

Consideration	
Public/Non Public	Public
Report to:	Audit and Scrutiny Panel
Date of Meeting:	24 July 2018
Report of:	Chief Executive
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Agenda Item:	15

JOINT AUDIT AND SCRUTINY PANEL WORK PLAN 2018/19

1. Purpose of the Report

- 1.1 To provide the Panel with a programme of work for 2018/19

2. Recommendations

- 2.1 That Joint Audit and Scrutiny Panel members note the report and attached appendix, and agree the contents.

3. Reasons for Recommendations

- 3.1 To enable the Panel to manage its programme of work.

4. Summary of Key Points

- 4.1 The Panel has a number of responsibilities within its terms of reference. Having a work plan for the Panel ensures that it carries out its duties whilst managing the level of work at each meeting.

5. Financial Implications and Budget Provision

- 5.1 None as a direct result of this report

6. Human Resources Implications

- 6.1 None as a direct result of this report

7. Equality Implications

- 7.1 None as a direct result of this report

8. Risk Management

- 8.1 None as a direct result of this report

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

- 9.1 This report meets the requirements of the Terms of Reference of the Panel and therefore supports the work that ensures that the Police and Crime Plan is delivered.

10. Changes in Legislation or other Legal Considerations

- 10.1 None as a direct result of this report

11. Details of outcome of consultation

- 11.1 None as a direct result of this report

12. Appendices

- 12.1 Work Plan

PROPOSED JOINT AUDIT AND SCRUTINY PANEL WORK PLAN 2018/19

TUESDAY 24th JULY 2018 FINAL ACCOUNTS MEETING			
	External Audit ISA260 Government Report	Annually	
	Final Force Statement of Accounts 17/18 Final Group Statement of Accounts 17/18 (OPCC and Force AGS to be incorporated)	Annually	Force – Paul Dawkins OPCC – Charlie Radford
	Police Strategy on tackling Fraud	Requested by Panel	Force – DCI Young
	Internal Audit Progress Report	Each Meeting	Mazars – Brian Welch
	Update on actions from audits, inspections and reviews (Includes Internal audit, External Audit, HMIC, AGS improvements)	Each meeting	OPCC - as required Force – DCC
	Force Treasury Update Report to show compliance with Treasury Management Strategy	Annually	OPCC – Charlie Radford
	OPCC Report on Compliance with Freedom of Information Requests and the Specified Information Order	Annually	OPCC – Lisa Gilmour
	Force Assurance Report on Compliance with Freedom of Information and Data Protection Requests	Annually	OPCC – Pat Stocker

WEDNESDAY 7th NOVEMBER 2018 CHAIR TOPIC			
	<i>Chair's topic – Prevention in Schools</i>		
	Business Continuity Management – report on table top exercises carried out by the Governance and Planning Team		Force – Corporate Development
	Summary set of accounts for publication 17/18? If available/ could be next meeting	Annually	OPCC – Charlie Radford
	Force Assurance Mapping Report	Annually	Force – Corporate Development
	Internal Audit Progress Report	Each Meeting	Mazars – Brian Welch

	Tri-Force Evaluation Report		OPCC – Charlie Radford Force – Tim Chesworth
	Review of OPCC Risk Management arrangements Review of Force Risk Management arrangements	6 Monthly	OPCC – Kevin Dennis Force – DCC
	Review Working Together Agreement incorporating SoD, Fin Regs and SOs	Annually	OPCC – Kevin Dennis
	Update on actions from audits, inspections and reviews (Includes Internal audit, External Audit, HMIC, AGS improvements)	Each meeting	OPCC - Where appropriate Force – DCC
	Annual Audit Letter – External Audit	Annual	KPMG - Andrew Cordoza
	PCC Update Report	Each Meeting	OPCC – Phil Gilbert
	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

MARCH 2019 AUDIT PLANNING MEETING

	New Internal Audit Plan 2019/20	Annual	Mazars – Brian Welch
	PCC Update Report	Each Meeting	OPCC – Phil Gilbert
	Budget Reports (for information) <ul style="list-style-type: none"> • Treasury Management Strategy • Reserves Strategy • Capital Report • MTFS • Budget Report 	Annually	OPCC – Charlie Radford

	External Audit Plan if available	Annually	Ernst & Young
	Internal Audit Progress Report	Each Meeting	Mazars – Brian Welch
	Update on actions from audits, inspections and reviews (Includes Internal audit, External Audit, HMIC, AGS improvements)	Each meeting	OPCC - where appropriate Force - DCC
	Note -If possible – invite new External Auditor – Ernst & Young		
	Force Report on Business Continuity Compliance and Assurance Testing and Exercising	Annually	Force – Corporate Development
	Force Report on Monitoring, Review and Assurance of the Publication Scheme	Annually	Force – Pat Stocker
	OPCC Report on Compliance with Freedom of Information Requests and the Specified Information Order	Annually	OPCC – Lisa Gilmour
	Force Assurance Report on Compliance with Freedom of Information and Data Protection Requests	Annually	OPCC – Pat Stocker

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

