

AGENDA ITEM 8

JOINT INDEPENDENT AUDIT COMMITTEE

APRIL 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 1 November 2023 until 28 March 2024. During the reporting period reports on risk register activity were submitted to the Executive Board following the Risk & Assurance Board.

Principal Risk Register

2.2 The diagram in appendix A sets out the position on the Principal Register at 28 March 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 or deferred from the Principal Register during the reporting period.

2.4

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

Last Review Remarks:

Review with CC CFO Louise Branford-White. Review of risk description, causes and consequences, adjustments made to reflect the content of the budget and MTFP report that was considered and approved at Executive Board in January.

Live controls and responses reviewed and dates revised where appropriate. CC CFO has the review of core financial documentation in hand. CC CFO has also delivered financial management briefings to senior colleagues. Based on the progress made probability at residual risk level has been reduced resulting in a slight reduction in overall risk category.

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

Last Review Remarks:

Head of ICT. Equipment ordered and is being delivered. Implementation will commence in March 2024. No changes to scoring or status at this review.

8584: Prevailing difficulties in the retention and recruitment of Detective roles impact on services to the public

Last Review Remarks:

January 24. Work continues to fill detective vacancies in line with demand modelling. We are currently live with a recruitment campaign for the Detective Pathway and for transferees with a start date of June 2024.

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.

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Risk & Planning Manager (Business Insight, BDA)

Date: April 2024

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