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.						
			Risk Assessment			**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**
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			
001 RPO RR URN: C31	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 12	PCC/ CC	Longer term succession planning - CC work in progress. (NB National leadership issues). NB **Local position on talent management policy/ developments** (Sept 2015)	Not on Force Risk Register. Recorded on PCC risk register. (Sept 2015)	PCC Governance Framework (Sept 2015)	n/a	n/a	n/a	n/a	CE 1-1 with CC (Sept 2015)	n/a	n/a	n/a	n/a	n/a	**OPCC : Amber (7 Oct 2015)** **Force: Green/Amber (7 Oct 2015)** **Joint Proposal: Differs (7 Oct 2015)**	**N**	Check talent management policy. National issues: Maintain close watching brief. ACTION: CE discussions with CC. Ongoing.
002 RPO RR URN: C01	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. **CC - Structure of Police funding report** (Sept 2015)	Finance risks covered in Resources Governance report. P&CS Board Reports (Sept 2015)	VfM Strategy Engagement with HO Resources Unit Financial governance **Budget Strategy - in progress** (Sept 2015)	Medium Term Financial Strategy, Budget Proposal and Future Budget Options, Budget Report (published) (Sept 2015)	Resources Governance meeting, oversight at P&CS Board Ext COG (Sept 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) (Sept 2015)	Medium term financial planning: GREEN (Nov 2013) Financial management inc budget management: AMBER/GREEN (April 2015)	Annual Audit Letter - Sept 2014. **Note: Latest Letter due in Nov 2015.**	National Audit Office Financial sustainability of police forces in England & Wales – case study visits (March 2015). Report to Select Committee June 2015. Offer to attend Select Committee. (July 2015)	HMIC Valuing the Police 4, good/good/ outstanding (July 2014). PEEL asssessment - efficiency (good) savings requirements (outstanding) Nov 2014	**OPCC : Amber (7 Oct 2015 2015)** **Force: Red/Amber (7 Oct 2015)** **Joint Proposal: Differs (7 Oct 2015)**	**Y**	Note: lobbying strategy continues
003 RPO RR URN: C02	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 & IRT live Feb 2015. **Mobile data project, demand management, blue light** (Sept 2015)	Demand Management THRIVE Risk register in place, Research (Process Evolution) assessing demand on our response and volume crime investigation officers. **Policing Model Project, Project risk reg in dev** (July 2015)	Programme structure in place. VfM Strategy. T-Police (HR/Finance management info, better understanding of how resources are used). **Gap - evidence base for delivery of vfm/productivity framework tbd, joined up t-police to produce data/metrics** (Sept 2015)	PEEL oversight. Benefits realisation work in progress. (Sept 2015)	Resources Governance oversight (inc benefits realisation). Annual Report (Sept 2015)	EM Policing Academic Collaboration - research programme. Local work with University of Lincoln (Sept 2015)	n/a	**Business Process review - T-police systems and processes. Action plans to be put in place to address issues. CIPFA Finance Review. (Oct 2015)**	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 2015) VFM criterion (securing financial resilience, securing economy, efficiency & effectiveness) met (PCC/CC) (Sept 2015)	n/a	HMIC Valuing the Police 4 [good/good/ outstanding] (July 2014) VFM Profiles (Oct 2014). PEEL asssessment - efficiency (good) savings requirements (outstanding) Nov 2014. **PEEL assessment - Police efficiency (Oct 2015): overall judgement - requires improvement**	**OPCC : Amber (7 Oct 2015)** **Force: Amber (7 Oct 2015)** **Joint Proposal: Amber (7 Oct 2015)**	**N**	NB HMIC view. Evidence base - in development. **DCC Action - Benefits realisation workshops. (Oct 2015)**
004 RPO RR URN: C09	Police and services that are there when you need them	• Failure to deliver and demonstrate value for money in regional collaboration *(Ref: Regional Collaboration)*	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 (Sept 2015)	Risk registers in place for projects, mitigation strategies evidenced. Operational risk registers in place, links to SPR. **Regional risk register process -** meeting between the regional risk reps to discuss the gaps (who coordinates EMopSS/EMSoU registers. Rep being provide by DCC Goodwin (Sept 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). Mazars to progress. (Sept 2015)	Financial Regulations Governing Collaborative Units document. Finance Report, reported to the Resources Board. (Sept 2015)	Regional Performance Report reviewed by EMPCC Board. Strategic performance reporting to PCCs. Work in progress. **Reviews lead by HoSD, Rec Action Plan reporting to RGM** (OHU, Legal, EMSOU, EMOPSS, EMCJS, Foresnics). **Regional Performance Framework under review** (Sept 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) (Sept 2015)	Information Assurance included in Operational Support Portfolio. RAG rated Amber. (Sept 2015)	**EM Corporate Services Review - Lincs CE representing PCCs. Work in progress.** **PCC Board - performance governance mechanisms agreed (Oct 2015)**	n/a	EM collaboration (governance /financial framework) - AMBER/RED (Dec 2013) **Joint Assurance Map - in development. Baker Tilly and Mazars internal auditors commissioned. (Oct 2015)** Collaboration efficiency savings plans (Joint EM review) EMOpSS (draft version AMBER/GREEN) April 2015 **Collaboration - Innovation Fund (RED) Oct 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 (7 Oct 2015)** **Force: Amber/Red (7 Oct 2015)** **Joint Proposal: Amber/Red (7 Oct 2015)**	**N**	Further work in progress eg EMOpSS governance and financial governance model (Lincs leading), regional reviews (HoSD). **Audit work (Oct 2015) focus on assurance mapping and governance arrangements.**
