

Self-Assessment Action Plan

This action plan has been created as a result of the Joint Audit Committee self-assessment process for the 2017/18 financial year.

		<u>ACTION PLAN</u>		
		Key: Green = On-going Blue = Completed		
<u>Questionnaire Number and Question</u>		<u>Comments</u>	<u>Suggested Resolution</u>	<u>Update</u>
2.	Is the role and purpose of the audit committee understood and accepted across the Force/OPCC?	Respondents were generally satisfied that the role of the JAC was understood to a proportionate degree in both the OPCC and the force. Further work needed to be undertaken to build an understanding of the JAC's role externally with partners such as the Police and Crime Panel.	Inviting the Chair of the Police and Crime Panel to a JAC meeting has been discussed. Also, a 121 meeting between the Chair of the JAC and the Panel could also take place with feedback provided to both Committees.	As well as inviting the Chair of the Police and Crime Panel to a JAC meeting and the possibility of a 121 meeting between the JAC Chair and the PCP Chair, we agreed that by inviting people from within the organisation to meetings as appropriate would slowly build the understanding of the JAC throughout the force Email sent to the PCP secretariat 19/07/18.
4.	Do the committee's terms of reference explicitly address all the core areas identified in CIPFA's Position Statement.	Assurance Framework Controls and systems are established but partly covered by forward work planning and strategic planning processes. CIPFA training has also enabled the JAC to ensure the correct areas are being discussed	Development of a Board Assurance Framework is being considered to ensure the controls and processes are linked together. This is currently an on-going area of work.	An internal audit is being undertaken in this area. Once the outcome of the audit has been received we will consider how this could be progressed further.
		Risk Management The ToR reflects Risk Management but can the JAC demonstrate that it sufficiently covers this area.	The joint strategic risk register is considered at every JAC meeting. The September meeting will also see the risk section taken at the start of the meeting.	Are members satisfied that they sufficiently cover this area? If so it is suggested that this action is marked as complete and removed from the action sheet.
		Value for Money The ToR reflects VfM but can the JAC demonstrate that it sufficiently covers this area.	Value for Money Profiles are examined on an annual basis as part of the 'deep dive' schedule. A detailed discussion on the value for money profiles took place at the March meeting. The ToR state that the JAC consider and comment upon the arrangements for delivery of Value for Money.	Discussions in relation to how the JAC meet their terms of reference in relation to Value for Money were had at the June 2018 meeting. Force are considering how the Force Management Statements could be utilised to assist the JAC in this area.
		Counter-fraud and Corruption The ToR refers to counter-fraud and corruption but can the JAC demonstrate that it sufficiently covers these areas.	Previously agreed that 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 was presented to JAC in September 2017 – review period is 2 years.	A discussion was had at the June 2018 meeting in relation to the Anti-Fraud and Corruption policies where it was agreed that both the OPCC and force policies would be re-circulated to all members. These policies were circulated on 19/07/18. Officers are currently awaiting feedback from members to determine if anything additional needs to be undertaken in this area in order to ensure members are satisfied they meet their ToRs.
6.	Where coverage of core areas has been found to be limited, are plans in place to address this?	No specific comments noted but a few responses were unsure.	This is covered by the self-assessment form action plan and the review of the JAC Terms of Reference on an annual basis.	Unless there is anything members wish to include in addition to the comments in the 'Suggested Resolution' column, then it is suggested that this

