Joint Audit Committee Self-Assessment Action Plan

Green text denotes addition/update since previous meeting.

Please Note: The year refers to the year the action plan was reviewed and is based upon the self-assessment for the previous financial year ie 2016/17 action plan refers to the 2015/16 Self-Assessment exercise.

	Self-Assessment Action Plan Year	Action	Activity	Timescale	Owner	Outcome	Latest Update
1.1	2016/17	Ensure the Terms of Reference (ToR) clearly set out: • The purpose of the Joint Audit Committee (JAC); and • The core areas identified in CIPFA's Position Statement.	• Review the ToR to ensure accuracy.	Annually.	Chair/Chief Finance Officer (CFO)/Assistant Chief Officer – Resources (ACOR)	• The ToR remains fit for purpose. • Amendments to the ToR and Operating Principles are approved by the Commissioner and CC.	**Review planned for March 2017 meeting.** **Review of MoCG report including JAC ToR on agenda for March 2017.** **JAC requested ToR and Eligibility criteria were merged. On June agenda for agreement.** **Merged document agreed at June 2017 meeting. Complete.**
1.2	2016/17	Assess whether the Committee has fulfilled its ToR during the previous year and that adequate consideration was been given to all core areas.	• Evaluation of the JAC compliance against the TORs.	Annually in line with reporting requirements.	Information Officer (IO)	• The Commissioner and Chief Constable are assured of the JAC's continued effectiveness. • Any gaps in compliance are identified and addressed by the JAC.	**Completed for 2016/17.** **Evidence of compliance with ToR was presented to the meeting in June 2017.**
1.3	2016/17	Undertake a Member skills audit against the JAC ToRs.	• Undertake an initial audit exercise for the current JAC. • Undertake an audit exercise with new Members as part of the induction process. • Ensure the skills 'register' is updated and accurate.	By March 2017. In line with new Member appointments. Annually.	CFO/ACOR/IO	• Sufficient coverage, breadth and depth of Member skills and knowledge. • Better understanding of individual Member's expertise across the JAC.	**Consider assigning 'lead' Members based on their experience.** **Lead member roles discussed in March 17.** **Briefing paper covering key areas over the last 2 months included on agenda for JAC to assign lead members.** **Discussions were postponed from June to September when more members would be available to make a decision.**
3.1	2016/17	Provide information on the role and purpose of the JAC across the Force and OPCC.	• Information on the role and purpose of the JAC is available on the Intranet. • Changes to the existing Membership/ structure are communicated via the 'Gwent	Annually in line with the Chair election process. In line with new Member appointments.	CFO/IO/ Communications Manager (CM)	• The role and purpose of the JAC is communicated across the Force and OPCC.	**Suggest a high-level briefing/ presentation to Team Gwent around the MoCG following review by the Commissioner. Include as forward activity in the Action Plan.** **Link to JAC webpage on intranet home page.** **A request has been made for a slot at the next Team Gwent meeting in May. CC to decide if appropriate for inclusion.**

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			Guardian'.				**Will be discussed with the new Chief Constable once appointment has been confirmed.** **Now raised in previous 2 self-assessment processes (2015/16 and 2016/17 process).** **Appointment of the new Chief Constable was confirmed by the Police and Crime Panel on 1st August 2017.**
4.	2017/18	Review of the Police and Crime Plan	• Members are kept up-to-date with changes to the Police and Crime Plan.	Annually (when updated)	IO	• Members are aware of the strategic direction the OPCC/Force are taking.	**Agreed it is the role of the Police and Crime Panel to scrutinise and feedback to the Commissioner. The Police and Crime Plan is publically available on the OPCC website.** **We agreed that when changes are made to the Police and Crime Plan we were notified of these changes and sent a link to the updated document.** **Complete.**
4.	2017/18	Development of a Board Assurance Framework	• Assist in understanding assurances in place, gaps and any measures needed to address the gaps.	Ongoing	CFO	• Greater understanding of the organisation	**The CFO has contacted the other 3 Welsh CFOs in Wales and has received responses. South Wales are the most advanced with the implementation. As Gwent Police has just implemented a fundamental review of its board and meeting structure, it is timely that consideration of a BAF is progressed. The CFO and CoS will engage with Service Development to explore further.**
4.	2017/18	Add a clause into the ToR that reflects monitoring of progress against external audit recommendations.	• Update ToR	Once	IO	• ToR reflects work of the JAC	**Following wording added to ToR:** ***'Receive and review external audit reports and monitor progress of implementing recommendations'.*** **New document circulated to members. Complete.**
4.	2017/18	Add a clause into the ToR along the following lines: 'Consider and comment upon the risks identified in the risk register presented to the JAC and consider other current or potential risks not reflected therein'.	• Update ToR	Once	IO	• ToR reflects work of the JAC	**Following wording added to ToR:** ***'Consider and comment upon the PCC and Chief Constable risk registers and consider other current or potential risk not reflected therein'.*** **New document circulated to members. Complete.**

