

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

Priority / Outcome	Objective	Type of risk	Potential impact	First line of defence: Policy, Procedure, Strategy		Second line of defence: Management oversight, Corporate Meetings, Management Information		Third line of defence: Independent assurance provided by internal and external audits, HMIC, IPCC and Peer Reviews, which have taken place in the last three years.		Notes / Recommendations	
				Assurance	Rationale	Assurance	Rationale	Assurance	Rationale		
To cut crime and keep you safe	Reduce crime	Levels of overall crime in Nottinghamshire do not reduce.	Very high	Substantial	Neighbourhood Policing Policy 2012 <i>Due for review</i> APP Investigation Investigation Procedure 2016	Substantial	Operational Performance Board Force Performance Board Strategic Resources and Performance Board The Performance and Insight Pack (P&I Pack) reports on 'reduction in All Crime across the force' monthly.	Substantial	HMIC: Effectiveness Pillar, 2015 "How effective is the force at preventing crime and anti-social behaviour and keeping people safe?" (Good) HMIC: Effectiveness Pillar, 2016 (Grading TBC)		
	Reduce ASB	Significant increase in ASB incidents.	High	Adequate	Home Office: ASB, Crime and Policing Act 2014: Reform of ASB Powers 2014 Anti-Social Behaviour Policy 2012 <i>Due for review</i>	Substantial	Operational Performance Board Force Performance Board Strategic Resources and Performance Board The P&I Pack reports on monitoring of 'repeat victims of ASB incidents'.	Substantial	HMIC: Effectiveness Pillar, 2015 "How effective is the force at preventing crime and anti-social behaviour and keeping people safe?" (Good) HMIC: Effectiveness Pillar, 2016 (Grading TBC)		
	Protect vulnerable people	Failure to protect vulnerable people from domestic abuse	Failure to protect vulnerable people from domestic abuse	Very high	Adequate	Dealing with Vulnerability Policy 2014 <i>Due for review</i> Management of Repeat Victims Procedure 2014 Domestic Abuse Policy and Procedure 2015 Home Office: Domestic Homicide Reviews Guidance	Substantial	Operational Performance Board Force Performance Board Strategic Resources and Performance Board The P&I Pack reports on 'monitoring of the number of domestic abuse incidents and crimes and the proportion of which are repeats'.	Adequate	HMIC: Effectiveness Pillar, 2015 "How effective is the Force at protecting from harm those who are vulnerable and supporting victims?" (Requires Improvement) HMIC: Effectiveness Pillar, 2016 (Grading TBC) Lancashire: Peer Review 2016	No recommendation has been made for inclusion of this business area in the Internal Audit Plan as it features as part of HMIC's ongoing programme of inspections.
		Failure to protect vulnerable people from Honour Based Abuse, Female Genital Mutilation or Forced Marriage.	Failure to protect vulnerable people from Honour Based Abuse, Female Genital Mutilation or Forced Marriage.	Very High	Substantial	Investigation of Female Genital Mutilation Procedure 2015 Investigation of Honour Based Abuse Procedure 2015 Investigation of Forced Marriage Procedure 2016	Substantial	Operational Performance Board Force Performance Board Strategic Resources and Performance Board	Limited	HMIC: The Depths of Dishonour 'An inspection of the police response to honour-based violence, forced marriage and female genital mutilation, December 2015 "National / Thematic inspection." HMIC: Phase One Honour Based Violence, June 2015 (Limited)	As above.
		Failure to protect vulnerable children from abuse and child sexual exploitation.	Failure to protect vulnerable children from abuse and child sexual exploitation.	Very High	Adequate	Child Abuse Investigation Procedure 2015 Indecent Images of Children Procedure Feb 2009 <i>Due for review</i> Child Abduction Warning Notices 2014 <i>Due for review</i> Child Sex Offender Disclosure Scheme Policy 2011 <i>Due for review</i>	Substantial	Operational Performance Board Force Performance Board Strategic Resources and Performance Board	Adequate	HMIC: Nottinghamshire, National Child Protection Inspection Post Inspection Review, February 2015 HMIC: In Harm's Way 'The role of the police in keeping children safe', July 2015 "National/ Thematic	As above.
