

DERBYSHIRE POLICE AUTHORITY ACTION AND DELIVERY PLAN – CORPORATE GOVERNANCE COMMITTEE – 2009/10 v1.2

'All our communities feel safe and have confidence in policing in Derbyshire'



Serial / Objective (a)	Derbyshire Police Authority Committee Objective (b)	Task		Action Required / Taken (e)	Lead (f)	Completion Date (g)	Progress (h)
		Number (c)	Detail (d)				
1.	To advise the Authority on the appropriate arrangements for internal audit and the appointment of external auditors.	a.	Ensure the Authority has an annual internal audit strategy in place.	Review Internal Audit Strategy to ensure it remains fit for purpose	Treasurer	March 2010	
		b.	Ensure the Authority has annual terms of reference for its internal audit service.	Review Internal Audit Terms of Reference to ensure they remain fit for purpose	Treasurer	March 2010	
		c.	Ensure the Authority has an internal audit framework.	Review Internal Audit Framework to ensure it remains fit for purpose	Treasurer	March 2010	
2.	To approve internal and external audit programmes and fees.	a.	Receive proposals from Audit Commission for external work programme, to include statutory requirements and national & authority specific work.	Review proposals and determine discretionary areas of work, complied following planning meetings between officers and Auditors.	Treasurer	March 2010	
		b.	Receive proposals from Audit Commission for fee to resource the work stream.	Review proposals and determine affordability with budget and value for money Address under budget provision, either through virement or request for additional resources. Address over budget provision by under spending or bringing forward other work.	Treasurer	April 2010	

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		c.	Receive proposals from Auditor for internal work programme and approve the final plan for the year.	Review proposals and determine risk based work plan compiled following planning meetings between officers and Auditors. Also consider 2/3 yr plan	Treasurer	April 2010	
		d.	In consultation with other EMids Treasurers determine proposals to carry out thematic reviews	Meetings with Regional Internal Audit Gp Treasurers and RSMBJ Director responsible for collaborative contract. Also consider 2/3 yr plan	Treasurer	April 2010	
3.	To review the external auditor's letter to those charged with governance and any other reports and to report on these to the Authority as appropriate, including the implementation of agreed audit-based recommendations.	a.	Receive report to those charged with governance, including Use of Resources results, and review any action plan arising thereon.	Ensure action plans are accepted by management, are SMART and acted upon, by means of follow up reports	Treasurer	October 2009	COMPLETE
b.		Receive the Annual Audit Letter including report on Use of Resources, and review any action plan arising there from.	Ensure action plans are accepted by management, are SMART and acted upon, by means of follow up reports	Treasurer	By end December 2009	On this Agenda	
c.		Subject to there being any national or local topics, receive reports as appropriate	Ensure action plans are accepted by management, are SMART and acted upon, by means of follow up reports	Treasurer	As required		
4.	To oversee the provision of an adequate and effective internal audit; to receive progress reports on the internal audit work plan and to consider	a.	Ensure Authority has suitable and appropriate internal audit service, procured in accordance with financial regulations, and able to provide support to	Internal audit service procured and being delivered by RSM Bentley Jennison and part of a regional collaboration arrangement	Treasurer	ongoing	Contract in place and being delivered

