

<b>For Consideration</b>	
<b>Public/Non Public*</b>	<b>Public</b>
<b>Report to:</b>	<b>Audit &amp; Scrutiny Panel</b>
<b>Date of Meeting:</b>	<b>18<sup>th</sup> February 2014</b>
<b>Report of:</b>	<b>DCC Fish</b>
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<b>Agenda Item:</b>	<b>8</b>

## **RISK, ASSURANCE & AUDIT PLAN 2014/15 REPORT (2013/14 Q4)**

### **1. Purpose of the Report**

- 1.1 To provide the Audit and Scrutiny Panel with an updated picture of risk assurance, progress in managing risk and proposals for the internal audit plan for 2014/15.

### **2. Recommendations**

- 2.1 That the Panel scrutinise the level of assurance provided in respect of potential risks to the achievement of the PCC's and Force's objectives and progress made in managing specific threats and opportunities.
- 2.2 That the Panel approve the proposed internal audit plan for 2014/15.

### **3. Reasons for Recommendations**

- 3.1 A report on assurance and risk was provided to the Corporate Governance Board to enable the Board to evaluate the effectiveness of risk management across the Force. Having been approved by the Board, this report is now presented to the Joint Audit and Scrutiny Panel.
- 3.2 The Board is responsible for approving the annual internal audit plan.

### **4. Summary of Key Points**

- 4.1 Several significant changes have been made to the structure of this report since the last time it was presented.
- 4.2 The changes that have been made reflect the adoption by the Office of the PCC and the Force of the Cabinet Office approved Management of Risk (M\_o\_R) approach to risk management and the requirement to provide the Board with an overview of risk assurance across the organisation.

## **Risk assurance mapping**

- 4.3 Appended to this report is a Risk Assurance Map (attached as **Appendix I**) which provides a summary of the degree of confidence that the PCC and Force can take from the controls that are in place to manage the different types of risk that may emerge in relation to specific organisational objectives.
- 4.4 The Risk Assurance Map shows the level of assurance that has been provided within the last three years from each of the three lines of defence:
- Management oversight – provided by the senior manager responsible
  - Internal audit – obtained through the annual audit plan of the Force's internal auditors, Baker Tilly, or through audits carried out by auditors employed by the Force
  - Independent assurance – obtained through entirely independent sources such as Her Majesty's Inspectorate of Constabulary (HMIC), other national inspectorates, or the Force's external auditors KPMG
- 4.5 The level of assurance provided has been classified according to the following system:
- Substantial – there is evidence that the controls in place to manage risk in this area are comprehensive and effective
  - Reasonable – there is evidence that significant controls are in place, but there are some doubts as to their coverage and/or effectiveness
  - Limited – there is evidence that some controls are in place, but there are significant doubts as to their coverage and/or effectiveness
  - None – there is no evidence of the coverage and/or effectiveness of controls (which may be because there has been no assurance activity within the last three years)
- 4.6 The Risk Assurance Map has been used to inform the annual internal audit plan, by clearly showing where the PCC and Force would benefit from the assurance that an internal audit can provide.
- 4.7 On the basis of the current Risk Assurance Map, the following areas have been considered for internal audit in the near future:
- Protection of vulnerable people (not including domestic abuse, as the Force is currently awaiting the outcome from a recent HMIC inspection)
  - Criminal justice
  - Policy / decision making
  - Vehicle fleet management
  - Training & development
  - Discipline & standards
- 4.8 The following areas already have some form of audit or inspection scheduled:
- Reducing crime (HMIC inspection Making best use of police time – March 2014)
  - Business continuity (Baker Tilly internal audit 2013/14 Q4)
  - Management of Police Information (MoPI) (HMIC inspection Building the picture – Spring / Summer 2014)
  - Data protection (Baker Tilly internal audit – 2013/14 Q4)

- Workforce morale / productivity (annual staff perception survey)

4.9 **Appendix II** presents the Draft Internal Audit Plan for 2014/15.

### Risk progress reporting

4.10 The Strategic Risk Register Summary (**Appendix III**) provides an overview of the current level of risk exposure against each of the three strategic objectives in the Police & Crime Plan 2013-18:

1. Safer communities – *To cut crime and keep you safe*
2. Value for money policing services – *To spend your money wisely*
3. Improved trust and confidence in policing – *To earn your trust and confidence*

4.11 As part of the annual business planning process, a series of workshops is currently taking place with all Force business areas to identify specific threats and opportunities and assess them in line with the M\_o\_R approach. Once these have been identified and assessed they will be managed using a series of Risk Registers, in line with a revised Corporate Risk Management Policy and Process Guide.

4.12 Within the PCC's and Force's current risk registers the following Top 5 risks have been identified and assessed, are active and are being managed:

Risk description	Response plan
Further reductions in central government funding in the years 2015-18, expected to average £10m per year, affecting the Force's ability to manage within its budget	Development of Target Operating Model (TOM) & efficiency plan
A19 employment tribunal finding in favour of claimants and awarding damages against the Force	Contingent liability in accounts
Opportunity to generate additional income from the Police Innovation Fund	Early development of bids for next opportunity
An increase in breaches, warrants and recalls as a consequence of offender management reforms (part of the Transforming Rehabilitation agenda)	Active engagement through LCJB
Adverse media coverage arising from publicising of serious misconduct cases damages the Force's reputation	Proactive communication strategy

4.13 Since the last report the following risks have been closed:

Risk description	Reason for closure
Injury to officers if Tetratab devices installed in vehicles are detached from housing when the airbag deploys	Risk avoided by being designed out
Information Commissioner's Office (ICO) audit criticises the Force in relation to compliance with the requirements of the Data Protection Act	Audit completed and draft report received – risk did not materialise
Loss of mobile data functionality if Blackberry service provider (RIM Ltd) goes into administration and the network is switched off	Risk did not materialise

## **5 Financial Implications and Budget Provision**

- 5.1 The annual maintenance cost for the Orchid Risk Management System is currently £5,700, with an additional £3,833.33 paid to Leicestershire Police for hosting the system (of which £2,000 is allocated for an annual security penetration test).

