

INDEPENDENT AUDIT COMMITTEE

SEPTEMBER 2023

RISK REGISTER OVERVIEW

1. PURPOSE OF REPORT

1.1 This paper provides the Independent Audit Committee (IAC) with a summary of activity pertaining to the “Corporate Risk Management” aspect of its terms of reference. IAC are presented with a commentary regarding recent developments in relation to the Corporate Risk Register.

2. RISK REGISTER DEVELOPMENTS

Corporate Risk Register

2.1 Corporate Risk Register development papers have continued to be submitted to both Senior Leadership Team and Executive Board during the reporting period. At the most recent Risk & Assurance Board session on 23 August 2023, there was a check and challenge session on two of the entries as outlined in the commentary that follows at 2.3. This session created the conditions for discussion around those risks and their control environment. This helped to develop a common understanding amongst the attendees on the wider context of those risk areas.

2.2 The diagrams at appendix A set out the Corporate Risk Register and reflect scoring changes since the previous report to IAC including those arising from the discussion at Risk & Assurance Board on 23 August 2023. A summary of the latest review remarks for entries reviewed since the previous IAC session is included in the table below.

2.3

8585: Insufficient staff available to fulfil statutory responsibilities due to Industrial Action

Last Review Remarks:

Check and Challenge session at Risk & Assurance resulted in a revision (increase) to the target score to reflect that should there be a withdrawal of labour through industrial action the impacts would remain significant in terms of service delivery. The preventative controls and additional actions currently in place prepare the organisation to be able to respond but although there are mitigation controls and actions to address the impacts a reduction in service levels would be inevitable despite the mitigating controls and actions that would be engaged in the event of a strike.

It was also noted that the local position needs to cross reference any mitigating measures that would be introduced nationally to support service continuity and that

the implications of mandated “Minimum Service Levels” could impact on the severity of this risk in future.

As a source of assurance, a peer review arrangement of Industrial Action arrangements has been agreed with Lincolnshire FRS and the outcome of that process will be considered in relation to this risk when available.

8497: NYFRS fail to adhere to relevant statutory guidance and practices in relation to Health and Safety which places officers, staff and the public at risk.

Last Review Remarks:

Check & challenge session at RAB recognised the wider control environment in this area. This included for example:

- representation at regional H&S meetings
- staff association attendance at local H&S meetings
- activity underway to modernise property assets and operational practices when using fleet assets
- review and consolidation of relevant policy, procedure and guidance
- insurance arrangements in place to mitigate the potential financial impact of the risk

There were no changes to scoring or status as part of the review.

8499: NYFRS fails to meet legal requirements imposed through Environmental legislation or regulation

Last Review Remarks:

Director of Community Risk & Resilience

Controls, actions and scoring reviewed and scoring amended due to limited progression and direction.

This entry is scheduled for the next check and challenge session at Risk & Assurance Board

8658: Organisational Safeguarding Compliance

Last Review Remarks:

Director of Community Risk & Resilience

Actions, controls and scoring reviewed and updated following recent legislative changes and subsequent NFCC guidance.

This entry is scheduled for the next check and challenge session at Risk & Assurance Board

8494: Failure to ensure effective financial control and financial planning processes

Last Review Remarks:

Chief Finance Officer

Since the last review of this risk, we have received the Annual Internal Audit opinion which indicated that the organisation did not have an adequate framework of risk

management, governance and control. Given that in some cases the areas tested feed directly into the financial control arrangements the residual assessment of this risk has been increased.

8500: Failure to operate in line with the principals of value for money and procurement and contract legislation

Last Review Remarks:

Chief Finance Officer

Ownership aligned to Chief Finance Officer. Controls and actions reviewed, additional action recorded to reference close out of actions arising from Procurement Internal Audit assignment. Scoring reviewed with no change to residual assessment but slight increase in target assessment as additional controls and actions to be recorded.

8502: Unable to effectively manage Cyber risk

Last Review Remarks:

Head of ICT

Recent audit highlighted a number of improvement areas. These were mainly around the Fire Control function. Work is underway to replace some of the equipment in that area with newer servers and security patching has been authorised by the supplier, so work is ongoing to catch up with patching.

Target assessment adjusted to reflect this review.

8503: Security - Failure to adhere to operate with appropriate levels of security which protect the Fire service, its staff and the public from harm

Last Review Remarks:

Temporary Assistant Chief Officer

ID cards are being produced to resolve the backlog issue. The Assets team have work in hand developing a sustainable plan for future requirements.

No change to scoring or status at this review.

3. RECOMMENDATIONS

- 3.1 The Committee are invited to consider the report and:
- Express any views on the Corporate Risk Register content to feed into Risk & Assurance Board and Executive Board
 - Indicate the level of assurance that can be drawn from the content.

Risk & Planning Manager (Business Insight, BDA)

Date: August 2023