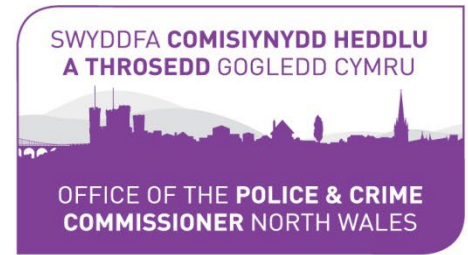




**HEDDLU  
GOGLEDD CYMRU  
NORTH WALES  
POLICE**



## **JOINT GOVERNANCE BOARD**

**9<sup>th</sup> NOVEMBER 2022 @ 10:00  
ONLINE**

### **PRESENT:**

Rachel Barber, Joint Audit Committee Chair [RB]  
Helen Corcoran, Corporate Service Chief Superintendent [HC]  
Guto Edwards, Head of Finance [GE]  
Sian Jones, Risk and Business Continuity Coordinator [SWJ]  
Phil Kenyon, Force Solicitor [PK]  
Stephanie Maddix, NPCC PA [SM] (minutes)  
Anne Matthews, Finance & Budget Officer [AM]  
Elan Parry, TIAA [EP]  
Seb Phillips, Director of Finance and Resources [SP] **(Chair)**  
James Sutton, Assurance Board Chair [JS]  
Helen Williams, Finance Control Accountant [HW]

### **APOLOGIES:**

Sarah Davies, JAC Governance and Ethics Lead  
Stephen Hughes, OPCC Chief Executive  
Kate Jackson, OPCC Chief Finance Officer

### **322. MINUTES OF PREVIOUS MEETING 7 SEPTEMBER 2022**

The board were invited to review and comment on the draft minutes from the previous meeting, held 7<sup>th</sup> September 2022.

To provide clarity around the statement of accounts update, RB commented that the minutes should be expanded to reflect that it was Audit Wales experiencing resourcing issues.

The minutes were then endorsed subject to incorporating the above comment.

### **323. ACTION LOG**

Refer to separate action log for updates.

### **324. NEW TERMS OF REFERENCE FOR JOINT AUDIT COMMITTEE**

The Chair explained the background with regards to the methodology for how the new terms of reference were developed:

- CIPFA have issued a new model around audit committees, including an example terms of reference document. This draft tracks closely with the guide but amendments were made to reflect North Wales Police nuances.
- The draft terms of reference document has been reviewed through the NWP governance structure via the Senior Leaders Team meeting, chaired by the Chief Constable.
- The document has also been reviewed through the OPCC management board governance, chaired by the Police and Crime Commissioner.
- Both meetings endorsed the terms of reference to take forward to the Joint Audit Committee.

JS provided the following feedback:

- Spelling mistake and incomplete sentence at section 1.1.
- Use of ambiguous language “...helping to ensure...” could be firmed up.
- Whether there was an appropriate forum in place to discharge the aspects included in section 6 – Accountability arrangements.

RB commented that she had provided feedback to the draft terms of reference via email which doesn't appear to have been incorporated into this version. Within her feedback, she too had referred to whether the evaluation of JAC, including the action plan that is generated from the evaluation, should be referenced in the terms of reference.

It would also be beneficial to make reference in the new terms of reference to the meeting format of open and closed sessions and the intention to cover everything within the open session as much as possible, unless it is sensitive information. This would need reinforcing through a defined mechanism outside of the terms of reference where the criteria and rationale for what needs to be raised in the open and closed sessions is agreed.

**Action: The Chair to feedback to CFO Kate Jackson:**

- 1. Consider and incorporate feedback from Rachel Barber ahead of finalising the TOR.**
- 2. Consider and incorporate feedback from James Sutton ahead of finalising the TOR.**
- 3. Ensure that the appropriate governance forums and responsibilities are established to discharge the TOR.**
- 4. Recirculate the final draft version of the terms of reference to the membership.**

It was confirmed that the existing version of JAC terms of reference would remain until this new version became effective.

RB queried the forum in which the JAC action plan would be monitored as it would need to be updated to reflect any additional or change of responsibilities for JAC.

**Action: Seb Phillips to establish the governance of the JAC action plan to ensure progress is monitored with relevant stakeholders.**

### **325. CHANGES TO GOVERNANCE STRUCTURE – COMMISSIONING/DECOMMISSIONING OF MEETINGS**

As detailed within the report circulated with the agenda pack, SWJ highlighted the following changes to the governance structure that had been agreed at Senior Leadership Team meeting on 2<sup>nd</sup> November 2022:

- To decommission the Disclosure Improvement Group.
- To amalgamate the Strategic EDI Board and the Welsh Language Board to form one Strategic Welsh Language and EDI Board which would be chaired by the Deputy Chief Constable and held on a quarterly basis.
- To bring Welsh Language into the Tactical EDI Board and for that Board to be renamed the Tactical Welsh Language and EDI Board which would be chaired by the Service Lead for Corporate Services and held on a 6-weekly basis.
- To decommission the BAME Task and Finish Group and include ongoing work within the Tactical EDI and Welsh Language Board.

The amalgamation of the Strategic EDI Board and Welsh Language Board would be reviewed in 6 months to ensure that we are not losing focus on key Welsh language priorities.

GE reiterated that he supported Welsh language being incorporated into the Strategic EDI board as the Welsh language is an equality and cultural issue and should be discussed in amongst other equality and inequality matters. The tactical board would deal more with the Welsh language skills issues, and how we can develop and improve the skill level within the force but also the language provision to the communities.