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4.	2017/18	Enable the JAC to review the skill sets of its members to ensure that is has appropriate expertise amongst its ranks.	• Development of a forum where this can take place	Annually	IO	• Identification of areas that further training is required.	**Agreed that this would be reviewed at the annual 121 performance reviews that have now been introduced.** **Consideration will also be given in the future appointment of JAC members to ensure that skills reflecting the change in policing to the digital era are present within the membership.** **Complete.**
4.	2017/18	Ensure that the JAC are confident that they can demonstrate they cover the area of risk management sufficiently.	• Evaluation of JAC compliance against the ToR and discussion at meetings.	Every meeting	Members/IO	• Compliance with the ToR	**Both the OPCC and Force provide their risk registers quarterly to the JAC. The last deep dive on the Risk Management Processes took place on 10th June 2015.** **Also discussed throughout the agenda of each meeting although not always referred to as risk management.** **Members agreed that this area was sufficiently covered.** **Complete.**
4.	2017/18	Ensure that the JAC are confident that they can demonstrate they cover the area of value for money sufficiently.	• Evaluation of JAC compliance against the ToR and discussion at meetings.	Every meeting	Members/IO	• Compliance with the ToR	**Value for Money Profiles are examined on an annual basis as part of the 'deep dive' schedule. It is also covered in other deep dives such as 'Staying Ahead'.** **Assurance on value for money is also provided by Internal Audit, WAO and HMIC via reports received at the JAC.** **Members agreed that this area was sufficiently covered.** **Complete.**
4.	2017/18	Ensure that the JAC are confident that they can demonstrate they cover the area of value for money sufficiently.	• Evaluation of JAC compliance against the ToR and discussion at meetings.	Every meeting	Members/IO	• Compliance with the ToR	**The JAC see the counter-fraud and corruption policies when they are due for review and if any changes are made.** **OPCC Anti-Fraud and Corruption Policy was presented to JAC in June 2016 – review period is 4 years. The Force policy is on the September 2017 agenda.** **Counter-fraud and corruption is included in the internal audit plan on an annual basis.** **Complete.**

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12.	2017/18	Ensure adequate secretariat and administrative support is provided to the JAC	• Support to the JAC needs to be reviewed in line with the OPCC organisation review. • Consideration needs to be given as to whether an increase in capacity is required.	Ongoing	Chief of Staff (CoS)/CFO	• Ensure that the JAC are supported appropriately	**The OPCC organisation review is currently in progress. JAC members will be informed as to how any changes made will affect the secretariat and administrative support provided.**
15.	2017/18	Annual 121 performance review for JAC members	• Establish 121 performance review process	Annually	IO	• Ensure members performance is reviewed • Identify skills gap	**It has been agreed that all JAC members will participate in annual 121 performance reviews.** **The first round of reviews have taken place.** **Complete.**
16.	2017/18	Feedback on JAC performance	• Feedback needs to be received from those interacting with the JAC or relying on its work	Ongoing/ Annually	Members/IO	• Ensure performance of the JAC meets the requirements of the ToR	**Opportunities to provide feedback on the performance of the JAC are provided via the self-assessment process and the recently introduced 121 performance review process.** **Complete.**
17.	2017/18	Evaluation by the JAC on how it is adding value to the organisation.	• Various methods are in place to allow this process to take place.	Ongoing/ Annually	Members	• Ensure performance of the JAC meets the requirements of the ToR	**The JAC evaluates its performance and contribution in the following ways:** • **the review of the ToR;** • **the completion of the Self-Assessment forms;** • **the preparation and completion of the Self-Assessment action plan;** • **feedback on the Self-Assessment forms completed by Internal and External Audit and the senior officials in the Commissioner's office and the Force; and** • **the Annual Report.** • **121 performance review process.** **Complete.**
18.	2017/18	Implement an action plan to improve areas of weakness	• Self-Assessment action plan	Annually	Member/IO	• Ensure all areas of weakness are addressed	**An action plan resulting from the self-assessment process is in place and addresses any area raised..** **An action plan has also been developed as a result of the All-Wales training day that was held in January.** **Complete.**

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C1.	2017/18	Increase cyber awareness of JAC members.	• Arrange deep dive/training	Ongoing	CFO/ACOR	• Ensure JAC have sufficient knowledge and expertise to scrutinise this area.	**This will be considered during new member recruitment.** **The deep dive on cybercrime/security has been brought forward to September 2017.**