

**JOINT INDEPENDENT AUDIT COMMITTEE**  
**31 October 2018**

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<b>SUBJECT</b>		<b>POLICE AND CRIME COMMISSIONER AND CHIEF CONSTABLE'S ASSURANCE MAP</b>
REPORT BY	<b>CHIEF EXECUTIVE &amp; CHIEF FINANCE OFFICER (CFO)</b> <b>CHIEF CONSTABLE &amp; FORCE CHIEF FINANCE OFFICER (FCFO)</b>	
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<b>SUMMARY AND PURPOSE OF REPORT</b>		
To review the Police and Crime Commissioner and Chief Constable's Joint Assurance Map.		
<b>RECOMMENDATION</b>	<i><b>That the Committee review the Joint Assurance Map.</b></i>	

**A. SUPPORTING INFORMATION**

- 1) The most recent quarterly Joint Assessment Review (JAR) meeting between the Deputy Chief Constable and the Chief Executive of the OPCC took place on the **3<sup>rd</sup> of October 2018**. At this meeting agreement could not be reached on some of the updated RAG ratings and the resulting lengthy discussions prevented the remaining ratings / sections from being discussed. Therefore the overall RAG ratings appearing in the map attached to this report (Version 1.9.9 - Appendix A) have had dates applied to indicate when they were last jointly agreed.
- 2) The RAG ratings that were agreed at the 3<sup>rd</sup> October meeting have been dated accordingly and they appear on pages 3, 4, and 5 – within the Finance section.
- 3) Two elements within the Operations section of the map, Local Policing and Crime, (pages 6 and 7) were subject to lengthy discussion with no agreement being reached on the RAG ratings that appear within each column (lines of defence) or the overall RAG assurance rating. Therefore these overall assurance ratings remain dated as at July 2018.
- 4) The updated RAG ratings (appearing in the lines of defence) on pages 8 through to 15 were not discussed, therefore their overall assurance ratings remain unchanged, dated as at July 2018.
- 5) Future JAR meetings will be extended to two hours duration to hopefully allow sufficient time to discuss and jointly agree RAG ratings.
- 6) The assurance map content is routinely discussed at the monthly OPCC management meetings as well as both the Force Risk Management Board and the finance team meetings which are held quarterly. Senior representatives from

the OPCC, Force & G4S attend these meetings. Relevant updates are then made to the map by the RPO / FRPRO.

- 7) The FRPRO and RPO meet monthly to discuss the continuous updating of the maps' content and its overall development. Following these meetings the HMICFRS inspection report grades / findings are added to the map along with the most recent internal audit results. The map attached to this report contains this information correct as at 3 October 2018.
- 8) Changes to the Assurance Map made since the July 2018 report to JIAC are detailed in the change log.
- 9) In summary, key updates to RAG ratings include:
  - a) The downgrading of the 1<sup>st</sup> and 2<sup>nd</sup> line of defence columns in both Local Policing and Crime (pages 6 & 7) from AMBER to RED - as management controls and corporate reporting columns cite significant sources of assurance that are not currently available.
  - b) A red RAG rating has also been applied to the 2<sup>nd</sup> line of defence for Estates and Fleet as delivery plans remain "in progress".
  - c) The 1<sup>st</sup> line of defence in HR has been downgraded to AMBER (from green) to reflect the fundamental process control issues highlighted in the recent internal audit report covering "Recruit to reward" which achieved a "Limited Assurance" result.
  - d) HMICFRS grading of "Inadequate" for the Forces Crime Data Integrity (crime recording) inspection has been reflected in appropriate sections of the Map by downgrading the 3<sup>rd</sup> line of defence to AMBER (from Green).
- 10) These latest changes in RAG ratings reflect the availability of assurance from some sources cited in the map (within the 1<sup>st</sup> and 2<sup>nd</sup> lines of defence). For example, regular local (Area) management meetings are cited at which progress against operational delivery plans is evaluated. Force delivery plans were also previously reviewed at Performance Governance Meetings. Development of the Forces' operational plans is scheduled for completion by the end of December 2018 (extended from June). This situation limits the "corporate reporting" of progress against the force's strategic objectives including those elements supporting the Commissioners Police and Crime Plan.
- 11) The force halted the production of its quarterly assurance reports to the OPCC (2<sup>nd</sup> line of defence) in November 2017– pending a review of their format and content, with the aim of better aligning them with the Force's strategic plan. These reports provided assurance on key areas of business across the Crime & Operations portfolios, examples included; crime recording, protecting vulnerable people, cyber-crime, road safety, terrorism & domestic extremism. The force has confirmed that these reports will no longer be provided and a meeting has been scheduled for 10th October to discuss with the OPCC how the force might provide this assurance information from existing sources ie papers / reports submitted to, or output from, a variety of management boards held by the force. Any gaps in information will be reviewed to investigate potential alternative sources of assurance.
- 12) Key sources of assurance currently cited in the map have not been available for some time, and together these management control and corporate reporting issues represent a narrowing of the sources of assurance available to senior management and the recent changes to the RAG ratings reflect this.

13) A revised management and reporting framework is in the early stages of development by the Force. Additional new management boards are to be created which will oversee progress against the delivery of strategic objectives. This may provide new / replacement sources of assurance, although until these boards are in place and reporting mechanisms established the current sources of assurance available remain narrower than those previously identified / available.

14) The risk scores and summaries contained in the attached map accurately reflect those of the PCC's and Forces' current risk registers as at 16 October 2018..

## **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 Independent Audit Committee on a quarterly basis.

## **F. RISK MANAGEMENT**

Risk management and assurance 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.