JOINT INDEPENDENT AUDIT COMMITTEE
5 April 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. On 16 March 2017 at the most recent quarterly review meeting between the Chief Executive of the OPCC and the Deputy Chief Constable, it was agreed that there had been no significant changes in assurance levels recorded in the current Assurance Map - Key updates to content are outlined in point 4. 0 below. Also at this meeting the proposed new "thematic" format for the revised assurance map was jointly approved. Subsequently work has commenced on transferring current information from the existing map into the newly approved "thematic" format. In addition, it was agreed that the FRPRO and the RPO would work jointly on arranging a series of semi-structured interviews with Force 'Lead officers' and heads of department to help populate the new format map with appropriate assurance information. These interviews are currently being scheduled.

2. In the eight weeks since the last JIAC meeting, work on developing the revised version of the joint Assurance Map has taken priority over recording updates in the current version of the Map, for this reason it has not been appended to this report. The latest draft version of the new "thematic" format map (version 1.1) is **attached at Appendix A to this report.**

3. A series of semi-structured interviews will be scheduled with heads of department and lead officers across the organisation to help populate the assurance map and confirm sources of information, particularly focussing on "lines of defence" 1 and 2 and governance structures. The interviews will commence in May 2017 and will be conducted by the RPO and FRPRO. The need to repeat these interviews will be reviewed following consideration of the new approach to operating the revised map.

4. Following consultation between the force and OPCC on how the revised format could be administered, a draft protocol document has been produced which outlines both the likely sources of key information for each of the "three lines of defence" and the new role for the Force Risk Management Board in moderating the content and risk summaries appearing in the new Map. The document also clarifies the refreshed focus of the quarterly Joint Assurance Review (JAR) meeting, held between the DCC and CEX which will include discussion of:
    - An overall assurance judgement (RAG rating and summary rationale) for each entry in the map.
    - A brief summary of any significant activity or planned interventions affecting organisational assurance.

    The protocol is **attached at Appendix B to this report**.

5. The revised "thematic" assurance map will be presented to the next Force Risk Management Board along with an explanation of their proposed role in moderating the risk summaries it contains, and general comment on its content. .

6. Since the February 2017 JIAC meeting - key assurance related issues to note include:

    - The HMIC PEEL Effectiveness report (2016) for Lincolnshire was published on 3 March 2017 and the Force received an overall grading of "Good". This improves on the previous grading of "Requires Improvement" in 2015. This grade matches those achieved for Legitimacy and Efficiency ie all three pillars of the PEEL assessment are now rated as "Good". This result will be recorded in the new format Map, in appropriate sections.

7. The focus in the coming months will be to continue to trial the thematic version of the Assurance Map and update its content as soon as is practicable.
8. Consideration will be given to any changes required in existing procedures / strategies relating to the risk registers and the joint assurance map and any terms of reference for formal meetings affected by the revised approach.

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.