

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

**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

Includes risks scored Amber 9 (residual) and above			1st Line of Defence			2nd Line of Defence			3rd Line of Defence			Assessment (including quarterly at Joint Independent Audit Committee)										
			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.													
Ref Number	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 (RAG rating on the effectiveness of controls)	Assurance sufficient? Y/N	Improvement Actions
			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				
001 RPO	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	Longer term succession planning - CC work in progress. (NB National leadership issues). Check local position on talent management policy/developments (April 2015)	Not on Force Risk Register. Recorded on PCC risk register. (April 2015)	PCC Governance Framework (May 2015)	n/a	n/a	n/a	n/a	CE 1-1 with CC (April 2015)	n/a	n/a	n/a	n/a	HMIC expressed concern at previous interim appointments (2012/2013)	OPCC : Amber (29 April 2015)  Force: Amber/Green was Amber (5 May 2015)  Joint Proposal: TBA	N	Check talent management policy.  National issues: Maintain close watching brief.	
002 RPO	Fair deal for the people of Lincolnshire	• 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	Plans in place. Lobbying plans (MPs, Ministers visits, letters, HMIC/HO/Home sec). Links to Media strategy. CC rep on HO Funding Silver Group, Gold Group (April 2015)	Finance risks covered in Resources Governance report P&CS Board Reports (April 2015)	VfM Strategy Engagement with HO Resources Unit Financial governance (April 2015)	Medium Term Financial Strategy, Budget Proposal and Future Budget Options, Budget Report (published) (April 2015)	Resources Governance meeting, oversight at P&CS Board Ext COG (April 2015)	n/a	n/a	Oxford Economics Review (2013)	0 recorded complaints to PCC on funding Consultation on Budget (report to P&CS Board Jan 2015) (April 2015)	Medium term financial planning: GREEN (Nov 2013) Financial management inc budget management: AMBER/GREEN (April 2015)	Annual Audit Letter - Sept 2014	National Audit Office Financial sustainability of police forces in England & Wales – case study visits (March 2015). Report to Select Committee June 2015	HMIC Valuing the Police 4, good/good/ outstanding (July 2014). PEEL assessment - efficiency (good) savings requirements (outstanding) Nov 2014	OPCC : Amber (was Red) (29 April 2015)  Force: Red/Amber (was Red) (5 May 2015)  Joint Proposal: TBA	Y	Note: lobbying strategy continues	
003 RPO	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 (PEEL Board oversight). Resources Gov oversight (quarterly) THRIVE Project. THRIVE & IRT live Feb 2015. (April 2015)	Demand Management THRIVE Risk register in place (Nov 2014), Research (Process Evolution) assessing demand on our response and volume crime investigation officers (April 2015)	Programme structure in place. Internal controls work in place. VfM Strategy. T- Police (HR/Finance management info, better understanding of how resources are used). (April 2015)	PEEL oversight. Benefits realisation work in progress. (April 2015)	Resources Governance oversight (benefits mapping exercise in progress - June 2015). Annual Report (April 2015)	EM Policing Academic Collaboration - research programme. Local work with University of Lincoln (April 2015)	n/a	n/a	n/a	Medium term financial planning: GREEN (Nov 2013) Data returns (HMIC VfM Profiles) POA GREEN, HO ADR AMBER/RED (April 2015) Financial management (AMBER/GREEN) (April 2015)	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/good/ outstanding] (July 2014) VFM Profiles (Oct 2014). PEEL assessment - efficiency (good) savings requirements (outstanding) Nov 2014	OPCC : Amber/Green (29 April 2015) was red/amber  Force: Red/Amber (5 May 2015)  Joint Proposal: TBA (was red/amber)	Y	NB HMIC view	
004 RPO	Police and services that are there when you need them	• 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 (April 2015)	Risk registers in place for projects, mitigation strategies evidenced. Operational risk registers in place, links to SPR. Regional risk register process?? (April 2015)	Governance structure in place, more development work required. Regional Efficiency Board, quarterly oversight of implementation of planned savings. Assurance map in development (CFOs leading) (April 2015)	Financial Regulations Governing Collaborative Units document. Finance Report, reported to the Resources Board. (April 2015)	Regional Performance Report reviewed by EMPCC Board. Strategic performance reporting to PCCs. Work in progress. Reporting to RGM (OHU, Legal, EMSOU, EMOPSS, EMCJS - March - June 2015) (April 2015)	Innovation Fund, multiple projects (inc Criminal Justice and NICHE, BW Video). Governance to be strengthened. Work in progress. (NB heightened reputational risk due to HO external funding) (April 2015)	Information Assurance included in Operational Support Portfolio. RAG rated Amber.	