



Independent Audit Committee

**Meeting: Thursday 29th October 2020 at 10.00am
via Microsoft Teams**

AGENDA

1. Apologies for Absence

To record apologies for absence received from members.

2. Declarations of Interest, Equality and Health and Safety Obligations

To receive declarations by members of (a) personal interest [including their nature] and (b) prejudicial interests and to remind members of their responsibility to consider equality and health and safety in all of their decisions.

OPEN AGENDA ITEMS

3. Open Minute Items [FOIA - Open]

To confirm the minutes of the open items for the Independent Audit Committee meetings held on 29th July 2020 and 11th September 2020

To be presented by the Chair.

4. Open Items of Chair's Business [FOIA – Open]

To be presented by the Chair.

5. Budget Planning Process and Statement on the closure of the 2019/20 accounts [FOIA – Open]

To present the budget planning process for the coming year and an update on the closure of the accounts

To be presented by Neal Butterworth and Lucinda Hines

6. Annual Governance Statement Timetable [FOIA – Open]

To present the timetable for the compilation of the Annual Governance Statement for the 2020/21.

To be presented by Karen James.

7. External Audit Quarterly Report [FOIA – Open]

To present an update of work of external audit over the last quarter.

Not Protectively Marked
FOIA – Open

To be presented by Alex Walling/Mark Bartlett.

8. Internal Audit Quarterly Update and Highlights [FOIA – Open]

To provide an update on the progress of the Internal Audit Plan over the last quarter. To be presented by Laura Wicks.

9. National Fraud Initiative [FOIA – Open]

To present the timetable for the next upload into the National Fraud Initiative programme.

To be presented by Karen James.

10. Update on Fraud and Corruption Investigations [FOIA – Open]

To provide an update on the number of Fraud and Corruption investigations that have taken place since the last committee.

To be presented by Karen James.

11. Annual Review of the Terms of Reference and Operating Principles [FOIA – Open]

To present the Annual Review of the Terms of Reference and Operating Principles for the Independent Audit Committee.

To be presented by the Chair of the Independent Audit Committee.

12. Treasury Management Mid-Year Report [FOIA – Open]

a. Devon and Cornwall

b. Dorset

To be presented by Nicola Allen (a) and Julie Strange (b).

CLOSED AGENDA ITEMS

13. Lessons Learnt Following the Close of the Accounts 2020/21 [FOIA – Closed s. 22]

To present the Lessons Learnt following the close of the accounts 2020/21.

To be presented by Neal Butterworth and Lucinda Hines.

14. Closed Minute Items [FOIA – Closed (various)]

To confirm the minutes of the closed items for the Independent Audit Committee meeting held on 29th July 2020

15. Action Log [FOIA – Closed s.22]

To review the action log and receive updates for ongoing actions.

16. Items of Chair's Business [FOIA - Closed (various)]

To be presented by the Chair of the Independent Audit Committee.

17. Update from the Head of Legal and Reputational Risk on his Portfolio Area and Ethics Arrangements [FOIA – Closed s.22]

Not Protectively Marked
FOIA – Open

To present a verbal update of the overview of his portfolio area and Ethics arrangements in Devon & Cornwall and Dorset.
To be presented by Mike Stamp.

18. Annual Insurance Claims Data [FOIA – Closed s.22]

To present the annual insurance claims data for the year 2019/20.
To be presented by Karen James.

19. Outstanding Audit Recommendation Report [FOIA – Closed s.22]

To present and provide an update on the outstanding audit recommendations.
To be presented by Karen James.

20. Internal Audit Quarterly Update and Highlights - Appendix B [FOIA – Closed s.33]

To provide an update on the progress of the Internal Audit Plan over the last quarter. To be presented by Laura Wicks.

21. Risk Management Arrangements [FOIA – Closed s.31]

a. Dorset OPCC Risk Register

To present the changes to risk management, including corporate risk registers.
To be reported by Gavin Bardsley & Chief Superintendent Lyne

22. Force Policy Arrangements [FOIA – Closed s.22]

To be presented by Chief Superintendent Lyne

23. IAC Annual Report [FOIA – Closed s.31]

To present the Independent Audit Committee's Annual Report.
To be reported by the Chair of the Audit Committee.

24. Summary update to the Chief Constables and PCC's [FOIA – Closed s.22]

To be recorded from the Chair of the Audit Committee the update to be provided to the Chief Constables and PCC's.

Attendance

Shaun Sawyer	Chief Constable (Devon & Cornwall Police)
Helen Donnellan	Committee Member
Tom Grainger	Committee Member
Gordon Mattocks	Committee Member
Linda Williams	Committee Member
David Bowles	Committee Member
Simon Bullock	Chief Executive OPCC Dorset
Nicola Allen	Treasurer (Office of the Police and Crime Commissioner, Devon and Cornwall)

Not Protectively Marked
FOIA – Open

Sandy Goscomb	Director of Finance and Resources (Devon and Cornwall Police Force)
Neal Butterworth	Head of Finance (Devon and Cornwall and Dorset Police Force)
Julie Strange	Chief Financial Officer (Office of the Police and Crime Commissioner, Dorset)
Karen James	Head of Alliance Audit, Insurance and Strategic Risk
Jo George	Senior Audit Manager
Mike Stamp	Director of Legal, Reputation and Risk
Helen Morgan	Executive Assistant (Office of the Police and Crime Commissioner for Devon and Cornwall)
Laura Wicks	South West Audit Partnership
Mark Bartlett	Grant Thornton

Apologies

Alex Walling	Grant Thornton
Steve Mackenzie	Interim Assistant Chief Officer (Dorset Police Force)
Fran Hughes	Chief Executive OPCC Devon and Cornwall
Steve Lyne	Chief Superintendent Dorset Police
Lucinda Hines	Head of Technical Accounting

The Public Sector Equality Duty (PSED) as set out in **section 149 of the Equality Act 2010** requires public bodies to have **due regard** to the need to:

1. Eliminate unlawful discrimination, harassment, victimisation and any other prohibited conduct prohibited by the Act; and
2. Advance equality of opportunity between people who share a protected characteristic and people who do not share it; and
3. Foster good relations between people who share a protected characteristic and people who do not share it.

Protected Characteristics are age; disability; gender reassignment; pregnancy and maternity; race (including ethnic or national origins, colour or nationality; religion or belief (including lack of belief); sex and sexual orientation.