



Dear Applicant

Recruitment of Members for the Joint Independent Audit Committee

Thank you contacting us with regards to the Joint Independent Audit Committee.

An application pack is enclosed with this letter and should contain all of the following information:

- Further Information Sheet
- Timeline
- Joint Independent Audit Committee Operating Principles
- Joint Independent Audit Committee Role Profile
- Competencies and personal skills and qualities
- Application Form
- Monitoring Form

You are invited to apply by completing and returning both the application form and the monitoring form. We do not accept CV's.

(Please note that the monitoring form does not form part of the selection process and will not be seen by any members of the selection panels. The form is used solely to collect the information that public authorities are legally required to monitor in order to assist in the elimination of any form of discrimination).

If you should require any of the documents contained in the application pack in a different format or language please contact me to discuss.

The closing date for completed application forms is 5pm on Friday 24 July 2020

Interviews will be held on 6th August

Further information on the Police and Crime Commissioner (PCC) for Thames Valley and Thames Valley Police is available from the websites at www.thamesvalley-pcc.gov.uk and www.thamesvalley.police.uk

I look forward to hearing from you in due course.

Yours sincerely,

Paul Hammond
PCC Chief Executive

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Further Information Sheet

The Joint Independent Audit Committee provides advice and assurance on the overall arrangements for governance in respect of the Office of the Police and Crime Commissioner (PCC) and Thames Valley Police ('the Force').

The terms of reference for the Committee set out a statement of purpose and the key responsibilities in respect of Audit, Regulation, Financial Reporting and Risk Management.

The role profile for Committee Members sets out the job purpose and key responsibilities for this role including how members will contribute to the achievement of the Committee's purpose, the conduct of meetings and committee culture.

These are important roles that make a significant contribution to public assurance about the integrity, internal controls and standards that are adhered to within these public offices. The conduct of the Committee will also inform the opinion of the internal and external auditor in respect of the Annual Governance Statement. The work of the Committee will be subject to an annual review of its effectiveness and all members will be expected to undertake due diligence in scrutinising Committee papers and actively participating in Committee meetings to support and challenge the individual and collective arrangements of the PCC and Chief Constable.

The arrangements for the Committee are set out below, including eligibility for Committee Membership. These have been developed to ensure that the Committee can operate in a way that is objective and impartial, ensuring independence.

Overall Arrangements

The arrangements are based on the requirements of the Home Office Financial Management Code of Practice ('the Code') and the Chartered Institute of Public Finance and Accountancy (CIPFA) Audit Committee guidance (including terms of reference). The Committee is a joint Committee of the PCC and Force as advocated by the Code.

Size of the Committee/Committee Meetings

The Committee comprises five independent members with a quorum of three members. Four members have already been appointed and we are now looking to appoint the fifth member.

A brief biography of the four current members is set out below:

- Mike Day – An internationally experienced Senior Leader having held roles in the Public and Private sectors. He is currently CEO of Covesion Ltd which is a leader in the Production of Non Linear Optical devices. Mike also had a spell as an Independent consultant advising leaders on business growth, change and strategy. Mike uses his experience in governance, leadership, strategic development and change management, to support the activities of the JIAC.

- Gordon Woods – Gordon is a senior civil servant at the Department for Environment, Food and Rural Affairs, with experience in major change programmes, strategy and policy. He has been a member of the Joint Independent Audit Committee since 2016.
- Amna Rehman – Amna has worked internationally in various public bodies related to financial regulation, and brings with her experience in change programmes, strategy, policy and governance. She is a new member of the Joint Independent Audit Committee
- Melissa Strange - Melissa is CFO for an early stage company in the life sciences sector, having previously served as Vice President, Finance within a US and UK listed biotech. Through her current and prior roles Melissa has overseen internal controls, risk management and governance practices as well as core financial management and strategy. She is a new member of the Joint Independent Audit Committee.

Committee meetings will normally be held five times a year in line with CIPFA guidance. Meetings are currently scheduled for March, June, July, October and December. Additional meetings may be convened as and when necessary. Meetings will normally commence at 10.30am and will be held at Police HQ, Oxford Road, Kidlington, Oxfordshire.

