

**NORTH YORKSHIRE POLICE AND CRIME COMMISSIONER AND NORTH YORKSHIRE POLICE  
JOINT INDEPENDENT AUDIT COMMITTEE**

Minutes of the meeting held at Police Headquarters, Newby Wiske, Northallerton, DL7 9HA at 2pm on  
Tuesday 16 December 2014.

**PRESENT:-**

In the Chair: David Portlock (DP).

Members: Howard Cutler (HC)

Officers: Chief Constable Dave Jones (DJ); Police and Crime Commissioner Julia Mulligan (JM); Chief Constable's Chief Finance Officer and Chief Accountant Jane Palmer (JP); Acting Head of Organisation and Development and Head of Risk and Assurance Donald Stone (DS); Commissioner's Chief Finance Officer Michael Porter (MP); External Audit Engagement Manager (Mazars) Gareth Roberts (GR). Internal Audit Michael George (MG)

Minute taker: Police and Crime Commissioners Personal Assistant Rachel Bloomfield (RB)

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124. **Introductions and Apologies**

Apologies had been received from CEO Joanna Carter, Steven Hawksworth, Katherine Johnson, Internal Audit Manager Neil Rickwood and External Audit Engagement Lead Cameron Waddell.

The Chair reported that Katherine Johnson had resigned from the Joint Independent Audit Committee (JIAC). She has been offered the post of Treasurer/S151 Officer at a neighbouring Force. Whilst the appointment is still subject to formal approval by the relevant Police & Crime Panel, it was felt that the potential conflict of interest would require her to stand down from the JIAC. ,

Due to the JIAC being non-quorate with 2 JIAC members missing, no formal decisions could be made. Where appropriate items will be noted and any necessary decisions will be formally ratified in the New Year.

125. **Minutes of the meeting held on 22 September 2014**

These were approved for publication.

126. **Matters Arising**

The following updates were provided:

**Action 2) of the meeting held on 8 August 2014** – JM provided an update on the public consultation with the Home Office on the handling of complaints. JM is considering adopting a similar system to Northumbria's triage system. A further update will be provided at a future date. For information, the Commissioner in Northumbria has a team that is formally under the control of the Chief Constable but which is located in the Commissioner's office.

**Action 2) of the meeting held on 24 March 2014** – migration to the Public Service Network. JIAC updated on implementation timetable which is now completion by May 2015. DS confirmed that this timetable will be achieved.

127. **Exclusion of the public and the press**

Following discussion it was agreed that Item 12 on the agenda should be treated as confidential and any confidential information be excluded from the minutes to be made available for public inspection.

128. **Committee Self-Assessment &** 129. **Review of the Committee Terms of Reference**

Verbal update from Chair advising that these had not yet been completed. They will be a New Year task. MP agreed to share Cleveland Self-Assessment process. JP also agreed to share the former Police Authority Self-Assessment process. Input will be requested from stakeholders as to their views of JIAC performance.

**Actions:** (1) **MP to forward Cleveland Self-Assessment documentation to the Chair.**  
(2) **JP to forward former Police Authority Self-Assessment documentation to the Chair.**

130. **HMIC report of Police Integrity and Corruption**

The discussion was broadened to include HMIC's Police Efficiency, Effectiveness and Legitimacy assessment (PEEL).

DJ provided members with an update on the HMIC process and outcomes of previous inspections. DJ also outlined how a decision might be made by NYP not to follow a HMIC recommendation and the governance around this. HMI Tom Winsor is due to visit NYP in February 2015, rearranged from October 2014.

**Actions:** (1) **RB to send the PEEL link to JIAC members, the letter from HMIC to the PCC and Risk & Assurance's HMIC work chart.**  
(2) **Suggestion also made for PEEL to be a topic on the next agenda. DS agreed to liaise with Chair regarding this.**

131. **External Audit Annual Completion reports**

GR confirmed that all matters relating to the 2013/14 External Audits of the Police and Crime Commissioner and the Chief Constable had been completed. Nothing new had emerged following the JIAC meeting on 22 September 2014.

GR outlined arrangements for the 2014/15 External Audits. Initial planning will be undertaken in the coming quarter.

132. **Internal Audit Progress Reports**

The report sets out the progress made in achieving the Internal Audit Plan for 2014/15. There were no items to bring to the JIAC's attention. Clarification was received on a number of items.

Cash Advance report – No further comments.

Chief Office Pay final report – Discussion clarified a number of detailed points in the report.

133. **Progress on Internal Audit Recommendations**

MP introduced on CEO Carter's behalf. Report confirms no concerns at this time. It was noted that more realistic deadlines for implementing recommendations were now being agreed.

134. **Corporate Performance Report**

DJ noted the November report, which had just been released, confirms that the trends indicated by the October report are continuing. There are no major areas of concern.

JM outlined the proactive work being undertaken in Scarborough. Positive feedback had been received.

Discussion held regarding current Specials campaign. Numbers are now up to 178. Confirmation also received of the process for the new direct entry staff members.

135. **Risk Management Report – Confidential report**

The report of the Joint Corporate Risk Group provided an update on the Strategic Risk Register.

DS confirmed that the publication strategy was being finalised. It will be tabled at March meeting.

136. **Update on the 2013/14 Annual Governance Statement – 5 key areas for development**

Members felt that the update was comprehensive and clear and demonstrated the effort which was going into addressing the issues identified in 2013/14. The Chair asked that these remarks be passed to the relevant personnel.

The Chair commented that the title should be 2013/2014 not 2014/2015 – the Annual Governance Statement (AGS) that gave rise to the 5 key areas related to 2013/14. **Action for DS to update**

It was noted that the Joint Corporate Risk Group was finalising the process for the 2014/15 AGS.

137. **Commissioner's Decisions**

There were no comments regarding decision notices published on the Commissioner's website.

138. **Commissioner's and Chief Constable's items**

The following updates were provided:

JM discussed a recent video compiled to discuss the work the OPCC undertakes. Agreed it might be useful for the Audit Committee to view. **Action RB to send the link to JIAC members.**

DJ had previously updated on HMIC inspections (see Minute 130). He also confirmed that NYP has completed a Child Sexual Exploitation health check. Procedures had been amended to reflect the outcome of this health check.

JM noted there will be more information available in the New Year regarding Estates.

139. **Confirmation of date of next meeting:**

Monday 16<sup>th</sup> March 2015 at 1pm in Police Headquarters

140. **Dates of remaining 2015 meetings:**

All 2015 meetings to take place at 1pm in Conference Room One, Police Headquarters:

- Monday 15 June 2015
- Monday 21 September 2015
- Monday 14 December 2015

141. **Any other urgent business**

The Chair noted that this is the final meeting for Katherine Johnson and Rachel Bloomfield. He wished to place on record his thanks and appreciation for all their help and contribution to the activities of the JIAC whilst they had been involved. He wished them well in their new roles.

There being no other business the meeting closed at 15.30