

JOINT INDEPENDENT AUDIT COMMITTEE
1 FEBRUARY 2017

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 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 Joint Assurance Map.	

A. SUPPORTING INFORMATION

1. The current 'restricted' section of the assurance map is provided in the confidential papers section of this meeting.
2. A quarterly meeting is held between the Chief Executive of the OPCC and the Deputy Chief Constable, also in attendance are the Research and Performance Officer (RPO) and the Risk Policy and Review Officer (RPRO). This meeting allows for a discussion of any specific issues arising and general content of the map. In addition, the RPO and RPRO have routine monthly meetings to discuss updating the content of entries on the Map.
3. A quarterly assurance map review meeting between the Deputy Chief Constable (DCC) and the Chief Executive (CE) was held on 3 January 2017. At this meeting it was agreed that the current structure of the Map and the supporting processes for populating and updating it should be revised. The aim of the revisions will be to move towards a more "thematic" approach to the structure of the Map, (retaining the "three lines of Defence") and moving away from the current approach which is too closely linked to individual risks, taken directly from the risk registers. This decision was taken following scrutiny of current practices based on comments from the JIAC In October 2016. It has been agreed that a test version of the revised Map should be produced by the RPO in consultation with the RPRO. The purpose being to illustrate how a revised version might operate in practice. Once a trial version and its associated processes has been tested and approved by the OPCC / Force a finalised version will be developed and introduced to replace the current Map. The intent is to have an approved version for use at the start of the new Financial Year 2017/18.
4. Since the October 2016 JIAC meeting there have been no new OPCC owned entries onto the Assurance Map. However, key issues to note include:

- **Assurance Map Ref 006 – *Lack of resilience in the Office of the Police and Crime Commissioner*.** The overall assurance level has not yet changed from that reported in October - Green / Amber. The underlying risk mitigation work undertaken is in the early stages of implementation and therefore the anticipated benefits and consequential raising of assurance levels is yet to be fully realised. Mitigation / assurance activity includes the appointment of two new Interns who joined the OPCC on 3 January 2017. A clerical apprentice has also been appointed and is due to start in January. In addition, a contract was awarded in December 2016 to provide communications and media support services to the PCC. This contract replaces the previous shared service arrangements. The DCFO will return to post in January 2017 having spent 3 months acting as the Force's CFO. Further mitigation work is being considered including measures to address 'digital engagement' and oversight of current commissioning – all of which should see the assurance level increase in future months.

5. The HMIC PEEL Efficiency report for Lincolnshire was published in November 2016 and the Force received a grading of "Good". In addition the PEEL reports for Legitimacy and Leadership were published in early December with the former receiving a grading of "Good" (Leadership is not a graded element) These results have been referenced in the Map in appropriate sections as have the majority of the Internal Audit reports and their assurance opinions.
6. The focus in the coming months will be to trial the revised version of the Assurance Map and see it approved and introduced as soon as is practicable.
7. The Committee is invited to review the current Assurance Map V4.8 attached as **Appendix A** to this report.

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.