The agenda, reports and minutes of all Committee meetings will be published on the PCC website. Members of the press and public shall be excluded from the meeting whenever it is likely that confidential information will be disclosed. Confidential information is defined as:

- a) Information furnished to the Committee by a Government department upon terms (however expressed) which forbid the disclosure of the information to the public; and
- b) Information the disclosure of which to the public is prohibited by or under any enactment or by the order of a Court.

Remuneration

Committee members will be remunerated at Home Office Police Tribunal rates for all work undertaken on behalf of the Committee.

- £211.50 full day (sitting of more than 4 hours (excluding meal breaks))
- £104.50 half day (sitting of less than 4 hours (excluding meal breaks))

The Committee Chair will receive a higher daily allowance of £300 per day (£150 for ½ day) to reflect his/her additional responsibilities.

In addition, an allowance of a full day will be awarded to compensate for time taken to review papers/preparatory work in respect of every formal Joint Independent Audit

Committee meeting attended. This is irrespective of the amount of time actually taken to undertake preparation.

Committee members will be reimbursed reasonable expenses including travel and subsistence.

Tenure

Committee members will be appointed for a tenure of 4 years, with a maximum of 8 years' service subject to re-application and re-appointment after four years.

Restrictions and Disqualifications

The following restrictions will apply to ensure the complete independence and objectivity of members of the Committee in the conduct of business. Committee members should not be:

- Aged under 18
- Living outside the Force area
- Serving police officers, police staff and staff employed by the PCC (or Metropolitan Police Service equivalent).
- A person who is on the Thames Valley Police and Crime Panel or is a councillor or an employee of a council which is represented on the Panel
- A member of the PCC's Professional and Ethical Standards Panel
- Individuals who have significant business or personal dealings with the Force/OPCC
- Individuals who have close relationships with any of the above including immediate family members
- Political activity in itself is no bar to appointment. However, candidates will be asked to declare any significant political activity (which includes holding office, public speaking, making a recordable donation or candidature for election) which they have undertaken in the last five years. This information will only be provided to the recruitment panel for those applicants selected for interview. Details of the successful candidates declared political activity will be published.

Joint Audit Committee Members must be independent of both the Constabulary and the OPCC. As a result candidates who are ex-police officers, ex-police staff, volunteers, members of the Police and Crime Panel and supporting officers would wish to consider carefully how they could demonstrate independence in making any application.

Standard disqualifications apply to ensure the avoidance of any reputational embarrassment, for example individuals who have been removed from a trusteeship of a charity, anyone under a disqualification order under the Company Directors Disqualification Act or a person who is an un-discharged bankrupt. Before an appointment to the Committee is confirmed candidates will need to be successfully vetted. Any arrests, cautions and convictions must be declared on the vetting form whether or not they are 'spent' under the terms of the Rehabilitation of Offenders Act. Should any applicant be

unsure in respect of disqualifications they are advised to speak to Vicky Waskett, the PCC's Governance Manager, on 01865 845720 prior to application.

All appointees must agree to their name, photo and declaration of interests being made publically available, including on the PCC and Force websites.

Role Profile and Person Specification

The role profile and person specifications set out the responsibilities, expected conduct, skills, knowledge and aptitudes that form the basis of the recruitment process. Individuals should have or acquire as soon as possible after appointment an understanding of the objectives and current significant issues for the Police Service at a national and local level and an understanding of the objectives, responsibilities and current significant issues for the PCC and Police Force.

Recruitment Practice

Equality and diversity monitoring will be given full due regard at every stage of the recruitment process. Appointments will be based on the role profile and person specification requirements in addition to the need to ensure a balance of skills and expertise across all fields of committee responsibility.

The recruitment panel will comprise 3 people, i.e. Mike Day (current Committee member), Jason Hogg (Deputy Chief Constable) and Ian Thompson (PCC Chief Finance Officer). All appointments will be subject to confirmation by the PCC and Chief Constable.

