

North Yorkshire Police  
Record of Meeting



**Meeting:** Joint Independent Audit Committee  
**Time and date:** 13:00 15<sup>th</sup> March 2022  
**Location:** Teams Meeting  
**Chair:** Stuart Green

**Attendees:**

Name	Role
Helen Fowler	Member
Joanne Gleeson	Member
Roman Pronyszyn	Member – Vice Chair
Mabs Hussain	Deputy Chief Constable
Ray Ward	Managing Director enableNY
Simon Dennis	Chief Executive & Monitoring Officer
Michael Porter	PFCC's Chief Finance Officer 151
Mike Clements	Head of Finance
Donald Stone	Risk Manager
Gavin Barker	Mazars
Abi Medic	Mazars
Michael Gibson	Internal Audit (RSM)
Dan Harris	Internal Audit (RSM)
Shain Yapp	Personal Assistant to the Chief Officer Team

**Apologies:**

Name	Role
Max Thomas	MP shared with the committee that MT had offered his resignation earlier in the day. It was unanimously agreed by all and a request for it to be noted that MT had provided valuable contributions as a committee member and was offered thanks and good wishes.
Heather Cook	Member

Items and Decisions:

No.	Discussion	Outcome / Decision
607	<p><b><u>Attendance, Apologies and Welcome</u></b> Apologies were recorded</p>	
608	<p><b><u>Declaration of Interest</u></b> RP declared his declaration of interest for the records</p>	
609	<p><b><u>Minutes of previous meeting</u></b> The minutes were approved for publication.</p>	
610	<p><b><u>Matters arising</u></b> There were no matters arising from the previous meeting that were not included on the agenda for this meeting.</p>	
611	<p><b><u>Internal Audit Reports and Plan Progress</u></b> For discussion: Members are asked to review the reports and sector briefing and provide feedback and observations to support further assurance and next steps.</p> <ul style="list-style-type: none"> <li>• Progress Paper Members asked if next year’s audits could be spread out evenly on the plan, so it ensures there isn’t a massive backlog left at the end of the year.</li> <li>• Estates – Covid-19 Response report</li> </ul> <p>MG provided an overview of the report.</p> <p>No questions raised</p> <ul style="list-style-type: none"> <li>• Capital Investment Programme Report Member queried if the completion dates were aligned to the budget sign off? MC, MP and DCC Hussain provided the response, sharing the plans that will be implanted in the coming year/s</li> </ul> <p>For the record the Chair thanked everyone for their contribution, requesting that it be noted for the record that this was something the management had specifically requested from Internal Audit to provide an independent perspective and assurance.</p> <p>Chair requested a verbal update at the next meeting</p> <ul style="list-style-type: none"> <li>• Follow up Audit</li> </ul> <p>Noted</p> <ul style="list-style-type: none"> <li>• Sector Briefing Report to be added to the March Meeting folder after the meeting</li> <li>• Benefits Realisation</li> </ul> <p>No questions raised</p>	<p><b>Action 40</b></p>

