

Appendix A: Key Risk Controls Assurance Map

Strategic Risks		Governance/ Reporting	Risk rating	Lines of defence		Is the level of assurance adequate?	Recommended action
				Internal Audit	External Inspection		
				This level of assurance is provided independently by the Force's internal auditors and is evidenced by audit reports provided in the last 3 years.	This level of assurance is provided by Inspectorates, such as HMIC, and is evidenced by Inspection reports in the last 3 years.		
Force Strategic Risks	NPF0001:Force telephony infrastructure is nearing the end of its operational life, increasing the probability of critical failure resulting in temporary loss of internal & external communications capability.	Force Telephony Project Board Transformation Board	Medium	None	None	No	None
	NPF0002: Current BEAT system is only compatible with Blackberry mobile devices, so when stocks of Blackberrys run out the Force is unable to provide replacements which removes the mobile data capability of operational officers.	Mobilising the Workforce Strategic Board	High	None	None	No	None
	NPF0003: The Force's appeal against the employment tribunal ruling on use of Reg A19 fails, resulting in the award of compensation to c100 former officers.	Standards and Integrity Board	High	None	None	No	None
	NPF0006: Closure of Bridewell custody following mechanical or electrical failure, resulting in significantly reduced custody provision.	Strategic Custody Group (Regional)	High	None	Reasonable: HMIP/ HMIC, Visit to Police Custody Suites in Nottinghamshire, March 2013 Limited: HMIC, The Welfare of Vulnerable People in Custody, March 2015	No	As there are a number of risks of this nature it is recommended that the management of collaborative risk as part of the Internal Audit Plan 2016/17.
	NPF0007: Clogging of air ducting at the Bridewell impedes fire detection and containment measures, resulting in a fire safety incident which endangers the lives of officers, staff, detained persons and visitors. -	Strategic Custody Group (Regional)	Medium	None	Reasonable: HMIP/ HMIC, Visit to Police Custody Suites in Nottinghamshire, March 2013 Limited: HMIC, The Welfare of Vulnerable People in Custody, March 2015	No	As there are a number of risks of this nature it is recommended that the management of collaborative risk as part of the Internal Audit Plan 2016/17.
	NPF0010: Excessive fuel spillage at one of the Force's underground storage tanks sites that does not have a fuel interceptor (Ollerton, Hucknall, Oxclose Lane & Sutton in Ashfield) results in pollution of the local watercourse.	Assets Department SMT	Low	None	None	No	None
	NPF0011: Design of custody cell basins, water dispensers and air vent grilles does not meet requirements of APP, resulting in a detained person being placed in a non-compliant cell.	Strategic Custody Group (Regional)	High	None	Reasonable: HMIP/ HMIC, Visit to Police Custody Suites in Nottinghamshire, March 2013 Limited: HMIC, The Welfare of Vulnerable People in Custody, March 2015	No	As there are a number of risks of this nature it is recommended that the management of collaborative risk as part of the Internal Audit Plan 2016/17.
	NPF0012: Design of custody cell basins, water dispensers and air vent grilles creates a potential ligature point, resulting in an incident which endangers the life of a detained person.	Strategic Custody Group (Regional)	Low	None	Reasonable: HMIP/ HMIC, Visit to Police Custody Suites in Nottinghamshire, March 2013 Limited: HMIC, The Welfare of Vulnerable People in Custody, March 2015	No	As there are a number of risks of this nature it is recommended that the management of collaborative risk as part of the Internal Audit Plan 2016/17.

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NPF0013: The design of stainless steel WC pans in custody (70+ cells) enables a detained person to secure a ligature under the rim, resulting in an incident which endangers their life.	Strategic Custody Group (Regional)	Low	None	Reasonable: HMIP/ HMIC, Visit to Police Custody Suites in Nottinghamshire, March 2013 Limited: HMIC, The Welfare of Vulnerable People in Custody, March 2015	No	As there are a number of risks of this nature it is recommended that the management of collaborative risk as part of the Internal Audit Plan 2016/17.
NPF0014: Due to a shortage of trained pursuit TAC advisors, and inability to provide training through EMOpSS to increase capacity, a vehicle pursuit has to be abandoned when it would have been beneficial to continue.	Force Training Priorities Panel	High	None	None	No	None
NPF0015: Financial forecasting indicates higher spending than income. Additional uncertainty pending CSR and funding formula. Current saving plans unlikely to enable balance of budget before year end March 2016 requiring use of reserves. Reduction in resources spending will impact upon current and future activities and service delivery.	Transformation Board	High	Limited: Mazars, Savings Programme, August 2015 (Assurance rating may be subject to change following accuracy check)	Reasonable: HMIC, PEEL Efficiency, October 2015	No	Due to the high level risk and the overall judgement of 'limited assurance' following the last audit of this area it is recommended a follow up audit of the controls and processes in place in respect of the Savings Programme is included in the Internal Audit Plan 2016/17.
	Force Executive Board			Reasonable: HMIC, PEEL Valuing the Police 4 (Revisit), October 2014		

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.