

Humberside Joint Independent Audit Committee

Self-Assessment – Areas for Improvement December 2019 UPDATE

Question Ref.	Self-Assessment Question	Response		Committee Comments	Proposals	Update	Action By	Date
		Partly	No					
Audit committee purpose and governance								
6.	Are the arrangements to hold the committee to account for its performance operating satisfactorily?		X	Feedback from this process will confirm performance levels	<ul style="list-style-type: none"> Establish a feedback and review mechanism to ensure that the Chairman and members of the JIAC are achieving the aims and objectives of the PCC and CC Produce a JIAC annual report for consideration at the CGG and for wider publication Consider developing links between the JIAC and the PCP 	<ul style="list-style-type: none"> HMIC Governance Board should be consulted as part of the assessment. Skeleton draft annual report submitted to the Chairman ahead of discussion at the JIAC on 29.07.19 Consider issues raised in the recently issued LGA document on PCPs PCP was reconstituted following elections and met on 04.07.19. JIAC reports could be used to satisfy PCP update requirements re budgets/savings etc. PCP will agree timings for its future meetings on 23 September 2019. 	RC/DCC	
Functions of the committee								
7.	Do the committee's terms of reference explicitly address all the core areas identified in CIPFA's Position Statement? <ul style="list-style-type: none"> supporting the ethical framework 		X	Separate Ethics Committee	<ul style="list-style-type: none"> Monitor the activities of the Ethics Panel for issues impacting on the work of the JIAC and vice versa e.g. anti- fraud and corruption, business integrity etc. Consider joint training and development 	<ul style="list-style-type: none"> Arrange for minutes of the Ethics Panel on Members website Arrange briefing from Matt Baldwin on PSD activity Arrange briefing from IOPC Arrange for skills analysis and interests information 	JB/MM	

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Functions of the committee (Cont'd)								
9.	Has the audit committee considered the wider areas identified in CIPFA's Position Statement and whether it would be appropriate for the committee to undertake them?		X	The Committee business is at present is concerned solely with Audit, although scope for additional areas has not been discounted	<ul style="list-style-type: none"> Review the CIPFA Position statement Establish arrangements for formal and informal links to be established between members and Chief Officers. Board, working groups etc. Consider lead members roles 	<ul style="list-style-type: none"> Report against position statement Use HMIC Governance Board to arrange links, briefings etc. Consider bibliographies for members, skills analysis, interests register Explore appetite for lead member roles 	JB/NR RC/DCC	
Membership and support								
12.	Has an effective audit committee structure and composition of the committee been selected? This should include: <ul style="list-style-type: none"> separation from the executive an appropriate mix of knowledge and skills among the membership a size of committee that is not unwieldy where independent members are used, that they have been appointed using an appropriate process. 	X		The present Audit Committee were co-opted from the Fire Authority on bloc having undergone the F.A. appointment process	<ul style="list-style-type: none"> Confirm the arrangements agreed with HFA regarding the tenure of existing members and succession planning Establish the process for recruiting new members Review guidance regarding the composition of the JIAC Consider links with assessment of existing expertise of members, skills and experience to identify gaps for training and development and/or essential/desirable qualities of new members 	<ul style="list-style-type: none"> Arrangements agreed Re-use the procedure adopted previously when going to advert Consider skills analysis and interests register Use skills analysis to identify gaps and create training and development plan 	RC/JB RC/JB JB/NS JB/NS	

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Membership and Support (Cont'd)								
15.	Are arrangements in place to support the committee with briefings and training?	X		Treasury Management Training provided and CIPFA Seminar attendance - Ongoing	<ul style="list-style-type: none"> Consult members on existing skills and identify skills any gaps Identify training requirements via appraisal process Continuous assessment of training and development opportunities through CIFA network resources internal and external audit, consultants and other contacts. Devise and implement al training and development plan Consider links with other JIACs Increase use of members' website 	<ul style="list-style-type: none"> Consider skills analysis and interests register Introduce simple review arrangements with 1:1's between the Chairman and individual members. Make more use of CIPFA Audit Committee support and training opportunities via the website. Create a training and development plan Use SYP, PAG, PSAA Review content and use of member's website 	JB/NR DC/JB JB/NS/NR JB RC/NS	
16.	Has the membership of the committee been assessed against the core knowledge and skills framework and found to be satisfactory?	X		Self-assessment will assist in development requirements	<ul style="list-style-type: none"> Undertake an assessment of the Committees qualities against the skills framework 	<ul style="list-style-type: none"> Use skills framework in analysis and preparation of training plan. 	DC/JB	
Effectiveness of the Committee								
19.	Has the committee obtained feedback on its performance from those interacting with the committee or relying on its work?		X	The introduction of an annual appraisal system would assist	<ul style="list-style-type: none"> Consider introducing a PDR style appraisal system led by the PCC/CC and the Chair of the JIAC (at one of their 1:1 meetings?) Establish arrangements for the Chair to then appraise the performance of individual members Consult other officers and external partners on their view of the performance of the JIAC 	<ul style="list-style-type: none"> Arrange 1:1 sessions between the Chair, Chief Executive, PCC and Chief Constable Introduce simple review arrangements with 1:1's between the Chairman and individual members. HMIC Governance Board should be consulted as part of the assessment 	RC/DCC/DC DC/RC/DCC	

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Effectiveness of the Committee (Cont'd)								
21.	Does the committee engage with a wide range of leaders and managers, including discussion of audit findings, risks and action plans with the responsible officers?		X	A wider engagement with Senior officers would be beneficial. Latterly this requirement has improved.	<ul style="list-style-type: none"> Consult with members as to how they believe they could add value and build actions into business cycle Establish links with key officers in areas where members have specific expertise Consider lead member arrangements 	<ul style="list-style-type: none"> Use interest register and HMIC Governance Group and Committee meetings to identify possible added value opportunities Use skills and interests register. Explore appetite for lead member roles 	JB RC/JB DCC/NS DC	
23.	Has the committee evaluated whether and how it is adding value to the organisation?	X		Too early to evaluate. An annual appraisal will assist	<ul style="list-style-type: none"> Continue with the self-assessment process Consider introduction of a mid-year review report Monitor improvements within successive annual reports 	<ul style="list-style-type: none"> Arrange formal re-assessment every 2 years Mid-year reviews not considered necessary due to the low number of meetings. Seek views the on style and content of reports 	DC/JB/RC DC DC/JB	
24.	Does the committee have an action plan to improve any areas of weakness?	X		Training requirements and assessment of performance will improve the effectiveness of the Committee	<ul style="list-style-type: none"> Use the self –assessment and achievement of the actions set out in this plan Build annual and mid-year reviews into business cycle 	<ul style="list-style-type: none"> Incorporate reporting on improvement plans as part of the business cycle. Incorporate reports into the business cycle 	DC JB	

DC – Doug Chapman, Committee Chair

RC – Rachel Cook, Chief Executive

NK- Neil Rickwood, Head of Internal Audit

NS - Assistant Chief Officer (Resources)

JB - John Bates, Deputy Chief Executive and Treasurer

DCC - Chris Rowley, Deputy Chief Constable