For Information	
Public/Non Public	**Public**
Report to:	**Joint Audit and Scrutiny Panel (JASP)**
Date of Meeting:	**28th February 2022**
Report of:	**DCC Barber** **Charlie Radford, Chief Finance Officer OPCC**
Report Author:	**Laura Spinks, Force Assurance Lead** **Amanda Froggatt, Head of Corporate Development**
E-mail:	**Laura.spinks@notts.police.uk** **Amanda.froggatt@notts.police.uk**
Other Contacts:	
Agenda Item:	**17**

Joint Audit and Scrutiny Panel Proposed Work Plan 2022

1. Purpose of the Report

1.1 The purpose of this report is to present the proposed work plan for the Joint Audit and Scrutiny Panel for 2022.

2. Recommendations

2.1 It is recommended that Joint Audit and Scrutiny Panel members note the report and attached appendix and agree the contents.

2.2 It is also recommended that members of the Joint Audit and Scrutiny Panel note the key themes identified to accompany each of the Force Audit and Inspection reports.

3. Reasons for Recommendations

3.1 To enable the Panel to fulfil its scrutiny obligations with regard to Force activity.

4. Summary of Key Points

4.1 The proposed work plan has been discussed with members and prepared based on the business planning cycle for both the Office of the Police and Crime Commissioner (OPCC) and Nottinghamshire Police.

4.3 The proposed Joint Audit and Scrutiny work plan has been prepared in consultation with the Chief Finance Officer to fulfil our statutory obligations with regards to reporting in these areas of business.

5. Financial Implications and Budget Provision

5.1 There are no financial/budget implications arising from this report.

6. Human Resources Implications

6.1 There are no direct HR implications as a result of this report.

7. Equality Implications

7.1 There are no direct HR implications as a result of this report. HR implications resulting from specific actions will be managed on a case by case basis.

8. Risk Management

8.1 There are no risk management issues arising from this report.

9. Policy Implications and links to the Police and Crime Plan Priorities

9.1 Any policy implications will be subject to current policy development process.

10. Changes in Legislation or other Legal Considerations

10.1 There are no direct legal implications as a result of this report.

11. Details of outcome of consultation

11.2 The proposed work plan has been produced in partnership between the Force and the OPCC.

12. Appendices

12.1 Appendix 1: Proposed Joint Audit and Scrutiny Panel Work Plan 2022.

DRAFT JOINT AUDIT AND SCRUTINY PANEL WORK PLAN 2022

28 February 2022 – DRAFT STATEMENT OF ACCOUNTS			
	Force Assurance Mapping Report	Annually	Force – Laura Spinks
	New Internal Audit Plan 2022/23	Annually	Mazars, Mark Lunn
	DRAFT Statement of Accounts Group and CC	Annually	OPCC – CFO
	OPCC Update Report	Each Meeting	OPCC – Dan Howitt
	Budget Reports (for information) • Treasury Management Strategy • Reserves Strategy • Capital Report • MTFS • Budget Report	Annually	OPCC – CFO
	Final External Audit Plan	Annually	Ernst and Young
	Internal Audit Progress Report	Each Meeting	Mazars – Mark Lunn
	Update on actions from audits, inspections and reviews (Includes Internal audit, External Audit, HMICFRS, AGS improvements) **Key theme for Force Audit Report – Summary of completed and future ADA proposals**	Each meeting	OPCC - where appropriate Force – Laura Spinks
	OPCC Report on Compliance with Freedom of Information Requests and the Specified Information Order	6-Monthly	OPCC – Ruth Rolling
	Force Assurance Report on Compliance with Freedom of Information and Data Protection Requests	6-Monthly	OPCC – Pat Stocker
	Force Report on Monitoring, Review and Assurance of the Publication Scheme	6-Monthly	Force – Pat Stocker

29 April 2022 - YEAR END MEETING			
	Internal Audit Progress Report	Each Meeting	Mazars, Mark Lunn
	Annual Internal Audit Assurance Report (including review of past year and audit schedule for 2020/21)	Annually	Mazars, Mark Lunn
	Draft Statement of Accounts 2020/2021	Annually	OPCC – CFO
	Draft Annual OPCC Governance Statement 2021/22 Draft Annual Force Governance Statement 2021/22	Annually	OPCC – CFO Force – Laura Spinks
	External Audit Plan	Annually	Ernst and Young
	Review of OPCC Risk Management arrangements Review of Force Risk Management arrangements **Key Theme for Risk – Project Regain (MFSS)**	6-Monthly	OPCC – Chief Executive Force – Laura Spinks
	Update on actions from audits, inspections and reviews (Includes Internal audit, External Audit, HMICFRS, AGS improvements) **Key theme for Force Audit Report – Integrated PEEL Inspection**	Each meeting	OPCC - as required Force – Laura Spinks
	OPCC Update Report	Each Meeting	OPCC – Dan Howitt
	Force Report on Complaints and Misconduct, Investigations, New and Open Cases	6-Monthly	Force – Supt PSD
	Force Report on IPCC Investigations, Recommendations and Actions	6-Monthly	Force – Supt PSD
	Force Report of Whistle Blowing and Anti-Fraud and Corruption Policies and Review of Compliance	6-Monthly	Force – Supt PSD
	OPCC Report on Complaints, Investigations, New and Open Cases	6-Monthly	OPCC – Lisa Gilmour

