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NORTH YORKSHIRE POLICE AND CRIME COMMISSIONER AND NORTH YORKSHIRE POLICE

JOINT INDEPENDENT AUDIT COMMITTEE

Minutes of the meeting held at Headquarters North Yorkshire Police, Newby Wiske Hall DL7 9HA at 1pm on Tuesday 20th September 2016.

PRESENT:-

In the Chair: David Portlock (DP)

Members: Max Thomas (MT), Steven Hawksworth

Officers: Chief Constable Dave Jones (DJ); Acting Chief Executive Officer Fraser Sampson(FS); Chief Constable's Chief Finance Officer and Chief Accountant Jane Palmer (JP); Commissioner's Chief Finance Officer Michael Porter (MP); External Audit Engagement Senior Manager (Mazars) Gareth Roberts (GR); Internal Audit Lead (RSM)Angela Ward (AW); Service Review Manager Lesley Whitehouse (LW)

Minute taker: Personal Assistant to the Commissioner's Chief Finance Officer – Shain Yapp (SY)

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(261) **Introductions and Apologies**

Apologies had been received from Police & Crime Commissioner Julia Mulligan (JM); Deputy Chief Constable Paul Kennedy; Chief Executive Officer Joanna Carter; Risk and Assurance Manager Donald Stone (DS); External Audit Engagement Lead and Director (Mazars) Cameron Waddell (CW); Internal Audit Lead (RSM) Dan Harris (DH)

The Chair welcomed back Chief Constable Dave Jones following his recent secondment to South Yorkshire Police.

Due to Joanna Carter still being on long term absence Fraser Sampson has been appointed as Acting Chief Executive and Monitoring Officer and was welcomed by the Chair.

**Declarations of Interest**

The Chair advised the meeting that his wife is an employee of RSM, who are now the internal auditors.

(262) **Minutes of the meeting held on 14<sup>th</sup> June 2016**

The minutes were approved for publication.

(263) **Matters Arising**

There were no matters arising from the previous meeting which were not included on the agenda for this meeting.

(264) **Confidential items**

It was agreed that items 10 and 12 on the agenda should be treated wholly or partly as confidential, and that any confidential information be excluded from the minutes to be made available for public inspection on the grounds that it will involve, or discussion of it will involve, the likely disclosure of exempt information.

(265) **Financial Statements for the year ended 31st March 2016**

The Financial Statements for the year ended 31st March 2016 have been finalised and audited, and will be presented to Executive Board on the 27<sup>th</sup> September 2016 for formal approval before publication on the Commissioner's website.

**Joint Annual Governance Statement for the year ended 31<sup>st</sup> March 2016**

The version now tabled has been amended since the draft presented in June. The ICT issues have been escalated to a significant governance issue, and there have been some cosmetic changes reflecting roles and responsibility changes. The final version has been reviewed by the External Auditors and will be presented to the Executive Board on the 27<sup>th</sup> September 2016 for formal approval before publication on the Commissioner's website.

(266) **External Audit Completion Reports for the year ended 31<sup>st</sup> March 2016**

GR summarised the External Audit Completion Reports for the Commissioner and the Chief Constable. He tabled two letters dated 16<sup>th</sup> September 2016 outlining the remaining outstanding issues as at that date and how they were being addressed.

The External Auditors reported that there had been no significant matters or difficulties encountered during the course of their audits and they confirmed that they had received the full co-operation of management.

Electors' Rights to inspect the accounts: the period for raising questions or making objections had been set as 1<sup>st</sup> July to 11<sup>th</sup> August 2016. No questions or objections were raised in relation to the Commissioner's accounts; one question/objection had been raised in respect of the Chief Constable's accounts which did not require any action from the External Auditors.

Internal Control: there were no significant internal control deficiencies within the Office of the PCC and the Force.

Value for money: the External Auditors will be issuing unqualified Value for Money conclusions for the Commissioner and the Chief Constable.

**The Reports were noted**

(267) **Internal Audit Progress report**

Overtime report has been issued as draft and will be completed by the December meeting.

HR Training: Reviewed the costed training plan which has been carried out by the Skills Working Group (now the Training Commissioning Group). Three medium priority recommendations have been suggested; ensuring Investment, linking training with role profile and ensuring it matches, updating attendance records. Recommendations have been accepted by management.

Governance Report: Framework reflects a good decision making rigorous progress. Non-compliant in some areas where decisions have not been recorded. It has been highlighted that a lot of meetings are held for the sake of meeting but outcomes not necessarily moved forward. Attendance often duplicated. Two issues regarding the Joint Independent Audit Committee not meeting best practice requirements were identified. These are being addressed.

Linkage between Joint Corporate Risk Group and Corporate Performance and Delivery meeting is recommended; also that risks are reported to the Joint Corporate Risk Group after individual meetings.

IT Network Security: Report discussed; no questions raised.

Follow up of Internal Audit and HMIC recommendations: Reasonable Progress is being made.

(268) **Annual Review of the Effectiveness of Internal Audit**

The Report from the Chief Financial Officer of the PCC was considered. It was noted that Appendix A should be regarded as confidential on the grounds that it contains commercially sensitive information. It was agreed that the Commissioner and the Chief Constable continue to operate an effective Internal Audit function.

(269) **Corporate Performance Report**

This report was provided for information only. There were no issues arising.

**The report was noted.**

(270) **Quarterly Strategic Risk Register Report – Confidential Report**

The report of the Joint Corporate Risk Group provided an update on the Strategic Risk Register and the new and closed risks since the last meeting of the Committee.

**The report was noted**

(271) **Committee Self- Assessment**

The Chair had made three recommendations and would welcome feedback from the Commissioner and the Chief Constable; a meeting is to be arranged between the Chief constable and the Commissioner to discuss these recommendations further. Looking to the future, it may be an option to work as part of the collaboration agreement with Cleveland.

**The report and recommendations were noted; and a meeting with the Commissioner and Chief Constable would be arranged**

(272) **Commissioner's Decisions**

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

(273) **Commissioner's and Chief Constable's items**

The Chief Constable reported that the Commissioner is awaiting finalisation of legislation before considering a governance model relating to the Fire and Rescue Service. A paper is being tabled at an imminent Fire and Rescue Authority meeting at which the Commissioner will be discussing the changes the government has suggested. The Chair stated that he would like to understand the implications for the governance of the OPCC and the Force.

Changes to the Complaints Handling system are being looked at and various models are being considered.

Mental health legislation changes will make it an offence for the police to use Custody Cells for individuals with mental health problems, support will be sought from the local authority and health providers to support the Force; currently most areas have places of safety identified.

Pre-charge bail changes will also have impact on operational arrangements. HMIC efficiency inspection is currently being carried out (subsequently judged as 'Good'). The Police Funding Formula is still under discussion. There are capacity and conflict issues regarding the Force's ability to absorb new legislation. There are still challenges to resolve regarding the 101/Call Handling systems.

(274) **Confirmation of date of next meeting:**

Tuesday 13<sup>th</sup> December 2016, in Conference Room One, Police Headquarters.

(275) **Dates of 2017 meetings**

All 2017 meetings to take place at 1pm in Conference Room One, Police Headquarters:

Tuesday 21 March 2017

Tuesday 20 June 2017

Tuesday 19 September 2017

Tuesday 12 December 2017

(276) **Any other urgent business**

There being no other business the meeting closed at 1430 hrs