**JAC SELF ASSESSMENT ACTION PLAN**

**ACTION PLAN**

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| **BBRAG Key** | |
| Where action not started, will be blank | |
|  | Complete |
|  | On hold |
|  | Not on target - immediate/significant cause for concern |
|  | Mainly on target - there are some minor issues that may impact completion of objective |
|  | On target |

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|  | **Questionnaire Number and Question** | **Comments** | **Suggested Resolution** | **Agreed Resolution**  **(To be completed at the meeting)** | **RAG/ Status** |
| 6. | **New action 2023:** Has the committee sought assurance in relation to governance arrangements for major change programmes and key collaboration/outsourcing arrangements (whether with police bodies, other public sector bodies or the private sector?) Has the committee considered its role in respect of these arrangements? | The majority of respondents were satisfied that the committee were in a position to seek overall assurance in terms of governance arrangements for major change programmes and key collaboration. However, it was suggested JAC could benefit from a page of projects and RAG Status perhaps on Progress, Costs, Benefits.  It was also suggested Collaborative arrangements could do with more precision in the design stage with respect to expectations and deliverables and the evidence required to prove achievements. |  | **It would be useful for a specific report/s demonstrating governance arrangements and benefits realisation for Gwent in relation to collaborative projects.**  **See February 2024 update provided to action immediately below.** | **Governance arrangements in relation to collaborations are relatively vague.** |
| 6. | **Action rolled over from previous year:** Has the committee sought assurance in relation to governance arrangements for major change programmes and key collaboration/outsourcing arrangements (whether with police bodies, other public sector bodies or the private sector?) Has the committee considered its role in respect of these arrangements? | Over half of the respondents did not feel that the committee were in a position to seek overall assurance in terms of governance arrangements for major change programmes and key collaboration, although it was acknowledged oversight had improved particularly in relation to the new HQ build and management of audit actions by SRS.  **Response from 2022 Process:**  Most respondents agreed the JAC have been provided with assurance in relation to governance arrangements for major change programmes and key collaborations. However, it was suggested that a list of the change programmes and key collaborations/outsourcing arrangements would be useful for JAC, including those with partners outside of policing.  It was also suggested that the organisation could benefit from the toolsets developed by the Cabinet Office as a result of lessons learnt from previous successes or failures and for more there to be more precision in the design stage with respect to expectations and deliverables and the evidence required to prove achievements. | Internal Audit has previously reviewed major change programmes and methodologies, examples including New HQ and the Continuous Improvement Change Management approach. In addition, Audit Wales has reviewed the governance arrangements concerning police Collaboration in Wales.  The AW report (and the SRS one) and associated action plan is being taken forward though the All Wales Collaboration Board.  In addition, Welsh Police Finance and Resources Group (WPFRG) have ‘sponsored’ the maintenance of a collaboration register which includes the capturing of benefits too. This register initially focussed on inter Force collaboration but will be expanded in due course to cover other collaborations, such as those with Local Authorities.  As mentioned in row 6 under actions rolled over from previous years, work is progressing in this area and the JAC will be provided with a list, as appropriate, in future.  In relation to the toolsets mentioned, please could copies or a link to the documents referenced be provided and they will be considered.  **Further discussion needed at meeting.** | Update March 2021:  Work has started to produce a log of all collaboration agreements held within the OPCC. This will be shared with the force once complete and discussions had on how to provide assurance to the JAC on this area of work. This has also been identified as an area for improvement within the BAF.  Update June 2021:  The agreements spreadsheet has been collated and needs review within the OPCC prior to sharing with the force to ensure they did not hold any additional information prior to deciding how to progress further.  Update December 2021:  Work relating to the reporting on the governance of collaborations is being progressed but is a large piece of work that is currently still ongoing.  Update March 2022:  Collaboration register was due to be discussed at the December WPFRG but was postponed to March (See action sheet – action 11). An update would be provided in due course.  