JOINT INDEPENDENT AUDIT COMMITTEE

MARCH 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 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).
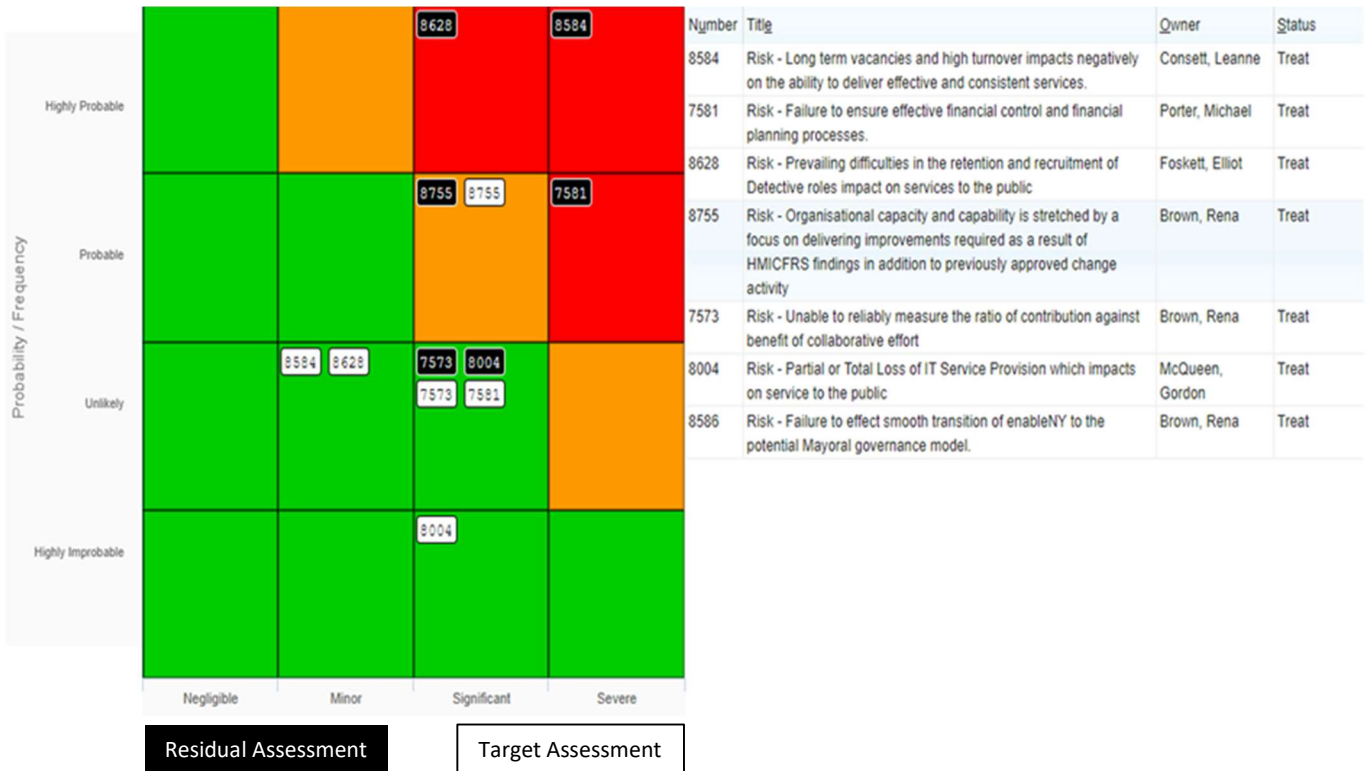
2.   RISK REGISTER DEVELOPMENTS

Risk Management Update

2.1   Since the last JIAC session in November, there have been some changes to the internal reporting arrangements for Risk Registers. At the request of the Commissioner the Principal Risk Register and Force Risk Register are considered at Executive Board on a monthly basis.