		Failure to protect vulnerable people from crime	Failure to protect vulnerable people from crime	Very high	Substantial	Managing Threats / Risk to Life and Vulnerable Witnesses 2016 Safeguarding Adults at Risk Procedure 2016	Substantial	Operational Performance Board Force Performance Board Strategic Resources and Performance Board	Limited	HMIC: Effectiveness Pillar (Vulnerability Report), November 2015 (Requires improvement)	As above.
		Failure to protect vulnerable people from ASB	Failure to protect vulnerable people from ASB	High	Substantial	Home Office: ASB, Crime and Policing Act 2014: Reform of ASB Powers 2014	Substantial	Operational Performance Board Force Performance Board Strategic Resources and Performance Board	Substantial	HMIC: Effectiveness Pillar, 2015 "How effective is the force at preventing crime and anti-social behaviour and keeping people safe?" (Good) HMIC: Effectiveness Pillar, 2016 (Grading TBC)	As above.
		Detain offenders	Harm suffered by detainee(s)	Very high	Adequate	APP Detention and Custody Custody Procedure 2013 <i>Due for review</i> Dealing with Persons with Mental Health Procedure 2014 <i>Due for review</i> Internal Concealment or Swallowing of Controlled Drugs 2014 <i>Due for review</i>	Substantial	Strategic Custody Group Strategic Resources and Performance Board Force Performance Board 'The number of non-crime related mental health patients detained in custody suites' is reported monthly as part of the Performance and Insight Pack.	Limited	HMIC: Visit to Police Custody Suites in Nottinghamshire, March 2013 (Reasonable) HMIC: The Welfare of Vulnerable People in Custody, March 2015 "National / thematic inspection. (Limited)	No recommendation has been made for inclusion of custody in the Internal Audit Plan for 2017/18 as Unannounced Visits to Custody Suites are part of an ongoing inspection programme.
	Manage repeat offenders	Failure to manage repeat offenders	High	Adequate	Integrated Offender Management Pathways Guide 2011 <i>Due for review</i> Enforcement Team Procedural Guide	Substantial	Force Performance Board Strategic Resources and Performance Board The following performance measures are reported on monthly as part of the P&I Pack: 'Youth Offender re-offending rates'	Substantial	HMIC: Effectiveness Pillar, 2015 "How effective is the Force at investigating crime and managing offenders?" (Good) HMIC: Effectiveness Pillar, 2016 (Grading TBC) Mazars: Integrated Offender Management, September 2015 (Substantial)		

Safer com	Make roads safer	Number of injured and killed in road accidents, does not reduce.	Very high	Substantial	Overarching Road Policing Policy 2015 Roads Armed Policing Team (RAPT) Standard Operating Procedure 2015 Road Collision Reporting and Recording Guidance 2015 Road Traffic Collision Standard Operating Procedure 2015	Substantial	Force Performance Board Strategic Resources and Performance Board The P&I Pack reports on the number of people Killed or Seriously Injured (KSIs) on Nottinghamshire's Roads'.	Adequate	HMIC/ HMCPSI/ CJI: A Joint Inspection of the Investigation and Prosecution of Fatal Road Traffic Incidents, February 2015 *National / Thematic		
	Efficiency and effectiveness of the criminal justice process.	Significant reduction in criminal justice system efficiency & effectiveness	Very high	Substantial	APP Prosecution and Case Management APP Working with Victims and Witnesses Out of Court Disposals Procedure 2015 National (Prosecution) File Standard 2015	Substantial	Regional CJ Governance Strategic Resources and Performance Board Force Performance Board The following performance measures are reported on monthly as part of the P&I Pack: Crown and Magistrates' Courts conviction rates Early Guilty Plea rate for the Crown and Magistrate's Courts	Adequate	HMIC: Witness for the prosecution, Identifying victim and witness vulnerability in criminal case file, June 2014 (Reasonable)* CJJI: The Provision of Charging Decisions, May 2015 (National/ Thematic) (Reasonable)*		