## **6 Human Resources Implications**

- 6.1 Specific responsibilities for risk management as part of formal governance arrangements are detailed within the Corporate Risk Management Policy.
- 6.2 Professional support for implementation of the Policy is provided by one Strategic Support Officer within the Planning and Policy team (Business and Finance department), who is trained as an M\_o\_R Registered Practitioner.

## **7 Equality Implications**

- 7.1 There are no known equality implications associated with the implementation of the Corporate Risk Management Policy.
- 7.2 Where a particular risk is identified that could have an impact on the PCC's or Force's equality objectives that risk will be managed through the use of the appropriate Risk Register.

## **8 Risk Management**

- 8.1 If the PCC and Force do not practice effective risk management there is an increased probability that they will fail to be prepared to mitigate threats or take advantage of opportunities, or that they will make significant decisions without sufficient awareness of potential risks.

## **9 Policy Implications and links to the Police and Crime Plan Priorities**

- 9.1 In order to implement the M\_o\_R approach the Office of the PCC and the Force will be updating their existing Corporate Risk Management Policy and process.
- 9.2 Being proactive by anticipating and preparing for threats and opportunities is often more cost effective than a reactive approach to issues. Effective use of risk management can have a positive impact on the Police and Crime Plan priority of 'Spending your money wisely' by improving the quality of decision making.

## **10 Changes in Legislation or other Legal Considerations**

- 10.1 Where potential changes in legislation or other legal considerations represent a significant threat or opportunity for the PCC or the Force these are

evaluated in line with the Corporate Risk Management Policy and managed through the use of Risk Registers.

## **11 Details of outcome of consultation**

11.1 Business Partners have shared the proposed Internal Audit Plan with their respective areas and no other proposals were raised.

## **12. Appendices**

12.1 **Appendix I** – Risk Assurance Map (2013/14 Quarter 4)

12.2 **Appendix II** – Draft Internal Audit Plan (2014/15)

12.3 **Appendix III** – Strategic Risk Register Summary



Appendix I: Risk Assurance Map (2013/14 Quarter 4)

Outcome	Objective	Type of risk	Potential impact	Responsibility	First line of defence: Management oversight		Second line of defence: Internal audit		Third line of defence: Independent assurance	
					Assurance	Rationale	Assurance	Rationale	Assurance	Rationale
Safer communities: To cut crime and keep you safe	Reduction in crime	Significant increase in crime	Very high	DCC	Substantial	Governance of performance management through Joint Performance and Corporate Governance Boards	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years
	Reduction in ASB	Significant increase in ASB	High	DCC	Substantial	As above <i>All improvement actions from HMIC inspection now complete</i>	None	No internal audit in last 3 years	Reasonable	HMIC inspection of ASB (re-visit) January 2013 <i>Some areas for improvement identified</i>
	Protection of vulnerable people	Failure to protect vulnerable people from domestic violence	Very high	ACC (Crime, Justice & Protective Services)	Reasonable	Governance of Public Protection through Operational Support Board <i>Vulnerability policy and county-wide MASH currently in development</i>	None	No internal audit in last 3 years	tbc	Awaiting final report from HMIC inspection of domestic abuse Oct 2013
		Failure to protect vulnerable people from crime	Very high	ACC (Crime, Justice & Protective Services)	Reasonable	As above	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years
		Failure to protect vulnerable people from ASB	High	ACC (Local Policing)	Reasonable	As above	None	No internal audit in last 3 years	Reasonable	HMIC inspection of ASB (re-visit) January 2013 <i>Some areas for improvement identified</i>
	Road safety	Increase in road traffic collisions (RTCs)	Very high	ACC (Crime, Justice & Protective Services)	Substantial	Governance of performance management through Joint Performance and Corporate Governance Boards	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years
	Strategic Policing Requirement (SPR)	Terrorism	Very high	ACC (Crime, Justice & Protective Services)	Substantial	Governance of EMSOU-CT through East Midlands Collaboration	None	No internal audit since introduction of the SPR	tbc	Awaiting final report following HMIC inspection of SPR (Sept 2013)
		Civil emergencies	Very high		Substantial	Governance of civil contingencies planning through the LRF	None	No internal audit since introduction of the SPR	tbc	As above
		Organised crime	High		Substantial	Governance of EMSOU-SOC through East Midlands Collaboration	None	No internal audit since introduction of the SPR	tbc	As above
		Public order	Very high		Substantial	Governance of public order policing through the Operational Support Board	None	No internal audit since introduction of the SPR	tbc	As above
		Large scale cyber incident	Very high		Limited	Governance of cyber crime through East Midlands Collaboration <i>Policies and plans still in development</i>	None	No internal audit since introduction of the SPR	tbc	As above