n/a	n/a	EM collaboration (governance /financial framework) - AMBER/RED (Dec 2013)  Joint Assurance Map - in development  Collaboration efficiency savings plans (Joint EM review) EMOpSS (draft version AMBER/GREEN) April 2015  Collaboration - Innovation Fund (draft version RED) April 2015	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. Inspection re single CT grant in EM (efficient and effective) 5 recs (Dec 2014) PEEL assessment 'makes extensive use of collaboration' (Nov 2014)	OPCC : Amber/Red (29 April 2015)  Force: Amber/Red (5 May 2015)  Joint Proposal: Amber/Red	N	Further work in progress eg EMOpSS governance and financial governance model (Lincs leading)	

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005 RPO	Police and services that are there when 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 16	CE  RPO CPT Manager	G4S plans, Community Safety Partnership LRSP Plan, LCJB Plan in place. Strategic Partnership refresh <b>G4S Regional Programme Director in place</b> (April 2015)	G4S aligned with Force risk management process. G4S risk management process. (Oct 2014) LCJB risk register in dev (April 2015) <b>CHECK DCC - risk process? Eg HR (0 risks), Firearms lics (no early warning re backlog/ issues)</b>	Management structures, CSP SMB, LCJB, LRSP. Flag Reports. THRIVE report, CMB report.Finance review (ToR), user self assessment (April 2015)	Executive Board, Performance and Delivery Board (Green) CSP Reporting (more work required) Transactional Management Board (Monthly review) (April 2015)	Executive Board, Performance and Delivery Board - quarterly monthly reports. CSP: ongoing development. Transactional Management Board (Monthly review) (April 2015)	n/a	Security access - Tpolice/IMU - issues addressed (April 2015)	Continuous Improvement Unit Review - CMB (Sept 2014). CMB performance - watching brief (April 2015)	n/a	Income and debtors: GREEN (April 2015) Payments and creditors: AMBER/GREEN (March 2015) Cash, Banking and TM: AMBER/GREEN (March 2015) T-Police & police systems review: AMBER/RED (Aug 2014) ICT Regional NICHE service provision 'substantial assurance' Nov 2014  <b>CHANGE TO AMBER (WAS Red)</b>	n/a	n/a	HMIC Valuing the Police 4, good/good/ outstanding (July 2014) PEEL assessment 'makes extensive use of outsourcing to maximise efficiency' (Nov 2014)	<b>OPCC : Amber (29 April 2015)</b>  <b>Force: Amber (5 May 2015)</b>  <b>Joint Proposal: Amber was Amber/Red</b>	Y		
006 RPO	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. Scheme reviewed March 2015 (April 2015)	Finance risk register Financial risks reported to Resources Governance meeting (April 2015)	Finance meetings, Systems, policies, practices, procedures - work in progress. Finance review ToR (April 2015)	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. (April 2015)	AGS, Code of Corporate Governance (April 2015)	n/a	n/a	<b>End to end process review. Work in progress, reports in June (April 2015)</b>	Contract management - monthly performance review by CPT, quarterly to P&D (April 2015)	Cash, Banking and TM: AMBER/GREEN (March 2015) General Ledger: AMBER/GREEN (April 2015) Payments and Creditors: AMBER/GREEN (April 2015) Income and Debtors: GREEN (April 2015) T-Police: AMBER/RED (Aug 2014) Payroll: GREEN (April 2015) Financial management: AMBER/GREEN (Jan 2015) <b>Change to AMBER/GREEN (April 2015) - was RED</b>	Overall audit conclusion (2013/14 accounts) unqual opinion. Audit priority 1 comments: deterioration on quality of accounts, quality/ availability of working papers, reconciliation of asset register to ledger & accounts (Sept 2014)	TM consultancy - review/compliance checks (June 2014)		<b>OPCC : Amber (29 April 2015)</b>  <b>Force: Amber (5 May 2015)</b>  <b>Joint Proposal: Amber</b>	Y	Note: financial review ongoing	
007 RPRO	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 16	FCFO	MTFS, COG Strategic planning, P&CS Board (April 2015)	Force Risk Register, RMS and policy, Finance Dept Risk register (April 2015)	VfM Strategy, Link to VfM and funding items, PC&SB reports, Planning schedule, Budget setting process/timetable (April 2015)	Medium term financial strategy, Budget Options for Savings Report, P&CS Board (April 2015)	Police and Crime Strategic Board meetings (April 2015)	n/a	n/a	n/a	n/a	Medium term financial planning: GREEN (Nov 2013)  Financial Management (inc budget management): AMBER/GREEN (April 2015)	Annual Audit Letter (Sept 2014)	n/a	HMIC Valuing the Police 4, good/good/ outstanding (July 2014) PEEL assessment - efficiency (good) savings requirements (outstanding) Nov 2014	<b>OPCC : Amber (29 April 2015)</b>  <b>Force: Amber (5 May 2015)</b>  <b>Joint Proposal: Amber</b>	Y	Note: uncertainty around bridging the gap)	
