

AGENDA ITEM 13

JOINT INDEPENDENT AUDIT COMMITTEE

SEPTEMBER 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 Following the RAB session on 10 August 2022 senior colleagues have been invited to submit potential entries for the refresh of this register. As previously reported to members we are anxious to ensure that the register actively supports delivery of the new Police and Crime Plan. Therefore, we are seeking to realign risk entries against the HMICFRS PEEL pillars of Effectiveness, Efficiency and Legitimacy, which will underpin our new governance structures. This will ensure that the risk register actively support the delivery of the new Police and Crime Plan.
- 2.2 We are also looking for the refresh exercise to ensure that the register informs business, performance and service planning processes (and vice versa) in relation to both timing and content. Our aspiration is to link activities to be implemented via departmental plans back to our register entries as controls / actions to manage risk or exploit opportunity. This will be an ongoing development and, on this occasion, we’ll be looking to have a draft set of refreshed entries by the end of quarter 2 (30 September) which will be supplemented and reviewed as decisions around future funding and efficiency plans are finalised during the later quarters of this financial year.
- 2.3 The current entries on this register continue to be monitored with risk owners. Any changes to entries that were made in the latest review with risk owners are summarised in the table below and further detail is available at Appendix A.

<p>7581 Failure to ensure effective financial control and financial planning processes Reviewed by Commissioner’s Chief Finance Officer.</p>

Actions and controls reviewed. Action pertaining to capital investment program audit have been closed out.
Cause re Council tax receipts in 21/22 removed. Additional cause re inflationary pressures added. This is also reflected in an increase in the residual financial impact and as a result the overall risk score.

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

Reviewed by Head of ICT. No change to scoring or status. Numerous servers have been failed over between data centres. This is demonstrating the ability to run applications between them meaning that in the loss of a data centre prioritised applications could be made available at the working data centre. A project will start around December to redesign the server infrastructure and depending upon need and cost all critical and important applications will be set to run from a single data centre.

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

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
 - Indicate the level of assurance that can be drawn from the content

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Risk Manager
August 2022

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