	Ensure an effective response to the Strategic Policing Requirement (SPR)	Counter terrorism		Very high	Substantial	Special Branch Policy and Procedure	Substantial	Strategic Threat and Risk Assessment conducted annually.	Substantial	HMIC: Strategic Policing Requirement, November 2014 (Substantial)* HMIC: The Effectiveness and Efficiency of the Single Counter Terrorism Grant in the East Midlands Region, December 2014 (Substantial) HMIC: Effectiveness, September 2016 (TBC) HMIC: Counter Terrorism Command and Control, November 2016/17 (TBC)	
		Civil emergencies		Very high	Adequate	APP Civil Contingencies	Substantial	Strategic Threat and Risk Assessment conducted annually.	Substantial	HMIC: Strategic Policing Requirement, November 2014 (Substantial)* HMIC: Effectiveness, September 2016 (TBC)	
		Serious and organised crime		High	Adequate	Human Trafficking Policy 2014, <i>due for review</i> . Firearms Policy 2013, <i>due for review</i>	Substantial	Force Performance Board Strategic Resources and Performance Board The Force Threat, Harm and Risk Assessment level is reported on as part of the monthly Performance and Insight Pack. Strategic Threat and Risk Assessment conducted annually.	Substantial	HMIC: Strategic Policing Requirement, November 2014 (Substantial)* HMIC: Regional Organised Crime Units (ROCU), December 2015 (Reasonable)* (National/Thematic) HMIC: Effectiveness Pillar, 2015 "How effective is the Force at tackling serious and organised crime, including its arrangements for ensuring that it can fulfil its national policing responsibilities?" (Good) HMIC: Effectiveness, September 2016 (TBC)	
		Public order		Very high	Adequate	Practice Advice on Police Powers to Disperse Groups 2005 Procedures on Public Order Parts I - VIII, 2004 & 2007 <i>Due for review</i>	Substantial	Strategic Threat and Risk Assessment conducted annually.	Substantial	HMIC: Strategic Policing Requirement, November 2014 (Substantial)* HMIC: Effectiveness, September 2016 (TBC)	
		Large scale cyber incident		Very high	Adequate	APP Digital investigation and intelligence	Substantial	Strategic Threat and Risk Assessment conducted annually.	Limited	HMIC: Strategic Policing Requirement, November 2014 (Limited)* HMIC: Effectiveness, September 2016 (TBC)	The force's response to cyber crime has been inspected as part of the Autumn Effectiveness inspection and therefore is not recommended for inclusion in the Internal Audit Plan for 2017/18.

Priority / Outcome	Objective	Type of risk	Potential impact	First line of defence: Policy, Procedure, Strategy		Second line of defence: Management oversight, Corporate Meetings, Management Information		Third line of defence: Independent assurance provided by internal and external audits, HMIC, IPCC and Peer Reviews, which have taken place in the last three years.		Notes / Recommendations
				Assurance	Rationale	Assurance	Rationale	Assurance	Rationale	
To spend your money wisely	Robust corporate governance	Legal challenge to decisions	Very high	Limited	Corporate Governance and Working Together 2014/18 <i>Currently being reviewed.</i> Corporate Documentation Policy 2008 <i>Needs to be reviewed.</i>	Substantial	Force Executive Board Joint Audit and Scrutiny Panel Assessed and reported on annually as part of the Force's Annual Governance Statement Process which is reported to the Joint Audit and Scrutiny Panel (JASP).	Adequate	Mazars: Joint Code of Corporate Governance, August 2015 (Reasonable)	
		Reputation damage for non-compliance with governance principles / Joint Code of Corporate Governance	Low	Adequate	Force Annual Governance Statement Joint Code of Corporate Governance Corporate Governance and Working Together Document, <i>currently being reviewed.</i>	Substantial	As above.	Adequate	As above.	
		Failure of police collaboration arrangements to achieve their objectives	Very high	Adequate	Various Section 22a Agreements in place <i>A review may be required to ensure they are fit for purpose.</i>	Substantial	East Midlands Police and Crime Commissioner's Board PCC and CEO Business Meeting Collaboration Efficiency Board Tri-Force Collaboration Design Board	Adequate	Baker Tilly: Follow Up - Collaboration; Governance and Financial Framework, May 2014 (Reasonable)	As the Force continues to enter into more collaborative arrangements, it is recommended that assurance with regard to the efficiency, effectiveness and governance of collaboration is considered for inclusion in a regional audit plan for 2017/18.
