

AGENDA ITEM 11

JOINT INDEPENDENT AUDIT COMMITTEE

NOVEMBER 2022

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 update regarding developments in the refresh of the principal risk register (section 2) and an overview of business continuity management activity (section 3). These matters are routinely discussed by management at the Risk & Assurance Board (RAB).

2. RISK REGISTER DEVELOPMENTS

Principal Risk Register

- 2.1 The refresh of the Principal Risk Register is progressing as reported at previous JIAC sessions. Since the previous session one entry has been closed whilst there are two new entries that are proposed for inclusion and these will be considered at Risk & Assurance Board and Chief Officer Team sessions in early course.
- 2.2 The entry that has been closed is 8049 “The practical implications of the increased funding for additional Police Officers place additional strain on the capacity of support / enabling services. At the closing review it was noted that the impact of this risk has been managed but a deterioration in service provision across enable has led to an impact on operational services. A future risk of inadequate funding in enabling services will be recorded for management at the appropriate level.
- 2.3 Two new entries that will be considered for inclusion and are included in outline in the table below. The live entries on the register continue to be monitored with risk owners. Any changes to entries since the last JIAC session that were made in the latest review with risk owners are also summarised in the table below and further detail is available at Appendix A.

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

This is a consolidated risk reflecting entries on several functional risk registers which record the impact of the challenging labour market conditions and the competition for specialist skills in both operational and enabling functions. The consequences of the risk impact on the effectiveness of delivery models and the ability to deliver effective services.

NEW 8586 Potential for the introduction of a Mayoral Combined Authority to impact on the continued provision of services through the enableNY model.

This entry recognises the potential impact on services delivered through the enableNY model if following consultation and implementation the new governance arrangement does not supported the enableNY construct.

7573 Unable to reliably measure the ratio of contribution against the benefit of collaborative effort

Reviewed by Acting MD. No change to scoring or status at this review.

Additional control added to capture the recruitment of a collaboration assurance officer and an additional action recorded around formalising governance arrangements in collaboration agreements.

Additional audit activity planned for this area during the year.

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.

	2021/22 Q2 (Jul-Sep)	2021/2022 Q3 (Oct-Dec)	2021/2022 Q4 (Jan-Mar)	2022/2023 Q1 (Apr-Jun)	2022/2023 Q2 (Jul-Sep)
Number of BC Incidents	11	1	10	5	18
Number of Force wide/ Priority 1 incidents	4	1	2	1	0

3.3 At the briefing session with members relating to the BC exercising it was agreed that members may suggest topics or themes for exercises bases on the material considered at their sessions. Members are invited to consider if there are any topics or themes to be explored from that perspective.

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

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Risk Manager
November 2022

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