

Police Crime Commissionr and Chief Constable Assurance Map (to support the Annual Governance Statement)

DRAFT  
v0.12  
TO JIAC  
27/11/14  
Updated  
11/11/14

**PURPOSE:** It is essential that there is an effective and efficient framework in place to give sufficient, continuous and reliable assurance on organisational stewardship and the management of the significant risks and process risks to organisational success and delivery of improved, cost effective, public services.

NOT PROTECTIVELY MARKED

TO JIAC 27/11/14 Updated 11/11/14				1st Line of Defence			2nd Line of Defence						3rd Line of Defence					Joint Independent Audit Committee Assessment		
				Delivering the risk and control environment BUSINESS AREAS			Other oversight and assurance functions MANAGEMENT OVERSIGHT						Independent assurance / advice INDEPENDENT AND OBJECTIVE							
				First line (more knowledge, less independence) Identifying risks and improvement actions. Implementing controls. Reporting on progress.			Second line (more objective, but not wholly independent) Designing policies. Setting direction. Ensuring compliance. Assurance oversight						Third line (objective & independent) Independent challenge, audit. Reporting on assurance.							
Strategic objective/ priority	Risk		Risk Assessment		Owner	Management Controls			Corporate Reporting		Compliance Reviews	Quality & Inspection			Internal Audit	External Audit	External providers	Inspectorate	PCC/Force proposal	JIAC Assessment
			Inherent (no controls)	Residual (with controls)		Local Business Plan	Local Risk Register	Local Internal Control	Financial Reporting	Corporate Performance Reports	Regulations, Commissioning & Partnerships	Information Assurance (inc. sys accreditation)	Portfolio Mtg/Reviews	Satisfaction / Complaints Handling	Type		Commissioning & Partnership's Internal Audit Reports	HMIC/Other		
Reducing crime	• Failure to ensure that Force objectives are delivered (failure to ensure that the Force's Operational Policing delivery plan is implemeted, failure to achieve performance indicators relating to the reduction of crime).		PCC register  Red 12	PCC register  Amber 9	CE  RPO	Business leads, Operational Delivery Plan, Control Strategy, Management teams. (Oct 2014)	Crime and Operations Risk Register (Oct 2014)	Control Strategy. Business leads. Delivery Plans - owned by business leads. Report quarterly SLT. (Oct 2014)	Revenue and Capital Monitoring reports to FCFO. Decision reports published on PCC's website e.g. budget report. (Oct 2014)	Force performance meetings, PCC performance governance meetings OPCC Operational Delivery Monitoring Plan Annual report (Oct 2014)	ACC Review of partnership delivery and funding (Oct 2014)	IMU Manager - IMU policies in place. (Oct 2014)	Continuous Improvement Unit - reviews. CMB Review (August 2014) Case Conference Co- ordinator review. ICAT review (ACC Commissioned ) (Oct/Nov 2014)	PCC Professional Standards governance meeting (Oct 2014)	• Risk management (2013/4 Q4 AMBER/GREEN) • Delivery of Police and Crime Plan scheduled for 2014/5 Q3 • Governance (decision making) GREEN August 2014 • Delivery of Police and Crime Plan Q3 2014 (Oct 2014)	Audit opinion - links to meeting objectives and management of risk	Victims Services satisfaction and commissioning (Oct 2014)	HMIC Valuing the Police 4 (July 2014) HMIC Making the best use of police time - (report Sept 2014) HMIC Data Integrity (report Sept 2014)	Add with date	Review at JIAC meeting
	Force	• Crime (Intelligence, protecting vulnerable people, child sexual exploitation, child and adult protection, domestic abuse, dangerous persons, sexual offences, major crime, serious and organised crime, cyber crime).	