	Force Report on Business Continuity Compliance and Assurance Testing and Exercising	Annually	Force – Laura Spinks/ Andy Burton
	Force Treasury Update Report to show compliance with Treasury Management Strategy	Annually	OPCC – CFO
	Revenue & Capital Outturn Reports		Force

28 July 2022 - DRAFT STATEMENT OF ACCOUNTS			
	Draft Force Statement of Accounts 2021/2022 Draft Group Statement of Accounts 2021/2022	Annually	OPCC – CFO Force – Mark Kimberley
	Internal Audit Progress Report	Each Meeting	Mazars, Mark Lunn
	Update on actions from audits, inspections and reviews (Includes Internal audit, External Audit, HMICFRS, AGS improvements) **Key theme for Force Audit Report – Serious Youth Violence**	Each meeting	OPCC - as required Force – Laura Spinks
	Review Working Together Agreement incorporating SoD, Fin Regs and SOs	Annually	OPCC – Chief Executive
	OPCC Report on Compliance with Freedom of Information Requests and the Specified Information Order	6-Monthly	OPCC – Ruth Rolling
	Force Assurance Report on Compliance with Freedom of Information and Data Protection Requests	6-Monthly	Force – Pat Stocker
	Force Report on Monitoring, Review and Assurance of the Publication Scheme	6-Monthly	Force – Pat Stocker
	PCC Update Report	Each Meeting	OPCC – Dan Howitt

30 SEPTEMBER 2022 – FINAL ACCOUNTS MEETING			
	Final Force Statement of Accounts 2021/2022 Final Group Statement of Accounts 2021/2022 (OPCC and Force AGS to be incorporated)	Force OPCC	Force – Mark Kimberley OPCC – CFO
	External Audit ISA260 Report	Annually	Ernst & Young
	Internal Audit Progress Report	Each Meeting	Mazars, Mark Lunn

29 NOVEMBER 2022 – Date TBC CHAIR TOPIC			
	Internal Audit Progress Report	Each Meeting	Mazars, Mark Lunn
	Summary set of Accounts for Publication	Annually	OPCC – CFO
	Review of OPCC Risk Management arrangements Review of Force Risk Management arrangements **Key Theme for Risk – To be confirmed**	6-Monthly	OPCC – Chief Executive Force – Laura Spinks
	Update on actions from audits, inspections and reviews (Includes Internal audit, External Audit, HMICFRS, AGS improvements) **Key theme for Force Audit Report – To be confirmed**	Each meeting	OPCC - Where appropriate Force – Laura Spinks
	Annual Audit Letter – External Audit	Annually	Ernst and Young
	PCC Update Report	Each Meeting	OPCC – Dan Howitt
	PCC Report on Complaints, Investigations, New and Open Cases	6-Monthly	Force – Lisa Gilmour
	Force Report on Complaints and Misconduct, Investigations, New and Open Cases	6-Monthly	Force – Supt PSD

	Force Report on IOPC Investigations, Recommendations and Actions	6-Monthly	Force – Supt PSD
	Force Report of Whistle Blowing and Anti-Fraud and Corruption Policies and Review of Compliance.	6-Monthly	Force – Supt PSD
	Draft JASP Work Plan for 2023/24	Annual	Force – Laura Spinks

Review of key areas to support Corporate Governance arrangements*: (review of requirements to be finalised and then prioritised. Areas to be identified for reports or internal audits and will be informed by assurance mapping)*

Sources of assurance to include:

- Effectiveness of partnerships
- Monitor the application of the pension schemes
- Review of delegated powers
- Review Register of Interests
- Financial Management/Financial Systems
- Legislative change
- Scheme of delegation
- Annual report from PSD on their activity - i.e. no of dismissals final letters and nature of the event
- By exception report on Insurance Claims covering Public Liability, Employer's Liability, Motor Liabilities including Costing and Lessons Learned
- By exception report on Outcomes of Public Finance Initiative Contracts