Applications must be made on a formal application form. Application forms will be used as the basis of shortlisting. Appointments will be made following a formal interview.

Applicant Timeline

Application closing date	5.00pm Friday 24 th July 2020
Shortlisting	W/C 27 July 2020
Interviews	6 August 2020
First Meeting	9 October 2020



JOINT INDEPENDENT AUDIT COMMITTEE



OPERATING PRINCIPLES

Statement of Purpose

- Our Joint Independent Audit Committee is a key component of the PCC and Chief Constable's arrangements for corporate governance. It provides an independent and high-level focus on the audit, assurance and reporting arrangements that underpin good governance and financial standards.
- The purpose of the Committee is to provide independent assurance to the PCC and the Chief Constable regarding the adequacy of the risk management framework and the associated control environment within Thames Valley Police and the Office of the PCC. It will consider the internal and external audit reports of both the PCC and Chief Constable and advise both parties according to good governance principles. It has oversight of general governance matters and provides comment on any new or amended PCC policies and strategies with regard to financial risk and probity.
- These operating principles will summarise the core functions of the Committee in relation to the Office of the PCC and the Force and describe the protocols in place to enable it to operate independently, robustly and effectively.

The Committee will report directly to the PCC and the Chief Constable.

Committee Composition and Structure

The Committee will consist of five members who are independent of the PCC and Thames Valley Police. They will be appointed by the Chief Constable and the PCC (or their representatives).

The Chairman will be elected by the Committee on an annual basis.

The Committee will hold five formal meetings a year – in public - although there may be a requirement to hold additional meetings at short notice.

The PCC and Chief Constable will attend or be appropriately represented at formal meetings. Committee meetings will be held at key strategic times of the year to coincide with the budget process and publication of financial management reports and accounts:

1. **March** – to consider the Internal Auditor’s Internal Audit Plan and the External Audit Plan
2. **June** – to consider the End of Year Reports and Annual Governance Statement
3. **July** – to consider the Annual Statement of Accounts and to receive the Audit Results report
4. **September/October** – to consider mid-year progress reports;
5. **December** – to receive the Annual External Audit Letter and agree the Annual Assurance Report of the Committee.

The agenda, reports and minutes of all Committee meetings will be published on the PCC and Force websites. However, members of the press and public shall be excluded from a meeting whenever it is likely that confidential information will be disclosed. Confidential information is defined as:

- a) Information furnished to the Committee by a Government department upon terms (however expressed) which forbid the disclosure of the information to the public; and
- b) Information the disclosure of which to the public is prohibited by or under any enactment or by the order of a Court.

Methods of Working

The Committee will:

- Advise the PCC and Chief Constable on good governance principles
- Adopt appropriate risk management arrangements
- Provide robust and constructive challenge
- Take account of relevant corporate social responsibility factors when challenging and advising the PCC and Chief Constable (such as value for money, diversity, equality and health and safety)
- Be regularly briefed by the Chief Constable and PCC on the full range of activities falling within its specific responsibilities and attend other relevant internal meetings

- Have direct access to the oversight of professional standards and ethics matters by regularly attending the Complaints, Integrity and Ethics Panel as an observer
- Attend any training and conference events that will ensure members are kept up to date with the policing landscape and audit requirements
- Provide an annual assurance report to the PCC and Chief Constable

Specific responsibilities

The Committee has the following specific responsibilities:

Financial Management and Reporting

- Provide assurance to the PCC and Chief Constable regarding the adequacy of the arrangements, capacity and capability available to their respective chief finance officers to ensure the proper administration of the Commissioner's and Force's financial affairs.
- Review the Annual Statement of Accounts. Specifically, to consider whether appropriate accounting policies have been followed and whether there are concerns arising from the financial statements or from the audit of the financial statements that need to be brought to the attention of the PCC and/or the Chief Constable.
- Consider the external auditor's report to those charged with governance on issues arising from the audit of the financial statements, and to give advice and make such recommendations on the adequacy of the level of assurance and on improvement as it considers appropriate.

