

North Yorkshire Police

Joint Independent Audit Committee

(JIAC)

DRAFT Summary Minutes



Meeting: Joint Independent Audit Committee
Date and Time: Thursday 20th March 2025, 15:00 – 17:15hrs
Location: Haigh Conference Room, Alverton Court Police Headquarters and via Teams
Chair: Dr Stuart Green

Attendees:

Name		Role
Dr Stuart Green	(SG)	Committee Member & Chair
Heather Cook	(HC)	Committee Member
Roman Pronyszyn	(RP)	Committee Member & Vice Chair
Michael Porter	(MP)	YNYCA OPFCC Assistant Director of Resources (Deputy s73 Officer)
Paul Clark	(PC)	YNYCA Governance & Assurance Manager
Lee Chapman	(LC)	Deputy Director for Support Services and Transformation
Wayne Fox	(WF)	NYP T/Assistant Chief Constable Local Policing & Safeguarding
Louise Branford-White	(LB-W)	NYP Chief Finance Officer
Louise Flight	(LF)	NYP Risk Manager
Gordon McQueen	(GM)	NYP Head of ICT
Caroline Williams	(CW)	NYP Civil Disclosure Team Leader
James Collins	(JC)	Forvis Mazars LLP Engagement Lead & Audit Director
Dan Harris	(DH)	RSM Risk Assurance Services Associate Director
Matt Stacey	(MS)	RSM Risk Assurance Services Managing Consultant
Ian McClelland	(IM)	NYP Governance Support Officer

Apologies:

Name		Role
Lisa Stitt		Assistant Chief Officer
Gillian Havelock		NYP Strategy and Governance Lead
Naomi MacKenzie		NYP Data Protection Officer
Peter Topping		Member (pending vetting)

Items and Decisions:

No.	Discussion	Outcome / Decision
829	<p>Attendance and Apologies. Attendance and apologies are noted above.</p> <p>MP informed Committee Members that Paul Gibb had submitted his resignation as a prospective Member of the JIAC Committee on 06.02.25. PG was thanked for his attendance and input during the meetings he had attended.</p>	
830	<p>Declaration of Interest.</p> <p>There were no declarations of interest.</p>	
831	<p>Minutes and Actions of Previous Meetings.</p> <p>The Minutes of the regular scheduled meeting held on 28.11.24, and the Minutes of the Extra-Ordinary Meeting held on 24.02.25 were both reviewed. There were no comments or amendments and both sets of Minutes were recorded as accurate and were proposed for approval by SG. Approval seconded by RP.</p>	Approved.
832	<p>Matters Arising.</p> <p>Open Action #68. Chief Constable's Detective Numbers Presentation. Update from IM noted that as P Topping's vetting continues to be processed, the presentation is therefore still not able to be shared. The action remains open.</p> <p>Open Action #69. Human Rights Civil Claims. MP provided an update within the Closed Session. Action closed.</p> <p>Open Action #70. IT Health Check Update. GM provided an update within the Closed Session. Action closed.</p> <p>Open Action #71. SyAP Summary. GM provided an update within the Closed Session. Action closed.</p> <p>Open Action #72. Information Assurance Report – IT Health Check – ICT to be in Attendance. NYP Head of ICT had been present at the meeting. Action closed.</p> <p>Open Action #73. Audit Completion Report. Noted as an update being provided at the June Meeting. Action remains open.</p>	<p>Remains open.</p> <p>Closed.</p> <p>Closed.</p> <p>Closed.</p> <p>Closed.</p> <p>Remains open.</p>
833	<p>Internal Audit Reports and Plan Progress.</p> <p>All audits and reports were presented by DH and MS, questions and challenges were fully addressed.</p> <p>a. Internal Audit Progress Report. The assurance opinions of the audits provided thus far, and the remaining audits having been produced in draft, does provide sufficient evidence to point towards an overall positive assurance opinion by the end of the year, subject to final review. Noted that several audits had needed to be removed from the plan due to budget restraints, this was due to deliberately over-</p>	

