

For Information	
Public/Non Public	Public
Report to:	Joint Audit and Scrutiny Panel (JASP)
Date of Meeting:	30th May 2018
Report of:	DCC Barber Charlie Radford, Chief Finance Officer OPCC
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Agenda Item:	19

Joint Audit and Scrutiny Panel Proposed Work Plan 2018/19

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 the 2018/19 year.

2. Recommendations

- 2.1 That Joint Audit and Scrutiny Panel members note the report and attached appendix, and agree the contents.
- 2.2 That a nominated member of the Joint Audit and Scrutiny Panel attends the Organisational Risk, Learning, Standards and Integrity Board in order to obtain assurance on the following areas:
- Health and Safety
 - Equality and Diversity
 - Professional Standards and Ethics.

3. Reasons for Recommendations

- 3.1 To enable the Panel to fulfil its scrutiny obligations with regard to Force activity.
- 3.2 The Deputy Police and Crime Commissioner historically attended the equivalent Force meetings as those listed above in order to provide assurance from these areas of business.

4. Summary of Key Points

- 4.1 A draft Audit and Scrutiny work plan was presented to the Joint Audit and Scrutiny Panel in December 2017.
- 4.2 Taking in account the feedback from the meeting a revised work plan has been prepared for approval.

- 4.3 The proposed Joint Audit and Scrutiny work plan has been prepared in consultation with the Chief Finance Officer in order 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

- 11.1 The initial draft work plan was presented to the Joint Audit and Scrutiny Panel in December 2017.
- 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 2018-19.

PROPOSED JOINT AUDIT AND SCRUTINY PANEL WORK PLAN 2018/19

WEDNESDAY 30th MAY 2018 YEAR END MEETING			
	Annual Internal Audit Assurance Report (including review of past year and audit schedule for 2018/19)	Annually	Mazars – Brian Welch
	New Internal Audit Plan 2019/20	Annually	Mazars – Brian Welch
	Draft CC's Statement of Accounts 17/18 Draft Group Statement of Accounts 17/18	Annually	Force – Paul Dawkins OPCC – Charlie Radford
	Draft Annual Force Governance Statement 2017/18 Draft Annual OPCC Governance Statement 2017/18	Annually	Force – DCC OPCC – Charlie Radford
	External Audit Plan	Annually	KPMG –Andrew Cardoza
	Review of OPCC Risk Management arrangements Review of Force Risk Management arrangements	6 Monthly	OPCC – Kevin Dennis Force – DCC
	Update on actions from audits, inspections and reviews (Includes Internal audit, External Audit, HMIC, AGS improvements)	Each meeting	OPCC - as required Force – DCC
	PCCs 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
	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

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
	Summary set of accounts for publication 17/18? If available/ could be next meeting	Annually	OPCC – Charlie Radford
	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
	Review Working Together Agreement incorporating SoD, Fin Regs and SOs	Annually	OPCC – Kevin Dennis
	Force Treasury Update Report to show compliance with Treasury Management Strategy	Annually	OPCC – Charlie Radford
	Force Assurance Mapping Report	Annually	Force – Corporate Development
	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

	Internal Audit Progress Report	Each Meeting	Mazars – Brian Welch
	Review of OPCC Risk Management arrangements Review of Force Risk Management arrangements	6 Monthly	OPCC – Kevin Dennis Force – DCC

	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