Update June 2022:  The HoAC and CI have now met and have collated an agreements register. This will be presented along with some recommendations on progression to the Strategic Planning Group for consideration.  Separate to the above as clarified in the June 2022 action sheet, the WPFRG have established an All-Wales Productivity and Efficiency Group which is responsible for the collaboration register.  The register will take around 6 months to update and will be reviewed again by WPFRG in Sept 2022. JAC will be presented with the most up to date register as soon as available.  Additionally at the September meeting the CFO also provided the following update:  *The Force Benefits Realisation Officer captures any proposed change programmes at the initial development of a business case and works with the sponsor to identify the benefits for reporting to the Service Improvement Board (SIB). There is also a Productivity and Efficiency Board within the Force to review and challenge the business benefits within business cases, prior to submission to SIB. The AWPEG have been sighted on the template used by the Force to assess and capture the benefits, in order that they can utilise the information for collaboration projects.*  Update December 2022:  Ongoing.  Update February 2023:  Was passed to previous DCC who is the senior responsible officer on force side but with change in DCC will be added to the joint chief officer/OPCC executive team fortnightly meeting to discuss further.  Update August 2023: this report has been shared with the DCC and raised at a fortnightly meeting. Further update required on next steps.  **Update February 2024: the force has started to review their collaboration agreements to ensure they are still fit for purpose. The All Wales Collaboration ACC has attended the PCC’s Strategy & Performance Board to brief the PCC on the work ongoing in relation to the governance of collaborative areas of work. Work on the benefits realisation for each force area is ongoing.** | **Ongoing. Potential area for JAC challenge.** |
| 1. | **New action 2023:** Do the terms of reference clearly set out the purpose of the committee? | All respondents agreed the current ToR clearly set out the purpose of the Committee noting review of the ToR. JAC need to understand new CIPFA guidance and updated ToR as necessary | New ToR to be presented to JAC in September | August Update: Slightly delayed due to unforeseen circumstances. Will now be presented at the December meeting.  December Update: Report on changes written and will be circulated after the meeting to all members for comment prior to formal presentation in March.  **February Update 2024: Report on JAC ToR changes on the March agenda. Has also previously been circulated to members. Suggest that this could now be marked as complete.**  **Final ToR – to be presented at June meeting.** | **Suggested for closure.** |
| N/A | **New action 2023:** JAC requested that the below action was added to this action plan in their meeting dated 15th June 2023  External Audit – Monitor Account delays |  |  | JAC significantly concerned over the ‘planned’ delays outside of regulation. | **Ongoing** |
| 4.a. | **Action rolled over from previous year:** Do the committee’s terms of reference explicitly address all the core areas identified in CIPFA’s Position Statement. | **Assurance Framework**  A pictorial representation of the sources of assurance that make up the framework could be beneficial, indicating opportunities for triangulation.  JAC to ensure the BAF indicated links to risks.  JAC to understand BAF once complete; use as one of the reference points for good governance. | Work is ongoing between the force and OPCC to develop a pictorial representation and will be shared with JAC members for feedback. | Update June 2021:  Now the BAF has identified gaps and is being monitored and progressed via the Strategic Planning Group, the HoAC and the Chief Inspector will work on developing a pictorial representation for JAC.  Update December 2021:  The HoAC and Chief Inspector have agreed on a potential suitable pictorial representation of the BAF for the JAC. This will be developed and the JAC sighted prior to finalisation but has currently been put on hold due to other demands. The BAF action plan can be shared with JAC if they wish to see the progress being made.  Update March 2022:  Update as per December 2021.  Update June 2022:  The HoAC has started to look at how this can be best presented to the JAC. A draft version for feedback will be circulated prior to an updated and final version being presented to the JAC for their annual review at the September 2022 meeting.  Update September:  After feedback from the JAC on the pictorial representation, the HoAC has met with the CFO and a draft template has been devised. Further work needs to be completed before the template is shared with JAC for feedback.  Update December:  Absence of the HoAC has delayed the meetings planned on the BAF. They have now been re-planned for Dec & Jan.  Update February 2023:  Meeting took place on 20/02/23 between CFO, HoAC and JAC BAF Leads to run through new BAF template. The new BAF document was very well received and initial feedback has been provided to assist us in continuing to build the document further.  May 2023 – BAF currently being populated. Looking to present BAF to JAC September 2023.  June 2023 - Update  Chair, Risk Lead and CFO to meet to discuss BAF in preparation for presentation at the September meeting.  **December 2023 Update**  BAF was presented to JAC in September 2023. Will next be presented in September 2024. | **Ongoing. Draft BAF on agenda for September 2023 meeting.**  **Update: To be presented in September 2024.** |
