

<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>22<sup>nd</sup> February 2019</b>
<b>Report of:</b>	<b>DCC Barber Charlie Radford, Chief Finance Officer OPCC</b>
<b>Report Author:</b>	<b>Amanda Froggatt, Strategic Support Officer</b>
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<b>Agenda Item:</b>	<b>15</b>

## **Joint Audit and Scrutiny Panel Proposed Work Plan 2019/20**

### **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 2019/20 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 Information Management Board to obtain assurance in relation to Information Sharing protocols (monitoring, assurance and outcomes) and Force Information Management Policy monitoring, assurance and improvement outcomes.

### **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 workplan has been discussed with members and prepared based on the business planning cycle for both the OPCC and Nottinghamshire Police.
- 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**

- 11.2 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 2019-20.

**PROPOSED JOINT AUDIT AND SCRUTINY PANEL WORK PLAN 2019/20**

<b>22<sup>ND</sup> FEBRUARY 2019                      AUDIT PLANNING MEETING</b>			
	New Internal Audit Plan 2019/20 – if available	Annual	Mazars – Brian Welch
	PCC Update Report	Each Meeting	OPCC – Phil Gilbert
	Budget Reports (for information) <ul style="list-style-type: none"> <li>• Treasury Management Strategy</li> <li>• Reserves Strategy</li> <li>• Capital Programme</li> <li>• MTFS</li> <li>• Budget Report</li> <li>• Capital Strategy</li> <li>• Precept Report</li> </ul>	Annually	OPCC – Charlie Radford
	External Audit Plan - if available	Annually	Ernst and Young
	Internal Audit Progress Report	Each Meeting	Mazars – Brian Welch
	Update on actions from audits, inspections and reviews <b>and presentation on Modern Slavery</b> (Includes Internal audit, External Audit, HMIC, AGS improvements)	Each meeting	OPCC - where appropriate Force - DCC
	Force Report on Monitoring, Review and Assurance of the Publication Scheme	6-Monthly	Force – Pat Stocker
	OPCC Report on Compliance with Freedom of Information Requests and the Specified Information Order	6-Monthly	OPCC – Lisa Gilmour
	Force Assurance Report on Compliance with Freedom of Information and Data Protection Requests	6-Monthly	OPCC – Pat Stocker
	Force Assurance Mapping report <b>and presentation on this from DCC Barber</b>		Force – DCC
	DRAFT JASP Workplan	Annually	Force – DCC

**WEDNESDAY 29<sup>th</sup> MAY 2019      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	OPCC – Charlie Radford Force – Mark Kimberley
Draft Annual Force Governance Statement 2017/18 Draft Annual OPCC Governance Statement 2017/18	Annually	Force – DCC OPCC – Charlie Radford
External Audit Plan	Annually	Ernst and Young
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 Treasury Update Report to show compliance with Treasury Management Strategy	Annually	OPCC – Charlie Radford

**WEDNESDAY 24<sup>th</sup> JULY 2019****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	OPCC – Charlie Radford Force – Paul Dawkins
Summary set of Accounts for Publication	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 Assurance Mapping Report	Annually	Force – Corporate Development
OPCC Report on Compliance with Freedom of Information Requests and the Specified Information Order	6-Monthly	OPCC – Lisa Gilmour
Force Assurance Report on Compliance with Freedom of Information and Data Protection Requests	6-Monthly	OPCC – Pat Stocker

15 <sup>th</sup> NOVEMBER 2019 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	Ernst and Young
	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

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

DRAFT