008 RPO	Reducing crime	• Failure to ensure that Force objectives are delivered <i>(failure to ensure that the Force's Operational Policing delivery plan is implemented, failure to achieve performance indicators relating to the reduction of crime).</i>	PCC register Red 12	PCC register Amber 9	CE  RPO	Business leads, Operational Delivery Plan (3 tiers), Control Strategy, Management teams. Reports to Performance Governance meeting (April 2015)	Crime and Operations Risk Register, Force risk register, RMB, (April 2015)	Control Strategy, Business leads. Delivery Plans - owned by business leads. Report to PEEL Board. PCC's RPO and DCE attend PEEL Board (Performance section & all) (April 2015)	Revenue and Capital Monitoring reports to FCFO. Decision reports published on PCC's website e.g. budget report. PEEL Board, Performance Gov mtgs (April 2015)	Force performance meetings via PEEL Board, PCC performance governance meetings OPCC Operational Delivery Monitoring Plan Annual report (April 2015)	<b>ACC Review of partnership delivery and funding (Oct 2014)</b>  <b>Get an update ACC</b>	IMU Manager - IMU policies in place. (April 2015)	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 (April 2015)	Risk management PCC: GREEN (March 2015)  Delivery of Police and Crime Plan: GREEN (April 2015)  Governance (decision making and integrity): GREEN (Sept 2014) (April 2015)	Audit opinion - links to meeting objectives and management of risk	Victims Services satisfaction and commissioning (Project/plan in place, resourced) (April 2015)	HMIC Valuing the Police 4 (July 2014)- good/good/ outstanding HMIC Making the best use of police time - (report Sept 2014) Crime Inspection (reduce crime: good/tackling asb: good/ inv offending: reqs improvement) 5 recs (investigating crime) HMIC Data Integrity (report Sept 2014),HMIC PEEL efficiency Inspection (June 2015)	<b>OPCC : Green/Amber (29 April 2015)</b>  <b>Force: Green/Amber (5 May 2015)</b>  <b>Joint Proposal: Green/Amber</b>	Y	Note: awaiting assessment of progress - Operational Delivery Plan	

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009 RPO	Reducing crime, Fair deal, Services there when needed	• Failure to ensure effective governance	To note: PCC register Amber 8	To note: 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 (April 2015)	Risk management strategy, risk management board, risk registers (April 2015)	Governance framework, links to AGS, code of corporate governance. Assurance map, Risk registers. Decision making reports. Financial and contract regs, training. (April 2015)	Revenue and Capital Monitoring reports to FCFO, MTFS (includes TM strategy) (April 2015)	AGS, Code of Corporate Governance (April 2015)	Compliance testing via internal controls eg procurement audit (April 2015)	n/a	n/a	PCC Professional Standards Governance meetings (April 2015)	Governance (Decision making and integrity): GREEN (Aug 2014) Delivery of Police and Crime Plan: GREEN (April 2015) Governance: GREEN (Sept 2013) Risk management (GREEN) March 2015	Letter Accounts  Review Code of Corporate Governance  Annual Governance Statement as part of annual audit (April 2015)	n/a	HMIC Valuing the Police 4 good/good/ outstanding (July 2014) ICO Audit - reasonable (March 2014) Police integrity/corruption ('excellent progress', 2 recs) Nov 2014 Crime recording (1 of 5 'stand out' forces', 2 recs) Nov 2014	OPCC : Green (29 April 2015)  Force: Green (5 May 2015)  Joint Proposal: Green	Y		
010 RPRO	Reducing crime	Force	• Operations (Civil contingencies, public order, Roads policing, emergency planning, firearms, critical incidents)	Assessed, does not require entry on PCC or Force Risk Register	DCC	Tasking and Co-ordination meetings. Control strategies. STRA. Daily management meetings. Strategic Board meetings quarterly. Strategic Business Plan. (April 2015)	EMOpSS Risk Register in place. Links to Force risk register process. Force risk officer. (Nov 2014)	Standing Operating Procedures across areas, STRA, Tasking, SPR Board (Nov 2014)	Meeting structure (budget and resources), strategic workforce planning board, Blue book. HR and Finance reps attend SMT. Regional EMOpSS structure - go live May 2015, business support areas - in prog (Nov 2014)	Quarterly PCC Briefings, Performance from EMOpSS. Management oversight - EMOpSS SMB quarterly chaired by CC, scrutinising Strategic Business Plan. Lincs force lead for finance and audit (April 2015) review RAG	LRF, STRA, LRSP, Firearms CoP Licensing requirements, national requirements, public order (numbers), armoury checks/audit (Head of Ops) (Nov 2014)	DCC to advise	DCC 1-1s with Supt EMOPs, EMOPs business case review, LRSP review. (Nov 2014)	Professional Standards Dept - monitoring and management (Oct 2014)	SPR: AMBER/GREEN (Dec 2013)  G4S Niche Service provision 'substantial assurance' (Nov 2014)  Service expectations (Firearms Asset Management): AMBER/GREEN (April 2015)  Collaboration efficiency savings plans (Joint EM review) EMOpSS (draft version AMBER/GREEN) April 2015	n/a	College of Policing Licence - Firearms (Nov 2014)	Some links to HMIC PEEL.HMIC PEEL programme and Inspection 1 June 2015	OPCC : Amber (8 Dec 2014)  Force: Amber (5 May 2015)  Joint Proposal: Amber  OPCC RAG view to be agreed - based on latest Force updates	OPCC 'Assurance sufficient' view to be agreed - based on latest Force updates		
011 RPRO	Reducing crime	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, counter terrorism).	Assessed, does not require entry on PCC or Force Risk Register	DCC DCSupt Gibson	Tasking and Co-ordination meetings, Control strategies (PIER), Operational delivery plan, local plans, links to regional tasking. OCG meeting. PPU tasking meeting. Force DA plan. PVP mtg. PPU Action Plan. (Oct 2014)	Crime Risk Register in place, Risk Officer (Oct 2014) Review of crime register after Baker Tilly audit (May 2015)	DPMU (July 2014) AMBER Policies and procedures Control strategy, Strategic Assessments, STRA process, tasking, internal meeting structure. SPR governance board (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), MAPPA (Oct 2014)	DCC commissioned audit DPMU July 2014 RED. Additional resources allocated. LASB & LCSB, SCR's, DHRs, 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) Phase 2 of ICAT review (April 2015)	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.  G4S Niche Service provision 'substantial assurance' (Nov 2014)	n/a	DHR, SCR process (partnership working) CAADA quality assure MARAC. (Oct 2014)	PEEL report Nov 2014 (investigating offending reqs improvement) HMIC Crime Data Integrity report (Nov 2014) Interception of Communication Commissioner's Office (ICCO) HMIC DA inspection -> Action Plan (links to HO Action plan) Office of Surveillance Commissioner (Sept 2014) CoP CSE Review (Nov 2014)	OPCC : Green/Amber (10 Nov 2014)  Force: Green/Amber As long as crime continues to fall (May 2015)  Joint Proposal: Green/Amber  OPCC RAG view to be agreed - based on latest Force updates	OPCC 'Assurance sufficient' view to be agreed - based on latest Force updates		



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012  RPRO	  Reducing crime	  Force	• Local Policing (East and West)	Assessed, does not require entry on PCC or Force Risk Register	ACC C/Supts Wood & Morrison	Tactical Tasking and Co-ordination meetings. SMT. Control strategies. STRA. Daily management meetings. Performance meetings. PDR process. (Nov 2014)	Local RR, reviewed at SMT, Performance officer manages process. Issue specific meetings, accident/near miss issues (H&S), standard practice models for reputational risk (Nov 2014)	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)	G4S Niche Service provision 'substantial assurance' (Nov 2014)	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.HMIC report on Stop & Search 2 completed.Requires for ongoing monitoring	OPCC : Green/Amber (8 Dec 2014)  Force: Green/Amber (5 May 2015)  Joint Proposal: Green/Amber OPCC RAG view to be agreed - based on latest Force updates	OPCC 'Assurance sufficient' view to be agreed - based on latest Force updates	
013  RPRO	Reducing crime, Fair deal, Services there when needed	• Failure to maintain effective resources and infrastructure	• Lack of effective Procurement (G4S) arrangements leading to service delivery failure.	Assessed, does not require entry on PCC or Force Risk Register	ACO	Procurement Strategy Progress Reports (RGM) Incident Report (Jan2015)Action plan in place to monitor the commercial partner.(being monitored by the CPT).May 2015	Progress report (quarterly) RGM (Jan 2015)	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)	Financial management (inc procurement): AMBER/GREEN (April 2015)	Local Partnerships (reporting to HO) - review undertaken - to be completed end Nov 2014.  ???? Tony?	n/a	n/a	OPCC : Green/Amber (22 Jan 2015)  Force: Green/Amber (5 May 2015)  Joint Proposal: Green/Amber some legacy issues OPCC RAG view to be agreed - based on latest Force updates	OPCC 'Assurance sufficient' view to be agreed - based on latest Force updates	Action plan in place to monitor the commercial partner.(being monitored by the CPT).