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| N/A | JAC to seek assurances from officers that previously agreed risk management improvement actions are delivered appropriately | 1. Table a high level review of key risks (as included in the risk register) at each meeting with a focus on new and changed risks (as per current practice), accompanied by a discussion on which, if any risks, have crystallised into issues (and reasons for this) and a deep dive into a topical risk (at discretion of the relevant senior officer). 2. An affirmation from a senior officer at each meeting that the risk position is being managed effectively; that mitigating actions are progressing satisfactorily and that each risk is ‘owned’ by an appropriate officer with accountability understood and acknowledged. 3. Officers to develop and implement proposals to strengthen horizon scanning with a view to more clearly linking/ risk assessing the objectives in the Police and Crime Plan. This to encourage a better distinction  between strategic risks and current issues. 4. JAC members to discuss key (generic policing) risks with auditors at pre-meet and  conclude whether these risks are reflected within the GP environment. | Noted |  | **Ongoing** |
| 2. | **New action 2023:** Is the role and purpose of the audit committee understood and accepted across the Force/OPCC? | The vast majority agreed the role of the Committee was understood by the Force. However, it was noted that Senior Officers were often deputised or not in attendance at the meeting. Suggestion to monitor PCC / CC attendance is maintained, not always deputised. | Monitoring arrangements are in the minutes in terms of attendance. | **Chair monitoring through meetings.** | **Ongoing** |
| 7. | **New action 2023:** Is the audit committee aware of inspections and findings of the HMICFRS and other external regulators as appropriate? | The overall majority were aware of inspections and findings of HMICFRS and other external regulators. However, as they were more operational and potentially out of JAC remit they were not discussed at JAC meetings. Some JAC members asked if this was an area they should look at to help assess VFM rather than commenting on them. | Three E’s demonstrate value for money and where effectiveness if found to be lacking this suggests poor VFM for which improvements are required. The Force develops areas for improvement (AFIs) to address these issues and responds to the HMICFRS where the AFIs are reviewed. | **A review of the Force Management Statement (FMS) has been provided and an update given on the PEEL inspection outcomes. This has helped our understanding of how the force are addressing value for money between the FMS and PEEL.** | **Ongoing assessment through deep dives based on a variety of reports and audit reports.** |
| 9. | **New action 2023:** Is the committee aware of the work of the Police and Crime Panel (PCP) and the assurance requested by the panel from the PCC? | Half of the respondents agreed the committee were aware of the work of the PCP and requested assurance by the panel from the PCC. Some respondents were not certain as to how it was discharged, if the PCP had an annual evaluation and viewing the PCP online was a time-consuming exercise. It was suggested that there could be some cross-attendance of meetings. | For discussion at meeting on how JAC best foresee improvements in this area | **Information on the Gwent Police and Crime Panel is available publicly. This could be an area of vulnerability for new members in terms of gaining knowledge and needs to be covered in induction.** | **Ongoing.** |
| 13. | **New action 2023:** Are arrangements in place to support the committee with briefings and training? | All respondents agreed arrangements and support were in place and it was suggested that the additional training / induction sessions provided for new members should be completed / include existing members should they want a refresh. | Noted | **Last item on agenda to include a reminder for any risks in relation to any training identified during the meeting for JAC members to be discussed.** | **Ongoing.** |
| 19. | **New action 2023:** Has the committee obtained feedback on its performance from those interacting with the committee or relying on its work? | Over half of respondents agreed the committee obtained feedback on its performance but some members were unsure and it was suggested this could benefit from being more explicit. | The Self – Assessment is the primary feedback mechanism and includes those that interact with JAC. For discussion at meeting. | **Significant impact achieved in terms of evidential property and child custody as the most recent examples.** | **Ongoing – but significant progress** |
