

# [18 November 2022] Agenda Pack - Audit and Risk Assurance

MEETING  
18 November 2022 10:30

PUBLISHED  
15 November 2022

# Agenda

<i>Location</i>	<i>Date</i>	<i>Owner</i>	<i>Time</i>
G1/G2, BTP/BTPA, 25 Camden Road, London, NW1 9LN	18/11/22		10:30
1. Apologies		Chair	10:30
2. Declarations of Interest		All	
3. Minutes		Chair	
4. Actions		Chair	
5. BTP/A Joint Update on Risk Management		Joint Report	10:40
6. BTP/A Joint Strategic Risk Register		Joint Report	10:55
7. BTP/A Fraud Update Q2 2022/23		Chief Financial Officer	11:10
8. Chief Financial Officer's Report Q2 2022/23		Chief Financial Officer	11:20
8.1. Assurance Map Q2 2022/23		Chief Financial Officer	11:35
8.2. Fixing the Fundamentals Strategic Update		Head of Technology	11:40
9. Manchester Arena Inquiry Update Q2 2022/23		Deputy Chief Constable	11:50
10. Deputy Chief Constable's Report Q2 2022/23		Deputy Chief Constable	12:10

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G1/G2, BTP/BTPA, 25 Camden Road, London, NW1 9LN	18/11/22		10:30
11. Internal Audit Progress Report Q2 2022/23		GIAA	12:25
11.1. [Background Pack] GIAA Internal Audit Report - IFRS16		GIAA	
11.2. [TO FOLLOW] [Background Pack] GIAA Internal Audit Report - A Force on the Move			
11.3. [Background Pack] GIAA Report Supplement		GIAA	
12. Statutory Appointment of Comptroller and Auditor General as External Auditor [Verbal]		Chair	
13. External Audit Planning 2022/23 [Verbal Update]		NAO/KMPG	12:40
14. Committee Workplan 2022/23		Chief Financial Officer	12:55
15. Any Other Business		All	
16. Meeting Evaluation		Andy Cooper	13:00

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## AUDIT AND RISK ASSURANCE COMMITTEE - ACTIONS

Item Ref	Date	Topic	Action	Owner	Due Date	Outcome
7/2022	8 September 2022	GIAA Internal Audit Progress Report	Members agreed to replace the scheduled GIAA internal audit on vetting in light of planned HMICFRS activity, and to decide on a replacement topic outside of the meeting	Chief Financial Officer	18 November 2022	<b>Recommended for Closure</b> Members approved on 18 October 2022 the planned GIAA audit into vetting should be replaced by an audit into the travel booking system (see <i>Board Intelligence</i> Serial A036).

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## Audit and Risk Assurance Workplan 2022/23

Meetings	Items	Output
<b>Standing Items</b>	<ul style="list-style-type: none"> <li>Welcome, introductions and conflict declaration</li> <li>Minutes of previous meeting</li> <li>Matters arising/actions outstanding</li> <li>Risk Register</li> <li>Assurance Map</li> <li>Fraud report</li> <li>BTPA CFO Quarterly Update, <i>to include pensions, income, cash flow and any other Financial Control areas to raise</i></li> <li>BTP DCC Quarterly Update, <i>to include inspection results, crime &amp; incident audit exceptions and escalations from ARIC / other Force oversight boards</i></li> <li>Manchester Arena</li> <li>Internal audit update &amp; reports, <i>including SLAs and monitoring completion of GIAA agreed actions</i></li> <li>Reflection on effectiveness of meeting</li> <li>Workplan</li> </ul>	<ul style="list-style-type: none"> <li>Minutes</li> <li>Summary for Authority meeting</li> </ul>
<b>November 2022</b>	<ul style="list-style-type: none"> <li>Reserves Policy</li> <li>Anti-fraud and whistleblowing policies/processes review</li> <li>Statutory appointment of the Comptroller and Auditor General as External Auditor endorsed</li> <li>External Audit Plan</li> <li>Annual statement on data assurance</li> </ul>	<ul style="list-style-type: none"> <li>Approval of updated reserves policy</li> <li>Approval of updated fraud and whistle-blowing policies</li> <li>Approval of external audit plan</li> </ul>
<b>March 2023</b>	<ul style="list-style-type: none"> <li>Strategic Risk Deep Dive – Contract Management</li> <li>Work plan for 2023/24</li> <li>Management Assurance Return (MAR)</li> <li>Functional Standards Review <i>(if separate to the MAR)</i></li> <li>GIAA Plan 2023/24</li> <li>HMICFRS 2023/24</li> <li>Preliminary External Audit findings from interim work</li> <li>HMIC PEEL inspection results (Phase 3)</li> </ul>	<ul style="list-style-type: none"> <li>Approval of work plan</li> <li>Approval of training plan</li> <li>Approval of MAR submission</li> <li>Approval of Internal Audit Plan</li> </ul>

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Other responsibilities to be programmed or for the future

- Risk documents review – appetite and universe – for Full Authority

To be incorporated: Functional Standards (action arising from September 2022 meeting).

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