005 RPO RR URN: C09	Police and services that are there when you need them	• Failure to ensure strategic partners'/partners' objectives are delivered. *(Ref: Commercial Partnership Team)*	PCC register Red 16	PCC register Red 16	CE RPO CPT Manager	G4S plans, Community Safety Partnership LRSP Plan, LCJB Plan in place. **Regional planning (in development)** Strategic Partnership refresh G4S Regional Programme Director in place (Sept 2015)	G4S aligned with Force risk management process. G4S risk management process. LCJB risk register in dev April 2015 (Sept 2015)	Management structures, CSP SMB, LCJB, LRSP. Flag Reports. THRIVE report, CMB report.Finance review (ToR), user self assessment (Sept 2015)	Executive Board, Performance and Delivery Board (Green) CSP Reporting (more work required) Transactional Management Board (Monthly review) (Sept 2015)	Executive Board, Performance and Delivery Board - quarterly monthly reports. CSP: ongoing development. Transactional Management Board (Monthly review) (Sept 2015)	n/a	Security access - Tpolice/IMU - issues addressed (July 2015)	Continuous Improvement Unit Review - CMB (Sept 2014). **CMB performance - watching brief** (Sept 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 **Governance (G4S) August 2015**	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)	**OPCC : Amber (7 Oct 2015)** **Force: Amber (7 Oct 2015)** **Joint Proposal: Amber (7 Oct 2015)**	**Y**	

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Includes risks scored Amber 9 (residual) and above

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			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
006 RPO RR URN: C06	Reducing crime, Fair deal, Services there when needed	Lack of resilience of PCC (deputy not appointed) and in the Office of Police and Crime Commissioner	PCC register Red 12	PCC register Red 12	CE	Scheme of arrangements Business continuity plans/testing Police and Crime Panel - procedures (contingency) CE/DCE/CFO monitoring (Sept 2015)	Internal management meeting - regular review of risk and any emerging risks (Sept 2015)	Policies and procedures Joint teams (media, finance DCFO) Information management Operational delivery monitoring plan (Sept 2015)	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	**OPCC: Green (7 Oct 2015)** **Force:Amber (7 Oct 2015)** **Joint Proposal: Differs (7 Oct 2015)**	**Y**	
007 RPO RR URN: C04	Reducing crime, Fair deal, Services there when needed	• Failure to manage finances effectively (financial management/ governance) *Ref: Corporate Finance Team, G4S Finance Team*	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 (Sept 2015)	Finance risk register Financial risks reported to Resources Governance meeting **DCFO owns finance risks** (Sept 2015)	Finance meetings, Systems, policies, practices, procedures - work in progress. Annual review of Corporate Finance team. Finance review ToR. **Finance reports to PEEL Board** (Sept 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. (Sept 2015)	AGS, Code of Corporate Governance (Sept 2015)	n/a	n/a	**Business Process review - T-police systems and processes. Plans to be put in place to address issues. CIPFA Finance Review. (Oct 2015)**	Contract management - monthly performance review by CPT, quarterly to P&D (Sept 2015)	Cash, Banking & TM: AMBER/GREEN (Mar 2015) General Ledger: AMBER/GREEN (Apr 2015) Payments & Creditors: AMBER/GREEN (Apr 2015) Income & Debtors: GREEN (Apr 2015) T-Police: AMBER/RED (Aug 2014) Payroll: GREEN (Apr 2015) Financial mngt: AMBER/GREEN (Jan 2015) **(Sept 2015)**	**Overall audit conclusion (2014/15 accounts) unqual opinion.** **Audit priority 1 comments: working papers (Oct 2015)**	TM consultancy - review/compliance checks (Sept 2014)	**PEEL assessment - Police efficiency (Oct 2015): 'robust financial management'.** **Suggest GREEN**	**OPCC : Amber (7 Oct 2015)** **Force: Amber (7 Oct 2015)** **Joint Proposal: Amber (7 Oct 2015)**	**Y**	Note: financial review ongoing