			All Wales training days also produce and action plan to address identified gaps across JAC's in Wales.	can be marked as complete and removed from the action sheet.
15.	Do members feel they would benefit from annual 1-2-1s with the Chair? (this options is available in the eligibility criteria used during the recruitment process).	1. Question no longer required and 121s are now in place. 2. Found the 121 process completed this year useful.	Suggest that this is removed from the Self-Assessment form for the next process.	Complete.
16.	Has the committee obtained feedback on its performance from those interacting with the committee or relying on its work?	Should the PCC and Chief Constable formally consider the JAC Annual Report at the Strategy and Performance Board?	The PCC signs the JAC Annual Report each year via his box day process. Due to the quarterly nature of the SPB meetings and the requirement for the report to be approved in line with the early closure of accounts, it would not be timely to present to the SPB. A draft version of the report could be presented to the March SPB alongside the draft AGS.	Are members happy to present a draft version of their annual report alongside the Draft AGS to the SPB or are they satisfied that the final version is provided directly to both the CC and the PCC via their individual governance processes?
17.	Has the committee evaluated whether and how it is adding value to the organisation?	Should formal feedback be provided from the PCC and the Chief Constable	The JAC evaluates its performance and contribution in the following ways: <ul style="list-style-type: none"> • 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; • 121 Performance Reviews; and • the Annual Report. A request could be made for formal feedback from the PCC and Chief Constable to the JAC Annual Report, although members receive a link to the decision logs which would show that the PCC had received and read the report.	Both the PCC and CC or a representative attend the JAC meetings as often as possible which would allow them to provide feedback as appropriate. If the members wish formal feedback then further discussion needs to take place to determine how this is achieved. If members are satisfied that this area is covered sufficiently already then it is suggested that this action is complete and removed from the action sheet.
18.	Does the committee have an action plan to improve any areas of weakness?	No specific comments noted but a few responses were unsure.	The JAC have an action plan resulting from the self-assessment process. An action plan has also been developed as a result of the All-Wales training day.	If members are satisfied that they have action plans in place to identify areas of weakness it is suggested that his action is complete and removed from the action sheet.
C 1-3	Self-Assessment Process	1. We have already asked internal audit to prepare a report which may produce suggestions or confirm our process, with which I am very satisfied. 2. A comparison with the self-assessment forms used by the other Welsh JACs could provide pointers for improvements in this self-assessment process. 3. It would be helpful to have sight of the resulting action plan from previous year's self-assessment process along with progress against the action plan, to assist completion of the current year's self-assessment.	It has been agreed with the Chair that the comparison of the self-assessment forms across Wales will be undertaken by the OPCC if there is capacity prior to the next process. Internal audit would need to charge for this process if they were to undertake it. Progress against the action plan is discussed at every meeting. Removal from the agenda was agreed as aside from the Board Assurance Framework, the actions had been completed. The action plan can be distributed with the self-assessment forms for the next process if it would be useful.	If members are satisfied that this action has been complete then it is suggested that it is removed from the action sheet. Alternatively, members may wish it to remain until the comparison of the self-assessment documents has been completed.

C 5-7	Effectiveness of JAC	<p>1. We have this year worked towards improving how we perform and approach JAC with a given on having read papers, more comprehensive pre-meeting discussion between JAC members to ensure the key agenda items are given appropriate time.</p> <p>2. We have assessed that verbal updates reduce our effectiveness and I would encourage these are limited or the key points are given in the verbal updates rather than what would be in the full paper. I would also be happy to agree to a late paper to enable a short verbal update to happen.</p> <p>3. The meetings are sometimes inordinately long.</p>	<p>Timed agendas provide a guideline of how long to spend on each report.</p> <p>To reduce the length of meetings we could consider whether certain reports could be added to the agenda for information or circulated outside of the meeting process with any queries provided to the Governance Officer and responses fed back to members via email.</p> <p>We could also review how long we spend on certain reports and unless there are any pressing errors/concerns, minor feedback could be provided outside of the meeting process.</p>	<p>This is an area that needs further discussion. Are members satisfied with the current system or are there other methods other than a timed agenda that they wish to try?</p>
C8	Mapping of Core Areas to Actual Meetings	<p>It would be helpful if an exercise was undertaken mapping the coverage of the core areas to the actual JAC meetings so it would be clearer whether there are any gaps.</p>	<p>A mapping exercise of compliance against the ToRs is undertaken on an annual basis and is contained at appendix 2 of this report.</p>	<p>It is suggested that this action is complete and can be removed from the action sheet.</p>
C9	Pictorial Representation	<p>A pictorial representation of the sources of assurance that make up the framework could be beneficial, indicating opportunities for triangulation.</p>	<p>Determine if this would be useful and if so what exactly is required. Alternatively, this could be considered as part of the development of the Board Assurance Framework.</p>	<p>Further discussion required.</p>