### **326. HMICFRS MATTERS OF GOVERNANCE**

The Chair introduced the item by explaining to the board that HMICFRS had issued a draft report following the PEEL inspections which included initial draft gradings. We are in the process on feeding back on the factual accuracy and therefore the findings remain embargoed, but it is raised here to highlight the initial draft view that HMICFRS have around our governance structure.

HC provided an overview of the work that had taken place since receipt of the draft report, details omitted from the minutes due to the embargoed report.

There will be a role for this meeting to review the findings around governance arrangements pending receipt of the more detailed report in due course.

HMICFRS have indicated that they will be changing the arrangements for signing off “Areas for Improvement” which will potentially allow the force to sign off some recommendations.

There is a planned review of our position against the HMICFRS Custody Action Plan in December, following the unannounced custody inspection in November 2021, to see which recommendations can be signed off. The Custody Inspection Action Plan is progressed through an audit and scrutiny meeting which the Custody Chief Inspector leads on, this then reports into the Strategic Operational Board which then feeds into the Strategic Executive Board. HMICFRS are pleased with the considerable progress that has been achieved so far.

### **327. REVIEW OF INTERNAL AND EXTERNAL AUDIT RECOMMENDATIONS**

AM updated the Board by exception on matters occurring since the circulation of the report.

#### Draft Audits Reports Received

- 2022/23 Collaborative audit - Expenses & additional payments: The report is yet to be finalised as TIAA are awaiting comments from other forces, but we have received a substantial grading.
- 2022/23 Pensions: This audit has been returned for finalisation and has received a substantial grading.
- 2022/23 Command Unit – Central Area: This audit has received a reasonable assurance grading.
- Property Subject to Charge: This audit is currently graded as limited assurance. Management response will be sent across to TIAA which may or may not change the grading. This was a follow up audit from 12 months ago, which was also graded as limited assurance at that point. It is recognised that progress is being made but there are still some concerns following the recent review.

This limited assurance audit will feature at the Joint Audit Committee in December with Colin Parry and Rebecca Bywaters (Seized Property Manager) lined up to attend. This would need to be raised in the closed session of that meeting due to certain sensitivities that to allow additional context to be provided that would not be appropriate for the public domain.

Collaborative audits were discussed during the informal All Wales Joint Audit Committee earlier this month. RB explained that there had been mixed feelings as to the benefit of the collaborative audits, although north Wales JAC were supportive of them. There had been agreement that Wales Police Finance Group would look at the terms of reference around collaborative audits to make sure that there is benefit and a good outcome from those audits. It had been suggested that a trial of new collaborative audits could commence in 2023 whilst TIAA are undertaking their internal audits before a decision is made as to how to fulfil that obligation in 2024.

#### Fraud Alerts

AM spoke through mitigations in place in respect of the one open fraud alert – FA033 Procurement Fraud; Impersonation Fraud.

#### Audit recommendations

007 – Debtors: This recommendation has now been implemented as the Head of Finance and DFR have authorised for these to be written off.

008 Network Security: This relates to the Windows 7 migration and the Chair commented that the update and actions generated here are very useful. This will feature as a Risk Deep Dive at the December Joint Audit Committee led by the Head of Technology. AM added that the implementation date for this recommendation has been extended to 31/01/23.

### **328. REVIEW OF PUBLICATIONS ISSUED BY INTERNAL AUDIT**

Covered in previous section.

### **329. REVIEW OF RECOMMENDATIONS FROM JOINT AUDIT COMMITTEE**

The Board discussed the Joint Audit Committee recommendations that were relevant to governance.

- The first 2 recommendations were surrounding a discussion on the Safer Streets grant funding. HC, SP and GE have met for initial discussions to progress and a full update would be provided to JAC in due course.
- Post sign off review – GE explained that the All Wales meeting had not taken place yet but he would feedback once it had.
- Interface between Head of Technology and Chief Information Officer – The Joint Audit Committee had asked for more assurance and understanding that things wouldn't fall into the gaps without an overarching Chief Technology Officer. This role had been considered carefully as part of the discussions around the ICT target operating model but was seen as not required. Both the CIO and Head of Technology report into the DFR as SIRO. A full update will be provided to JAC in December.

The Joint Audit Committee actions and recommendations will routinely be reviewed at the agenda setting for this meeting to ensure that those relevant to governance are raised and discussed by the Board.

### **330. ASSURANCE UPDATE (BY EXCEPTION)**

The Board noted the contents of the report provided with the agenda pack.

SWJ added that some changes have been made to the assurance mapping process in that they are now only reviewing risks that have been identified as critical and on an 18-month basis rather than a 12-month basis. This is captured within the risk and assurance mapping framework.

It was confirmed that the Business Continuity Lead is receiving the required support in terms of engaging with departments to arrange scrutiny tests on business continuity plans. The Assurance Board have committed to review this at the end of the year to determine the value and whether any improvements can be made.

The ICT resilience board continues to run in the background and the Chair commented on the excellent work undertaken by the Business Continuity Lead.

### **331. REVIEW FORWARD WORK PLAN**

The Board discussed what elements would need to be captured in agenda setting for the next meeting.

**Action: Stephanie Maddix to ensure that the following is captured with the forward work plan at agenda setting for the next meeting:**

- **Consider whether the JAC action plan should be featured in the Joint Governance Board work programme to report here.**
- **Monitor the Annual Governance Statement Action Plan**
- **Self-assessment for Financial Management codes**

- **HMICFRS Update – following publication of the PEEL report**

### **332. ANY OTHER BUSINESS**

No other business was raised.

#### **DATES OF NEXT MEETINGS:**

**Wednesday 1<sup>st</sup> March 2023**

**Wednesday 28<sup>th</sup> June 2023**

**Wednesday 6<sup>th</sup> September 2023**

**Wednesday 15<sup>th</sup> November 2023**