008 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) CC report - The structure of police finances - Circulted HO,Local MPs,Senior officers (July 2015) • Preparation of a joint response to the HO consultation on the funding formula which is due to close on 15 September. • Continue to lobby stakeholders regarding the provison of sustainable funding to Lincs police.(Sept 2015)	Force Risk Register, RMS and policy, Finance Dept Risk register (Sept 2015)	VfM Strategy, Link to Vfm and funding items, PC&SB reports, Planning schedule, Budget setting process/timetable Finance reports to PEEL Board. Consultation on both CSR (comprehensive spending review) & funding formula.(Sept 2015)	Medium term financial strategy, Budget Options for Savings Report, P&CS Board (Sept 2015)	Police and Crime Strategic Board meetings (June 2015) Considered Budget strategy and agreed strategy for 2016/17 Budget and MTFP (Sept 2015)	n/a	n/a	n/a	n/a	Medium term financial planning: GREEN (Nov 2013) Financial mngt: AMBER/GREEN (Jan 2015) (Sept 2015)	Annual Audit Letter (Sept 2015) **KPMG - Issued conclusion of Vfm audit PCC & CC made proper arrangements for the effective and efficient use of resources.(Oct 2015)**	n/a	HMIC Valuing the Police 4, good/good/ outstanding (July 2014) Annual PEEL asssessment - efficiency (good) savings requirements (outstanding) Nov 2014. **PEEL assessment - Police efficiency (Oct 2015): overall judgement - requires improvement** **RAG change to AMBER??**	**OPCC : Amber (7 Oct 2015)** **Force: Amber (7 Oct 2015)** **Joint Proposal: Amber (7 Oct 2015)**	**Y**	Note: uncertainty around bridging the gap)
009 RPO RR URN: C05	Reducing crime	• Failure to ensure that Force objectives are delivered *(failure to ensure that the Force's Operational Policing delivery plan is implemented, 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 (3 tiers), Control Strategy, Management teams. Reports to Performance Governance meeting. Reports to PEEL Board. **Policing Model Project** (Oct 2015)	Crime and Operations Risk Register, Force risk register, RMB, (Sept 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) (Sept 2015)	Revenue and Capital Monitoring reports to FCFO. Decision reports published on PCC's website e.g. budget report. PEEL Board, Performance Gov mtgs (Sept 2015)	Force performance meetings via PEEL Board, PCC performance governance meetings (quarterly) OPCC Operational Delivery Monitoring Plan Annual report (Sept 2015)	n/a	IMU Manager - IMU policies in place. (Sept 2015)	Continuous Improvement Unit - reviews. CMB Review (August 2014) Case Conference Co-ordinator review. ICAT review (ACC Commissioned) (Oct/Nov 2014) (Sept 2015)	PCC Professional Standards governance meeting (July 2015)	Risk management PCC: GREEN (March 2015) Delivery of Police and Crime Plan: GREEN (April 2015) Governance (decision making and integrity): GREEN (Sept 2014) (July 2015) **LCJB Outcomes (Q tba) 2015**	Audit opinion - links to meeting objectives and management of risk	Victims Services satisfaction and commissioning (Project/plan in place, resourced) (Oct 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 efficency Inspection (Oct 2015): reqs improvement**	**OPCC : Green/Amber (7 Oct 2015)** **Force: Green/Amber (7 Oct 2015)** **Joint Proposal: Green/Amber (7 Oct 2015)**	**Y**	Note: review effectiveness of monitoring arrangements of Operational Policing Plan Jan 2016.
010 RPO RR URN: C032	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 (Sept 2015)	Risk management strategy, risk management board, risk registers (Sept 2015)	Governance framework, links to AGS, code of corporate governance. Assurance map, Risk registers. Decision making reports. Financial and contract regs, training. (Sept 2015)	Revenue and Capital Monitoring reports to FCFO, MTFS (includes TM strategy) (Sept 2015)	AGS, Code of Corporate Governance (Sept 2015)	Compliance testing via internal controls eg procurement audit (Sept 2015)	n/a	n/a	PCC Professional Standards Governance meetings (Sept 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 (Sept 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 (7 Oct 2015)** **Force: Green (7 Oct 2015)** **Joint Proposal: Green (7 Oct 2015)**	**Y**	

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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
011 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	N/A	DCC	Emergency Planning • Business continuity plans • Emergency Plans • Procedual plans • Local flood warning Plan (Sept 2015) EMOpSS Risk Assessments feed SOPs (Sept 2015)	EMOpSS Risk Register in place. Links to Force risk register process. Force risk officer.Community risk register links to FRR - (May 2015) Regional risk register process-Meeting between the regional risk reps to discuss the gaps (who coordinates EMopSS/EMSoU registers.Rep being provide by DCC Goodwin (Sept 2015)	•DMM •TTCG (tactical tasking & Cordination group) •EMOpSS STRA management board chaired by CC - • Up to date Policies and SOPs • PEEL Board meet every 6 weeks ,discussses SPR (Strategic policing requirement) • JESIP (Joint Emergency Sevices Interoperability Programme) (Sept 2015)	Meeting structure (budget and resources), strategic workforce planning board, Blue book. HR and Finance reps attend SMT. Regional EMOpSS structure - gone live 5 May 2015, business support areas - in prog (Sept 2015)	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 (July 2015) EMOpSS performance Dashboard monitored by Supt.Exceeded projected targets on all areas. (Sept 2015)	LRF, STRA, LRSP, Firearms CoP Licensing requirements, national requirements, public order (numbers), armoury checks/audit (Head of Ops) Humberside regional maritime security group provides assurance for ports and seas (Sept 2015)	**Annual capability survey of civil contingencies completed by the Cabinet Office, no high risk areas for LP, some areas for improvement; workstreams in place to address.(June 2015)**	DCC 1-1s with Supt EMOPs, EMOPs business case review, LRSP review. (July 2015) Review of projects benefits realisation - Recommendations monitored Qtly by RGM. Tac Armed & Roads Policing Meet Qtrly (Sept 2015)	Professional Standards Dept - monitoring and management (Sept 2015)	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/Green (7 Oct 2015)** **Force: Amber/Green (7 Oct 2015)** **Joint Proposal: Amber/Green (20 August 2015)**	Y	
