JOINT INDEPENDENT AUDIT COMMITTEE
3 SEPTEMBER 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	*That the Committee:* *Review the developments of the PCC/Force Assurance Map.*

A. SUPPORTING INFORMATION

1.1 Internal Audit carried out a review of the Police and Crime Commissioner (PCC) and Chief Constable's risk management processes in December 2013. One of the recommendations related to the development of an Assurance Map.

1.2 The audit report stated that there was no formal assurance map/process in place to provide the OPCC/Force with appropriate evidence to validate that controls to manage/mitigate a risk were operating effectively. It was agreed that an Assurance Map would be developed in line with the HM Treasury publication 'Assurance Frameworks' (2012) and other good practice.

1.3 The HM Treasury publication states: 'It is essential that there is an effective and efficient framework in place to give sufficient, continuous and reliable assurance on organisational stewardship and the management of the major risks to organisational success and delivery of improved, cost effective, public services'. It also stresses the importance of the framework in relation to the Annual Governance statement (in terms of providing evidence to underpin the assessment to the risk and control environment).

1.4 The Chairman of the Joint Independent Audit Committee (JIAC), the Chief Finance Officer (CFO), the Force Chief Finance Officer, the Deputy Chief Constable and the Research and Performance Officer met on 15 July 2014 to discuss the Commissioner and Force's approach to assurance mapping.

1.5 The following principles were agreed:

- One assurance map to be developed for both organisations (Commissioner and Chief Constable).

- The assurance map to be populated with input from appropriate staff from each organisation (e.g. Head of Strategic Development, Commercial Partnership Team Accountant, Research and Performance Officer, others as required) with oversight from CFO and Force CFO.
- It will not be over complicated. The initial draft will be simplified but retain the key elements (objectives, risk assessment, 1st/2nd/3rd lines of defence and JIAC assessment).
- The assurance map supports both organisations in the development of their respective annual governance statements. It will replace the Force process for gaining assurances regarding the annual governance statement (i.e. letters to heads of departments).
- It will be presented in the form of a heat map with evidence/dates in cells.
- The JIAC will form a view on their levels of assurance (included as part of the map) following consideration of the assurance map.
- It will be presented to the JIAC on a quarterly basis starting in November 2014.

1.6 The purpose of the map will be clearly stated on the document. Version control will be applied.

1.7 The draft assurance map is provided at **Appendix 1** for Members' information. The general structure of the map is broadly complete however the cells are yet to be fully populated with evidence, dates and RAG assessments. Further risk areas will be identified (in the left hand side column) as required.

1.8 The document will continue to be developed over the coming months.

1.9 A final draft version will be presented at the next meeting of the JIAC in November 2014. The document will then be used by both organisations as a 'living' document, being updated on a regular basis.

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.