Agenda Item No

JOINT INDEPENDENT AUDIT COMMITTEE
10 June 2020

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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) On the 9TH March 2020 a Joint Assessment Review (JAR) meeting took place between the OPCC (CFO CEX RPO) and the Force (DCC, CFO, RPRO) to discuss the new draft joint assurance map template and its implementation. The draft template has been designed to bring together key elements of the previously separate assurance maps of the OPCC and the Force. At the meeting it was agreed that the new assurance map template be adopted and trialled, initially across 4 key operational areas of the force, Crime, Special operations / FCR, and both local policing commands east and west.

2) A new approach to utilising the assurance map will also be trialled across these 4 operational commands. It was agreed that initial meetings should be arranged between the DCC and each of the Chief Superintendents (Ch/Supt) responsible for the 4 operational areas selected. These initial meetings will be used to introduce the new template / management approach and to ensure the template is populated with current and appropriate information. Once populated the map will then be used by the DCC as part of a regular regime of management meetings with the Ch/Supts. It is envisaged this approach will help ensure the map remains current and to drive management activity in the appropriate areas. As a consequence, it is anticipated that this will in turn help provide enhanced levels of assurance across all "three lines of defence" but particularly on the key elements of organisational planning and delivery.

3) Following this trial period and at each phase of the implementation any lessons learned will be proactively captured, reviewed and where appropriate incorporated into any revision of the process / template.

4) Subsequent discovery meetings will be scheduled with the leads responsible for each of the remaining organisational functions again to ensure the sources of

assurance in the map are current and relevant. Much of this information particularly from the "first and third lines of defence" (process controls and external scrutiny) can be imported from the outgoing maps and simply confirmed at these meetings.

5) The new joint map will incorporate a 'dashboard' style summary sheet that will help provide a 'snapshot' of the current assurance position. The body of the map will contain the underlying detail highlighting sources of assurance information and provide links to strategy, delivery and corporate reporting processes.

6) The RAG rating system has been revised to include an additional level of assurance. It is hoped this will allow differentiation between those functions that provide assurance that is just acceptable and those that provide ample assurance.

7) The RAG ratings for the new map will be reviewed updated and agreed on a quarterly basis at the Joint Assessment Review (JAR) meetings. The next Joint Assessment Review (JAR) meetings are currently being scheduled in SMT diaries.

8) The following appendices are attached to this report: **A** - New Assurance Map template; **B** – Outline implementation plan. (Please note that all dates and timings in the plan are indicative and dependent on agreeing and scheduling the initial meetings between the DCC / RPO and appropriate Chief Superintendents.

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.