Not on PCC or Force Risk Register		DCC  DCSupt Stanilan d	Tasking and Co-ordination meetings, Control strategies (PIER), Operational delivery plan and local plans, links to regional tasking. OCG meeting. PPU tasking meeting. Force Dom Abuse plan. PVP mtg. PPU Action Plan. (Oct 2014)	Crime Risk Register in place, Risk Officer (Oct 2014)	DPMU (July 2014) AMBER Policies and procedures Control strategy, Strategic Assessments, STRA process, tasking, internal meeting structure (Oct 2014)	Meeting structure (budget and resources), strategic workforce planning board, Blue book. HR and Finance reps attend SMT meetings (Oct 2014)	Quarterly PCC Briefings, progress against delivery reports (quarterly to PCC), Monthly performance report, SMT, SLT, District Perf mtgs (Oct 2014)	PPU compliance reviews. DA Strategic management board, LASB & LCSB regs/audit. CSE work in progress. CSP. S11 audit LSCB (self and peer review) (Oct 2014)	DCC commissioned audit DPMU July 2014 RED. Additional resources allocated. LASB & LCSB, serious case reviews, domestic homicide reviews, CJ OCD scrutiny panel, IMU regular audits (DPMU, DA) DA SMB. (Oct 2014)	Head of Crime 1-1s with Supts DA Lean Review (Oct 2014) Continuous Improvement Unit - reviews. CMB Review (August 2014) Case Conference Co- ordinator review. ICAT review (ACC Commissioned ) (Oct/Nov 2014)	Professional Standards Dept - monitoring and management (Oct 2014)	Strategic Policing Requirement AMBER/GREEN (Dec 2013)  Proceeds of Crime Act - RED (August 2014) All recommendations accepted and action plan implemented.	n/a	DHR, SCR process (partnership working) CAADA quality assure MARAC. (Oct 2014)	PEEL Inspection Interim report Nov 2014 HMIC Crime Data Integrity report (draft available, awaiting final report - Oct 2014) Interception of Communication Commissioner's Office (ICCO) HMIC DA inspection - > Action Plan (links to HO Action plan)  Office of Surveillance Commissioner (Sept 2014)	Add with date	Review at JIAC meeting
		• Local Policing (East and West)	Not on PCC or Force Risk Register		ACC C/Supts Wood & Gibson	Tasking and Co-ordination meetings. Control strategies. STRA. Daily management meetings. Performance meetings. (Nov 2014) PW/PG to add	Local Risk Register, Performance officer manages process. (Nov 2014) PD to advise RAG	Force policies and procedures. Control strategy. Operational Delivery Plan. Force task and co-ordination process. (Nov 2014)	Meeting structure (budget and resources), strategic workforce planning board, Blue book. HR and Finance reps attend SMT meetings. Current issue, overtime/t-police (Nov 2014)	Quarterly PCC Briefings, progress against delivery reports (quarterly to PCC), Monthly performance report, SMT, SLT, District Perf mtgs (Oct 2014)	Force compliance, strategic oversight groups (hate crime, stop search, other LP matters). Partnerships commissioning (PCC fund, officer time). Nov 2014	Crime recording, quality and oversight. CMB and Crime Registrar. HMIC inspection. Issues escalated. (Nov 2014)	PCSO Review, New manual of guidance. Shift pattern review. DCC/ACC 6 month review of control strategies. Management oversight of key partnerships (YOS, CYPSP, LRSP). (Nov 2014)	Professional Standards Dept - monitoring and management. Satisfaction SKPI, control strategy, Performance Governance oversight. (Nov 2014) (Oct 2014)	n/a	n/a	n/a	PEEL Inspection Interim report (investigations - area for improvement, crime prevention/reduction - good, ASB - good). Stop search re- inspection. Disability hate crime (feedback largely positive). Nov 2014	Add with date	Review at JIAC meeting
		• Operations (Civil contingencies, public order, OSU, Roads policing, emergency planning, ...) FCR DCC to assist	Not on PCC or Force Risk Register		DCC		Risk Register in place, Risk Officer (Oct 2014)			Quarterly PCC Briefings (Oct 2014)				Professional Standards Dept - monitoring and management (Oct 2014)				PEEL Inspection Interim report Nov 2014	Add with date	Review at JIAC meeting

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	• Failure to persuade government of Lincolnshire's case for a fairer share of national funding.	PCC register Red 16	PCC register Red 12	CFO FCFO	CFO & FCFO lead, plans in place. Lobbying plans (MPs, Ministers visits, letters, HMIC/HO). Links to Media strategy. CC rep on HO Funding Silver Group (Oct 2014)	Finance risks covered in Resources Governance report Planning and Strategy Reports (Oct 2014)	VfM Strategy Engagement with HO Resources Unit Financial governance (Oct 2014)	Medium Term Financial Strategy (Oct 2014)	Resources Governance meeting oversight Planning and Strategy COG + SLT (Oct 2014)	n/a	n/a	Oxford Economics Review (2013)	0 recorded complaints to PCC on funding  Consultation on Budget	Medium term financial planning (Nov 2013): GREEN  Financial management inc budget management Q3 2014	Annual Audit Letter (Sept 2014)	n/a	HMIC Valuing the Police 4 (July 2014)	Add with date	Review at JIAC meeting