012 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	N/A	DCC DCSupt Gibson	######################	Crime Risk Register in place, Risk Officer (Oct 2014) Review of crime register after Baker Tilly audit (May 2015) - Overarching risk being added to FRR (Oct 2015)	• DPMU (July 2014) AMBER • Policies and procedures Crime screening Policy review due June 2014. • Operation policing plan. • Strategic Assessments • STRA process, tasking, internal meeting structure. • PC & SB Board (Oct 2014) • National action plan (May 2015) • Operational delivery plan ensuring county strategic priorites being actioned.New posts of DS (OPS) and DCI (PPU) in place to support force investigation impovement(July 2015) • PEEL Board every 6 weeks (Oct 2015)	Meeting structure (budget and resources), strategic workforce planning board, Blue book. HR and Finance reps attend SMT meetings (Oct 2015)	Quarterly PCC Briefings, progress against delivery reports (quarterly to PCC), Monthly performance report, SMT, Ext COG, Perf mtgs with HODs by performance officer. (Oct 2015)	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) MAPPA 3 meetings are attended by the Head of Public Protection who has also acted as interim MAPPA 3 chair. This ensures appropriate governance of offenders. (Oct 2015)	DCC commissioned audit DPMU July 2014 RED. Additional resources allocated. LASB & LCSB, SCRs, DHRs, CJ OCD scrutiny panel, IMU regular audits (DPMU, DA) DA SMB. Regional/national Rape working group meeting Held Qtrly (Oct 2015)	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) College of Policing Peer Review - November 2014 reported favourably ***Policing Project Model*** All recommendations accepted by COG - Project moving forward (Oct 2015).	Professional Standards Dept - monitoring and management (Oct 2015)	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) DPMU audit ViSOR every six months by IMU audit team.Record errors. (May 2015) - Some actions	n/a	DHR, SCR process (partnership working) CAADA quality assure MARAC. (Oct 2014) Mappa multi-agency meeetings called - Recall to prison.Co-ordinated by probation. (Jul 2015)	PEEL report Nov 2014 (investigating offending - reqs improvement) HMIC Crime Data Integrity report (Nov 2014)HMIC DA inspection -> Action Plan, OSC - 1 Rec, Complimentary report ref forces compliance with leg (Sept 2015) CoP CSE Review (Nov 2014), PEEL effectiveness - DA, Missing and absent children and CSE. (Jul 2015) **PEEL Investigating crime action plan - work in progress (AMBER) Peel Board report June 2015** HMIC thematic report on FA licensing - Action plan on recomendations to complete (Sept 2015) **PEEL Efficiency report - use of resources to meet demand (good) Oct 2015**	**OPCC : Green/Amber (7 Oct 2015)** **Force: Green/Amber As long as crime continues to fall (7 Oct 2015)** **Joint Proposal: Green/Amber (7 Oct 2015)**	Y	
013 RPRO	Reducing crime	Force	• Local Policing (East and West)	Assessed, does not require entry on PCC or Force Risk Register	N/A	ACC C/Supts Wood & Morrison	• The Police & Crime Plan • OP Policing Delivery Plan • NP Review, refresh, Process Evolution work in progress. NP Strategy (part of Op Del Plan workstream) work allocated out. (Sept 2015)	• Local RR, reviewed at SMT. • Performance officer manages process. Issue. • Specific meetings, accident/near miss issues (H&S) • Area Commanders attend RMB (Sept 2015)	• DMM - Resopurces & significant crime management. • TT&CG - Force task and co-ordination process.(Monthly Meet). • Force policies and procedures. • PEEL board. • Policing Model Project (Oct 2015)	Meeting structure (budget and resources), Blue book. HR and Finance reps attend SMT meetings. (July 2015)	• Daily performance info updated on the intranet. • Monthly performance report, T, Ext COG. • Area Perf mtgs. • District Pef Meet.Feeds into PDRS,Crime ,ASB. • PEEL highlight reports every six weeks attended by OPCC.	Force compliance, strategic oversight groups (hate crime, stop search, other LP matters). (PCC fund, officer time). (Sept)	Crime recording, quality and oversight. CMB and Crime Registrar. HMIC inspection.Some recommendation which have been actioned. CMB concerns over resolutions.(May 2015) HOC working with G4S/CPT to address deteriorating levels of crime in CMB - Consideraton of move to Gold group in the near future (July 2015)	PCSO Review, New manual of guidance. Shift pattern review. DCC/ACC.Management oversight of key partnerships (YOS, CYPSP, LRSP). PCC monthly perf meetings. Policing model review.(Oct 2015)	Professional Standards Dept - monitoring and management. Satisfaction SKPI, control strategy, Performance Governance oversight. (Oct 2015)	G4S Niche Service provision 'substantial assurance' (Nov 2014). IA of local RR - Amber/Green(May 2014). IA of local RR Amber/Green (May 2015)	n/a	n/a	PEEL Inspection report (investigations - AFI, crime prevention/reduction - good, ASB - good). S/S re-inspection. Disability hate crime (feedback largely positive). Nov 2014. HMIC report on Stop & Search 2 completed.Requirements for ongoing monitoring (May 2015) **PEEL Investigating crime action plan - work in progress (AMBER) Peel Board report June 2015.** **PEEL Efficiency report - use of resources to meet demand (good) Oct 2015**	**OPCC : Green/Amber (8 June 2015)** **Force: Green/Amber (27 July 2015)** **Joint Proposal: Green/Amber**	Y	