		Failure of strategic partnership arrangements to achieve their objectives	High	Adequate	Various Partnership Agreements in place <i>A review may be required to ensure they are fit for purpose.</i>	Substantial	Safer Nottinghamshire Board CDP Board Joint Audit and Scrutiny Panel Force Executive Board Assessed and reported on annually as part of the Force's Annual Governance Statement Process which is reported to the Joint Audit and Scrutiny Panel (JASP).	Limited	Baker Tilly: Partnerships, October 2015 (Limited)	Due to the 'limited' assurance rating provided by the October 2015 audit of partnership arrangements, it is recommended that this area of assurance is considered for inclusion in the 2017/18 Internal Audit Plan.
		Failure to effectively identify and manage risk	High	Adequate	APP Risk Management Risk Management Policy and Process Guide 2015 <i>Currently being reviewed.</i> Information Risk Management Strategy 2015 Force Risk Management Strategy 2015	Substantial	Joint Performance Board Force Executive Board Joint Audit and Scrutiny Panel Strategic Risk Management reported quarterly to the Force Executive Board and twice annually to the JASP. Assessed and reported on annually as part of the Force's Annual Governance Statement Process which is reported to the Joint Audit and Scrutiny Panel (JASP).	None	No audit or inspection has taken place in this area for three years or more.	A gap in assurance has been identified as an audit has not taken place in this area since Q4 2012/13. Therefore, an audit has been planned for Q4 2016/17 to provide assurance that arrangements are in place to contribute to the effective management of risk.
	Robust financial management	Failure to manage finances within budget	Very high	Adequate	Corporate Governance and Working Together Document <i>Currently being reviewed</i> Financial Regulations 2015 Monitoring of Efficiency Savings	Substantial	Transformation Board Force Executive Board Joint Audit and Scrutiny Panel (JASP) Strategic Resources and Performance Board Statement of Accounts reported annually at the JASP. Efficiency savings are reported as part of the monthly Performance and Insight Pack. Financials, capital expenditure, efficiencies and overtime are also reported as part of the monthly Finance Performance and Insight Report.	Adequate	HMIC: Efficiency Pillar, 2015 "How sustainable is the Force's financial position in the short and long term?" (Good) HMIC: Police Efficiency 2016, 2016 (TBC) Mazars: Savings Programme 2016 (Substantial)	
		Financial loss through material error or fraud	High	Adequate	Financial Regulations 2015 Contracts Standing Orders EMSCU Prevention of Fraud and Corruption in the Procurement Process 2013 <i>Needs to be reviewed.</i>	Adequate	Force Executive Board Joint Audit and Scrutiny Panel -(JASP) Compliance against Anti-Fraud and Corruption Policy reported annually to the JASP.	Limited	Mazars: Core Financials, 2016 (Limited) Mazars: Core Financials, 2015 (Limited) Baker Tilly: Key Financial Controls, Feb 2015 (Reasonable)	Core Financials' is included in the Internal Audit Plan as a mandated audit on an annual basis.
	Effective estates management	Environmental damage	Medium	Adequate	Environmental Management Strategy 2014-2017 <i>Due for review</i>	Adequate	Environmental management performance in respect of carbon emissions and waste recycling is reported annually at the Strategic Resources and Performance Meeting.	Substantial	Baker Tilly: Environmental Policy, December 2013 (Substantial) <i>Due for review again in 2017.</i>	
		Reputation damage / sanctions for non-compliance with environmental legislation	Medium	Adequate	As above.	Adequate	As above.	Substantial	As above.	
		Insufficient / unsuitable buildings / premises	High	Limited	Estates Management Strategy, <i>currently being reviewed (end of October 2016)</i>	Adequate	Transformation Board Force Executive Board Estates and Facilities do not formally report on any KPIs although there are a small number of internal measures in place.	Substantial	Baker Tilly: Estates Management, November 2013 (Substantial) <i>Due for review again in 2017.</i>	
	Effective vehicle fleet management	Insufficient / unsuitable vehicle fleet	Medium	Substantial	Fleet Management Strategy 2016-2020	Adequate	Force Executive Board	None	No audit or inspection has taken place in this area for three years or more.	