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					Assurance	Rationale	Assurance	Rationale	Assurance	Rationale
Value for money policing services: To spend your money wisely	Corporate governance	Legal challenge to decisions	Very high	Chief Constable	Reasonable	Governance of policy making through FEB <i>Policy making process currently under review</i>	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years
		Failure of police collaboration arrangements to achieve their objectives	Very high	Chief Constable	Limited	Governance of police collaboration through FEB <i>Future collaboration plans still in development</i>	None	No internal audit in last 3 years	Limited	HMIC review of East Midlands collaboration, 'Working Together' (2013/14) <i>Several major recommendations made</i>
		Failure of strategic partnership arrangements to achieve their objectives	High	ACC (Local Policing)	Reasonable	Governance of partnerships through Local Policing Board <i>Partnership working policy currently in development</i>	Reasonable	RSM Tenon Partnership Governance Audit (2012/13)	None	No independent assurance provided in last 3 years
		Failure to effectively identify and manage risk	Medium	DCC	Reasonable	Governance of risk management through Corporate Governance Board <i>Risk management policy currently under review</i>	Substantial	RSM Tenon Strategic Risk Management Audit (2012/13)	None	No independent assurance provided in last 3 years
	Financial management	Failure to manage finances within budget	Very high	ACO (Resources)	Reasonable	Financial governance through Corporate Services Board & FEB <i>Some aspects of business planning currently under review</i>	None	No internal audit in last 3 years	Substantial	HMIC inspection - Nottinghamshire Police's response to the funding challenge (Valuing the Police 3) (July 2013)
		Financial loss through material error or fraud	High		Substantial	Governance of financial management through the Corporate Services Board	Substantial	Baker Tilly Key Financial Controls Audits (2013/14) <i>Only low priority recommendations made</i>	Substantial	External Auditors Annual Report to the Chief Constable (2012/13)
	Estates management	Environmental damage	Medium	ACO (Resources)	Reasonable	Governance of environmental management through Corporate Services Board <i>Environmental management policy currently under review</i>	Substantial	Baker Tilly Environmental Management Audit (2013) <i>2 medium &amp; 3 low priority recommendations made</i>	None	No independent assurance provided in last 3 years
		Insufficient / unsuitable buildings / premises	High		Substantial	Estates strategy governance through Corporate Services Board	Substantial	Baker Tilly Estates Management Audit (2013) <i>Only 1 low priority recommendation made</i>	None	No independent assurance provided in last 3 years
	Vehicle fleet management	Insufficient / unsuitable vehicle fleet	High	ACO (Resources)	Reasonable	Governance of vehicle fleet through Corporate Services Board <i>Some aspects of vehicle fleet management processes currently under review</i>	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years



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Outcome	Objective	Type of risk	Potential impact	Responsibility	First line of defence: Management oversight		Second line of defence: Internal audit		Third line of defence: Independent assurance	
					Assurance	Rationale	Assurance	Rationale	Assurance	Rationale
Value for money policing services: To spend your money wisely	Workforce planning	Failure to achieve workforce plan	Very high	ACO (Resources)	Reasonable	Governance of workforce plan through Corporate Services Board & FEB <i>Some aspects of HR policy &amp; process currently under review</i>	Reasonable	Baker Tilly Workforce Planning Audit (2013/14) - draft report only <i>1 high and 3 low priority recommendations made</i>	None	No independent assurance provided in last 3 years
	Workforce management	Significant increase in sickness absence	High	ACO (Resources)	Substantial	Governance of attendance management policy through Corporate Services Board	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years
		Significant reduction in workforce morale / productivity	High		Limited	Governance of workforce morale / culture through Corporate Services Board <i>Most recent staff survey identified several significant areas for improvement</i>	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years
	Health and Safety	Harm suffered by employees	Very high	ACO (Resources)	Substantial	Governance through Strategic Health & Safety Committee	Substantial	Baker Tilly Health and Safety Audit (2013/14) - draft report only <i>Only 1 medium &amp; 2 low priority recommendations made</i>	None	No independent assurance provided in last 3 years
		Harm suffered by detainee(s)	Very high	ACC (Crime, Justice & Protective Services)	Reasonable	Governance of Custody through Operational Support Board <i>Some aspects of custody policy &amp; practice currently under review</i>	None	No internal audit in last 3 years	Reasonable	CJJI Custody Inspection (March 2013) <i>Some areas for improvement identified</i>
Training and Development	Loss of skills / resilience	High	ACO (Resources)	Reasonable	Governance of EMCHRS-L&D through East Midlands Collaboration <i>Some aspects of L&amp;D policy &amp; process currently under review</i>	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years	