Fair deal for the people of Lincolnshire	• Failure to achieve and demonstrate efficiencies and value for money	PCC register Red 16	PCC register Red 12	CE ACO HoSD	DCC leading productivity work (Policing Transformation Programme). THRIVE Project (Oct 2014)	Demand Management THRIVE Risk register in place (Nov 2014), other strands in scoping stage (Nov 2014)	Programme structure in place. Internal controls work in place. VfM Strategy. T-Police (HR/Finance management info, better understanding of how resources are used). (Oct 2014)	Policing Transformation Programme reports. Review in progress. (Oct 2014)	Resources Governance oversight (PTP development report, PTP benefits report). Annual Report (Oct 2014)	EM Policing Academic Collaboration - research programme. Local work with University of Lincoln (Oct 2014)	n/a	N/a	n/a	Medium term financial planning (Nov 2013): GREEN	Unqualified audit opinion (Sept 2014) VFM criterion (securing financial resilience, securing economy, efficiency & effectiveness) met (PCC/CC), but 1 significant risk identified (Annual Audit letter). (Sept 2014)	n/a	HMIC Valuing the Police 4 [good/outstanding] (July 2014) VFM Profiles draft issued Sept 2014, final expected Nov 2014.	Add with date	Review at JIAC meeting
Police and services that are there when	• Failure to deliver and demonstrate value for money in regional collaboration <i>(Ref: Regional Collaboration)</i>	PCC register Red 12	PCC register Red 12	CE RPO	Principles and vision agreed. Local plans in place for projects. Programme updates provided to EMPCC Board. Operational progress - GREEN Back office services (eg OHU, Legal) - AMBER (Oct 2014)	Risk registers in place for projects, mitigation strategies evidenced. Operational risk registers in place, links to SPR (Oct 2014)	Governance structure in place, more development work required. Regional Efficiency Board, quarterly oversight of implementation of planned savings. Assurance map in development (CFOs leading) (Oct 2014)	Financial Regulations Governing Collaborative Units document. Finance Report, reported to the Resources Board. (Oct 2014)	Regional Performance Report reviewed by EMPCC Board. Strategic performance reporting to PCCs. Work in progress (Oct 2014)	Innovation Fund, multiple projects (inc Criminal Justice and NICHE, BW Video) (Oct 2014)	Information Assurance included in Operational Support Portfolio. RAG rated Amber.	n/a	n/a	EM collaboration (governance and financial framework) - AMBER/ RED (Dec 2013)  Collaboration efficiency savings plans (Joint EM review) Q3 2014	External Audit - CIPFA code of practice, correct partnership accounting arrangements) 2013	n/a	Review of Regional Collaboration published 12/11/13. Effective (SOC, major crime) arrangements provide capability, capacity and resilience. Areas for improvement.	Add with date	Review at JIAC meeting



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you need them	• Failure to ensure strategic partners'/partners' objectives are delivered. <i>(Ref: Commercial Partnership Team)</i>	PCC register Red 12	PCC register Red 12	CE  RPO CPT Manager	G4S plans, Community Safety Partnership LRSP Plan, LCJB Plan in place. Strategic Partnership refresh (Oct 2014)	G4S aligned with Force risk management process. G4S risk management process. (Oct 2014)	Management structures, CSP SMB, LCJB, LRSP. Flag Reports. THRIVE report, CMB report. (Oct 2014)	Executive Board, Performance and Delivery Board (Green) CSP Reporting (more work required) Transactional Management Board (Monthly review) (Oct 2014)	Executive Board, Performance and Delivery Board - quarterly monthly reports. CSP: more work required. Transactional Management Board (Monthly review) (Oct 2014)	n/a	Security access - Tpolice/IMU - issues addressed (Oct 2014)	Continuous Improvement Unit Review - CMB (Sept 2014)	n/a	Income and debtors (AMBER/RED) May 2014 Payments and creditors (RED) May 2014 Cash, Banking and TM (AMBER/RED) May 2014 T-Police (AMBER/RED) May 2014 ICT Regional NICHE draft report Oct 2014  Planned audits for 2014/15	n/a	n/a	HMIC Valuing the Police 4 (July 2014)	Add with date	Review at JIAC meeting