	Effective workforce planning	Inadequate plans in place to support Force objectives	Very high	Limited	People Strategy 2014 <i>Due for review</i>	Adequate	Force Executive Board.	Adequate	HMIC: Efficiency Pillar, 2015 "How sustainable and affordable is the workforce model?" (Requires Improvement)	As the impact of ineffective workforce planning has a potentially 'very high' impact, and assurance in this area is relatively low, it is recommended that Workforce Planning is considered for inclusion in the internal audit plan for 2017/18.

Effective workforce management	Significant increase in sickness absence	High	Substantial	Attendance Management Policy and Procedure 2015 Restricted and Recuperative Duties Policy	Substantial	Professional Standards. Integrity and Ethics Board Strategic Resources and Performance Board The 'total number of days lost to sickness' for officers and staff is reported monthly as part of the Performance and Insight Pack.	Substantial	Baker Tilly: Absence Management, March 2014 (Substantial)	
	Significant reduction in workforce morale / productivity	High	Substantial	Management of Change (Police Staff) Policy 2016 Management of Change Procedure 2016 The People Programme 'A Strategy and Programme of Work for an Engaged, Successful Workforce, 2016	Adequate	The People Board Workforce morale can be gauged as part of the Staff Survey.	None	There has been no audit or inspection of this area of assurance in the last three years.	No audit is currently recommended in this area. It is suggested that levels of workforce morale will be gauged and activity put in place following the publication of results from the latest staff survey.
Robust health and safety	Harm suffered by employees and others affected by the Force's activities	Very high	Adequate	Health and Safety Policy 2015 Trauma Risk Management Policy 2014 <i>Due for review</i>	Substantial	Strategic Health and Safety Group Strategic Resources and Performance Board Accidents and injuries, including RTC's, 'Assaults', 'RIDDOR reportable-injuries reported to the Health and Safety Executive' are reported annually to the Strategic Resources and Performance Board.	Substantial	Baker Tilly: Health and Safety, December 2013 (Substantial) <i>May be due for review.</i>	
	Reputation damage / sanctions for non-compliance with Health & Safety at Work Act 1974	High	Adequate	As above.	Substantial	As above.	Substantial	As above.	
Effective training and development	Loss of skills / resilience	High	Limited	Detective Career Pathways 2016 Access to Learning and Development Procedure Firearms Learning and Development Procedure Procedure on Access to Learning 2004 <i>Overdue for review</i> Management of Training and Development 2004 <i>Overdue for review</i>	Substantial	Training Priorities Panel Regular reports are produced to monitor completion of training, these are sent to thematic and departmental heads. Completion is also discussed at every TPP meeting as part of KPI reports.	None	No audit or inspection has taken place in this area for three years or more.	It is recommended that an audit of training and development is considered as part of a regional audit plan for 2017/18.

Appendix 1: Risk Assurance Map (2016/17, Quarter 3)

Priority / Outcome	Objective	Type of risk	Potential impact	First line of defence: Policy, Procedure, Strategy		Second line of defence: Management oversight, Corporate Meetings, Management Information		Third line of defence: Independent assurance provided by internal and external audits, HMIC, IPCC and Peer Reviews, which have taken place in the last three years.		Notes / Recommendations
				Assurance	Rationale	Assurance	Rationale	Assurance	Rationale	
To earn your trust and confidence	Ensure victim and witness satisfaction	Complaints over non-compliance with the Code of Practice for Victims of Crime	High	Substantial	Code of Practice for Victims of Crime	Substantial	Force Performance Board Strategic Resources and Performance Board The Performance and Insight Pack reports on the 'Percentage of victims of crime that are completely, very of fairly satisfied with the service they have received from the police' monthly.	Limited	Baker Tilly: Victim's Code - Demonstrating Compliance, March 2015 and September 2015 (Limited)	Due to the limited assurance previously provided in this business area, it is recommended that a follow up audit of compliance with the Victim's Code is considered for inclusion in the Internal Audit Plan for 2017/18.