014 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	N/A	ACO	Procurement plan is in place to monitor the commercial partner. Progress Reports (RGM) (Oct 2015)	Progress report (quarterly) RGM (Sept 2015)	Monthly performance and delivery reports. Monthly Service review meetings with CPT, monthly TMB, fortnightly Steering Group. **Training on Scheme of Governance - roll out Oct 2015 onwards** (Oct 2015)	Quarterly P&D Board. (Oct 2015)	Resources Governance oversight, Quarterly Contract Performance report by CPT Manager to P&D. Revised procurement plan format and in action. RGM (Oct 2015)	Procurement procedures detailed in PCC Financial & Contract Regs. (Oct 2015)	Contract database with protected and managed access (Oct 2015)	Monthly meeting with CPT Manager (Oct 2015)	Flag reports, change requests. (Oct 2015)	Financial management (inc procurement): AMBER/GREEN (April 2015) **Procurement Audit - (final report: satisfactory opinion) (Oct 2015).**	Local Partnerships (Which report to HO) - How do Police forces manage their contracts - Report made 7 recommendations which are being worked through.(Oct 2015)	n/a	n/a	**OPCC : Green/Amber (7 Oct 2015)** **Force: Green/Amber (7 Oct 2015)** **Joint Proposal: Green/Amber (7 Oct 2015)**	Y	

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

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.						
				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
015 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	N/A	ACO	Lincs police people strategy 2015-18. Links to the P & C Plan (Sept 2015)	Progress report (quarterly). **HR local RR in place, no risks highlighted, internal audit report awaited - (Sept 2015)** **Review RAG once IA report received.**	Monthly performance and sickness reports and delivery reports. Monthly Service review meetings with CPT, monthly TMB, fortnightly Steering Group. Strategic Workforce planning board (monthly) chaired by ACO. PEEL Highlight report 6 weekly. (Oct 2015)	P&D Board.Monthly review of monitored & managed budgets by CPT.(Oct 2015)	Resources Governance report monthly around staffing. Qrtly progress around the people plan.Contract Performance report by CPT Manager. **Highlight report to PEEL Board** (Oct 2015)	PCC & CC Scheme of Delegation.(Oct 2015)	n/a	Monthly meeting with ACO (Resources) / Head of HR; and CPT Manager. (Oct 2015)	Flag reports, change requests.(Oct 2015)	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 (Which report to HO) - How do Police forces manage their contracts - Report made 7 recommendations which are being worked through.(Oct 2015)	Lincs Audit Payroll Review. Payroll/HR reconciliation of systems issues. Aug 2014: Major improvement needed. CFO concerns (Jan 2015). Numerous recommendations made. **Follow up meeting to agree actions and timescales July 2015. Report to JIAC Sept 2015. progress report to JIAC Nov 2015.**	n/a	**OPCC : Red/Amber (7 Oct 2015)** **Force: Red/Amber (7 Oct 2015)** **Joint Proposal: Red/Amber (7 Oct 2015)**	**N**	Payroll audit recommendations - to be implemented. Payroll issues to be addressed. Oversight by Resource Governance Meeting. **Shared understanding of issues noted.**
016 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	N/A	ACO HoSD	• CC vision.Lobbying strategy. • Financial contingency plan. • Strategic Development Dept Plan has been updated to reflect the creation of IMU as a separate department (wef 1st July 2015). • Developing change strategy.(Sept 2015)	Dept Risk Register reviewed monthly by SMT. Programme risk register, project risk registers. (Sept 2015)	SMT meetings. Team meetings. Improving force performance policy. Police and Crime Strategic Board. PEEL Board (Sept 2015)	SMT (budget review and monitoring, monthly with management accountant), workforce report review, PDR and sickness at SMT (Sept 2015)	Resources Governance Meeting. PEEL Board and reports, Project Boards. Monthly highlight reporting and quarterly review of Operational Policing Plan Tier 2 objectives.(Sept 2015)	n/a	System accreditation for projects where relevant (eg NICHE) (Sept 2015)	HoSD monthly meeting with ACO. SDD Business Review - work complete.Police staff review complete. (July 2015) Police staff officer assessment refresh. (Sept 2015)	None. PSD lead, liaise with HoSD as required. (Sept 2015)	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 (7 Oct 2015)** **Force: Green/Amber (7 Oct 2015)** **Joint Proposal: Green/Amber (7 Oct 2015)**	**Y**	5 May 2015 - Police staff review completed and approved by COG 26/05/2015
