.

3.2 A summary of reported BC incidents is included in the table below.

	2021/2022 Q4 (Jan-Mar)	2022/2023 Q1 (Apr-Jun)	2022/2023 Q2 (Jul-Sep)	2022/2023 Q3 (Oct-Dec)	2022/2023 Q4 (Jan-Mar)
Number of BC Incidents	10	5	18	12	4
Number of Force wide/ Priority 1 incidents	2	1	0	1	0

3.3 Members are invited to consider if there are any topics or themes to be explored from a BC exercising perspective during the financial year.

4. RECOMMENDATIONS

- 4.1 The Committee are invited to consider the report and:
- Express any views on the Principal Risk Register content to feed into Risk & Assurance Board and Executive Board
 - Express any views on the Business Continuity commentary contained in the report and / or any themes to explore by way of BC exercising
 - Indicate the level of assurance that can be drawn from the content.

Risk & Planning Manager (Business Insight, BDA)
Date: May 2023