Agenda Item No

13

JOINT INDEPENDENT AUDIT COMMITTEE
27 January 2020

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

A. SUPPORTING INFORMATION

1) The FRPRO and RPO have been tasked with designing a new assurance map incorporating key elements from both the existing force and OPCC maps into a single framework.

2) The FRPRO and RPO have submitted the proposed template for the new assurance map to the DCC, FCFO, CEO of the OPCC and CFO for their comment / approval. The key aspects of the new joint map and supporting processes are:

   a) A 'dashboard' style single summary page to provide an 'at a glance' snapshot of current assurance levels.
   b) A revised grading system based on outline descriptions of each assurance level across the 'three lines of defence'.
   c) A more streamlined approach to displaying sources of assurance – with a focus on exception reporting.
   d) Regular (scheduled) updating / confirming of sources of assurance and key issues affecting organisational activity – Via direct consultation with the leads for each organisational function.
   e) Comparison of current assurance levels with those desired by the senior management.

3) Once approved the template will be populated by the FRPRO and RPO gathering and confirming information directly from the leads for the activities / functions contained in the map.

4) It is also proposed that the map be better linked to the force corporate planning process to ensure it accurately reflects the current risk and control environment.

5) It is anticipated that the JIAC will be able to view an initial version of the new joint map at the next scheduled meeting in April 2020.

6) The RAG ratings appearing in the assurance map attached at **Appendix A version 1.9.16 Jan 2020** remain unchanged from those recorded at the October 2018 joint review meeting. As a consequence the RAG ratings have been temporarily suspended.

7) The risk ratings contained within the attached map are correct as at the September 2019 force Risk Management Board and the January 2020 OPCC management meeting.

8) Changes to the content of the joint assurance map made since the November 2019 report to JIAC are detailed in the change log.

9) The next Joint Assessment Review (JAR) meeting is scheduled for 9th March 2020.

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.