

**AGENDA ITEM 12**

**JOINT INDEPENDENT AUDIT COMMITTEE**

**SEPTEMBER 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 from 1 June 2023 until 24 August 2023. During the reporting period monthly reports on risk register activity were submitted to the June and July Executive Board sessions. 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 considered at Risk & Assurance Board (25 July 2023).

**Principal Risk Register**

- 2.4 The diagram in appendix A sets out the position on the Principal Register at 24 August 2023:
- 2.5 A summary of the latest remarks for reviews undertaken in the reporting period 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:

*Risk & Assurance Board in June agreed to transfer ownership of his risk to the Chief Constable’s Chief Finance Officer (CC CFO).*

CC CFO. Resource pressures in the Finance team were proactively communicated to the Chief Officer Team and the wider Force following discussion with the

Commissioner's CFO. This meant that there was a conscious move from monthly to quarterly budget monitoring. For 2023/24 monthly budget monitoring is in place. The 2022/23 overspend reflected unfunded additional costs due to pay and utilities inflation and insurance costs, which were unforeseen at budget setting time. The Force overspent against its overtime budget, including providing support to the Control Room, key priority areas associated with the Improvement Plan. Review and control of the overtime budget is a key priority for COT in 2023/24 with a number of additional reporting and control measures now in place.

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

Last Review Remarks:

Head of Crime. Progress on Detective Constable (DC) recruitment is monitored monthly at the Crime Standards Board chaired by ACC Special Operations. Currently the force works to an FTE of 106.74 for Criminal Investigation Department (CID) DCs. The force is undergoing a restructure of the crime teams on Commands and creating separate CID and Safeguarding Investigation Teams (SIT). Demand modelling activity indicates that the force requires 148 DCs in CID /SIT.

With appropriately qualified Police Staff Investigators (PSIs) included, the force will be at approx. 120 investigators in CID & SIT by mid-September. With 26 Degree Holder Entry Program (DHEP) DCs now on Commands completing their basic training and a steady recruitment of transferee DCs, the force projects to be at 148 by spring 2024, notwithstanding leavers and DCs being promoted.

As a means of addressing the retention aspect the force has paid targeted variable payments to DCs over the past 12 months and has arranged trauma informed sessions for DCs for Autumn 2023 which are being delivered by the Welfare Department.

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**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. Head of People Services. Labour market impacts have reduced, and recruitment campaigns are being more successful first time. Talent team resourcing has also stabilised which enables more focus on identified priorities (i.e Customer Contact) and initiatives to develop holding lists where appropriate. Residual assessment reduced to reflect these developments.

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

Last Review Remarks:

Assistant Chief Officer. Review of risk and plan with additional action added. Initial review of operating models undertaken to feed into consultancy exercise planned for later in the year.

No changes to scoring or status at this review.

**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**

Last Review Remarks:

Chief Superintendent Corporate Development. Risk reviewed and residual assessment adjusted to reflect a lower probability based on the existing controls in place - namely the governance structures and performance framework.

Status adjusted to tolerate following this review and given that there are no further actions at this time.

### 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.

	2022/2023 Q1 (Apr-Jun)	2022/2023 Q2 (Jul-Sep)	2022/2023 Q3 (Oct-Dec)	2022/2023 Q4 (Jan-Mar)	2023/24 Q1 (Apr-Jun)
<b>Number of BC Incidents</b>	5	18	12	4	9
<b>Number of Force wide/ Priority 1 incidents</b>	1	0	1	0	3

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: August 2023**