No.	Discussion	Outcome / Decision
	<ul style="list-style-type: none"> <li>Internal Audit Plan 2022/23</li> </ul> <p>Member queried some more clarity on risk 7573 as the wording didn't make sense. DS provided the clarity on the wording and the members were satisfied.</p> <p>Member queried if the financial controls were being carried out every year and not just the next two as indicated in the plan? DH assured the members that the financial controls will be carried out every year and thanked the member for spotting the error.</p> <p>Questions were raised on Risk Management which DS was able to provide assurance on, however, the existing arrangements could be supplemented by an "Assurance Map". RP and SG offered to assist with this and to gain further understanding it was agreed that a meeting with DS to discuss this further would be welcomed. SD offered to join the meeting with TT to give an overview of Governance arrangements and the Crime Plan.</p>	<b>Action 41</b>
<b>612</b>	<p><b><u>External Audit</u></b></p> <ul style="list-style-type: none"> <li>Audit Progress Report</li> </ul> <p>GB and AM provided an update on their Financial Reporting situation.</p> <p>MP advised that the committee hadn't seen the completion report. It was agreed that JG and MP will meet outside of the meeting before the sign off to discuss further.</p>	<b>Action 42</b>
<b>613</b>	<p><b><u>Civil Claims overview</u></b></p> <p>Member asked how assault claims were managed. SD provided assurance on the process that are in place.</p>	
<b>614</b>	<p><b><u>In Year Financial Monitoring and MTFP</u></b></p> <p>No questions raised SO MP offered to take question from the members outside the meeting if required.</p>	
<b>615</b>	<p><b><u>Final Accounts</u></b></p> <p>MP provided an update to the members that the report will be shared in the June meeting.</p>	
<b>616</b>	<p><b><u>JIAC Forward Planner</u></b></p> <p>No question raised</p>	
<b>617</b>	<p><b><u>Audit Recommendations Tracker</u></b></p> <p>Members requested that the last column (Exception/Overdue) in the tracker be disaggregated for future sessions.</p>	
<b>618</b>	<p><b><u>HMICFRS Reports &amp; Recommendations Tracker</u></b></p> <p>Noted</p>	
<b>619</b>	<p><b><u>Risk Register and Business Continuity Overview</u></b></p> <p>Members queried the background/detail behind how the high-level risks are determined. Officers noted that planning of a refresh of the Principal Risk Register was underway to complement the refresh of the Police and Crime Plan. It was agreed that this would be useful to include in the discussions around an Assurance Map.</p> <p>Members questions on ICT risks were clarified by MP and RW.</p>	
<b>620</b>	<p><b><u>Information Assurance Report</u></b></p> <p>No questions raised</p>	

No.	Discussion	Outcome / Decision
621	<u>AGS</u> DS provided an update on changes and will bring the report to the June meeting.	
622	<u>AOB</u>	
623	<u>Date of future meeting</u> 20 <sup>th</sup> September 2022 13 <sup>th</sup> December 2022 21 <sup>st</sup> March 2023 20 <sup>th</sup> June 2023	
624	The next meeting of the JIAC will take place on Tuesday 21 <sup>st</sup> June 2022 at 15.00 hrs as a Hybrid meeting using both Teams and on site at NYP/ NYFRS HQ	

**Actions Agreed:**

No.	Action / Update	Owner	Date Issued	Date Closed
33	Private Items: DS to link in directly with the Chair to provide clarity on the force's rational and for transparency, why items are marked as 'private' and why they should be considered as such. 15.03.22 DS provide a rational for private items at the meeting. It was agreed that only the minimum amount of information should be private.	DS/ SG	27.01.2022	15.03.2022
34	JG queried the length of the date on management action 7. DS to respond directly.	DS	27.01.2022	

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35	Information Assurance: IA Action plan to be shared by DCC Hussain with the members	DCC MH	27.01.2022	
36	Risk: DS to share the Risk Policy with the Members prior to the next meeting	DS	27.01.2022	
37	Civil Claims: MP to provide a breakdown on the significant higher numbers of claims in one quarter. The Chair requested a comparable report against other forces which will be provided annually. DS to add to the forward planner.	MP/ DS	27.01.2022	15.02.2022
38	Information Assurance: DS to provide assurance on levels of training carried out and how management sanctions are issued for noncompliance. DS provided an update at the meeting.	DS	27.01.2022	15.03.2022
39	AGS: DS to add a meetings structure diagram to future AGS.	DS	27.01.2022	15.03.2022
40	Capital Investment Programme Report: Chair requested a verbal update in the June meeting on progress.	MC		
41	Risk Management: To gain further understanding, it was agreed that a meeting with DS would be welcomed. SD offered to join the meeting with TT, this to give an outline of the Governance arrangements that are in place as well as an overview of the Crime Plan. DS, TT and SD to be invited to the June pre - meet	DS		
42	External Audit Update: MP to meet with JG to discuss the Completion Report Meeting arranged for 17 <sup>th</sup> May 2022	SY /MP		