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	<p>planning at the start of the year and making adjustments for prioritised delivery following the mid-year review with agreement of both LB-W and MP.</p> <p>SG commended the proactive stance taken by NYP management to purposely direct internal audit scrutiny into the areas of business that they feel requires attention.</p> <p>b. Police Overtime – Final Report. The report received a <i>partial assurance opinion</i>, no high-level actions were noted. WF provided assurance that this issue has received considerable attention from the NYP Chief Officer Team (COT) and has been gripped. Controls and processes are now firmly established.</p> <p>c. Ethical Standards – Final Report. The report received a <i>reasonable assurance opinion</i> noting effective and efficient processes in place for the raising of any ethical concerns.</p> <p>d. Collaborations – Final Report. The report received a <i>partial assurance opinion</i> highlighting a noticeable lack of governance regarding the collaborative relationships. The opinion was noted as the same opinion it had received during audit in 2022/23; this is concerning as the actions highlighted within the 22/23 audit at some point must have been noted as actioned and closed, pointing to failings within internal audit action tracking. This needs to be scrutinised and understood.</p> <p>SG requested that RSM are to compare the 22/23 audit with the findings of this audit to highlight if any of the actions are similar.</p> <p>WF provided information on the recent creation of a Collaboration Assurance Board (chaired by ACC Specialist Operations) which brings a higher level of governance and structure to collaborations and is now beginning to mature and focus on the action tracker and allocation of action owners. Whilst there remain gaps in the process, those gaps are known and are being tracked.</p> <p>e. Internal Audit Plan 2025/2026. The proposed plan was noted as having been discussed and prioritised by the Chief Constable during the Jan 25 Risk, Assurance & Improvements Board. The over-planning and mid-year adjustment seen in previous years, as noted above, will not be required as the Chief Constable's clear prioritisation was based on strategic risk. RSM is content that the spread of programmed audits will provide sufficient diverse evidence for a final end-of-year opinion. The plan does remain flexible to respond to any emerging risks.</p> <p>f. Internal Audit Management Actions: Visit 1 – Final Report. Update provided during the Closed Session.</p> <p>g. Domestic Abuse – Final Report. Update provided during the Closed Session.</p> <p>h. Data Quality – Final Report. Update provided during the Closed Session.</p> <p>i. Sector Briefings. Information provided by emergency services and wider stakeholders has been combined into a number of briefing documents highlighting issues across the emergency services sector. They contain items for officers to keep</p>	<p>Action #74</p>

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	up to date with and that committees should be aware of, such as emerging risks, and may wish to consider. Examples cited were potential future global pandemics and the recent increase in trade tariffs which may impact supply chains.	
834	Audit Recommendations Tracker Live Internal Audit Actions. LF provided an update on the 17 live internal audits; this is an increase from 13 since Nov 24. The actions are subject to monthly monitoring with action owners actively chased for updates.	
835	HMICFRS Reports / Overview. LF provided an update on the report that covers four areas which include HMIC recommendations, Areas for Improvements (AFIs), recent publications and Inspectorate activity. Currently there are 78 live recommendations and AFIs. Liaison is undertaken regularly with HMICFRS to discuss progress on all live actions. The number of live actions is comparable with other Forces. RP noted that the live recommendations are not categorised as low, medium or high risk. This detail is to be added at the next scheduled meeting. WF provided an update on how the actions are processed upon receipt; this includes Quarterly Performance Meetings which escalate to Risk, Assurance and Improvements Board (Chaired by DCC). There is an embedded process of continual reviewing of innovative practice from other Forces. There is a level of assurance of the impact of these practices due to the number of other national Forces asking for details and direction on NYPs governance structure in this area.	Action #75
836	Risk Register and Business Continuity Overview. LF provided a high-level update on the developments of the Principle Risk Register (PRR) and Business Continuity activity during the period Sept 24 – Jan 25. There were four risks on the PRR, one of which was closed at the Jan 25 Risk, Assurance & Improvements Board. Following the request by the Committee at the previous meeting, the Business Continuity update included additional information on the types of incidents that have occurred, broken down into loss of: IT and communications, premises, supplier, information data or evidence, assets & equipment and severe weather. The Priority 1 incident detailed within the report had a full debrief within the Closed Session.	
837	Civil Claims Overview. MP provided an update on the information provided by Legal Team from the last quarter, this revealed no significant trends that required attention. An actuarial review of this process had been undertaken which showed that there had been no significant uplift in claims from one quarter to the next. An update on two civil claims (Open Action #69) was provided within the Closed Session.	

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	MP noted that the level of provision is due to be reviewed as part of the year-end closedown process. This review will note that despite the number of claims remaining relatively static, the increase in legal costs has been significant, not simply due to inflation, but through increased costs within the claims market.	
838	<p>Finance and Accounts, Medium Term Financial Plan to 28/29.</p> <p>MP provided an overview of the plan as it is useful for the Committee to understand where the revenue budget of £230M for 25/26 is earmarked. There is a much wider governance structure wrapped around the scrutiny of the budget. In the medium term to 2029, NYP will spend in the region of £1BN on policing and tackling crime, it is therefore of vital importance that appropriate management processes are in place. Appropriate processes are in place around risk, delegation, checks and balances, capital programme and planning assumptions. NYP have produced a balanced budget plan for the next 4 years which will most likely become very challenging.</p> <p>Discussion and scrutiny included target limits for recruitment, assurance that unknown risks are understood, such as pay awards and reduction of budgets. MP noted that the previous 20 years of precept has provided the funds required and he maintained a confidence that it would continue to do so.</p>	
839	<p>External Audits - Audit Progress Report.</p> <p>JC reported that additional fees have been raised for FY 23/24, subject to final approval. There will be a personnel change of the Audit Manager moving forward from 24/25.</p>	
840	<p>Information Assurance Report - Performance Indicator In Fulfilling Statutory Information Requests.</p> <p>Comprehensive update on Freedom of Information (FOIs) and Subject Access Requests (SARs) was provided by CW. Update noted that 82% compliance has been achieved with FOIs whilst reducing the backlog. There continues to be a year-on-year increase in SARs submitted; 523 within this FY alone. This has caused a backlog which has been added to the Force Risk Register. Noted that it isn't simply the volume of requests being received, it is also the complexity and breadth, especially since Body Worn Video has been used more widely. Further staff have been requested for the Civil Disclosure Team to tackle the issue.</p> <p>Discussions included what level is considered to be excessive requests whilst maintaining the levels of transparency and accountability that is clearly required and also the increase in complaints being received.</p> <p>Noted that these levels of FOIs, SARs and complaints are not NYP specific, they are being felt by Forces nationally.</p>	
841	<p>Annual Governance Statement (AGS) 23/24 – Progress on Areas For Development.</p> <p>LF provided an update on the three areas identified for development within the 23/24 AGS. The progress made against each area was presented at the Jan 25 Risk, Assurance & Improvement Board. Further progress updates were provided which noted two of the three areas will be completed by the 31.03.25 deadline, the remaining area is more complex and taking longer to finalise than anticipated.</p>	