	Understand and engage with communities	Reputation damage from significant loss of public confidence	Very high	Substantial	Community Engagement Strategy 2016	Substantial	Force Performance Board Strategic Resources and Performance Board 'Public confidence in reporting offences to the police' is reported monthly as part of the P&I Pack.	Adequate	HMIC: Legitimacy Pillar, 2016 "How well does the Force understand, engage with and treat fairly the people it serves to maintain and improve its legitimacy?" (Requires Improvement)	
	Effective use of stop and search	Reputation damage for inappropriate / disproportionate use of stop & search powers	High	Adequate	APP Stop and Search Stop and Search Policy 2014, <i>due for review.</i>	Substantial	Force Performance Board Stop and Search data is reported comprehensively both internally and externally. High level data of Supervisor Reviews is reported to the VOLT meeting on a Monday and Friday. Detailed data is reported weekly to the Stop and Search lead for the Force. End of year reports on Stop and Search data are published on the intranet. Home Office returns on Stop and Search data are completed quarterly. Management information concerning the 'top searching officers' and proportionality are reported to the Stop and Search Scrutiny Board, which is an external meeting.	Substantial	HMIC: Legitimacy Pillar, 2016 "To what extent are decisions taken on the use of stop and search and Taser fair and appropriate?" (Good) HMIC, Stop and Search Powers 2, December 2014 (National Thematic) (Reasonable)*	
	Robust management of discipline and standards	Reputational damage for non-compliance with the College of Policing Code of Ethics.	High	Substantial	College of Policing Code of Ethics	Substantial	Professional Standards, Integrity and Ethics Board	Substantial	HMIC: Legitimacy Pillar, 2016 "To what extent does practice and behaviour reinforce the wellbeing of staff and an ethical culture?" (Good)	
		Reputation damage from instances of serious misconduct / corruption	Very high	Substantial	Police Staff Misconduct Policy and Procedure 2015 Police Conduct Regulations Professional Standards Reporting Procedure Notifiable Associations Procedure 2015 Business Interests and Additional Employment for Police Officers and Police Staff 2016	Substantial	Professional Standards, Integrity and Ethics Board	Substantial	As above.	
	Ensure robust Information security	Reputation damage / threat to public safety from loss of information / security breach	Very high	Adequate	Regional GSC Policy to be published 1st November Information Assurance Accreditation Policy 2014 to be reviewed Review, Retention and Disposal Policy 2015 Acceptable Use Policy	Substantial	Force Information Assurance Board	Substantial	An independent CESG approved company conducts an Annual IT Health check, the results of which form part of the document submission which enables accreditation from the Cabinet Office to use the PSN for Policing network.	
	Robust information management	Reputation damage / sanctions for non-compliance with data protection legislation & codes of practice	Very high	Substantial	APP Information Management Information Management Strategy 2015 Information Sharing Policy Information Sharing Agreement Procedure Data Protection Procedure Freedom of Information Procedure	Substantial	Force Information Assurance Board Force Executive Board Joint Audit and Scrutiny Panel Management information concerning Freedom of Information Requests and Court Orders are reported annually to the Force Executive Board and Joint Audit and Scrutiny Panel.	Limited	Mazars: Data Protection Audit (Limited) HMIC: Building the Picture 'An Inspection of Police Information Management'	A follow up audit of Data Protection is recommended in Force during late 2017/18 or early 2018/19 to ensure the recommendations from the 2016/17 audit have been embedded.
	Effective business continuity processes	Disruption to ICT systems	Very high	Limited	Business Continuity Management Policy 2013 <i>Overdue for review.</i> Business Continuity Strategy 2013 <i>Overdue for review.</i>	Adequate	Force Executive Board Joint Audit and Scrutiny Panel (JASP) A report providing assurance for the adequacy and testing and exercise of Force business continuity plans, is reported annually to the Force Executive Board and the JASP.	Adequate	Baker Tilly: Business Continuity and IT Disaster Recovery, August 2015 (Reasonable)	Although an audit was completed during 2015 it is recommended that this area of assurance is considered for inclusion in the 2017/18 audit plan as the scope of the 2015 audit was limited. A Risk and Business Continuity Officer has been appointed and will be doing a full review of BC policy and procedure during 2017/18, therefore an audit is recommended for quarter 4 to provide assurance to the Force Executive Board and the Joint Audit and Scrutiny Panel.
Disruption to essential Force-delivered services		Very high	Limited	As above.	Adequate	As above.	Adequate	As above.	As above.	