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					Assurance	Rationale	Assurance	Rationale	Assurance	Rationale
Improved trust and confidence in policing: To earn your trust and confidence	Maintain an efficient and effective police force	Reputation damage for failure to maintain an efficient and effective police force	Very high	PCC	Substantial	Public relations & media management provided by Better Times Ltd	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years
	Service to victims	Reputation damage / complaints from significant reduction in quality of service to victims of crime	Very high	ACC (Local Policing)	Substantial	Governance of crime victim satisfaction through Joint Performance and Corporate Governance Boards	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years
		Reputation damage / complaints from significant reduction in quality of service to victims of ASB	Very high	ACC (Local Policing)	Substantial	Governance of ASB victim satisfaction through Joint Performance and Corporate Governance Boards	None	No internal audit in last 3 years	Reasonable	HMIC inspection of ASB (re-visit) January 2013 Some areas for improvement identified
	Community understanding & engagement	Reputation damage from significant loss of public confidence	Very high	ACC (Local Policing)	Substantial	Governance of community understanding & engagement through Joint Performance and EDHR Strategy Boards	Substantial	Baker Tilly Equality and Diversity Audit (2013) - draft Only 1 medium & 3 low priority recommendations made	None	No independent assurance provided in last 3 years
	Criminal justice	Significant reduction in criminal justice system efficiency & effectiveness	Very high	ACC (Crime, Justice & Protective Services)	Reasonable	Governance of Criminal Justice through Operational Support Board and LCJB Some aspects of CJ policy & practice currently under review	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years
	Discipline and standards	Reputation damage from instances of serious misconduct / corruption	Very high	DCC	Reasonable	Governance through DCC's Standards & Conduct Board Some aspect of integrity policy and process currently under review	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years
	Information security	Reputation damage / threat to public safety from loss of information / security breach	Very high	DCC	Reasonable	Governance of Information Assurance (IA) through FIAB IA action plan in process of implementation	Reasonable	RSM Tenon IT Healthcheck Audit (2011/12) Not all previous recommendations had been implemented	tbc	Awaiting final report from ICO audit December 2013
	Information management	Reputation damage / threat to public safety from misuse of information / data breach	Very high	DCC	Reasonable	As above	None	No internal audit in last 3 years	tbc	Awaiting final report from ICO audit December 2013
	Business continuity	Disruption to essential collaboration-delivered services	Very high	DCC	Limited	Governance of collaborative units through East Midlands Collaboration BC plans still in development	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years
		Disruption to ICT systems	Very high	ACO (Resources)	Reasonable	Governance of BCM through Corporate Governance Board BC plans and recovery processes currently under review	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years
		Disruption to essential Force-delivered services	Very high	DCC	Substantial	Governance of BCM through Corporate Governance Board	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years
		Disruption to external supplier / service provider	High	ACO (Resources)	Substantial	Governance of procurement through EMSCU collaborative board	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years
Disruption to partnership-delivered services		Medium	ACC (Local Policing)	Limited	Governance of partnerships through Local Policing Board BC plans and recovery processes currently under review	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years	

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Outcome	Objective	Type of risk	Potential impact	Responsibility	First line of defence: Management oversight		Second line of defence: Internal audit		Third line of defence: Independent assurance	
					Assurance	Rationale	Assurance	Rationale	Assurance	Rationale
Improved trust and confidence in policing: To earn your trust and confidence	Compliance with legislation / regulations / codes of practice	Reputation damage for non-compliance with national crime and incident recording standards (NCRS / NSIR)	Very high	DCC	Substantial	Governance of crime recording through Operational Support Board	None	No internal audit in last 3 years	tbc	Awaiting final report from HMIC inspection of Crime Data Integrity (Dec 2013)
		Reputation damage for non-compliance with legislation governing investigation and intelligence gathering (e.g. RIPA)	Very high	ACC (Crime, Justice & Protective Services)	Reasonable	Governance of investigation & intelligence through Operational Support Board <i>OSC inspection recommendations in process of implementation</i>	None	No internal audit in last 3 years	Reasonable	OSC Inspection (July 2013) <i>Some recommendations outstanding from previous inspection &amp; some new issues identified</i>
		Reputation damage for inappropriate / disproportionate use of stop & search powers	High	ACC (Local Policing)	Substantial	Governance of stop & search through Local Policing Board	None	No internal audit in last 3 years	Substantial	HMIC Stop & Search Inspection (2013)
		Reputation damage / sanctions for non-compliance with data protection legislation & codes of practice	High	DCC	Reasonable	Governance of Information Assurance (IA) through FIAB <i>Some aspects of policy &amp; process currently under development</i>	None	No internal audit in last 3 years	tbc	Awaiting final report from ICO audit December 2013
		Reputation damage / sanctions (?) for non-compliance with MoPI code of practice	High	DCC	Reasonable	Governance of MoPI through FIAB <i>Some aspects of policy &amp; process currently under development</i>			None	No independent assurance provided in last 3 years
		Opportunity to benefit financially from use of the Proceeds of Crime Act 2002	High	ACC (Crime, Justice & Protective Services)	Substantial	Governance of POCA through Operational Support Board	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years
		Reputation damage / sanctions (?) for non-compliance with the Financial Management Code of Practice for Police Service	High	PCC Chief Finance Officer	Substantial	Financial governance through the Strategic Performance & Resources Board	Substantial	Baker Tilly Financial Governance Audit (2013/14)	Substantial	External Auditors Annual Report to the Chief Constable (2012/13)
		Reputation damage from non-compliance with financial / accounting legislation / regulations / codes of practice	High	ACO (Resources)	Substantial	Governance of financial control through Business & Finance department	Substantial	Baker Tilly Key Financial Controls Audits (2013/14)	Substantial	External Auditors Annual Report to the Chief Constable (2012/13)
		Reputation damage / sanctions (?) for non-compliance with duties under the Equality Act 2010	High	Chief Constable	Substantial	Governance of equality & diversity through EDHR Strategy Board	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years
		Reputation damage / sanctions (?) for non-compliance with Health & Safety at Work Act 1974	High	ACO (Resources)	Substantial	Governance through Strategic Health & Safety Committee	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years
		Complaints over non-compliance with the Code of Practice for Victims of Crime	Medium	ACC (Local Policing)	Limited	No formal governance for new Victims Code (launched Nov 2013)	None	No internal audit since re-launch of Victim's Code	None	No independent assurance since re-launch of Victim's Code
		Reputation damage / sanctions for non-compliance with environmental legislation	Medium	ACO (Resources)	Reasonable	Governance of environmental management within through Corporate Services Board <i>Environmental management policy &amp; process currently under review</i>	Substantial	Baker Tilly Environmental Management Audit (2013)	None	No independent assurance provided in last 3 years
Reputation damage for non-compliance with Civil Contingencies Act 2004	Low	DCC	Substantial	Business Continuity policy governance through Corporate Governance Board	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years		
Reputation damage for non-compliance with governance principles / Joint Code of Corporate Governance	Very low	ACO (Resources)	Substantial	Annual Governance Statement (AGS) Governance through Corporate Governance Board	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years		