014  RPRO	Reducing crime, Fair deal, Services there when needed	• Failure to maintain effective resources and infrastructure	• Lack of effective HR (G4S) arrangements leading to service delivery failure.	Assessed, does not require entry 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, Gold Group (inc RMU) CC chair (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 (HO Annual Data Returns, HR): AMBER/RED, Finance POA: GREEN (March 2015)  Payroll: GREEN (April 2015)  NB: HR (Absence) August 2013 GREEN	Local Partnerships (reporting to HO) - review undertaken - to be completed end Nov 2014.  See above?????	Lincs Audit Payroll Review. Payroll/HR reconciliation of systems issues. CFO concerns (Jan 2015)	n/a	OPCC : Amber/Red (22 Jan 2015)  Force: Amber/Red (5 May 2015)  Joint Proposal: Amber/Red HR/Payroll, JIAC recruitment OPCC RAG view to be agreed - based on latest Force updates	OPCC 'Assurance sufficient' view to be agreed - based on latest Force updates	
015  RPRO	Reducing crime, Fair deal, Services there when needed	• Failure to maintain effective resources and infrastructure	• Lack of effective Strategic Development arrangements leading to service delivery failure.	Assessed, does not require entry on PCC or Force Risk Register	ACO HoSD	Strategic Development Dept Plan and workplan, reviewed quarterly, published on intranet. Force vision. PA Consulting work. Lobbying strategy (Jan 2015)	Dept Risk Register reviewed monthly by SMT. Programme risk register, project risk registers. (Jan 2015)	SMT meetings. Team meetings. Improving force performance policy. Police and Crime Strategic Board. PEEL Board (Jan 2015)	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. SDD Business Review - work continues (Jan 2015)	None. PSD lead, liaison with HoSD as required. (Nov 2014)	Business and Strategic Planning: AMBER/GREEN (April 2012)  Delivery of Police and Crime Plan: GREEN (April 2015)	n/a	n/a	n/a	OPCC : Green/Amber (22 Jan 2015)  Force: Green/Amber (5 May 2015)  Joint Proposal: Green/Amber Awaiting business review, regional lead, capacity OPCC RAG view to be agreed - based on latest Force updates	OPCC 'Assurance sufficient' view to be agreed - based on latest Force updates	5 May 2015 - Police staff review being undertaken

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Includes risks scored Amber 9 (residual) and above				1st Line of Defence			2nd Line of Defence							3rd Line of Defence				Assessment (including quarterly at Joint Independent Audit Committee)				
				Delivering the risk and control environment BUSINESS AREAS			Other oversight and assurance functions MANAGEMENT OVERSIGHT							Independent assurance / advice INDEPENDENT AND OBJECTIVE								
				(more knowledge, less independence) Identifying risks and improvement actions. Implementing controls. Reporting on progress.			(more objective, but not wholly independent) Designing policies. Setting direction. Ensuring compliance. Assurance oversight							Third line (objective & independent) Independent challenge, audit. Reporting on assurance.								
