

Appendix C: Key Policing Functions Assurance Map

Key Policing Functions	Governance / Reporting	Lines of defence		Is the level of assurance adequate?	Recommended action	
		Internal Audit	External Inspection			
		The second line of defence is assurance provided by the Force's internal auditors, and is evidenced by audit reports received in the last 3 years.	Third line of defence is the level of assurance given by Inspectorates, such as HMIC, and is evidenced by reports received in the last 3 years..			
Apprehending and Detaining	Detention and Custody	Strategic Custody Group	None	Reasonable: HMIC, Visit to Police Custody Suites in Nottinghamshire, March 2013 Limited*: HMIC, The Welfare of Vulnerable People in Custody, March 2015	No	None
	Stop and Search	Force Performance Board	None	Reasonable: HMIC, Stop and Search Powers 2, December 2014	Yes	None
Evidence and Intelligence	Evidence	Force Performance Board	None	Limited*: CJI, Achieving Best Evidence in Child Sexual Abuse Cases, December 2014	No	None
	Intelligence	Force Performance Board	None	Reasonable: OSC, Covert Surveillance, July 2013	Yes	None
Investigating and Detecting	Investigating and Detecting	Force Performance Board	Limited: Baker Tilly, Victims Code - Demonstrating Compliance, March 2015	Reasonable: OSC, RIPA Compliance, July 2013	No	None
			Limited: Mazars, Victim's Code - Demonstrating Compliance, Sept 2015	Limited*: HMIC: Undercover Policing, October 2013		
			Reasonable: Mazars, Proceeds of Crime Act, July 2015 (Awaiting final report - Assurance rating subject to change)	Reasonable: HMIC, Interim Crime Inspection, 2014		
			Reasonable*: Real Lives, Real Crime: A Study of Digital Crime and Policing, July 2015	HMIC, Effectiveness OCG, August 2015 (Awaiting final report)		
Prosecution and Case Management	Prosecuting and Case Management	Regional	None	Reasonable*: CJI, The Provision of Charging Decisions, May 2015	Yes	None
				Reasonable*: HMIC/ CJI, Witness for the Prosecution: Identifying Victim and Witness Vulnerability in Criminal Case Files, June 2014		
Preventing and Protecting	Preventing	Force Performance Board	Substantial: Mazars, Integrated Offender Management, September 2015	Reasonable: HMIC, Interim Crime Inspection, 2014 Reasonable*: HMIC, Core Business, Making the Best Use of Police Time, 2014 (Preventive Policing)	Yes	None
	Public Protection	Force Performance Board	None	HMIC Inspection 21st Century Child Exploitation (2013/14) (No report)	No	None
				Reasonable: HMIC, Nottinghamshire Police's Approach on Tackling Domestic Abuse, 2014		
Reasonable: HMIC, Honour Based Violence and Vulnerability Phase 1, March 2015						
				Reasonable*: HMIC, Online and on the Edge, Real Risks in a Virtual World, July 2015		
				Reasonable: Inspection of Multi-Agency Public Protection Arrangements, November 2014		
				Limited: HMIC, PEEL Effectiveness, Vulnerability, October 2015		
				Reasonable: HMIC, Child Protection Inspections, September 2014		
				HMIC, In Harm's Way, The Role of the Police in Keeping Children Safe, February 2015		

Key Policing Functions	Governance / Reporting	Lines of defence		Is the level of assurance adequate?	Recommended action	
		Internal Audit	External Inspection			
		The second line of defence is assurance provided by the Force's internal auditors, and is evidenced by audit reports received in the last 3 years.	Third line of defence is the level of assurance given by Inspectorates, such as HMIC, and is evidenced by reports received in the last 3 years..			
Reporting and Recording	Force Performance Board	Reasonable: Baker Tilly, Crime Recording Follow Up, March 2015	Reasonable: HMIC, Crime Data Integrity, Making the Victim Count, November 2014	Yes	None	
Partnerships and Collaboration	Partnerships	Force Performance Board	Limited: Baker Tilly, Partnerships, April 2015	No	Actions resulting from the audit of Partnerships which took place during 2015/16 will be included in the Follow Up audit.	
	Collaboration	East Midlands PCC Board	None	Reasonable: HMIC, Working Together, July 2013	Yes	An audit of collaboration governance is recommended to take place during 2016-17, there are a number of risks linked to governance of information assurance and risk management.
Strategic Policing Requirement	Terrorism	Force Performance Board	None	Substantial: HMIC, Strategic Policing Requirement, November 2014	Yes	None
	Civil Emergencies	Force Performance Board	None	Substantial: HMIC, Strategic Policing Requirement, November 2014	Yes	
	Serious and Organised Crime	Force Performance Board	None	Reasonable: HMIC, Regional Organised Crime Unit (ROCU), May 2015	Yes	
	Public Order	Force Performance Board	None	Substantial: HMIC, Strategic Policing Requirement, November 2014	Yes	
	Large-scale Cyber Incidents	Force Performance Board	None	Limited: HMIC, Strategic Policing Requirement, November 2014	No	
Roads Policing	Force Performance Board	None	None	No	None	
Support Services, Tools and Equipment	Armed Policing	Force Performance Board	None	NPIA, Inspection Firearms Training License, April 2013 <i>(No report available)</i>	No	None
	ICT and Equipment	Transformation Board Five Force ICT Governance Board	None	National Police Information Risk Management Team Inspection: Nottinghamshire Police IL3 (& 4) Network (2013) National Police Information Risk Management Team Inspection: Nottinghamshire Police IL4 Network (2013/14)	No	None
Deployment and Resources	Force Performance Board	Reasonable, Baker Tilly, Volunteering, October 2014	Reasonable*: HMIC, Core Business, Making the Best Use of Police Time, 2014 (Police Attendance and Freeing Up Police Time)	Yes	None	

Levels of Assurance*

None	No assurance process undertaken.
Limited	Mazars - Limited HMIC - Requires Improvement / Inadequate
Reasonable	Mazars - Satisfactory HMIC - Good
Substantial	Mazars - Significant HMIC - Outstanding

* Please note assurance levels are not consistently provided by inspectorates and are therefore the result of professional judgement having read the report and any recommendations made.