017 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	N/A	ACO	ICT Strategy and Plan Progress Reports Resilience testing of the force IT system being undertaken Resources to be increased (temp) to support the delivery of regional activity (NICHE).(Oct 2015)	Progress report (quarterly) ICT local RR (Oct 2015)	Monthly performance and delivery reports.PEEL highlight reports 6 weekly. Monthly Service review meetings with CPT, monthly TMB, fortnightly Steering Group.(Oct 2015)	P&D Board. Invoice submissions and evidence. Monthly review of monitored & managed budgets by CPT. (Oct 2015)	Resources Governance oversight; Quarterly Contract Performance report by CPT Manager (Oct 2015)	ITHC/Treatment plans form part of monthly performance report as does code of connection.(Oct 2015)	Information Management Board, Force Security Board, CESG, Code of Connection.(Oct 2015)	ICT/IMU monthly meetings; Monthly meeting with ACO (Resources) and CPT. TMB (Oct 2015)	Flag reports, change requests.(Oct 2015)	Data security: GREEN (Jan 2015) G4S Niche Service provision 'substantial assurance' (Nov 2014) ICT Change Management: GREEN (Oct 2015)	Local Partnerships (Which report to HO) - How do Police forces manage their contracts - Report made 7 recommendations which are being worked through.(Oct 2015)	ITHC, Penetration tests.(Oct 2015)	CESG (Government's National Technical Authority for Information Assurance, previously known as Communications-Electronics Security Group).HMIC efficency programme looks at the implementation of ICT (Oct 2015)	**OPCC : Green/Amber (7 Oct 2015)** **Force: Green/Amber (7 Oct 2015)** **Joint Proposal: Green/Amber (7 Oct 2015)**	**Y**	
018 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	N/A	PCC DCC C/Supts	Force meeting structure. SMT meetings. Dept Mgt mtgs, DCC oversight (NCRS/RIPA, MOPI, stop search, POCA, equalities). PSD. (Oct 2015)	Links to Crime Risk Register, links to EM Ops risk register, local policing risk register. Risk officers. (Oct 2015)	Oversight of crime recording by DCC, Crime Registrar. Exception reporting to PCC. Initial/ongoing training, NCALT/briefings, L&D plan. (Oct 2015)	Financial consequences of risks capture in risk registers. Links to Legal services and PSD, Confidential Risk Register (Oct 2015)	DCC oversight. Escalation process via PSD or legal services (Oct 2015)	IMU Internal audit processes, Crime Registrar internal audit processes. (Oct 2015)	IMU policies in place and in date. (Oct 2015)	n/a	PSD policies and procedures, published on intranet, Bad Apple. (Oct 2015)	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. positive report and certain areas of our practice were highlighted as the best in the country (Sept 2015)	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.(Sept 2015)	**OPCC : Green (7 Oct 2015)** **Force: Green (7 Oct 2015)** **Joint Proposal: Green (7 Oct 2015)**	**Y**	
019 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	N/A	ACO	Assets and Fleet Strategy and Plan Progress Reports 2015/18 approved. (Oct 2015)	Progress report (quarterly) Local RR - (Oct 2015)	Monthly performance and delivery reports. Monthly Service review meetings with CPT, monthly TMB, fortnightly Steering Group. Highlight report to PEEL Board (Oct 2015)	P&D Board. Quarterly review of monitored & managed budgets by CPT. (Oct 2015)	Resources Governance oversight (Meet monthly) Quarterly Contract Performance report by CPT Manager. (Oct 2015)	n/a	National Police Estates Group and National Association of Police Fleet Managers - used to benchmark. (Oct 2015)	Asset Management Group (quarterly); Monthly meeting with CPT Manager.(Oct 2015)	Flag reports, change requests.(Oct 2015)	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)	n/a	n/a	n/a	**OPCC : Green/Amber (7 Oct 2015)** **Force: Green/Amber (7 Oct 2015)** **Joint Proposal: Green/Amber (7 Oct 2015)**	**Y**	
020 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	N/A	PCC/ CC Ian Watkins	Local Business Continuity Policy & Plans in place (Oct 2015)	Feeds into risk register, Local Resilience Forum/Lincs (Chaired by ACO Resources). Community Risk Register (Oct 2015)	Emergency Planning Officer manages and co-ordinates internal controls. BC Strategic Board oversight (6 monthly) (Oct 2015)	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 (Oct 2015)	BC plans for collaboration delivered services - plans in development.Anticipated completion for EmopSS Nov 15. (Oct 2015)	Force Information Security Manager in place (systems assurance and systems accreditation).National peer review in place (Oct 2015)	n/a	n/a	Business Continuity / Disaster Recovery (Non IT) Internal Audit (June 2012) RED. All recommendations complete. FCR arrangement audit all recommendations completed (Oct 2015).	n/a	Annual audit via ACPO lead - Civil Contingencies Capability Framework (inc BCP) (March 2014) Cabinet office Biannually - Insp anticipated 2016 (Oct 2015)	HMIC Civil Contingencies audit (March 2014) Links to other inspections (eg Crime Recording).	**OPCC : Green/Amber (7 Oct 2015)** **Force: Green/Amber (7 Oct 2015)** **Joint Proposal: Green/Amber (7 Oct 2015)**	**Y**	

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

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.						