Reducing crime, Fair deal, Services there when needed	• Inability to bridge funding gap for 2016/17 as a result of Comprehensive Spending Review 2	Force Risk Red 12	Force risk Red 12	CFO FCFO	MTFS, COG Strategic planning (Oct 2014)	Force Risk Register, RMS and policy, Finance Dept Risk register	Vfm Strategy, Link to Vfm and funding items, P&S reports, Planning schedule, Budget setting process/timeta ble (Oct 2014)	Medium term financial strategy, Budget Options for Savings Report (Oct 2014)	Planning and Strategy meetings (Oct 2014)	n/a	n/a	n/a	n/a	Medium term financial planning (Nov 2013) GREEN	Annual Audit Letter (Sept 2014)	n/a	HMIC Valuing the Police 4 (July 2014)	Add with date	Review at JIAC meeting
Reducing crime, Fair deal, Services there when needed	• Lack of effective Succession Planning (Chief Officer Team)	PCC Risk Register Red 16	PCC Risk Register Red 16	PCC/ CC	Timetable for temporary appointments for Chief Officer Team. CC work in progress. Longer term succession planning. (Oct 2014)	Not on Force Risk Register. Recorded on PCC risk register. (Oct 2014)	PCC Governance Framework (Oct 2014)	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	HMIC expressed concern at previous interim appointments (2012/2013)	Add with date	Review at JIAC meeting
Reducing crime, Fair deal, Services there when needed	• Failure to ensure effective governance	PCC register Amber 8	PCC register Amber 4	CE CFO FCFO	Business plans in place, business continuity plans. Integrated governance framework. Schemes of consent, scheme of delegation, financial and contract regs, training programme (Oct 2014)	Risk management strategy, risk management board, risk registers (Oct 2014)	Governance framework, links to AGS, code of corporate governance. Assurance map, Risk registers. Decision making reports. Financial and contract regs, training. (Oct 2014)	Revenue and Capital Monitoring reports to FCFO, MTFS (includes TM strategy) (Oct 2014)	AGS, Code of Corporate Governance (Oct 2014)	Compliance testing via internal controls eg procurement audit (Oct 2014)	n/a	n/a	PCC Professional Standards Governance meeting (Oct 2014)	Governance (Decision making and integrity) (June 2014) GREEN  Governance - (Sept 2013) GREEN  Risk management (AMBER/GREEN) Feb 2014	Letter Accounts  Review Code of Corporate Governance  Annual Governance Statement as part of annual audit (Oct 2014)	n/a	HMIC Valuing the Police 4 (July 2014)  ICO Audit - reasonable (March 2014)	Add with date	Review at JIAC meeting

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Reducing crime, Fair deal, Services there when needed	• Failure to manage finances effectively (financial management/ governance) <i>Ref: Corporate Finance Team, G4S Finance Team</i>		PCC Risk Register Red 12	PCC Risk Register Red 12	CFO  FCFO	TM strategy, Schemes of consent, scheme of delegation, financial and contract regs, training programme (Oct 2014)	Finance risk register Financial risks reported to Resources Governance meeting	Finance meetings, Systems, policies, practices, procedures - work in progress (Oct 2014)	Revenue and Capital Monitoring reports to FCFO, COG, Resources Governance. TM strategy. Financial Governance report to RG, decision report (compliance with contract regs) every June. (Oct 2014)	AGS Code of Corporate Governance (Oct 2014)	n/a	n/a	n/a	Contract management - monthly performance review by CPT, quarterly to P&D (Oct 2014)	Cash, Banking and Treasury Management (AMBER/RED) May 2014 General Ledger (AMBER/GREEN) May 2014 Payments and Creditors (RED) May 2014 Income and Debtors (AMBER/RED) May 2014 T-Police (AMBER/RED) August 2014	Overall audit conclusion based on 2013/14 accounts published Sept 2014.	TM consultancy - review/compliance checks (June 2014)	n/a	Add with date	Review at JIAC meeting