				Risk Assessment			Management Controls			Corporate Reporting		Compliance Reviews	Quality & Inspection			Internal Audit	External Audit				External providers	Inspectorate
Ref Number	Strategic objective/ priority	Risk		Inherent (no controls)	Residual (with controls)	Owner	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	PCC/Force proposal (RAG rating on the effectiveness of controls)	Assurance sufficient? Y/N	Improvement Actions
016 RPRO	Reducing crime, Fair deal, Services there when needed	• Failure to maintain effective resources and infrastructure	• Lack of effective ICT (G4S) arrangements leading to service delivery failure.	Assessed, does not require entry on PCC or Force Risk Register		ACO	ICT Strategy and Plan Progress Reports (Jan 2015) Resilinance testing of the force IT system being undertaken (May 2015)	Progress report (quarterly) (Jan 2015) 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: GREEN (Jan 2015) G4S Niche Service provision 'substantial assurance' (Nov 2014) ICT Change Management: AMBER/GREEN (April 2015)	Local Partnerships (reporting to HO) - review undertaken - to be completed end Nov 2014.  ??? Update??		ITHC, Penetration tests. (Nov 2014)	CESG (Government's National Technical Authority for Information Assurance, previously known as Communications-Electronics Security Group).HMIC efficiency programme looks at the implementation of ICT (June 2015)	OPCC : Amber (22 Jan 2015) Force: Green/Amber (5 May 2015) Joint Proposal: Amber national/regional demands (capacity) OPCC RAG view to be agreed - based on latest Force updates	OPCC 'Assurance sufficient' view to be agreed - based on latest Force updates	
017 RPRO	Reducing crime, Fair deal, Services there when needed	• Inability to comply with legislation / regulations leading to reputational damage.		Assessed, does not require entry on PCC or Force Risk Register		PCC DCC C/Supts	Force meeting structure. SMT 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/ongoing training, NCALT/briefing s, 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 - Seizures of cash under the POCA - handled correctly and securely in line with legislation and procedures. RED (August 2014) All recommendations accepted and action plan implemented. (Jan 2015, DCC)	n/a	ICO. Covert Authorities Bureau. (Oct 2014)	HMIC Inspection Stop Search HMIC Crime Data integrity (Nov 2014) HMIC Corruption and Integrity (Nov 2014) ICO Data Protection Audit (March 2014) 'reasonable' PEEL programme - Ongoing annual assessment.(June 2015)	OPCC : Green (22 Jan 2015) Force: Green (5 May 2015) Joint Proposal: Green OPCC RAG view to be agreed - based on latest Force updates	OPCC 'Assurance sufficient' view to be agreed - based on latest Force updates	
018 RPRO	Reducing crime, Fair deal, Services there when needed	• Failure to maintain effective resources and infrastructure	• Lack of effective Facilities (Assets and Fleet management) (G4S) arrangements leading to service delivery failure.	Assessed, does not require entry on PCC or Force Risk Register		ACO	Assets and Fleet Strategy and Plan Progress Reports (Oct 2014) Review is still ongoing (May 2015)	Progress report (quarterly) (Nov 2014) 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: GREEN (Jan 2015) Fleet management: AMBER/RED (Nov 2014) Service expectations (Firearms Asset Management): AMBER/GREEN (April 2015)	Local Partnerships (reporting to HO) - review undertaken - to be completed end Nov 2014.	n/a	n/a		OPCC : Green/Amber (10 Nov 2014) Force: Green/Amber (5 May 2015) Joint Proposal: Green/Amber OPCC RAG view to be agreed - based on latest Force updates	OPCC 'Assurance sufficient' view to be agreed - based on latest Force updates	
019 RPRO	Reducing crime, Fair deal, Services there when needed	• Lack of Business Continuity planning/arrangements (Ref: Contingency Planning)		Assessed, does not require entry 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 Cont) 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).	OPCC : Green/Amber (10 Nov 2014) Force: Green/Amber (5 May 2015) Joint Proposal: Green/Amber OPCC RAG view to be agreed - based on latest Force updates	OPCC 'Assurance sufficient' view to be agreed - based on latest Force updates	
020 RPO	Reducing crime, Fair deal, Services there when needed	Lack of effective risk management arrangements	PCC Risk management	Assessed, does not require entry on PCC or Force Risk Register		CE/ CFO RPO	Risk Management Strategy and Policy (April 2015)	PCC Risk Register (April 2015)	Dedicated officer. Assurance map. Reports quarterly to JIAC (April 2015)	IMM meetings (monthly)(April 2015)	IMM meetings (monthly). Significant risks considered at governance meetings (April 2015)	Local links to Greater Lincs RM Group. RPO attends Futures Scanning national group (emerging risks/horizon scanning) (April 2015)	n/a	RPO meetings with CE, CFO, DCE. Briefings to PCC (April 2015)	n/a	Risk management (PCC) GREEN March 2015  Delivery of Police and Crime Plan: GREEN (April 2015)	Audit opinion links to management of risks	n/a	HMIC reports link to risk	OPCC : Green (29 April 2015) was Green/Amber  Force: OPCC to decide  Joint Proposal: Green	Y	

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Includes risks scored Amber 9 (residual) and above				1st Line of Defence			2nd Line of Defence							3rd Line of Defence				Assessment (including quarterly at Joint Independent Audit Committee)				
				Delivering the risk and control environment BUSINESS AREAS			Other oversight and assurance functions MANAGEMENT OVERSIGHT							Independent assurance / advice INDEPENDENT AND OBJECTIVE								
				(more knowledge, less independence) Identifying risks and improvement actions. Implementing controls. Reporting on progress.			(more objective, but not wholly independent) Designing policies. Setting direction. Ensuring compliance. Assurance oversight							Third line (objective & independent) Independent challenge, audit. Reporting on assurance.								