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	appropriate action arising from these.		management, members and senior officers of both the force and the authority.				
		b.	To receive progress reports on the internal audit work plan.	Receive regular progress reports from the internal auditor.	Treasurer	At every meeting as appropriate	Ongoing
		c.	Consider the internal audit reports arising from the audit plan and recommendations arising from them.	Consider reports and ensure action plans are in place to implement agreed recommendations. Monitor the implementation of actions arising from reports.	Treasurer / Director of Finance & Business Services	In accordance with any action plan, as appropriate	Ongoing
5.	To satisfy itself of the control systems in operation and approve or endorse supporting policies as required including the scheme of delegation.	a.	Ensure an adequate and appropriate internal audit is in place to review and recommend an appropriate control environment.	Risk based approach to internal audit activity that will focus on key areas of internal control. Triennial review of internal audit provider by DA.	Treasurer	Annually as part of Annual Governance Statement	
		b.	Internal Audit action plan to be risk based.	Risk based approach to internal audit activity that will focus on key areas of internal control. Plan has contingency days included to allow for unplanned events.	Treasurer / Director of Finance & Business Services	Annually to align with audit plan	
		c.	Ensure robust internal rules are in place that minimise risk and enhance the control environment.	Ensure Financial Regulations are reviewed annually by the FAR committee, and the Standing Orders are reviewed regularly by the Corporate Governance Committee.	Treasurer / Chief Executive	September '09 & December '09	1st review completed. Contract rules to be reviewed next.
		d.	Receive exception reports	Receive exception reports	Treasurer	As necessary	

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			where the control system has failed.	where the control system has failed.	/ Director of Finance & Business Services		
		e.	Receive Data Quality Audits	Receive quarterly audits on the National Crime Recording Standards and the National Standards of Incident Recording with actions plans where quality is below standard for 2 quarters	Director of Finance & Business Services	On a quarterly basis	
6.	To review, and exceptionally to request, the carrying out of audits and reviews of health and safety management systems, policies, arrangements and procedures, as necessary, and to review progress with the implementation of recommendations arising from such inspection and audit reports.	a.	To maintain an overview of all HMIC reports and recommendations and ensure that follow up action is being monitored by the relevant committee.	To receive half yearly reports on the outcome of HMIC inspection activity together with details of action plans in place and arrangements to monitor those action plans by the relevant committee	Director of Finance & Business Services	Half Yearly	
		b.	Receive reports and audits from the Health and Safety Executive.	Consider reports and ensure action plans are in place to implement agreed recommendations. Monitor the implementation of actions arising from reports	Director of Finance & Business Services	As necessary	

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7.	Has provided authority influence and feedback on the major force project boards.	a.	Receives reports from Corporate Development with regard to the major force project boards	Quarterly update to be circulated	Deputy Chief Constable	Quarterly	
8.	Provide oversight of risk management and act as the custodian of the Derbyshire Police Authority risk register.	a.	Review and recommend changes to the Risk Management Strategy.	Review the risk management strategy once a year after budget approved, based on the Derbyshire Police Authority Business Plan	Treasurer	October 2009 and annually thereafter to align with Business Plan	Complete
		b.	Review and recommend changes to the Risk Matrix.	Risk matrix to reflect the Authority's appetite for risk	Treasurer	October 2009 and annually thereafter to align with business plan	Complete
		c.	Review full Police authority risk register and recommend to Authority.	Risk register updated to reflect changing force corporate risks. Report high risks to Police Authority	Treasurer	October 2009 and annually thereafter to align with business plan	Complete
		d.	Receive feedback from committees where new risks are identified.	Update risk Register to reflect new identified risks and mitigating actions	Treasurer	As necessary	
		e.	Consider force risk register.	Review Force Risk register to determine it is updated to reflect changing force corporate risks	Director of Finance & Business Services	Dec 2009	On this agenda
9.	To co-ordinate Authority scrutiny projects and make recommendations	a.	Determine & regularly review a scrutiny framework	Determine subjects for review, timescale and project brief	Treasurer / Chief Executive	As required	Framework in place. Reviews as