Internal Control and Governance Environment

- Consider and endorse the local Code of Corporate Governance
- Consider and endorse the Annual Governance Statement (AGS)
- Monitor implementation and delivery of the AGS Action Plan
- Consider the arrangements to secure value for money and review assurances and assessments on the effectiveness of these arrangements
- Consider and comment upon the adequacy and effectiveness of the assurance framework, and the specific governance and accountability policies, systems and controls in place, such as the Corporate Governance Framework; anti-fraud and corruption; whistle-blowing, declarations of interest and gifts and hospitality.

- Review arrangements for the assessment of fraud risks and potential harm from fraud and corruption and monitor the effectiveness of the counter fraud strategy, actions and resources
- To consider the governance and assurance arrangements for significant partnerships or collaborations

Corporate Risk Management

- Consider and comment upon the strategic risk management processes; and
- Receive and consider assurances that organisational risks are being managed effectively and that published goals and objectives will be achieved efficiently and economically, making recommendations as necessary

Business Continuity Management

- Consider and comment upon business continuity management processes, and
- Receive and consider assurances that business continuity is being managed effectively and that published goals and objectives will be achieved efficiently and economically, making recommendations as necessary

Internal Audit

- Annually review the internal audit charter and resource
- Receive and consider the adequacy and effectiveness of the arrangements for the provision of the internal audit service
- Consider and comment on the Internal Audit Strategy and Plan
- Receive and review internal audit reports and monitor progress of implementing agreed actions
- To consider the Head of Internal Audit's statement on the level of conformance with the Public Sector Internal Audit Standards (PSIAS) and Local Government Application Note (LGAN) and the results of the Quality Assurance & Improvement Programme (QAIP) that support the statement
- Consider and comment upon the annual report of the Head of Internal Audit
- Obtain assurance that an annual review of the effectiveness of the internal audit function takes place

External Audit

- Receive and review reports from the external auditors, including the annual audit letter and audit opinion
- Review the effectiveness of external audit
- Consider and comment upon any proposals affecting the provision of the external audit service
- Consider the level of fees charged, and
- At present TVP participates in the national procurement of external audit services through the Public Sector Audit Appointments (PSAA). However, should the PCC and Chief Constable decide that local procurement would be better the Committee would undertake the role of the Independent Audit Panel, as set out in the Local Audit and Accountability Act 2014, including considering and recommending appropriate arrangements for any future appointment of External Auditors

Health & Safety

- Satisfy itself on behalf of the PCC and the Chief Constable that an adequate and effective policy and practice framework is in place to discharge legal duties in relation to health and safety. In particular, having regard to the safety, health and welfare of police officers and police staff, people in the care and custody of Thames Valley Police and all members of the public on police premises or property

Equality and Diversity

- Satisfy itself on behalf of the PCC and Chief Constable that an adequate policy and practice framework is in place to discharge statutory requirements in relation to equalities and diversity

Inspection and Review

- To consider any HMIC report that provides assurance on the internal control environment and/or highlights governance issues for the PCC and/or Chief Constable

Accountability Arrangements

- On a timely basis report to the PCC and the Chief Constable with its advice and recommendations in relation to any matters that it considers relevant to governance, risk management and financial management.
- Report to the PCC and the Chief Constable on its findings, conclusions and recommendations concerning the adequacy and effectiveness of their governance, risk management and internal control frameworks; financial reporting arrangements and internal and external audit functions.
- On an annual basis to review its performance against its operating principles and report the results of this review to the PCC and the Chief Constable.

JOINT INDEPENDENT AUDIT COMMITTEE - ROLE PROFILE

Role Description:

Committee Members

1. Purpose / Key Responsibilities

- 1.1 To contribute to the effective discharge of the duties and responsibilities of the Committee as set out in the Committee terms of reference.
- 1.2 To maintain effective working relationships with committee members, the PCC, the Chief Constable, the PCC's Chief Executive (as the statutory 'Monitoring Officer'), Chief Finance Officers for the PCC and Force (Section 151 officers) and both internal and external auditors.
- 1.3 To be diligent in preparing for committee meetings and making an effective contribution to those meetings to provide independent assurance of the governance, internal control and finance, risk and performance management arrangements of the office of the PCC (OPCC) and the Force.