2.2   The Risk & Assurance Board also now meets monthly with a specific focus on the HMICFRS PEEL Assessment Framework (2023-25) and to steer North Yorkshire Police through the continual assessment process of inspections and driving improvements across the force.   As part of this process, the Board considers risk matters escalated from business leads and moderate on their escalation to the Force Risk Register or Principal Risk Register.

2.3   As part of the monthly Chief Officer Team Improvement Board, a high-level overview of activity from the Risk and Assurance Board is presented which includes progress against the PEEL Assessment Framework and delivery against the Organisational Improvement Plan. This Board is also notified where areas are signed off as complete and where risk matters are escalated to the Force Risk Register or Principal Risk Register.

Principal Risk Register

2.4   The diagram below sets out the Principal Risk Register as reported to Executive Board in February 2023:

Number	Title	Owner	Status
8584	Risk - Long term vacancies and high turnover impacts negatively on the ability to deliver effective and consistent services.	Consett, Leanne	Treat
7581	Risk - Failure to ensure effective financial control and financial planning processes.	Porter, Michael	Treat
8628	Risk - Prevailing difficulties in the retention and recruitment of Detective roles impact on services to the public	Foskett, Elliot	Treat
8755	Risk - 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	Brown, Rena	Treat
7573	Risk - Unable to reliably measure the ratio of contribution against benefit of collaborative effort	Brown, Rena	Treat
8004	Risk - Partial or Total Loss of IT Service Provision which impacts on service to the public	McQueen, Gordon	Treat
8586	Risk - Failure to effect smooth transition of enableNY to the potential Mayoral governance model.	Brown, Rena	Treat

2.5 A summary of the latest review remarks for each of the entries is included in the table below. Where relevant there is also a brief rationale for the inclusion of added or escalated entries.

2.6

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

Last Review Remarks:

T/Head of People Services. No change to scoring or status at this review. An action referring to RSM's "Workforce Planning" audit has been closed although two out of three of those actions have been superseded by the organisational response to the findings from the HMICFRS Inspection. Within People Services a prioritised service delivery plan was developed which seeks to address areas of improvement identified, one of which is workforce planning. The plan has a number of key milestones, to achieve a three year plan, factoring in retirements, normal attrition and future workforce needs. This will be developed and refined over the next 12 to 18 months to include succession planning, however there are dependencies on the Organisational Design work to identify future requirements.

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. No change to scoring or status. Uncertainty remains around 23/24 pay settlement for policing.

There are also some emerging concerns around retention and ability to recruit to the Finance Team.

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

Rationale for escalation:
- length of time on Department Risk Register from initial entry in 2017
- recognised national issue
- wider impacts on ability to make improvements in investigations and service to victims
- extent of impact on other operational functions and requirements to track at a higher level

Last Review Remarks:

Head of Crime. Vacancy rate actively monitored with oversight through the Detective Resilience meeting. There are live initiatives to address the risk including a Detective transferee campaign and an updated Detective Pathway for officers wishing to move into that field.

NEW 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:

Risk recognised following discussion at Risk & Assurance Board at the January 2023 session.

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

Last Review Remarks:

Head of ICT. System prioritisation exercise with Business continuity team is almost complete. This information will be used when refreshing the server and storage infrastructure in 2023-2024 where possible to increase the resilience of the underpinning infrastructure. No change to scoring or status.

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

Last Review Remarks:

Since the last JIAC session the title of this risk has been adjusted with input from the Chief Executive and Monitoring Officer. Additional activity is required to document controls in order to accurately make an assessment of the risk and the uncertainty noted by T/MD enableNY originally.

Deferred to Functional Level –7573: Unable to reliably measure the ratio of contribution against the benefit of collaborative effort

Last risk review focused on enableNY and additional control added regarding the "Evaluation of Relative Demand" report which has resulted in proposed changes to the Financial Protocol that supports the enableNY collaboration agreement.

As a result it was proposed to defer the risk to functional level for monitoring and where there are concerns in relation to other collaborative functions, we will look to capture those within the risk framework and escalate as required.

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

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

4. RECOMMENDATIONS

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

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