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	arising from the outcome of the scrutiny process as part of the performance monitoring structure.						required
		b.	Receive and review proposals for and outcomes of scrutiny topics from Committees.	Ensure actions set out within the report are considered and put forward to the appropriate committee/force for decision	Treasurer / Chief Executive	As required	
		c.	Produce an Annual Scrutiny Report on behalf of all Committees	Annual report to sit alongside Committee Annual Reports in June/July	Treasurer / Chief Executive	June 2010	
10.	Provide oversight and agree the content and format of the annual Policing Plan ensuring that clear and ambitious priorities have been set and ensuring that they have been delivered,	a.	Determine Home Office guidance on format of Policing Plan and Annual Report.	Consider guidance in consultation with Head of Corporate Development	Chief Executive	January February	On this agenda
		b.	Receive first draft from Chief Constable, and make comment.	Report to Members of the structure and content of Policing Plan element	Chief Executive	February March	
		c.	Approve final draft of Plan for submission to Home Office.	Final draft of forward looking Policing Plan	Chief Executive	By the end of March	
		d.	Addition of historical and financial data: subsequent publication of final Plan and Review public comment, if any.	Addition of financial and other year end backward looking data that comprises the Annual Report element of the Plan	Treasurer	By the end of June	
11.	To draft, review and implement the Derbyshire Police Authority Code of Governance and Annual Governance Statement.	a.	To follow national guidance by CIPFA/SOLACE in the drafting and reviewing of the Authority's Code of Corporate Governance.	Review Code of Corporate Governance in accordance with national guidelines.	Treasurer	December/ January and prior to final statement of accounts in June	
		b.	Ensure the Code reflects any changes in the governance arrangements of the Authority.	Update the Code of Corporate Governance to reflect any review of Committees and Panels carried out in June at	Treasurer/ Chief Executive	Review Code in March before start of financial year	

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				the Annual Meeting			
		c.	Twice a year, to review the evidence and progress in delivering the action plan complied in the production of the previous year's Annual Governance Statement.	Update position of actions identified at the last review of the Annual Governance Statement	Treasurer	Interim review by end December final review June	
		d.	To consider a draft Annual Governance Statement and make recommendations to the Finance Administration and Resources Committee for its inclusion in the Statement of Accounts.	Present the Draft AGS to the May/June meeting of the Committee. Final version to be agreed for recommendation to FAR to include with annual accounts by end June.	Treasurer / Director of Finance & Business Services	June 2010	
		e.	To provide oversight to the governance arrangements of the Police Authority.	Introduce or review governance policies or procedures that support the overall Code of Corporate Governance	Treasurer/ Chief Executive	As required	
12.	Embed risk management equality and diversity within its decision making process.	a	Consider strategic, financial & operational risk in the decision making process	All reports have a paragraph on risk and equality. Equality Impact Assessments carried out on all policies. All reports reviewed by Treasurer/Director of Finance before publication	Treasurer / Director of Finance & Business Services	ongoing	
		b.	Review of Force and Authority Risk Registers to be undertaken. Identified risks to	Consider Police Authority Risk Strategy and Register on an annual basis to ensure	Treasurer / Director of Finance	Complete	

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			be passed to relevant committee / panel.	alignment with Business plan; make recommendations to Police Authority	& Business Services		
13.	Has monitored the force's all encompassing approach that has led to a reduction in bureaucracy.	a.	Consider the Report to those charged with Governance detailing the Value for Money judgement.	Receive and consider the report of the District Auditor. Make representations to the force or Audit Commission as necessary.	Treasurer / Director of Finance & Business Services	Complete	
14.	Has delivered a fit for purpose efficient and effective Police Authority serving Derbyshire.	a.	That there is a capacity and capability within the executive office to support members and the authority, or that the risk is understood and procedures have been adapted accordingly.	Undertaken a review of the capacity and capability of the EAOS and report to the Police Authority	Chief Executive	November 2009 Police Authority meeting	Workload review in progress
		b.	Has collaborated and benchmarked with other authorities to deliver improved efficiency and effectiveness.	Contributed to CIPFA/APACE consultation and will provide cost data as necessary	Chief Executive	ongoing	
15.	To report to the Derbyshire Police Authority as required.	a.	To report to the Derbyshire Police Authority as required	To report to the Derbyshire Police Authority as required	Treasurer or Director of Finance or Chief Executive	Ad hoc	Ad hoc