

**JOINT INDEPENDENT AUDIT COMMITTEE
27 NOVEMBER 2014**

SUBJECT		POLICE AND CRIME COMMISSIONER AND CHIEF CONSTABLE'S ASSURANCE MAP
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SUMMARY AND PURPOSE OF REPORT		
To consider the development of the Police and Crime Commissioner and Chief Constable's joint Assurance Map.		
RECOMMENDATION	<p><i>That the Committee:</i></p> <p><i>1. Review the developments of the PCC/Force Assurance Map</i></p>	

A. SUPPORTING INFORMATION

1. The Committee is aware of the Commissioner and the Force's plans to develop the Assurance Map. Since the last meeting, there has been significant progress made to ensure that the map can be used as an accurate, current and 'live' management tool for use by both the Force and PCC/OPCC.
2. The purpose and aim of the Assurance map is to
 - Provide timely and reliable information on the effectiveness of the management of major strategic risks and significant control issues
 - Facilitate escalation of risk and control issues requiring visibility and attention by senior management, by providing a cohesive and comprehensive view of assurance across the risk environment
 - Provide an opportunity to identify gaps in assurance needs that are vital to the organisation, and to address them
 - Provide critical supporting evidence for the production of the Annual Governance Statement.
3. Members will note that although the map is not fully operational, significant work has been progressed to develop the map. The highlights are as follows:
 - Evidence has been gathered from business managers and business owners in the Force and OPCC to populate the map. As part of the

exercise, the purpose and point of the map has been explained to key staff/officers to enable 'buy in' to the process.

- Use of the previous Assurance Framework (hitherto used as a tool to enable the Commissioner to discuss live issues with the Chief Constable) will cease.
 - Chief Officers (Force and OPCC) are committed to using the map and have engaged in the development process.
 - The Assurance map will be considered on a quarterly basis at the new Police and Crime Strategic Board (terms of reference are in the process of being finalised, however the intention is that the Board will commence in December 2014).
 - The map will be considered by the Chief Officer Team on a quarterly basis prior to being reviewed and discussed quarterly by the PCSB.
 - The map captures risks from the PCC and CC's risk registers that have a current score of Amber 9 and above. It is the intention to ensure that the assurance map is available in the public domain for transparency reasons. In cases where the risk includes 'restricted' information from the Force risk register, information will not be provided in the public domain. The map also captures key process risk areas that do not feature on the PCC or CC risk register, but which are important to assess in the assurance framework.
 - The map will provide evidence in support of the Annual Governance Statement.
4. Due to timings of the Chief Officer Group meeting and new P&CSB, the overall assurance level assessment (penultimate column) is yet to be completed. It is anticipated that this will be in place for the Committee's next meeting; work is ongoing at present to complete this.
5. Members will note that a similar approach to develop an assurance map has been adopted by regional forces in the East Midlands. Baker Tilly has been appointed to lead this piece of work, initially developing a pilot to set up a framework across the five forces.
6. The Committee is invited to consider progress made; the latest assurance map is provided at **Appendix 1**.

B. FINANCIAL CONSIDERATIONS

There are resource implications related to some of the mitigating controls. These are managed by the Chief Executive, Chief Finance Officer and Force Chief Officer Group.

C. LEGAL AND HUMAN RIGHTS CONSIDERATIONS

Any relevant legal and human rights related risks are included in the PCC/CC's risk register.

D. PERSONNEL, EQUAL OPPORTUNITIES AND DIVERSITY ISSUES (including any impact or issues relating to Children and Young People.)

Any relevant personnel, equal opportunities and diversity related risks are included in the PCC/CC's risk register.

E. REVIEW ARRANGEMENTS

The Risk Register and assurance map will be reviewed by the Joint Committee on a quarterly basis. The Risk Management Strategy will be reviewed on an annual basis and provide linkages to the Annual Governance Statement.

F. RISK MANAGEMENT

Risk governance is an integral part of the Joint Independent Audit Committee's remit. It is reflected on the Forward Plan accordingly.

G. PUBLIC ACCESS TO INFORMATION

Information in this report along with any supporting material is subject to the Freedom of Information Act 2000 and other legislation.

Assurance Map Abbreviations

ACO - Assistant Chief Officer	NCRS - National Crime Recording Standards
AF&C - Anti fraud and corruption	OCG - Organised Crime Group
BWV - Body Worn Video	P&S - Planning and Strategy meeting
ACC - Assistant Chief Constable	PPU - Public Protection Unit
CC - Chief Constable	PSD - Professional Standards Dept
CE - Chief Executive	PTP - Policing Transformation Programme
CFO - Chief Finance Officer	PVP - Protecting Vulnerable People
CMB - Crime Management Bureau	RM - Risk Management
CSE - Child Sexual Exploitation	SCR - Serious Case Review
DA - Domestic Abuse	SLT - Senior Leadership Team
DCC - Deputy Chief Constable	SMT - Senior Management Team
DHR - Domestic Homicide Review	SPOC - Single Point of contact
EM - East Midlands	STRA - Strategic Threat and Risk Assessment
FCFO - Force Chief Finance Officer	TM - Treasury Management
IMM - Internal Management Meeting	ToR - Terms of reference
LASB - Lincolnshire Adult Safeguarding Board	VfM - Value for Money
LCSB - Lincolnshire Childrens Safeguarding Board	YOS - Youth Offending Service
LRF - Lincolnshire Resilience Forum	

NB This list is not complete and will be updated.