## APPENDIX II: DETAILED INTERNAL AUDIT PLAN 2014/15

Audit	Overview of Internal Audit Coverage	Internal Audit Approach	Proposed Timing	Fee	Target Audit Panel
<b>Assurance to be provided to the Office of Police &amp; Crime Commissioner</b>					
Commissioning	The specific scope of the review will be determined nearer the time.	Risk Based	Q4	£4,400	TBC
Governance – Delivery of Police & Crime Plan	To provide assurances that the Police & Crime Plan is being delivered, as expected.	Risk Based	Q2	£3,200	TBC
Partnerships	The review will provide assurance that the Force is maintaining its robust partnership links but in addition provide assurance that there is a mechanism in place for measuring outcomes for their investment in time, money and effort.	Risk Based	Q3	£2,552	TBC
Scrutiny Panel	The review will provide assurance that the recommendations from the Scrutiny Panel reviews have been appropriately addressed and implemented or alternatively the resource can be used to assist the Scrutiny Panel with any particular reviews.	Follow Up	Q3	£1,375	TBC
<b>Assurance to be provided to the Chief Constable</b>					
Information Security	The scope to be determined nearer the time.	Risk Based	Q3	£4,570	TBC
HR	The scope to be determined nearer the time but could consider training and development or appraisals....	Risk Based	TBC	£2,150	TBC
Discipline & Standards	The scope to be determined nearer the time.	Risk Based	TBC	£2,352	TBC
Victims	To provide assurances over compliance with the new Victims Code.	Compliance	TBC	£2,455	TBC
Data Protection Act	The specific scope will be determined nearer the time but will provide assurances over compliance with a number of the data protection principles.	Compliance	TBC	£4,452	TBC

Audit	Overview of Internal Audit Coverage	Internal Audit Approach	Proposed Timing	Fee	Target Audit Committee
<b>Assurance to be provided to the Police and Crime Commissioner and the Chief Constable</b>					
Key Financial Controls	<p>A key financial controls review, focusing on the key controls within;</p> <ul style="list-style-type: none"> <li>- Budgetary Control</li> <li>- General Ledger</li> <li>- Payroll &amp; Expenses</li> <li>- Payments &amp; Creditors</li> <li>- Income &amp; Debtors</li> <li>- Cash, Banking &amp; Treasury</li> <li>- Fixed Assets &amp; Insurance</li> </ul>	Key Financial Controls	Q3	£3,680	TBC
Data Quality	To provide some assurances over the validity of data being presented and reported. The audit will track data to source systems and data.	Risk Based	Q2	£2,752	TBC
Policy Review	It is considered to be useful to include an allocation following stage 2 transfer for a review of any revised policies to confirm robustness and fit for purpose.	Advisory	As and When	£2,270	TBC
Contingency	To be allocated as and when required during the year.	TBC	Q3	£2,000	TBC
Risk Management	Review of the Risk Management arrangements of the PCC and the Force. This will include a review of the arrangements for gaining assurance on the controls in place.	Risk Maturity	Q4	£2,750	TBC
Follow Up	To meet the IIA Standards and to provide management with ongoing assurance regarding implementation of recommendations.	Follow Up	Q4	£1,600	TBC
<b>Other Internal Audit Input</b>					
Audit Management	<p>This will include:</p> <ul style="list-style-type: none"> <li>▪ Annual planning</li> <li>▪ Preparation for, and attendance at, Audit</li> </ul>	N/A	N/A	£9,900	

Audit	Overview of Internal Audit Coverage	Internal Audit Approach	Proposed Timing	Fee	Target Audit Committee
	Committee meetings <ul style="list-style-type: none"> <li>▪ Regular liaison and progress updates</li> <li>▪ Liaison with external audit</li> <li>▪ Preparation of the annual internal audit opinion</li> </ul>				






# Nottinghamshire Police & Crime Commissioner and Nottinghamshire Police Strategic Risk Summary



2013/14 Quarter 4

## Objective 1: Safer communities – *To cut crime and keep you safe*

Risk	Responsible officer	Risk response plan	Risk exposure
Significant increase in crime & ASB	DCC	<p><b>In place:</b></p> <ul style="list-style-type: none"> <li>• Joint Local Policing &amp; Operational Support Performance Board</li> <li>• Tactical Tasking &amp; Coordination Group (TT&amp;CG)</li> <li>• Operational Control Strategy priorities:               <ul style="list-style-type: none"> <li>➢ Serious, organised crime</li> <li>➢ Violence</li> <li>➢ Burglary</li> <li>➢ Theft &amp; handling</li> <li>➢ Serious sexual offences</li> <li>➢ Partnership Plus (Safer Nottinghamshire Board)</li> <li>➢ High Impact Neighbourhoods (Nottingham Crime &amp; Drugs Partnership)</li> </ul> </li> <li>• Health &amp; Wellbeing Boards (City &amp; County)</li> <li>• Integrated Offender Management (IOM)</li> </ul> <p><b>In progress:</b></p> <ul style="list-style-type: none"> <li>• Multi agency Violent Crime Strategy 2013-15: <i>Alliance Against Violence</i></li> <li>• Substance Misuse Strategy 2013-18</li> <li>• Demand Prevention Strategy 2013-18</li> <li>• ‘Supporting Families’ programme (County)</li> <li>• ‘Priority’ Families programme (City)</li> </ul>	<p><b>Medium</b></p> 