Ref Number	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 (RAG rating on the effectiveness of controls)	Assurance sufficient? Y/N	Improvement Actions
				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			
021  RPRO	Reducing crime, Fair deal, Services there when needed	Lack of effective risk management arrangements	Force Risk management	Assessed, does not require entry on PCC or Force Risk Register		DCC  RPRO	RM Strategy to 2017 and Policy to Oct 2015. Force, dept, project risk registers in place + confidential register (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. Assurance map. Reports quarterly to JIAC (Nov 2014)	Risk Management Board (Quarterly) Confidential RMB (Sept 2014)	RM Board (Quarterly) Confidential RMB. Significant risks reported to PCC (Governance mtgs) (Nov 2014)	n/a	IMU review all Force info risks across all depts at IMU Board. IMU Manager rep at Force RMB. (Oct 2014)	Risk officer monthly meeting with DCC. (Nov 2014)	n/a	Risk management (Dec 2013) AMBER/GREEN Risk management (Force AMBER/GREEN - March 2015)	Audit opinion links to management of risks	n/a	HMIC reports link to risk for the PEEL efficiency inspection.Risks reviewed for all major inspections and continually monitored.	OPCC : Green/Amber (10 Nov 2014) Force: Green/Amber (5 May 2015) Joint Proposal: Green/Amber OPCC RAG view to be agreed - based on latest Force updates	OPCC 'Assurance sufficient' view to be agreed - based on latest Force updates	
022  RPO	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>		Assessed, does not require entry on PCC or Force Risk Register		PCC/CC  RPO Supt Wood	AF&C Strategy and Plans in place. Bad Apple systems. CIPFA Code of Practice (Mar 2015)	Risks assessed. Code of Practice. STRA Corruption - work in progress. (April 2015)	AF&C Mtgs (oversight), Joint policy in place, PS Governance, NCALT counter corruption training. Anti Money Laundering Policy - work in progress (April 2015)	Annual Audit Commission Survey, no issues. Final survey in 2014. (April 2015)	AF&C Meetings AF&C ToR (March 2015)	Compliant with Police Regulations (March 2015)	n/a	n/a	n/a	Data Security IT Audit: GREEN (April 2015)	No issues raised during Inquiries of Management or follow up to Audit Commission survey	CIPFA Code of Practice in managing the risk of fraud and corruption & UK Anti-corruption Plan (considered at AF&C meeting, March 2015). (April 2015) RAG tbd after Supt Wood review	HMIC Integrity and Corruption inspection (27 Nov 2014) 'excellent progress' 2 recs. Work in progress on addressing recs (March 2015)	OPCC : Green/Amber (8 Dec 2014) Force: Green/Amber (5 May 2015) Joint Proposal: Green/Amber OPCC RAG view to be agreed - based on latest Force updates	OPCC 'Assurance sufficient' view to be agreed - based on latest Force updates	
023  RPRO	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.	Assessed, does not require entry on PCC or Force Risk Register		DCC	EMPLS bi-weekly bronze meetings dealing with all aspects of civil claims/admin/D VPOs/ ASBOs etc. Existing business model in place. 3 year business plan to be developed (in line with s22 agreement) (April 2015)  RAG tba	Risk register in place, held within EMPLS and also contribute to the force confidential risk register. EMPLS operating model based on specialist legal advisors is meeting the needs of the organisation and reducing risk.(April 2015)	Working practices to be refreshed (intranet). Procedures to be reviewed (PDRs, line management responsibility, monitoring of internal budget). (April 2015)  RAG tba	Meeting structure in place internally reporting to EMPLS board chaired by DCC Goodwin. (April 2015)	EMPLS management board established. RGM oversight (6 monthly review). Bi-monthly force meetings with DCC and ACO. Annual service review - work in progress. (April 2015)  RAG tba	Solicitors required to be licensed to practice (April 2015)	All cases managed through AMICUS and audit carried out by Baker Tilley. (Nov 2014)	Regular 1:1 s between staff & head of unit, plus bi-weekly bronze meetings - Review of legal services (HoSD) reported to RGM. Significant savings delivered (£187K) and increased resilience, access to specialist knowledge. (April 2015)	PSD oversight. (April 2015)	Advisory Audit - Procurement of legal services, commissioned by DCC. Baker Tilly reported May 2014	n/a	East Midlands Efficiency Board. The Management Board reports to the East Midlands Police Collaboration 'Five Force Board'.(April 2015)	n/a	OPCC : Green (8 Dec 2014)  Force: TBC  Joint Proposal: tbd To REVIEW OPCC RAG view to be agreed - based on latest Force updates	OPCC 'Assurance sufficient' view to be agreed - based on latest Force updates	
