

AGENDA ITEM 8

JOINT INDEPENDENT AUDIT COMMITTEE

JUNE 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 28 March 2024 until 30 May 2024. During the reporting period reports on risk register activity were not submitted to the Executive Board due to the cancellation of the Risk & Assurance Board in March/April 2024. The Risk & Assurance Board is scheduled for 31 May 2024.

Principal Risk Register

2.2 The diagram in appendix A sets out the position on the Principal Register at 30 May 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 2 risks have been proposed to be deferred from the Principal Register.

2.4

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

Last Review Remarks:

May 24 Head of ICT. The new server and storage infrastructure implementation will allow all applications to be run from a single datacentre. This means that we could have a total loss of one data centre and continue to function. The new infrastructure will involve a complete reinstall of all systems and services which is in effect a comprehensive disaster recovery exercise. This will give us confidence that we can

continue service the public in the event of a major ICT issue at one of the data centres. 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:

May 24. DI Andy Palmer. 54 Detectives on the DHEP programme, however they are still in training. This means that they are not able to have an impact on the demands of safeguarding and CID teams. Recruitment into these teams is from Transferees and PCs on the detective pathway. The first cohort of DHEP students will be ready for posting in Jan/Feb 2025. 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:

May 24 ACO. enableNY review has now completed and final report has been received 21/5/24. Discussions ongoing between CC, CFO and Mayor. 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:

May 24. Talent & Development Manager. Risk to be proposed at the May RAB to be closed.

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

May 24. Head of BDA. Risk to be proposed at the May RAB to be closed.

Risk is mitigated with the HMICFRS 2022 Improvement Plan now being closed and a more favourable HMICFRS 2023 grading.

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.

	2022/2023 Q4 (Jan-Mar)	2023/24 Q1 (Apr-Jun)	2023/24 Q2 (Jul – Sept)	2023/24 Q3 (Oct – Dec)	2023/24 Q4 (Jan – Mar)
Number of BC Incidents	4	9	12	10	5
Number of Force wide/ Priority 1 incidents	0	3	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.

Business Continuity Risk Manager (Business Insight, BDA)

Date: May 2024