Reducing crime, Fair deal, Services there when needed	• Failure to maintain effective resources and infrastructure	• Lack of effective Legal (regional) arrangements leading to service delivery failure. <b>DCC to assist</b>	Not on PCC or Force Risk Register		DCC					Resources Governance oversight (6 monthly review) (Oct 2014)					Advisory Audit - Procurement of legal services. May 2014				Add with date	Review at JIAC meeting
		• Lack of effective IMU arrangements leading to service delivery failure.	IMU not recorded on Force Risk Register  <i>1 specific risk - RRD Amber 6</i>	NOTE: RRD - Red 12	DCC  (Dick Burge)	Force information assurance strategy. Team mtgs, supervisor mtgs, management mtgs. Departmental Plan. BC Plan. (Oct 2014)	Department risk register. IMU review all Force information risks across all depts at IMU Board. (Oct 2014)	Policies and procedures for all areas of the IMU (security, vetting etc). Force Information Management Board. Force Security Board. (Oct 2014)	Budget management. Income generation. Management meetings. (Oct 2014)	Performance booklet (monthly) covers SLAs (partner agency disclosures), Vetting, DBS. Local and national reporting structure. ACO oversight. (Oct 2014)	IAMM internal compliance review (level 3) - top performing force. IMU Audit (self audit RRD and PADO). (Oct 2014)	National Police Info Risk Management Team (Accreditation). Info Assurance Maturity Model (annual). National Security Policy Framework annual return. Systems risk assessment. (Oct 2014)	Information Manager monthly meetings with ACO (Oct 2014)	Complaints managed and monitored. Internal review process - DP issues (inc FOI). Internal review vetting (complaints). Links to PSD. Review process for DBS. (Oct 2014)	RSN Tenon - MoPI Management of Police Information - no recommendations and a green status. April 2012  Data Security IT Audit - Due Nov 2014	n/a	No ICO interventions. DBS standards and compliance annual review (QAF). Regional review of information assurance (ARISTA) Green. JIAC visit to IMU (compliance and process) and report to committee. July 2014. (Oct 2014)	ICO Data Protection (March 2014) 'reasonable assurance' HMIC Information Management "building the picture" Audit (June 2014) HO National Information Management Summary Report (reporting methods for IA) published to all forces for comparison. Lincs Police ranked 1st. (Oct 2014)	Add with date	Review at JIAC meeting
		• Lack of effective Procurement (G4S) arrangements leading to service delivery failure. <b>ACO to update RAG</b>	Not on PCC or Force Risk Register		ACO	Procurement Strategy Progress Reports (Oct 2014)	Progress report (quarterly) (Sept 2014)	Monthly performance and delivery reports. Monthly Service review meetings with CPT, monthly TMB, fortnightly Steering Group (Nov 2014)	Quarterly P&D Board. (Nov 2014)	Resources Governance oversight, Quarterly Contract Performance report by CPT Manager to P & D. (Nov 2014)	Procurement procedures detailed in PCC Financial & Contract Regs. (Nov 2014)	n/a	Monthly meeting with ACO (Resources) and CPT Manager (Nov 2014)	Flag reports, change requests. (Nov 2014)	n/a	Local Partnerships (reporting to HO) - review undertaken - to be completed end Nov 2014.	n/a	n/a	Add with date	Review at JIAC meeting
		• Lack of effective HR (G4S) arrangements leading to service delivery failure. <b>ACO to update RAG</b>	Not on PCC or Force Risk Register		ACO	HR Strategy and Plan Progress Reports (Oct 2014)	Progress report (quarterly) (Nov 2014)	Monthly performance and delivery reports. Monthly Service review meetings with CPT, monthly TMB, fortnightly Steering Group (Nov 2014)	P&D Board. Invoice submissions and evidence. Monthly review of monitored & managed budgets by CPT. (Nov 2014)	Resources Governance oversight, Quarterly Contract Performance report by CPT Manager. (Nov 2014)	PCC & CC Scheme of Delegation. (Nov 2014)	n/a	Monthly meeting with ACO (Resources) / Head of HR; and CPT Manager. (Nov 2014)	Flag reports, change requests. (Nov 2014)	VFM/benefits realisation RMU (Nov 2013) GREEN Data Returns Q2 2014  NB: HR (Absence) August 2013 GREEN	Local Partnerships (reporting to HO) - review undertaken - to be completed end Nov 2014.	n/a	n/a	Add with date	Review at JIAC meeting