024  RPRO	Reducing crime, Fair deal, Services there when needed	• Failure to maintain effective resources and infrastructure	• Lack of effective IMU arrangements leading to service delivery failure.	IMU not recorded on Force Risk Register  1 specific risk - RRD Amber	NOTE: RRD - Amber 9	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)		RSN Tenon - MoPI Management of Police Information - no recommendations and a green status. April 2012  Data Security IT Audit: GREEN (April 2015)	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)	OPCC : Green (10 Nov 2014) Force: Green (5 May 2015) Joint Proposal: Green OPCC RAG view to be agreed - based on latest Force updates	OPCC 'Assurance sufficient' view to be agreed - based on latest Force updates	



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Ref Number	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 (RAG rating on the effectiveness of controls)	Assurance sufficient? Y/N	Improvement Actions
				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			
025 RPO	Reducing crime, Fair deal, Services there when needed	• Failure to maintain effective resources and infrastructure	Lack of effective communications and public affairs arrangements leading to reputational damage	Assessed, does not require entry on PCC or Force Risk Register		DCE	Shared Service Strategy in place. Links to Victims and Citizens Channels Programme Board (April 2015)	Role in mitigating risks in PCC and CC risk registers (April 2015)	Service manager attends COG. Head of Comms meets ACO monthly. Updates at IMM, P&CSB (April 2015)	PCC budget. CE budget holder. Managed and monitored by DCE. (April 2015)	Day to day leadership and management (April 2015)	n/a	News management software records all interactions with journalists (April 2015)	Head of Comms meets ACO monthly (April 2015)	Managed by PSD/PCC (April 2015)	n/a	n/a	n/a	n/a	OPCC : Green (29 April 2015)  Force: Green (5 May 2015)  Joint Proposal: Green	Y	
026 RPRO	Reducing crime, Fair deal, Services there when needed	• Lack of effective health and safety arrangements <i>(Ref: Health and Safety)</i>		Assessed, does not require entry 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)	H & S 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)	OPCC : Green (10 Nov 2014) Force: Green (5 May 2015) Joint Proposal: Green OPCC RAG view to be agreed - based on latest Force updates	OPCC 'Assurance sufficient' view to be agreed - based on latest Force updates		

Abbreviations

ACO - Assistant Chief Officer  
AF&C - Anti fraud and corruption  
BWV - Body Worn Video  
ACC - Assistant Chief Constable  
CC - Chief Constable  
CE - Chief Executive  
CFO - Chief Finance Officer  
CMB - Crime Management Bureau  
CSE - Child Sexual Exploitation  
DA - Domestic Abuse  
DCC - Deputy Chief Constable  
DHR - Domestic Homicide Review  
EM - East Midlands  
FCFO - Force Chief Finance Officer  
IMM - Internal Management Meeting  
LASB - Lincolnshire Adult Safeguarding Board  
LCSB - Lincolnshire Childrens Safeguarding Board  
LRF - Lincolnshire Resilience Forum

NCRS - National Crime Recording Standards  
OCG - Organised Crime Group  
P&S - Planning and Strategy meeting  
PPU - Public Protection Unit  
PSD - Professional Standards Dept  
PTP - Policing Transformation Programme  
PVP - Protecting Vulnerable People  
RM - Risk Management  
SCR - Serious Case Review  
SLT - Senior Leadership Team  
SMT - Senior Management Team  
SPOC - Single Point of contact  
STRA - Strategic Threat and Risk Assessment  
TM - Treasury Management  
ToR - Terms of reference  
VIM - Value for Money  
YOS - Youth Offending Service

Level of Assurance	1st and 2nd lines of defence (process based assessment)	3rd line of defence & Quality and Inspection (results based assessment)	Overall Assessment RAG rating on the effectiveness of controls from assurance work undertaken
Green	HIGH - Controls in place assessed as adequate/effective and in proportion to the risks	HIGH - Mainly positive results, many strengths, minor recommendations for improvement	HIGH – Controls are in place assessed as adequate/effective and in proportion to the risks
Amber	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	MEDIUM – Some areas of concern over the adequacy/effectiveness of the controls in place in proportion to the risks
Red	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	LOW – Significant concerns over the adequacy/effectiveness of the controls in place in proportion to the risk.
Grey	Not applicable or not relevant. Additional notes added for information.	Not applicable or not relevant. Additional notes added for information.	Insufficient information at present to judge the adequacy/effectiveness of controls.