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2013/14 Quarter 4

Risk	Responsible officer	Risk response plan	Risk exposure
Failure to protect vulnerable people from harm	ACC (Crime, Justice & Protective Services)	<p><b>In place:</b></p> <ul style="list-style-type: none"> <li>Local Safeguarding Adults &amp; Childrens Boards (City &amp; County)</li> <li>Multi Agency Public Protection Arrangements (MAPPA)</li> <li>Multi Agency Risk Assessment Conferences (MARACs)</li> <li>Multi Agency Safeguarding Hub (MASH) – County</li> <li>Nottingham &amp; Nottinghamshire Safeguarding Adults Multi Agency Policy, Procedure &amp; Guidance</li> <li>Nottinghamshire &amp; Nottingham City Safeguarding Children Boards’ Safeguarding Children Procedures</li> <li>Child Sex Offender Disclosure Scheme (Sarah’s Law) Policy and Procedure</li> </ul> <p><b>In progress:</b></p> <ul style="list-style-type: none"> <li>Development of vulnerability policy</li> <li>Support development of an integrated Multi Agency Safeguarding Hub (MASH) – City &amp; County</li> </ul>	<p><b>Medium</b></p> 
Significant increase in road traffic collisions (RTC)	ACC (Crime, Justice & Protective Services)	<p><b>In place:</b></p> <ul style="list-style-type: none"> <li>Nottinghamshire Strategic Road Safety Partnership</li> <li>Nottinghamshire Camera Safety Partnership</li> <li>Driver education courses (AA Driveteck)</li> <li>Community Resolution for road traffic offences</li> </ul> <p><b>In progress:</b></p> <ul style="list-style-type: none"> <li>Establishment of multi agency Community Road Safety group</li> </ul>	<p><b>Low</b></p> 

## Nottinghamshire Police & Crime Commissioner and Nottinghamshire Police Strategic Risk Summary



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Risk	Responsible officer	Risk response plan	Risk exposure
Failure to meet the Strategic Policing Requirement (SPR): <ul style="list-style-type: none"> <li>• Terrorism</li> <li>• Civil emergencies</li> <li>• Organised crime</li> <li>• Public order</li> <li>• Large scale cyber incident</li> </ul>	ACC (Crime, Justice & Protective Services)	<b>In place:</b> <ul style="list-style-type: none"> <li>• East Midlands Special Operations Unit:               <ul style="list-style-type: none"> <li>○ Special Branch (EMSOU-SB)</li> <li>○ Serious Organised Crime (EMSOU-SOC)</li> <li>○ Local Resilience Forum (LRF)</li> <li>○ Regional public order policing (Leics police lead)</li> </ul> </li> </ul> <b>In progress:</b> <ul style="list-style-type: none"> <li>• Large scale cyber incident plan</li> </ul>	<p style="text-align: center;"><b>Low</b></p> 

# Nottinghamshire Police & Crime Commissioner and Nottinghamshire Police Strategic Risk Summary




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## Objective 2: Value for money policing services – *To spend your money wisely*

Risks	Responsible officer	Risk response plan	Risk exposure
Failure to manage finances within budget	ACO (Resources)	<p><b>In place:</b></p> <ul style="list-style-type: none"> <li>• Medium Term Financial Plan (MTFP)</li> <li>• Efficiency savings plan 2013/14</li> <li>• Treasury Management Strategy</li> <li>• Corporate Services Board</li> <li>• East Midlands Strategic Commercial Unit (EMSCU): Nottinghamshire, Derbyshire, Northamptonshire</li> <li>• Transformation Board</li> <li>• Force Programme Management Office (PMO)</li> <li>• Contingent liability in accounts (for A19 tribunals)</li> </ul> <p><b>In progress:</b></p> <ul style="list-style-type: none"> <li>• Efficiency savings plan 2014/15</li> <li>• Development of Target Operating Model (TOM)</li> </ul>	<p><b>Very high</b></p> 
Failure to achieve workforce plan	ACO (Resources)	<p><b>In place:</b></p> <ul style="list-style-type: none"> <li>• Corporate Services Board</li> <li>• Workforce plan 2013/14</li> </ul> <p><b>In progress:</b></p> <ul style="list-style-type: none"> <li>• Workforce plan 2014/15</li> <li>• Development of Target Operating Model (TOM)</li> <li>• Recruitment policy</li> </ul>	<p><b>High</b></p> 