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		• Lack of effective Strategic Development arrangements leading to service delivery failure.	Not on PCC or Force Risk Register		ACO HoSD	Strategic Development Dept Plan and workplan, reviewed quarterly, published on intranet (Nov 2014)	Dept Risk Register reviewed monthly by SMT. Programme risk register (Force Transformation Board), project risk registers. (Nov 2014)	SMT meetings. Team meetings. Improving force performance policy. (Nov 2014)	SMT (budget review and monitoring, monthly with management accountant), workforce report review, PDR and sickness at SMT (Nov 2014)	Resources Governance oversight (PTP), Force Transformation Board and reports, Project Board. (Oct 2014)	n/a	System accreditation for projects where relevant (eg NICHE) (Nov 2014)	HoSD monthly meeting with ACO (Nov 2014)	None. PSD lead, liaise with HoSD as required. (Nov 2014)	Business and Strategic Planning (April 2012)	n/a	n/a	n/a	Add with date	Review at JIAC meeting
		• Lack of effective ICT (G4S) arrangements leading to service delivery failure. ACO to update RAG	Not on PCC or Force Risk Register		ACO	ICT Strategy and Plan Progress Reports (Oct 2014)	Progress report (quarterly) (Nov 2014)	Monthly performance and delivery reports. Monthly Service review meetings with CPT, monthly TMB, fortnightly Steering Group. (Nov 2014)	P&D Board. Invoice submissions and evidence. Monthly review of monitored & managed budgets by CPT. (Nov 2014)	Resources Governance oversight; Quarterly Contract Performance report by CPT Manager	ITHC/Treatment plans form part of monthly performance report as does code of connection. (Nov 2014)	Information Management Board, Force Security Board, CESG, Code of Connection. (Nov 2014)	ICT/IMU monthly meetings; Monthly meeting with ACO (Resources) and CPT Manager. (Nov 2014)	Flag reports, change requests. (Nov 2014)	Data security Q3 2014,	Local Partnerships (reporting to HO) - review undertaken - to be completed end Nov 2014.	ITHC, Penetration tests. (Nov 2014)	CESG	Add with date	Review at JIAC meeting
		• Lack of effective Facilities (Assets and Fleet management) (G4S) arrangements leading to service delivery failure. ACO to update RAG	Not on PCC or Force Risk Register		ACO	Assets and Fleet Strategy and Plan Progress Reports (Oct 2014)	Progress report (quarterly) (Nov 2014)	Monthly performance and delivery reports. Monthly Service review meetings with CPT, monthly TMB, fortnightly Steering Group. (Nov 2014)	P&D Board. Invoice submissions and evidence. Monthly review of monitored & managed budgets by CPT. (Nov 2014)	Resources Governance oversight; Quarterly Contract Performance report by CPT Manager. (Nov 2014)	n/a	National Police Estates Group and National Association of Police Fleet Managers - used to benchmark. (Nov 2014)	Asset Management Group (quarterly); Monthly meeting with ACO (Resources) and CPT Manager. (Nov 2014)	Flag reports, change requests. (Nov 2014)	Asset management (March 2014) AMBER/GREEN Asset management Q3 2014 Fleet management Q2 2014	Local Partnerships (reporting to HO) - review undertaken - to be completed end Nov 2014.	n/a	n/a	Add with date	Review at JIAC meeting
		Lack of effective communications and public affairs arrangements leading to reputational damage	Not on PCC or Force Risk Register		DCE	Shared Service Strategy in place (Nov 2014)	Role in mitigating risks in PCC and CC risk registers (Nov 2014)	Service manager attends SLT/COG. Head of Comms meets ACO monthly. Updates at IMM, P&S/P&C Strategic Board (Nov 2014)	PCC budget. CE budget holder. Managed and monitored by DCE. (Nov 2014)	Day to day leadership and management (Nov 2014)	n/a	News management software records all interactions with journalists (Nov 2014)	Head of Comms meets ACO monthly (Nov 2014)	Managed by PSD/PCC (Nov 2014)	n/a	n/a	n/a	n/a	Add with date	Review at JIAC meeting