				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
021 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	N/A	CE/ CFO RPO	Risk Management Strategy and Policy, annual review process in place. Links to AGS (Sept 2015)	PCC Risk Register (Sept 2015)	Dedicated officer. Assurance map. Reports quarterly to JIAC (Sept 2015)	IMM meetings (monthly)(Sept 2015)	IMM meetings (monthly). Significant risks considered at governance meetings (Sept 2015)	Local links to Greater Lincs RM Group. RPO attends Futures Scanning national group (emerging risks/horizon scanning) (Sept 2015)	n/a	RPO meetings with CE, CFO, DCE. Briefings to PCC (Sept 2015)	n/a	Risk management (PCC) GREEN March 2015 Delivery of Police and Crime Plan: GREEN (April 2015) **Risk Management (Q2) final report - significant assurance. (Oct 2015)**	Audit opinion links to management of risks	n/a	HMIC reports link to risk	**OPCC : Green (7 Oct 2015)** **Force: Green (7 Oct 2015)** **Joint Proposal: Green (7 Oct 2015)**	Y	
022 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	N/A	DCC RPRO	RM Strategy to 2018 and Policy to Oct 2015. Force, dept, project risk registers in place + confidential register (Oct 2015)	Force Risk Register, local registers, project registers. Risk Officer reviewing processes after Baker Tilly audit.(Oct 2015)	Dedicated officer, SPOCs. All dept registers monthly review at SMT. Assurance map now includes force risks over 9. Reports quarterly to JIAC (Oct 2015)	Risk Management Board (Quarterly) Confidential RMB (Oct 2015)	RM Board (Quarterly) Confidential RMB. Significant risks reported to PCC (Governance mtgs) (Oct 2015)	n/a	IMU review all Force info risks across all depts at IMU Board. IMU Manager rep at Force RMB.(Oct 2015)	Risk officer monthly meeting with DCC. Risk officer meetings with all departmental SPOCs and also owners of assurance risks (Oct 2015)	n/a	Risk management (April 2015) AMBER/GREEN Risk management (Force Amber GREEN - March 2015) **Risk management (focus on dept) Q2 August 2015. Draft report: satisfactory assurance (Oct 2015)**	Audit opinion links to management of risks	n/a	HMIC reports link to risk HMIC required the FRR for the PEEL efficency inspection.Risks reviewed for all major inspections and continually monitored.(Oct 2015)	**OPCC : Green/Amber (7 Oct 2015)** **Force: Green/Amber (7 Oct 2015)** **Joint Proposal: Green/Amber (7 Oct 2015)**	Y	
023 RPO	Reducing crime, Fair deal, Services there when needed	• Lack of effective fraud, corruption and error arrangements leading to reputational damage. *(Ref Professional Standards)*		Assessed, does not require entry on PCC or Force Risk Register	N/A	PCC/ CC RPO Supt Wood	AF&C Strategy and Plans in place. Bad Apple systems. Adopted CIPFA Code of Practice **Fraud risk assessment - work in progress. Mazars to co-ordinate)** **(Oct 2015)**	Risks assessed. Code of Practice. **STRA Corruption - work in progress. Links to AGS.** (Sept 2015)	AF&C Mtgs (oversight), Joint policy in place, PS Governance, NCALT counter corruption training. **Anti Money Laundering Policy - work in progress** (Sept 2015)	Annual Audit Commission Survey, no issues. Final survey in 2014. (Sept 2015)	AF&C Meetings AF&C ToR reviewed June 2015 (Sept 2015)	Compliant with Police Regulations (Sept 2015)	n/a	n/a	n/a	Data Security IT Audit: GREEN (April 2015)	No issues raised during Inquiries of Management (June 2015)	CIPFA Code of Practice in managing the risk of fraud and corruption & UK Anti-corruption Plan (considered at AF&C meeting, March 2015). **Gaps identified re: fraud risk assessment. Mazars to carry out work. (Oct 2015)**	HMIC Integrity and Corruption inspection (27 Nov 2014) 'excellent progress' 2 recs. Work in progress on addressing recs (March 2015)	**OPCC : Green/Amber (7 Oct 2015)** **Force: Green/Amber (7 Oct 2015)** **Joint Proposal: Green/Amber (7 Oct 2015)**	Y	