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Risks	Responsible officer	Risk response plan	Risk exposure
Significant reduction in workforce morale & productivity	ACO (Resources)	<p><b>In place:</b></p> <ul style="list-style-type: none"> <li>Performance &amp; Development Review (PDR) process</li> <li>Staff perception surveys</li> </ul> <p><b>In progress:</b></p> <ul style="list-style-type: none"> <li>Culture programme</li> </ul>	<p><b>Medium</b></p> 
Significant loss of key skills & resilience	ACO (Resources)	<p><b>In place:</b></p> <ul style="list-style-type: none"> <li>East Midlands Police Collaborative Human Resources Services – Learning &amp; Development (EMCHRS-L&amp;D)</li> </ul> <p><b>In progress:</b></p> <ul style="list-style-type: none"> <li>Talent management &amp; succession planning framework</li> </ul>	<p><b>Medium</b></p> 
Failure to preserve the health & safety of the workforce and others affected by the activities of the Force	ACO (Resources)	<p><b>In place:</b></p> <ul style="list-style-type: none"> <li>Strategic Health &amp; Safety Committee</li> <li>Force Health &amp; Safety Policy</li> <li>East Midlands Police Collaborative Human Resources Services: <ul style="list-style-type: none"> <li>Learning &amp; Development (EMCHRS-L&amp;D)</li> <li>Occupational Health (EMCHRS-OH)</li> </ul> </li> <li>Temporary replacement healthcare provider in custody (G4S)</li> </ul> <p><b>In progress:</b></p> <ul style="list-style-type: none"> <li>NHS commissioning to take over healthcare provision in custody from 2015</li> </ul>	<p><b>Medium</b></p> 

## Nottinghamshire Police & Crime Commissioner and Nottinghamshire Police Strategic Risk Summary

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Risks	Responsible officer	Risk response plan	Risk exposure
Insufficient or unsuitable property estate & vehicle fleet	ACO (Resources)	<p><b>In place:</b></p> <ul style="list-style-type: none"> <li>Vehicle services contract: Vensons Public Sector</li> <li>Artemis vehicle fleet management system</li> </ul> <p><b>In progress:</b></p> <ul style="list-style-type: none"> <li>Estates rationalisation programme (Phase 3)</li> <li>Estates capital programme</li> <li>Shared services programme</li> </ul>	<p><b>Medium</b></p> 
Failure of collaboration & partnership arrangements to achieve their objectives	Chief Constable	<p><b>In place:</b></p> <ul style="list-style-type: none"> <li>East Midlands Police Collaboration s23 Agreements</li> <li>Partnerships database</li> <li>Nottinghamshire Community Safety Strategy</li> <li>Nottingham Crime &amp; Drugs Partnership (CDP) Partnership Plan</li> </ul> <p><b>In progress:</b></p> <ul style="list-style-type: none"> <li>East Midlands Police Collaboration Programme (EMPCP)</li> <li>Partnership working policy</li> </ul>	<p><b>Medium</b></p> 
Significant increase in sickness absence	ACO (Resources)	<p><b>In place:</b></p> <ul style="list-style-type: none"> <li>Attendance Management Policy</li> <li>East Midlands Police Collaborative Human Resources Services – Occupational Health Unit (EMCHRS-OHU)</li> <li>Employee Assistance Provider (CiC)</li> </ul>	<p><b>Low</b></p> 

# Nottinghamshire Police & Crime Commissioner and Nottinghamshire Police Strategic Risk Summary



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Risks	Responsible officer	Risk response plan	Risk exposure
Failure to practice effective corporate governance	ACO (Resources)	<p><b>In place:</b></p> <ul style="list-style-type: none"> <li>• Joint Code of Corporate Governance</li> <li>• Corporate Governance Board</li> <li>• Joint Audit &amp; Scrutiny Panel</li> </ul> <p><b>In progress:</b></p> <ul style="list-style-type: none"> <li>• Review of Corporate Risk Management Policy &amp; Procedure</li> </ul>	<p><b>Low</b></p> 
Financial loss through material error or fraud	ACO (Resources)	<p><b>In place:</b></p> <ul style="list-style-type: none"> <li>• Scheme of Delegation</li> <li>• Financial Regulations</li> <li>• Standing Orders for dealing with land &amp; property</li> <li>• Insurance policies</li> </ul>	<p><b>Low</b></p> 

# Nottinghamshire Police & Crime Commissioner and Nottinghamshire Police Strategic Risk Summary

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## Objective 3: Improved trust and confidence in policing – *To earn your trust and confidence*

Risks	Responsible officer	Risk response plan	Risk exposure
Incidents of serious misconduct or corruption	DCC	<b>In place:</b> <ul style="list-style-type: none"> <li>• PROUD values</li> <li>• Counter-Corruption Unit (CCU)</li> <li>• Protective monitoring system: 3AMI</li> <li>• Integrity Messenger</li> <li>• Compulsory <i>It started with a kiss</i> briefing</li> <li>• Professional Standards Reporting Procedure</li> <li>• Maintaining Professional Boundaries and Standards of Behaviour Code of Conduct</li> <li>• Police staff misconduct policy</li> <li>• Misconduct &amp; Criminality Communications Policy</li> <li>• Vetting Procedures for the Police Community</li> <li>• Unmanageable Debt Procedure</li> <li>• Notifiable Associations for Police Personnel Policy &amp; Procedure</li> <li>• Business Interests &amp; Additional Employment for Police Officers and Police Staff Procedure</li> <li>• Gifts, Gratuities &amp; Hospitality Procedure</li> <li>• Media and Social &amp; Digital Media Policies</li> </ul>	<b>Medium</b>  
Significant reduction in criminal justice system efficiency & effectiveness	ACC (Crime, Justice & Protective Services)	<b>In place:</b> <ul style="list-style-type: none"> <li>• Nottinghamshire Local Criminal Justice Board (LCJB)</li> </ul> <b>In progress:</b> <ul style="list-style-type: none"> <li>• Regional criminal justice collaboration</li> <li>• Archive &amp; exhibits programme</li> </ul>	<b>Medium</b>  





