

Police and Crime
Commissioner
North Yorkshire



JOINT INDEPENDENT AUDIT COMMITTEE

16 MARCH 2015

REPORT OF THE JOINT CORPORATE RISK GROUP

ANNUAL COMPLIANCE ACTIVITY 2015/16

1. PURPOSE OF THE REPORT

- 1.1 To present to the Joint Independent Audit Committee the external inspection activity 2015/16 and the compliance activity of the Office of the Police and Crime Commissioner (OPCC) and the Chief Constable (CC) of North Yorkshire Police (NYP).

2. KEY INFORMATION

- 2.1 The Risk and Assurance Unit's Service Review Manager oversees the compliance activities undertaken by NYP to prepare for external inspections, and to mitigate any associated risks with these inspections.
- 2.2 In 2015/16 HMIC will once again run the PEEL programme (annual all-force inspection assessment) alongside their schedule of national thematic inspections; joint inspections; inspections of other national law enforcement agencies; and commission from the Home Secretary, police and crime commissioners, and other local policing bodies. The HMIC has provided a proposed programme of inspections for 2015/16, which NYP has assessed and identified areas for pre inspection.
- 2.3 The OPCC/CC Internal Auditors have identified in consultation with the Joint Corporate Risk Group a proposed Internal Audit Plan for the first six months of the 2015/2016. The plan is aligned to NYP's understanding of risk, as set out in the Risk Register, and is based on two approaches, proactive audits and assurance audits. In addition to risk based audits, Internal Audit will undertake:
 - Financial Systems Audit – of key financial systems each year
 - Follow Up Audit – or previously agreed Internal Audit recommendations
 - Governance Audit – of the decision making approach, arrangements for accountability and risk management
 - Consultancy Support – providing advice on the design and implementation of new systems
- 2.4 The External Auditors will be conducting the Final Accounts Audit in 2015/16, as part of their annual audit programme.

3. PROPOSED COMPLIANCE ACTIVITY 2015/16

- 3.1 HMIC have proposed at least 29 inspections will take place during 2015/16, which include the PEEL programme, 13 National Thematic Inspections, two inspections commissioned from the Home Secretary and other local policing bodies, and 10 Joint Inspections.
- 3.2 Appendix A identifies the compliance activities that NYP will be undertaking to mitigate the risks associated with the external inspection programme. Appendix B identifies how the individual compliance activities are scheduled throughout the year.
- 3.3 The following are examples of how NYP are undertaking compliance activities to mitigate the risks. Details for each inspection are shown in Appendix A.
- 3.4 HMIC National Thematic Inspection: So-called Honour-Based Violence (HBV) / HBV (PEEL Protecting Vulnerable Persons, PVP, Programme). The Operational Development Team have pre inspection activities scheduled to review HBV, stalking and harassment in April 2015, and Intelligence Analysis have scheduled a domestic abuse (including Adult, Children & Young Persons, Forced Marriage and HBV) analysis in January - March 2015.
- 3.5 HMIC National Thematic Inspection: Missing and Absent Children (PEEL PVP Programme). Intelligence Analysis have completed a Missing People, including LAC/cross referencing childrens social care, in January 2015, and have scheduled a child safeguarding (including child sexual exploitation and neglect) analysis in March – April 2015. The Operational Development Team have pre inspection activities scheduled to review child abuse including missing and absent in July 2015
- 3.6 HMIC National Thematic Inspection: Digital Crime and Policing (cyber crime). This is a review which has been completed and the report is due in June 2015. The Cyber Unit in NYP is recently established and are working towards the Cyber framework. A Risk and Assurance Unit Benefit Review of the Cyber Unit has been scheduled in November 2015, and will assist to review any risks highlighted by the HMIC in their review.
- 3.7 PEEL Programme: Legitimacy. The Risk and Assurance Unit management of HMIC Police Integrity & Corruption and Crime Data Integrity risks and recommendations continues. The Force Crime and Incident Registrar has completed a violent crime audit in January 2015, an extended audit from the HMIC Crime Data Integrity recommendation between January and March 2015, and a no crime audit in February 2015. The Risk and Assurance Unit have scheduled an Operational Paper File Management inspection in March 2015 and a Benefit Review of Aspire into Front Counters in March 2015.
- 3.8 HMIC are currently consulting on 10 proposed inspections. The consultation period is due to close on 25 February 2015. Each inspection title has been assessed and pre inspection activities identified and, if required, highlighted to be scheduled into the NYP compliance calendar once the HMIC confirm the inspection.

4. RECORDING, MONITORING AND REPORTING

- 4.1 The Joint Corporate Risk Group are provided with the information and actively oversee and manage recommendations in the wider corporate risk context.

5. RECOMMENDATIONS

- 5.1 This report is provided to members of the Joint Independent Audit Committee for information on the external inspection activity 2015/16 and the compliance activity of the OPCC and the CC of NYP.

CEO Carter DCC Madgwick

Joint Chair

Joint Corporate Risk Group

Appendix A Compliance Activity March 2015

Appendix B Compliance Activity Schedule March 2015