| 24. | **New action 2023:** Has the committee considered whether all standing items on the agenda are truly adding value to the committee’s work? | The majority of respondents agreed the standing agenda items were adding value to their work. However, it was suggested that agenda items could probably be agreed more explicitly in a collaborative session. There was also a need to understand ToR as to some items that are presented to JAC, as some members feel they cannot add much value to them, but they need to go through JAC for good governance. The BAF clarifies this. | Agenda items discussed with the Chair prior to each meeting. Revision of ToRs for September will reaffirm the forward work plan and the clarification of lead members. | **Standards of governance are important to maintain and the committee needs to be fully aware of policies and the JACs role in providing feedback. It is important that all JAC members read papers in advance of the meeting so that the appropriate time, as allocated on the agenda, is adhered to.** | **Ongoing** |
| N/A | **New action 2023:** JAC requested that the below action was added to this action plan in their meeting dated 15th June 2023  Internal Audit Area, potential areas of consultancy |  |  | **Further discussion required in September with TIAA** | **Ongoing** |
| N/A | **New action 2023:** JAC requested that the below action was added to this action plan in their meeting dated 15th June 2023  Value of infrastructure - building lifespan |  |  | Further information on the Estate Strategy requested in the July meeting.  **December Update: The JAC were aware of the reasons for the delay in the finalisation of the Estate Strategy and were informed that this would now be finalised after the PCC elections in May.** | **Ongoing** |
| **Actions from 2024 Self-Assessment** | | | | | |
|  | **Questionnaire Number and Question** | **Comments** | **Suggested Resolution** | **Agreed Resolution**  **(To be completed at the meeting)** | **RAG/ Status** |
| 2. | Is the role and purpose of the audit committee understood and accepted across the Force/OPCC? | The majority agreed the role was understood although it was suggested:   * The new PCC and Chief Officers would need to undergo an induction/ familiarisation programme * There is an opportunity with the election of the new PCC to revisit the role and purpose of the JAC by the leadership of the Force and OPCC. There is a continued opportunity to promote the role more widely across both organisations. * Accountable Officers for GP and PCC should attend as JAC is an important forum, particularly the CC and DCC. |  | * This takes place as a matter of course for the new PCC. (check with Jo if for CC   and DCC etc).   * JAC ToR being presented at the June meeting, the new PCC and Chief Officers should be in attendance.   **Could put a link to OPCC site JAC page here. There is no information on JAC on the Force intranet. As it is a joint committee could this be done to promote the role of JAC?** |  |
| 4.(a) | Do the committee’s terms of reference explicitly address all the core areas identified in CIPFA’s Position Statement? | * **Risk management** – All respondents agreed risk management was addressed. However, monitoring progress of risk management assurance from reasonable to substantive was suggested. * **Value for money** – The overall majority agreed Value for money was addressed and it was suggested there could be more emphasis on VfM and efficiency and opportunities for some of this to be drawn out of future internal audit reviews in line with Public Sector Internal Audit Standards. |  |  |  |
| 4.(b) | Is the balance of work in relation to business risk, internal control, fraud, financial reporting, regulatory matters, other matters right? | All respondents agreed the balance was right although it was suggested the impact of staffing issues and estates management could be more prominent. |  |  |  |
| 5.(d) | Is the committee satisfied the work of internal audit is properly focused on the organisation’s major risk, including transformational change and collaboration? | * Just under half agreed and the remainder partly agreed there satisfied. IA capability was a concern given the heightened risk environment and it was questioned whether sufficiently meaningful insight and foresight could be provided to senior management. * As some audits orientated around controls which consistently demonstrated good controls in place, particularly finance, there was a suggestion to review the process of establishing the audit plan against the risk register once the internal audit procurement was complete. It was also suggested consideration could be given to reviewing areas to commission assurance work on by a specialist advisor or audit. * As there is a high volume of short pieces of internal audit work it was suggested there may be more value in longer strategic pieces of audit work |  |  |  |
