JOINT ASSURANCE MAP – POTENTIAL SOURCES OF EVIDENCE and ADMINISTRATION OF CONTENT.

- **FIRST LINE OF DEFENCE**
  Overarching question: "How well are objectives being met and risks managed?"

  - Assurance comes from those directly responsible for delivering specific objectives.
  - Are there arrangements for - Identifying risks and improvement actions, implementing controls, reporting on progress.

Potential Sources of evidence	Considerations
Policies	In place, current, sufficient awareness
Project Management (process / documentation)	In place, current, progress managed / reported / recorded
Business Plans	In place, current, progress managed / reported / recorded
Delivery plans	In place, current, progress managed / reported / recorded
Action Plans (response to specific issues)	In place, current, progress managed / reported / recorded
Local / project risk register	In place, current, managed, clear escalation
Local Management meetings	Structure / schedule in place, Actions, issues arising
Performance measurement / monitoring	Management information – captured, effectively utilised
Process controls	In place, working effectively

- **SECOND LINE OF DEFENCE**
  Overarching question: "Are key strategic objectives being delivered?"

  Assurance comes from corporate reporting and oversight of management activity.

  - Progress against strategic plans; involvement in designing policies, setting direction, ensuring compliance.

Potential Sources of evidence	Considerations
Governance key meetings: eg Resources Governance Performance Governance	In place, scheduled, issues arising – actions taken / planned Plans in place – progress against plan Benefits measured and monitored Issues arising
Police & Crime Strategic Board	Future strategic planning, anticipated benefits, budget, funding. Issues arising with delivery of key strategic objectives.
Change Board Programme & Project oversight	Plans in place, progress against plan, issues arising, benefits mapped and being realised (monitored & measured). Risks identified - mitigated
Senior Management Board	Issues arising
Local management meetings	Structure & schedule in place – actions, issues pursued
Performance monitoring / measurement	Management information – captured, used effectively
Decision notices	Rigour applied to support decision
Health & safety	Arrangements / reporting / issues arising / risks

- **THIRD LINE OF DEFENCE**
  Assurance is derived from independent and objective scrutiny – provided primarily by internal auditors, inspectorates such as HMIC, CQC or external systems accreditation organisations such as ISO/BSI.

Potential Sources of evidence	Considerations
HMIC (and other inspectorates)	○ Thematic Inspections making recommendations / observations to drive improvement in the police service as a whole. ○ Annual PEEL inspections which provide Lincolnshire specific Assessments, Grades, Recommendations and identified 'Areas for Improvement'. ○ Multi-agency inspections led by or including HMIC, eg Joint Emergency Service Interoperability Programme (JESIP) or Provision of Custody facilities involving CQC ○ Inspections of partner organisations – with police involvement in service delivery eg Joint Area Targeted Inspections (JTAI) involving HMIC,HMIPS, Ofsted, CPS etc.
Internal Audit (Annual audit plan in place)	Delivering a programme of audits to provide the Accounting Officer with an independent and objective opinion on the framework of governance, risk management and control. Often targeted at perceived gaps in assurance identified within "lines of defence" 1 and 2 and in consideration of external agency findings eg HMIC inspection reports.
External systems accreditation organisations eg ISO, BSI.	○ Certification to recognised standards – such as ISO EN 17025 for testing and calibration in Laboratories (Police Forensic Laboratories). ○ Achievement of certification to the Standard ○ Regular inspection of continuing compliance with the Standard.

Overview - Administration of the map

- **Force Risk Management Board** (RMB) – Will review content of the risk summary contained in the assurance map and raise any issues with content of joint assurance map. (To be discussed as standing item on agenda, at quarterly RMB meeting).

- **Joint Assurance Review** quarterly meeting will be held between OPCC Chief Executive (CEX) and Deputy Chief Constable (DCC). The Purpose of the meeting is to:
  - Set overall assurance RAG ratings for each entry and provide rationale for rating.
  - Identify any further activity planned or required in order to provide improved assurance.
  - Discuss any key issues arising / progress made.

- **RPO AND FRPRO** are to be responsible for:
  - Updating their respective organisational risks that are listed on the assurance map
  - Creating a summary for each entry regarding risk and control issues.
  - Gathering and updating evidence to populate the "*three lines of defence*".