

**Report to:** Audit & Risk Assurance Committee  
**Agenda item:** 4  
**Date:** 29 November 2016  
**Subject:** BTP Quarterly Update Report  
**Sponsor:** Director of Capability and Resources  
**For:** Information

## 1. PURPOSE OF PAPER

- 1.1. This report provides the Audit & Risk Assurance Committee (A&RAC) with an overview of audit actions since the previous A&RAC in September 2016. It covers the 15/16 Audit of Payroll, Contracts, Health & Safety and Information Management.
- 1.2 This report will also outline the extensive programme of Business Continuity testing to be undertaken by BTP over the next 12 months.

## 2. INTERNAL AUDIT SUMMARY

### 2.1. Payroll and Contracts 2015/16

Portfolio	Area of Review	Number of BTP actions	Currently Complete		Recommended for closure	Complete if signed off	
			Number	%		Number	%
BTP	Contracts	21	19	90	0	19	90
BTP	Payroll	14	12	86	0	12	86
<b>Total</b>		<b>35</b>	<b>31</b>	<b>88%</b>	<b>-</b>	<b>31</b>	<b>88%</b>

Of the outstanding Contracts actions the two remaining actions are tracked in APPENDIX A along with commentary on completed and outstanding actions.

Of the outstanding Payroll actions the two remaining actions are tracked in APPENDIX B along with commentary on completed and outstanding actions.

**2.2. Information Management and Health & Safety 2016**

Portfolio	Area of Review	Number of BTP actions	Currently Complete		Recommended for closure	Complete if signed off	
			Number	%		Number	%
			BTP	Health and Safety		11	0
BTP	Information Management	8	6	75%	0	6	75%
<b>Total</b>		<b>19</b>	<b>6</b>	<b>31%</b>	<b>7</b>	<b>13</b>	<b>68%</b>

2.3. Health and Safety were audited between 3<sup>rd</sup> August 2016 to 16<sup>th</sup> September 2016 with 11 BTP actions agreed. Of these 11 actions 9 are medium risk and 2 are low risk. The RAG status for this audit is YELLOW.

2.4. The final report has been ratified by COG. 7 of the actions are recommended for closure with the remaining 4 part of on-going actions. APPENDIX C

2.5. Information Management were audited between 24<sup>th</sup> May 2016 to 25 July 2016 with 8 BTP actions agreed. Of these 8 actions 2 are high risk and 2 are medium risk. The RAG status for this audit is YELLOW.

2.6. Of the 8 BTP actions 2 low risk remain outstanding with a completion date of December 2016 to be anticipated. APPENDIX D

**3. Business Continuity**

3.1 There has been significant work to reset BTP Business Continuity and Disaster Recovery. A series of workshops have been held and some 233 plans have been drafted.

3.2 To validate and mature this planning, the Force will commence a rolling programme of business continuity/disaster recovery exercises that will occur every 2 months. These will select a sample of sites and systems to test. This builds on previous exercises and system fail overs which will now be drawn into a more comprehensive program.

3.3 The first test exercise is Monday 28<sup>th</sup> November 2016.

3.4 The GIAA will be auditing BTP Business Continuity from December 2016.

#### **4. RECOMMENDATIONS**

4.1. That Audit & Risk Assurance Committee considers the contents of the annexes and the GIAA reports and is reassured that a robust level of Business Continuity/Disaster Recovery testing is taking place across the force.

**APPENDIX A** Audit 15/16 Contracts action tracker

**APPENDIX B** Audit 15/16 Payroll action tracker

**APPENDIX C** Audit 2016 report Health and Safety

**APPENDIX D** Audit 2016 report Information Management