

AGENDA ITEM 10

JOINT INDEPENDENT AUDIT COMMITTEE

NOVEMBER 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 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 25 August 2023 until 31 October 2023. During the reporting period reports on risk register activity were submitted to the Executive Board following the Risk & Assurance Board. At the September Risk and Assurance Board it was decided that meeting frequency would move to every other month instead of monthly.

2.2 At the time of writing this report some Principal Risk Register entries were reviewed with owners after material had last been considered at Risk & Assurance Board (29 September 2023).

Principal Risk Register

2.3 The diagram in appendix A sets out the position on the Principal Register at 31 October 2023:

2.4 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 or deferred from the Principal Register during the reporting period.

2.5

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

Last Review Remarks:

Head of ICT. The new server design is ready and a market exercise will commence shortly. This will provide 100% resilience to the datacentres meaning that one could be shut down and all systems run from another.

New firewalls are being installed with the latest security protection features helping reduce the risk of a direct cyber attack.
 No changes 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:

Head of People Services. A review of the recruitment process has been completed with improvements implemented. Actions in relation to oversight through the Workforce Planning meeting and recruitment and vacancy monitoring have been implemented and adjusted to be current controls. Financial challenges have also resulted in an acceptance of a vacancy factor in some areas but this does not apply to those areas identified as operational priorities.

Based on those changes the residual assessment has been reduced and now matches the target score. As a consequence it is proposed that the status of this risk be adjusted to tolerate for consideration at the next Risk & Assurance Board. The controls will be subject to Internal Audit activity in 2023/2034 audit plan.

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 Q2 (Jul-Sep)	2022/2023 Q3 (Oct-Dec)	2022/2023 Q4 (Jan-Mar)	2023/24 Q1 (Apr-Jun)	2023/24 Q2 (Jul - Sept)
Number of BC Incidents	18	12	4	9	12
Number of Force wide/ Priority 1 incidents	0	1	0	3	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

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- 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 & Planning Manager (Business Insight, BDA)

Date: November 2023

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