2. Conduct of Committee Meetings

- 2.1 Contribute to the business of each Committee meeting in a manner which supports all matters on the agenda being dealt with effectively and appropriately.
- 2.2 Address the Committee on all matters where an opinion or decision is required and in such a manner that does not inhibit other members of the committee wishing to express a different opinion.
- 2.3 Advise the Committee Chair where an interest or potential conflict of interest may exist in respect of a matter to be discussed at a meeting and act on the advice of the Chair.

3. Committee Culture

- 3.1 As a member of the committee, contribute to a culture that supports.
 - i) Each member to use his or her best efforts in carrying out his or her duties as a member of the Committee;

- ii) The highest level of integrity, accountability and honesty in the actions of the Committee and of the PCC, Chief Constable and the other officers of the OPCC/Force;
- iii) Respect and dignity among the members, officers and the external and internal auditor;
- iv) The candid and timely sharing of information among the members of the Committee, management and the external auditor;
- v) Acceptance by all members of the Committee of the right of every member to hold and express a dissenting opinion; and
- vi) A commitment to best governance practices.

4. Miscellaneous Matters

- 4.1 When necessary or desirable, to facilitate the effective performance of the Committee's duties, attend other meetings and/or PCC/Force briefings.

JOINT INDEPENDENT AUDIT COMMITTEE

COMPETENCIES AND PERSONAL SKILLS AND QUALITIES

This section sets out the competencies and personal skills and qualities which are particularly relevant to the work that will be undertaken by audit committee members.

There is no expectation that all individual members will have all of these qualities, but the PCC and Chief Constable will wish to assure themselves that, between the totality of the membership, all these qualities are available to them as a Committee. All members can make a valuable contribution to the work of the Office of the PCC and Thames Valley Police from the start, drawing on their background and expertise gained in their working life, their involvement in the community, voluntary work or other experiences.

In order to fulfil its objectives the Joint Independent Audit Committee should **collectively** possess:

- (a) Financial awareness
- (b) Awareness of current accounting issues
- (c) Understanding of relevant statutory duties and legislative requirements
- (d) Understanding of the principles of risk management
- (e) Knowledge of modern principles relating to audit, scrutiny and assurance
- (f) Knowledge and experience of the principles of Corporate Social Responsibility (which includes financial and economic stewardship (including VFM); people and communities (including Diversity, Equality and Human Rights) and environmental sustainability and health & safety)

Individuals should have and be able to demonstrate:

- Integrity - the necessity to embrace high standards of conduct and ethics and be committed to upholding human rights and equality of opportunity for all.
- A balanced and proportionate approach in preparing and giving advice.
- Independent thought - to show resilience, even in challenging circumstances, remaining calm and confident and able to make difficult decisions, or articulate alternative views.
- A constructive but challenging approach – to take a balanced, open minded and objective approach, whilst being able to challenge accepted views constructively without becoming confrontational.
- The ability to be analytical - to interpret and question complex written material, including financial and statistical information and identify the salient points.

- The ability to scrutinise - to be able to rigorously scrutinise and challenge constructively to support good governance and strong public financial management in Thames Valley Police, using appropriate data, evidence and resources and adopting appropriate risk management arrangements.
- Self confidence - the skill to challenge accepted views constructively without becoming confrontational.
- Respect for others - the capacity to treat all people fairly and with respect; value diversity and respond sensitively to difference.

Individuals should have or acquire as soon as possible after appointment:

- (a) An understanding of the objectives and current significant issues for the police service at both a national and local level
- (b) An understanding of the objectives, responsibilities and current significant issues for the PCC and Chief Constable.
- (c) An understanding of the various inspection regimes which impact upon the work of the PCC and the Chief Constable.
- (d) An understanding of effective programme and project management