Reducing crime, Fair deal, Services there when needed	• Lack of effective health and safety arrangements (Ref: Health and Safety)		Not on PCC or Force Risk Register		CE/CC  Nick Cornwall Smith	Health and Safety Annual Action Plan in place (Sept 2014)	Links to local and corporate risk register (Sept 2014)	Health and Safety Board, local H&S Meetings, policies and procedures in place, reporting structure (to RGM) Annual Report (Sept 2014)	n/a	H&S Annual Report, progress monitored at H&S Board (July 2014)	n/a	n/a	n/a	n/a	n/a	n/a	Nil return HSE (July 2014). No prosecutions or enforcement notices in last 15 years. (Sept 2014)		Add with date	Review at JIAC meeting

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Strategic objective/ priority	Risk		Risk Assessment		Owner	Management Controls			Corporate Reporting		Compliance Reviews	Quality & Inspection			Internal Audit	External Audit	External providers	Inspectorate	PCC/Force proposal	JIAC Assessment	
			Inherent (no controls)	Residual (with controls)		Local Business Plan	Local Risk Register	Local Internal Control	Financial Reporting	Corporate Performance Reports	Regulations, Commissioning & Partnerships	Information Assurance (inc. sys accreditation)	Portfolio Mtg/Reviews	Satisfaction / Complaints Handling	Type		Commissioning & Partnership's Internal Audit Reports	HMIC/Other			
Reducing crime, Fair deal, Services there when needed	• Lack of Business Continuity planning/arrangements <i>(Ref: Contingency Planning)</i>		Not on PCC or Force Risk Register		PCC/CC  Ian Watkins	Local Business Continuity Plans in place (Sept 2014)	Feeds into risk register, Local Resilience Forum/Lincs Community Risk Register (Sept 2014)	Emergency Planning Officer manages and co-ordinates internal controls. BC Strategic Board oversight (6 monthly) (Sept 2014)	N/A	Reports to Strategic BC Board (6 monthly) reports to LRF (6 monthly) Review via Dept Heads Quarterly briefing to PCC (Civil Contingencies) BC Board Highlights report to PCC (Sept 2014)	BC plans for collaboration delivered services - plans in development (Oct 2014)	Force Information Security Manager in place (systems assurance and systems accreditation). (Oct 2014)	n/a	n/a	Business Continuity / Disaster Recovery (Non IT) Internal Audit (June 2012) RED. All recommendations complete.	n/a	Annual audit via ACPO lead - Civil Contingencies Capability Framework (inc BCP) (March 2014)	HMIC Civil Contingencies audit (March 2014)  Links to other inspections (eg Crime Recording).	Add with date	Review at JIAC meeting	
Reducing crime, Fair deal, Services there when needed	• Inability to comply with legislation / regulations leading to reputational damage.		Not on PCC or Force Risk Register		PCC DCC  C/Supts	Force meeting structure. Senior Management team meetings. Dept Mgt mtgs, DCC oversight (NCRS/RIPA, MOPI, stop search, POCA, equalities). PSD. (Oct 2014)	Links to Crime Risk Register, links to EM Ops risk register, local policing risk register. Risk officers. (Oct 2014)	Oversight of crime recording by DCC, Crime Registrar. Exception reporting to PCC. Initial training, ongoing training, NCALT/ briefings, L&D plan. (Oct 2014)	Financial consequences of risks capture in risk registers. Links to Legal services and PSD, Confidential Risk Register (Oct 2014)	DCC oversight. Escalation process via PSD or legal services (Oct 2014)	IMU Internal audit processes, Crime Registrar internal audit processes. (Oct 2014)	IMU policies in place. (Oct 2014)	n/a	PSD policies and procedures, published on intranet, Bad Apple. (Oct 2014)	POCA internal audit - Seizures of cash under the Proceeds of Crime Act are handled correctly and securely in line with legislation and procedures. RED (August 2014) All recommendations accepted and action plan implemented.	n/a	ICO. Covert Authorities Bureau. (Oct 2014)	HMIC Inspection Stop Search HMIC Crime Data integrity HMIC Corruption and Integrity ICO Data Protection Audit (March 2014) 'reasonable'	Add with date	Review at JIAC meeting	