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842	<p>Forward Planner.</p> <p>LF noted that the Forward Planner had been updated, however, two items scheduled for this meeting had been omitted. MP provided rationale for the deliberate omission of the two finance-based items, entirely due to the new auditing and financial governance arrangements within the MCA going forward; therefore, these items will no longer be required on the Forward Planner. At future meetings, only the Chief Constable's accounts will be provided to the Committee.</p> <p>The annual NYP Force Management Statement (FMS) was discussed as a potential addition as a Forward Planner item. After discussion this was noted as being a very useful addition to the Planner. Further noted that scrutiny of the FMS does not fall within the ToRs of the JIAC and given the level of detail, and security classification of the FMS, a brief high-level summary only would be provided, perhaps in ppt format.</p>	Action #76
843	<p>Next Meeting.</p> <p>Thursday 19th June 2025 at 15:00. Hybrid attendance.</p>	
844	<p>Proposed Dates of Future Meetings.</p> <p>Thursday 18th September 2025 at 15:00.</p> <p>Thursday 4th December 2025 at 15:00.</p>	
845	<p>Closed Items.</p> <p>a. Internal Audit Management Actions: Visit 1 – Final Report. <i>Reasonable assurance</i> opinion awarded. Lack of progress on some actions noted, but sufficient progress across the spread to provide a positive opinion. A better template for tracking actions and recommendations will be shared by RSM.</p> <p>b. Domestic Abuse – Final Report. <i>Partial assurance</i> opinion awarded. WF provided assurance that the high priority recommendations and actions were in hand, but with revised, realistic, timeframes.</p> <p>c. Data Quality – Final Report. <i>Minimal assurance</i> opinion awarded. The area will require a re-alignment of achievable completion dates for actions prior to further follow-up or audit.</p> <p>d. Human Rights Civil Claims. Open Action #69. MP provided an update on the Human Rights claims to the Committees satisfaction and agreement. This is a well understood area and is conducted with rigour and pace.</p> <p>e. Information Assurance Report & SyAp Summary. Open Actions #71 and #72. GM provided an update on IT health check and SyAp progress to the Committees satisfaction and agreement. Network cyber security capabilities noted.</p> <p>f. Priority 1 Business Continuity Plan Debrief Report. Links to Minutes #815 and #836. LF and GM provided the background, progress on actions and assurances following the 26.10.24 P1 incident to the Committees satisfaction and agreement.</p>	<p>Action closed.</p> <p>Action closed.</p>

Actions Agreed:

No.	Action / Update	Owner	Date Issued	Date Closed
68	Chief Constable's Detective Numbers Presentation. Chair directed that the presentation provided previously by the Chief Constable is to be forward to PB and PT, subject to satisfactory clearance of vetting requirements.	IM	19.09.24	
69	Human Rights Civil Claims. Two cases are noted on the Civil Claims report. Further detail on those cases is to be distributed to the membership group.	MP	19.09.24	20.03.25
70	IT Health Check Update. LS will confirm with Head of ICT where this matter sits and update MP.	LS	19.09.24	20.03.25
71	SyAP Summary. SB will provide Members with a SyAP Summary following the recent increase in SyAp score.	SB	28.11.24	20.03.25
72	Information Assurance Report – IT Health Check. ICT to be in attendance at the Mar 25 meeting to better understand the detail.	IM	28.11.24	20.03.25
73	Audit Completion Report. At the June JIAC, MP is to provide an update on managerial, process and audit progress following the Disclaimed opinion audit report.	MP	24.02.25	
74	Collaborations – Final Report. The 24/25 audit received a <i>partial assurance opinion</i> as did the 22/23 audit. RSM are asked to scrutinise and compare the two audits to highlight if any of the actions are similar.	DH	20.03.25	
75	HMICFRS Internal Audit Live Actions. For the June 2025 Meeting, the register of live actions are to be annotated with a low, medium or high level of risk.	TC	20.03.25	
76	Force Management Statement (FMS). A brief high-level summary of the FMS is to be provided.	GH	20.03.25	