

North Yorkshire Police
Record of Meeting



Meeting: Joint Independent Audit Committee
Time and date: Tuesday 23rd June 2020
Location: Teams meeting
Chair: Jason Brine

Attendees:

Name	Role
Lisa Winward (LW)	Chief Constable
Heather Cook	Member
Helen Fowler (HF)	Member
Max Thomas (MT)	Member
Michael Porter (MP)	PFCC's Chief Finance Officer
Mike Clements (MC)	Head of Finance & Section 151 Officer
Maria Earles (ME)	Head of Design and Assurance
Donald Stone (DS)	Risk & Assurance Manager
Gavin Barker (GB)	Mazars
Dan Harris	Internal Audit (RSM)
Shain Yapp	Personal Assistant to the Chief Officer Team

Apologies:

Name	Role
Ray Ward (RW)	Managing Director enableNY
Asim Ashraf (AA)	Member

Items and Decisions:

No.	Discussion	Outcome / Decision
487	Attendance and Apologies Apologies were recorded from Ray Ward and Asim Ashraf	
488	Declaration of Interest MT tabled his declaration of Interest.	For information
489	Minutes of previous meeting The minutes were approved for publication.	For information
490	Matters arising There were no matters arising from the previous meeting that were not included on the agenda for this meeting.	For information

No.	Discussion	Outcome / Decision
491	<p><u>Internal Audit reports and Plan Progress updates</u></p> <p><u>Progress Paper</u> DH advised the RSM are continuing to work remotely; and are working with Officers to adjust the reporting time frames to accommodate the current Covid situation.</p> <p><u>Seized Exhibits – Temporary Stores (private paper)</u> The three high priority actions identified were discussed in detail due to them being under review for some time. LW advised the committee that actions were in place to address the complicated process of storing exhibits, agreeing that it needed additional resource to be allocated to it for this to be done. The Chair advised since this has been a repeat audit, it may be factored into Annual Governance Statement (AGS)</p> <p><u>Business Continuity Planning</u> It was suggested Disaster Recovery testing should be scheduled to be in place in advance of the action update of March 2021.</p> <p><u>Policies and Procedures</u> Noted</p> <p><u>Annual Internal Audit opinion</u> DH provided a brief overview of the Annual Audit Report and confirmed:</p> <ul style="list-style-type: none"> • The PFCC has an adequate and effective framework for risk management, governance and internal control • The CC has an adequate and effective framework for risk management, governance and internal control • The partial assurance conclusions (Human Resources, Wellbeing; Integrated Offender Management; Service Operations; Seized Exhibits; Business Continuity Planning; Policies and Procedures) should be considered for inclusion in the Annual Governance Statement; • reasonable progress is being made towards implementation of agreed actions towards the end of the period • 6 partial assurance, 4 reasonable assurance and 2 substantial assurance opinions were issued • performance of RSM was considered <p>Concerns from the committee were expressed that the overall annual audit opinion was overly favourable given that 50% of all audits received only partial assurance. DH referred to the targeting of audits to areas of concern and the progress against agreed actions. The panel expect significant progress to be reported during the next period and in readiness for the next meeting on 22nd September.</p>	<p>Partial Assurance</p> <p>Partial Assurance</p> <p>Partial Assurance</p>

No.	Discussion	Outcome / Decision
	<p>It was discussed that areas given partial assurance will be followed up during the next 12 months.</p> <p>The Chair requested some time to speak with the enableNY SMT to discuss Organisational Risk, receive an update from ICT on disaster recovery and seek assurance on Health and Wellbeing from the Head of HR.</p>	<p>Action 28</p>
492	<p><u>External Audit Updates</u> GB advised, Mazars current plans are that the financial statements audits will be completed by mid-August 2020 within the revised statutory timescale of 31 August 2020. With plans to present the report at the next meeting in September. Audit opinions, Value for Money and Certificate will follow soon after.</p>	<p>Noted</p>
493	<p><u>Draft Annual Accounts</u> MP updated the committee and provided confidence that final set of accounts are anticipated at the end of next week and will be open for inspection by the public as per usual practice and will be provided to members in due course. MP advised that he was anticipating impact of covid19 will be felt in FY21/22 It was suggested that finance risk should be anticipated over next 2 financial years.</p> <p>Noted</p>	<p>Noted</p>
494	<p><u>Draft Annual Governance Statement</u> Chair suggested it would be advantageous if more information was shared on what is happening with those areas of partial assurance; including areas for development next year, such as exhibits and IOM, to include how the new Risk Performance Meeting is operating and how risk is now being managed and to ensure terminology describes the proactive nature of activity. To add the risk on finances anticipated over next 2 financial years.</p> <p>DS agreed to continue to circulate drafts of the AGS for JIAC comments.</p>	<p>Noted</p>
495	<p><u>Audit Recommendations Tracker</u> Noted</p>	<p>Noted</p>
496	<p><u>HMIC Reports/ HMIC Recommendation tracker</u> Noted</p>	<p>Noted</p>
497	<p><u>Risk Register and Business Continuity Overview</u> It was commented that ICT 'risk' doesn't compare to audit report.</p> <p>Further discussions with Head of ICT to be arranged.</p>	<p>Action 28</p>
498	<p><u>Civil Claims</u> The Chair commented the report was robust and provided a greater level of assurance to the members.</p>	<p>Noted</p>

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599	<p><u>Information Assurance Report</u> The committee was informed that the backlog was decreasing, this due to new processes being implemented. Management of making information readily available to the public under the supervisor of the new Communications Manager was helping new request to be processed at a smarter pace.</p>	Noted
500	<p><u>JAC Forward Planner</u> Noted</p>	Noted
501	<p><u>AOB</u> None</p>	
503	<p><u>Date of future meeting</u> 22 September 2020 15 December 2020 16 March 2021</p> <p>The next meeting of the JAC will take place on Tuesday 22nd September at 14.00hrs in the Haigh Meeting Room, 1st Floor Alverton Court.</p>	Noted

Actions Agreed:

No.	Action / Update	Owner	Date Issued	Date Closed
24	<p><u>RSM Sector Update</u> RSM to be invited to attend the next Members pre-meeting in order to consider implementation of actions following sector updates.</p>	DS/AW	28.11.2019 CF/31.03.2020	
25	<p><u>Enable</u> Consideration of the review, audit and measurement of the collaboration arrangements within the governance arrangements for the CC, FRS and PFCC</p>	MP	28.11.2019 CF/31.03.2020	Closed 23.06.2020
26	<p><u>Civil Claims</u> Members of Legal Services to be invited to attend the next meeting in order to provide context to their report in particular clarity on the "other" category.</p>	DS	28.11.2019 CF/31.03.2020	Closed 23.06.2020
27	<p>Chair has requested that ICT Service to be called back by Committee in December for an update on progress, this to be added to the forward planner</p>	DS	31.03.2020 CF/ 23.06.2020	

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28	<p>The Chair requested some time to speak with the enableNY SMT to discuss organisational risk, receive an update from ICT on disaster recovery and seek assurance on Health and Wellbeing from Head of HR.</p> <p>Meeting setup to follow directly after the September JIAC meeting</p>	RW/ ME	23.06.2020	

DRAFT