	Lack of effective risk management arrangements	PCC Risk management	Not on PCC or Force risk register		CE/ CFO  RPO	Risk Management Strategy and Policy (Sept 2014)	PCC Risk Register (Sept 2014)	Dedicated officer (Sept 2014)	IMM meetings (monthly) (Sept 2014)	IMM meetings (monthly) (Sept 2014)	n/a	n/a	n/a	n/a	Risk management (Dec 2013) AMBER/GREEN Risk management Q4 2014	Audit opinion links to management of risks	n/a	HMIC reports link to risk	Add with date	Review at JIAC meeting	
		Force Risk management	Not on PCC or Force Risk Register		DCC  Dave Hull	RM Strategy to 2017 and Policy to Oct 2015 (Nov 2014)	Force Risk Register, local registers, project registers. Risk Officer reviewing processes (Nov 2014)	Dedicated officer, SPOCs. All dept registers monthly review at SMT. (Nov 2014)	Risk Management Board (Quarterly) Confidential RMB (Sept 2014)	Risk Management Board (Quarterly) Confidential RMB (Sept 2014)	n/a	IMU review all Force information risks across all depts at IMU Board. IMU Manager represented at Force RMB. (Oct 2014)	Risk officer monthly meeting with DCC. (Nov 2014)	n/a	Risk management (Dec 2013) AMBER/GREEN Risk management Q4 2014	Audit opinion links to management of risks	n/a	HMIC reports link to risk	Add with date	Review at JIAC meeting	
Reducing crime, Fair deal, Services there when needed	• Lack of effective fraud, corruption and error arrangements leading to reputational damage. <i>(Ref Professional Standards)</i>		Not on PCC or Force Risk Register		PCC/CC  RPO Supt Morrison	AF&C Strategy and Plans in place. Bad Apple systems. (Oct 2014)	Risks assessed. (Oct 2014)	AF&C Meetings (oversight) Joint policy in place Professional Standards Governance NCALT counter corruption training package (Oct 2014)	Annual Audit Commission Survey (Oct 2014)	AF&C Meetings AF&C ToR (Oct 2014)	Compliant with Police Regulations (Oct 2014)	n/a	n/a	n/a	No internal audit in last 3 years	No issues raised during Inquiries of Management or follow up to Audit Commission survey	n/a	HMIC Integrity and Corruption inspection (Pending, Oct 2014)	Add with date	Review at JIAC meeting	
Abbreviations											Level of Assurance	1st and 2nd lines of defence (process based assessment)					3rd line of defence & Quality and Inspection (results based assessment)				

Police Crime Commissionr and Chief Constable Assurance Map (to support the Annual Governance Statement)

TO JIAC 27/11/14 Updated 11/11/14				1st Line of Defence			2nd Line of Defence						3rd Line of Defence				Joint Independent Audit Committee Assessment			
				Delivering the risk and control environment BUSINESS AREAS			Other oversight and assurance functions MANAGEMENT OVERSIGHT						Independent assurance / advice INDEPENDENT AND OBJECTIVE							
				First line (more knowledge, less independence) Identifying risks and improvement actions. Implementing controls. Reporting on progress.			Second line (more objective, but not wholly independent) Designing policies. Setting direction. Ensuring compliance. Assurance oversight						Third line (objective & independent) Independent challenge, audit. Reporting on assurance.							
Strategic objective/ priority	Risk		Risk Assessment		Owner	Management Controls			Corporate Reporting		Compliance Reviews	Quality & Inspection			Internal Audit	External Audit	External providers	Inspectorate	PCC/Force proposal	JIAC Assessment
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See cover paper							HIGH - Controls in place assessed as adequate/effective and in proportion to the risks									HIGH - Mainly positive results, many strengths, minor recommendations for improvement				
							MEDIUM - Some areas of concern over the adequacy/effectiveness of the controls in proportion to the risks									MEDIUM - Mixed results, some areas of concern and areas for improvement, some positive results and some strengths				
							LOW - Significant concerns over the adequacy/effectiveness of the controls in proportion to the risks									LOW - Overall, negative results and areas of concern/requiring action and improvement				
							Not applicable or not relevant. Additional notes added for information.									Not applicable or not relevant. Additional notes added for information.				