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

PCP Priority: Ambitious Collaboration

Status: Treat

Risk Rating	Original		Last Review
Inherent	13		15
Residual	13		15
Target	13		10

Controls & Mitigation

DCC/ACC oversight of operational collaboration and attendance at relevant fora to inform feedback to business areas – (1)

JGB / RCB - PCC/CC attendance for strategic oversight – (1)

Business Cases for collaborative effort considered at relevant governance forum (1)

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

Assurances / Evidence

Peer Review of MIT

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.

Monitor NETIC response to "Hard Yards" report.

Monitor progress against agreed management actions from the RSM exercise on Collaborations.

Executive Group Leads: DCC / Head of Business Design and Assurance

Latest Review: November 2021

Review Remarks: A lack of clarity remains around the governance arrangements that were being redesigned by regional colleagues following the dissolution of NETIC. Consequently the controls that relate to senior officer oversight through those governance arrangements can no longer be relied on as being effective. This in turn has resulted in a delay of some related actions arising from the internal audit assignment that was completed on this area. Activity is in hand to ensure local oversight arrangements are robust and can inform discussions at regional level when the reporting arrangements are confirmed.The treat status of the risk remains appropriate with no change to scoring 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		Original		Last Review
Inherent		16		16
Residual		13		13
Target		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 20/21 (3) – *Procurement (Reasonable Assurance). Overtime, Bonus and Honorarium Payments (Substantial Assurance). Project Expenditure (Partial Assurance)*

IA 2122 (3) – *Capital Investment Programme (Partial Assurance)*

Additional Activities

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

Close out of actions from Capital Investment Programme audit.

Executive Group Leads: CFOs

Latest Review: March 2022

Review Remarks: Live controls reviewed and extended where appropriate for the next financial year. For example MTFP is balanced for the next four years. Auditors opinion following capital investment program indicates a need for further work on this area, although based on this risk review there are no changes to scoring or status.

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	Original		Last Review
Inherent	13		13
Residual	10		10
Target	6		6

Controls & Mitigation

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

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

ICT Disaster Recovery Plan (1)

Vulnerability Management (1)

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

Assurances / Evidence

Internal Audit (3) - *ICT Service Operations (Partial Assurance). Vulnerability and Incident Response (Partial Assurance). Cyber Risk Management (Draft)*

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: March 2022

Review Remarks: Reviewed by Head of ICT. Vulnerabilities continue to be mitigated albeit a moving target. The server team will be fully staffed in May with 3 new starts joining to strengthen the team.
Key devices have been ordered in bulk to alleviate pressures in the supply chain based on forecast demand from people services.
No changes to scoring or status.

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	Original		Last Review
Inherent	14		14
Residual	13		10
Target	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

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: March 2022

Review Remarks: Controls reviewed and updated. Some of the challenges of servicing an increased operational workforce are beginning to emerge and are exacerbated by supply chain issues affected by events over the last two years and difficulties in recruiting. In addition there is pressure arising from the policing settlement to increase productivity in enableNY functions to support growth in operational demand. Despite those pressures there is currently no increase in scoring or change in status although new controls have been recorded pertaining to the development of a shared Estates Strategy and "grey" fleet provision; these will be effective measures in terms of efficiency, effectiveness and cost avoidance. An additional new control has been recorded to reflect the establishment of the Collaboration Steering Group which facilitates the collaborative initiatives required to increase agility and mitigate the increased strain from additional operational resources.