| 6. | Has the committee sought assurance in relation to governance arrangements for major change programmes and key collaboration/outsourcing arrangements (whether with police bodies, other public sector bodies or the private sector?) Has the committee considered its role in respect of these arrangements? | * There was a split response with just under half of respondents agreeing assurance had been sought in relation to collaboration and the remainder thought this had partly been addressed. It was suggested that JAC members should review their view on collaboration projects (not just collaboration audits) post JAC training day. |  |  |  |
| 8. | Is there appropriate focus on both the Police and the Office of the Police and Crime Commissioner? | * The overall majority agreed there was focus but it was suggested that some further analysis on this in the future could help frame the JAC Annual Reports and future work programmes |  |  |  |
| 9. | Is the committee aware of the work of the Police and Crime Panel (PCP) and the assurance requested by the panel from the PCC? | * Just under half of respondents agreed they were aware of the work of the PCP, others partly and the reminder didn’t know of the work. It was stated that viewing PCP online was time consuming. | Minutes of the PCP meeting could be shared with JAC members? Or the remit of their role. JAC members could potentially attend a PCP meeting or Darren could provide a briefing on their role? |  |  |
| 14(b) | Are senior/relevant members of the organisations invited to attend audit committee meetings, participate in discussions, and provide information to the audit committee as and when the audit committee deems it necessary? | * All respondents agreed, although a question was raised regarding the continuation of the ICT meetings with the Lead JAC member and the ACORs replacement. | The ACC-Organisation and CFO (CC) have agreed to contact the JAC ICT to ensure the meetings continue. |  |  |
| 15. | Does the audit committee have private meetings with the external and internal auditors? | * The overall majority agreed there were private meetings with external and internal auditors. However, it was suggested this could possibly be extended to "celebrate" substantial assurance and "support" in other areas and to ascertain barriers. |  |  |  |
| 17. | Do the arranged ‘Deep Dives’ allow members to gain a wider/deeper understanding of the force and OPCC and also of relevance/use in their role? | * The majority of respondents agreed deep dives provided a better understanding of the force. However, it was suggested that they could also serve a dual function by providing assurance as to the Lines of Defence employed with respect to associated individual risks. |  |  |  |
| 19. | Has the committee obtained feedback on its performance from those interacting with the committee or relying on its work? | * Two thirds of respondents agreed the committee obtained feedback on its performance. Although there were uncertainties if there was any formal feedback which they would be supportive of. |  |  |  |
| 26. | Please enter any comments you have below: | * A private discussion between the JAC members might be useful to gauge as the personnel on JAC, PCC and Police side all undergo change? * Deep Dives- These sessions are useful but I wonder whether they are not being considered in a strategic enough manner.   We have previously selected and agreed Ethics and Culture in which I am in full agreement.  If asked to choose from the list, I would certainly be particularly interested in the following:  - Joint Scientific Investigation Unit  - Serious Organized Crime  - Year End Commissioning Performance  - All matters concerning ICT and digital services such as DSD briefing, Police ICT Company, Cyber/POLIT etc.  I wonder going forward if we might consider devising a more strategic holistic programme which we could run over a period of say two years.  This would require a whole-systems analysis but some immediate suggestions might be:  Collaborations in which Gwent Police participates: covering Tarian, WECTU, Joint Firearms Unit, Procurement, Joint Legal Services, Joint Scientific Investigation Unit, Procurement, Air Support, Forensic Services, SRS;  Services aimed at Vulnerable Groups such as: Policing in Wales VAWDASV Taskforce; services for other vulnerable groups etc. with an emphasis on Prevention |  |  |  |

**RISK DEEP DIVES**

* Children in Custody – July 2023
* Crime Data Integrity – December – deferred from September 2023
* Welsh Language Standards – March 2024
* Information Disclosure Audit Update – June 2024

**GENERAL DEEP DIVES**

* Value for Money Profiles - March 2022
* Year-end Commissioning Performance and Tour of the New Headquarters – June 2022
* People Services Strategy – July 2022
* Environmental and Social Governance – Sept 2022
* All Aspects of Forensics – December – 2022
* PEEL Inspection Update – March 2023
* Productivity and Efficiency Group/Process of Force Benefits Realisation – June 2023
* Value for Money Profiles including Outcomes of Benefits Realisation/Roads Policing – September 2023
* Vetting Practices and Workforce Planning Strategy – December 2023
* Brief update - Right Care, Right Person including Force Control Room Mental Health Practitioners and Social Media Desk – March 2024
* Ethics and Culture – (linked to PSD) June 2024