024 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	N/A	DCC	EMPLS Monthly bronze meetings dealing with all aspects of civil claims/admin/DVPOs/ ASBOs etc. Existing business model in place. 3 year business plan to be developed (in line with s22 agreement) (Oct 2015)	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.(Oct 2015 2015)	Legal services awareness to be refreshed/updated (intranet). Procedures to be reviewed (line management responsibility has been resolved, monitoring of internal budget resolved). (Oct 2015)	Meeting structure in place internally reporting to EMPLS board chaired by DCC Goodwin. (Oct 2015)	EMPLS management board established. RGM oversight (6 monthly review). Bi-monthly force meetings with DCC and ACO. Annual service review - work Completed. (Oct 2015)	Solicitors required to be licensed to practice (Oct 2015)	All cases managed through AMICUS and audit carried out by Baker Tilley. (May 2015)	Regular 1:1 s between staff & head of unit, plus Monthly bronze meetings - Review of legal services (HoSD) reported to RGM. Increased resilience, access to specialist knowledge. (July 2015) Recommendations from review of legal services to be monitored Qtly by RGM (Sept 2015)	Compliant scrutiny by regulatory authorities.(Oct 2015)	Advisory Audit - Procurement of legal services, commissioned by DCC. Baker Tilly reported May 2014 - Actions completed and Baker Tilly updated (July 2015)	n/a	East Midlands Efficiency Board. The Management Board reports to the East Midlands Police Collaboration 'Five Force Board'.(July I 2015)	n/a	**OPCC : Green/Amber (8 June 2015)** **Force: Green (27 July 2015)** **Joint Proposal: differs (20 Aug 2015) (Await update on progress against recommendations)**	Y	
025 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	N/A	DCC (Dick Burge)	Force information assurance strategy. Team mtgs, supervisor mtgs, management mtgs. Departmental Plan. BC Plan. (Sept 2015)	Department risk register. IMU review all Force information risks across all depts at IMU Board. (Sept2015)	Policies and procedures for all areas of the IMU (security, vetting etc). Force Information Management Board. Force Security Board. (Sept 2015)	n/a Budget now centralised. (Sept 2015)	Performance booklet (monthly) covers SLAs (partner agency disclosures), Vetting, DBS. Local and national reporting structure. ACO oversight. (Sept 2015)	IAMM internal compliance review (level 3) - top performing force. IMU Audit (self audit RRD and PADO). (Sept 2015)	National Police Info Risk Management Team (Accreditation). Info Assurance Maturity Model (annual). National Security Policy Framework annual return. Systems risk assessment. (Sept 2015)	Information Manager monthly meetings with ACO (Sept2015)	n/a	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. (Sept 2015)	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. (May 2015) **HMIC Building the picture: an inspection of police information management (July 2015)**	**OPCC : Green (7 Oct 2015)** **Force: Green (7 Oct 2015)** **Joint Proposal: Green (7 Oct 2015)**	Y	

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

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**						
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				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
026 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	N/A	DCE	Shared Service Strategy in place. Links to Victims and Citizens Channels Programme Board (Sept 2015)	Role in mitigating risks in PCC and CC risk registers (Sept 2015)	Service manager attends COG. Head of Comms meets ACO monthly. Updates at IMM, P&CSB (Sept 2015)	PCC budget. CE budget holder. Managed and monitored by DCE. (Sept 2015)	Day to day leadership and management (Sept 2015)	n/a	News management software records all interactions with journalists (Sept 2015)	Head of Comms meets ACO monthly (Sept 2015)	Managed by PSD/PCC (Sept 2015)	n/a	n/a	n/a	n/a	**OPCC : Green (7 Oct 2015)** **Force: Green (7 Oct 2015)** **Joint Proposal: Green (7 Oct 2015)**	Y	
027 RPRO	Reducing crime, Fair deal, Services there when needed	• Lack of effective health and safety arrangements *(Ref: Health and Safety)*		Assessed, does not require entry on PCC or Force Risk Register	N/A	CE/CC Nick Cornwell-Smith	Health and Safety Annual Action Plan in place (Oct 2015)	Links to local and corporate risk register (Oct 2015)	H & S Board, local H&S Meetings, policies and procedures in place, reporting structure (to RGM) Annual Report (Oct 2015)	n/a	H&S Annual Report, progress monitored at Force H&S Committee (Oct 2015)	n/a	n/a	n/a	n/a	n/a	n/a	n/a	Nil return HSE (May 2015). No prosecutions or enforcement notices in last 16 years. (Oct 2015)	**OPCC : Green (7 Oct 2015)** **Force: Green (7 Oct 2015)** **Joint Proposal: Green (7 Oct 2015)**	Y	

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
VfM - 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.