

AGENDA ITEM 8

JOINT INDEPENDENT AUDIT COMMITTEE

SEPTEMBER 2024

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 31 May 2024 until 22 July 2024. During the reporting period, reports on risk register activity were submitted to the Executive Board following the Risk and Assurance in May and the Risk and Assurance Board in July. The next Risk & Assurance Board is scheduled for 23 September 2024.

Principal Risk Register

2.2 The diagram in appendix A sets out the position on the Principal Register at 22 July 2024.

2.3 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 the Principal Register during the reporting period, however 1 risks have been proposed to be deferred from the Principal Register (8584).

2.4

8004: Partial or Total Loss of IT Service Provision which impacts on service to the public

Last Review Remarks:

No change to scoring or status at this review.

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

Last Review Remarks:

No change to scoring or status at this review.

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

Last Review Remarks:

No change to scoring or status at this review.

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

Last Review remarks:

July 24. Talent & Development Manager. Risk to be proposed at the September RAB to be closed and a Risk Closure report to be provided.

Risk is mitigated with the RSM internal audit opinion of Substantial Assurance based on the recruitment strategy, delivery plan and current governance arrangements to monitor recruitment activity across the Force.

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

July 24. May RAB approved Risk Closure and removed from the PRR.

7581: Failure to ensure effective financial control and financial planning processes.

Last Review Remarks

May 24. Agreed at RAB for the Residual score to reduce to reflect the progress made to date. This risk is now an Orange risk from red.

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/or disruption.

3.2 A summary of reported BC incidents is included in the table below.

	2023/24 Q1 (Apr-Jun)	2023/24 Q2 (Jul – Sept)	2023/24 Q3 (Oct – Dec)	2023/24 Q4 (Jan – Mar)	2024/25 Q1 (Apr-Jun)
Number of BC Incidents	9	12	10	5	7
Number of Force wide/ Priority 1 incidents	3	0	0	0	0

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 Manager (Business Insight, BDA)

Date: September 2024