

<b>For Information</b>	
<b>Public/Non Public</b>	<b>Public</b>
<b>Report to:</b>	<b>Joint Audit and Scrutiny Panel (JASP)</b>
<b>Date of Meeting:</b>	<b>December 2017</b>
<b>Report of:</b>	<b>Stephen Charnock – Chair of JASP Charlie Radford – Treasurer Rachel Barber – Deputy Chief Constable</b>
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<b>Agenda Item:</b>	<b>13</b>

## **Joint Audit and Scrutiny Panel Draft Work Programme 2018/19**

### **1. Purpose of the Report**

- 1.1 To provide the Joint Audit and Scrutiny Panel with a draft work programme for consideration and to provide an opportunity for panel members to feedback any comments before final consultation with the PCC and CC.

### **2. Recommendations**

- 2.1 That the Panel review the draft work programme and provide feedback so that the final work programme can be presented to the PCC and Chief Constable before approval at the JASP in March 2018.

### **3. Reasons for Recommendations**

- 3.1 To provide a work programme that ensures statutory obligations are met and that appropriate assurance is provided to the JASP, PCC and CC.

### **4. Summary of Key Points**

- 4.1 The draft work programme includes 5 meetings which consist of:
- One meeting from 2017/18 work programme cycle which will take place in March 2018, and
  - Four meetings from the 2018/19 work programme cycle commencing in May 2018.
- 4.2 The key areas identified on the draft work programme focus on the core responsibilities of an Audit Committee as identified in the CIPFA Audit Committees Practical Guidance for Local Authorities and Police guidance document. The core areas where assurance is required are:
- Annual Governance Statement and processes
  - Internal and External Audit
  - Effectiveness of risk management arrangements

- Review of financial accounts

4.3 In addition to the core functions identified above the JASP are also required to get assurance on other areas, some of these include:

- Report on complaints, misconduct and investigations (to include dip sampling actions completed as a result of recommendations and lessons learned).
- Report on IPCC investigations (to include dip sampling actions completed as a result of recommendations and lessons learned. Review of Whistle blowing (Policy/procedure/grievances & appeals)
- Review of Antifraud & Corruption Policy (Policy/procedure/grievances & appeals)
- Review of Business Continuity Management
- 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 on PSD activity
- Anti-fraud and corruption (staff)

4.4 There may be other areas that need to be added to the areas above and this will be finalised once the full review of requirements is complete. The review is considering areas identified in the CIPFA Audit Committees Practical Guidance and the areas identified in the guidance around the preparation of Annual Governance Statements.

4.5 It is proposed that the areas above and any other that come from the review are identified as areas for scrutiny on a rolling programme. This programme would be based on areas of risk or gaps in assurance that would be provided by the Assurance Map that will help to inform the Internal Audit Plan or assurance reports that will be presented to the JASP. The report detailing the final proposed work plan would present options around the rolling programme; this report will be presented to the JASP in March 2018.

## **5. Financial Implications and Budget Provision**

5.1 None identified

## **6. Human Resources Implications**

- 6.1 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.

## **7. Equality Implications**

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

## **8. Risk Management**

- 8.1 The work programme for the JASP will help to fulfil the panel's responsibilities with regard to assurance around risk management processes.

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

- 9.1 None identified

## **10. Details of outcome of consultation**

10.1 The following stakeholders have been consulted with on the draft work programme:

- Chair of JASP – Stephen Charnock
- DCC – Rachel Barber
- Charlie Radford – Treasurer
- Mark Kimberley – Head of Finance

## **11. Appendices**

- 11.1 Appendix 1 Draft Joint Audit and Scrutiny Panel Work Plan