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Risks	Responsible officer	Risk response plan	Risk exposure
Loss or misuse of Force held information	DCC	<p><b>In place:</b></p> <ul style="list-style-type: none"> <li>Force Information Assurance Board (FIAB)</li> <li>Compulsory information assurance e-learning package</li> <li>Protective monitoring system: 3AMI</li> <li>Information Management Policy, Procedures &amp; Guidance</li> <li>Information Security Policy &amp; Procedure</li> <li>Information Sharing Policy, Procedures &amp; Guidance</li> </ul> <p><b>In progress:</b></p> <ul style="list-style-type: none"> <li>Information Assurance Maturity Model (IAMM) plan</li> </ul>	<p><b>Medium</b></p> 
Failure to maintain an efficient and effective police force	PCC	<p><b>In place:</b></p> <ul style="list-style-type: none"> <li>Police &amp; Crime Plan 2013-18</li> <li>Strategic Performance &amp; Resources Board</li> <li>East Midlands Police Collaboration Programme (EMPCP): <ul style="list-style-type: none"> <li>Operational Support Department</li> <li>Corporate Services</li> </ul> </li> </ul> <p><b>In progress:</b></p> <ul style="list-style-type: none"> <li>NOPCC Lobbying Government for a better deal on funding formula, police grant, precept and community safety fund</li> <li>PCC's Alcohol Strategy</li> <li>Police Innovation Fund bids</li> </ul>	<p><b>Medium</b></p> 

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Risks	Responsible officer	Risk response plan	Risk exposure
Disruption to essential services (business continuity)	DCC	<p><b>In place:</b></p> <ul style="list-style-type: none"> <li>• Business Continuity Management Policy &amp; Strategy 2011-14</li> <li>• Contract management policy</li> </ul> <p><b>In progress:</b></p> <ul style="list-style-type: none"> <li>• Telephony infrastructure replacement</li> <li>• Windows 7 upgrade</li> <li>• Mansfield server room air conditioning replacement</li> </ul>	<p><b>Medium</b></p> 
Significant loss of public confidence	PCC	<p><b>In place:</b></p> <ul style="list-style-type: none"> <li>• PCC's public relations &amp; media management (Better Times Ltd)</li> <li>• PCC Communication strategy</li> <li>• PCC Consultation &amp; Engagement Strategy</li> <li>• PCC website (including Executive decision log)</li> <li>• PCC's Annual Report</li> <li>• Misconduct &amp; Criminality Communications Policy</li> </ul> <p><b>In progress:</b></p> <ul style="list-style-type: none"> <li>• Establishment of stakeholder boards for City and County</li> <li>• Development and establishment of public meeting structure</li> <li>• PCC's Social Responsibility strategy</li> </ul>	<p><b>Low</b></p> 

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Risks	Responsible officer	Risk response plan	Risk exposure
Significant reduction in quality of service to victims of crime & ASB	ACC (Local Policing)	<p><b>In place:</b></p> <ul style="list-style-type: none"> <li>Track My Crime web based crime tracking portal</li> <li>Victim of crime &amp; ASB satisfaction surveys</li> <li>Team &amp; individual performance monitoring</li> <li>Valuing Victims briefings</li> <li>Service Level Agreement (SLA) with East Midlands Ambulance Service (EMAS)</li> <li>ASB Policy &amp; Communication Strategy</li> <li>Independent Advisory Groups (IAGs)</li> </ul> <p><b>In progress:</b></p> <ul style="list-style-type: none"> <li><i>Designing the future</i> using systems thinking</li> <li>Force Public Engagement Strategy 2013-18</li> <li><i>Tailored services for our diverse communities</i> project</li> </ul>	<p><b>Low</b></p> 
Failure to comply with relevant legislation, regulations and codes of practice	DCC	<p><b>In place:</b></p> <ul style="list-style-type: none"> <li>East Midlands Legal Services</li> <li>Force Crime Registrar</li> <li>Force Authorising Officer (Director of Intelligence)</li> <li>Financial Controller</li> <li>Equality &amp; Diversity Strategy Board</li> <li>Strategic Health &amp; Safety Committee</li> <li>Environmental management officer</li> <li>Business continuity advisor</li> <li>Annual Governance Statement (AGS)</li> </ul> <p><b>In progress:</b></p> <ul style="list-style-type: none"> <li>Information Assurance Maturity Model (IAMM) plan</li> </ul>	<p><b>Low</b></p> 

# Nottinghamshire Police & Crime Commissioner and Nottinghamshire Police Strategic Risk Summary

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Risks	Responsible officer	Risk response plan	Risk exposure
Significant damage to the environment	ACO (Resources)	<p><b>In place:</b></p> <ul style="list-style-type: none"> <li>• Environmental Management Policy &amp; Strategy</li> <li>• Environmental Management Group</li> <li>• Sustainable procurement policy</li> </ul> <p><b>In progress:</b></p> <ul style="list-style-type: none"> <li>• Carbon Management Plan</li> <li>• Bunkered fuel sites upgrade project</li> </ul>	<p><b>Low</b></p> 