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

NOT PROTECTIVELY MARKED

COLLABORATION

		OPCC / Force risk registers RISK SUMMARY				Business operations - the front line BUSINESS AREAS	Oversight of management activity and assurance functions OVERSIGHT OF MANAGEMENT ACTIVITY		Independent assurance / advice INDEPENDENT AND OBJECTIVE ASSURANCE		ASSURANCE ASSESSMENT	
						First line (more knowledge, less independence)	Second line (more objective, but not wholly independent)		Third line (objective & independent)			
Ref Number	PCP Strategic objective/ priority	Key Risks & Control Issues	Risk RAG	Status	Owner	Management Controls	Corporate Reporting	Quality & Compliance reviews	Internal Audit	External Agency	OVERALL RATING (RAG)	CURRENT KEY ACTIVITY & RATIONALE FOR OVERAL GRADING
						How well are objectives being met? Routine system / operational control & Assurance - Business plans / Delivery plans, local control measures & monitoring Dept risk register	Are key strategic objectives being delivered? EXAMPLES Financial reporting Oversight boards / Project /programme reporting / PCSB / governance meetings eg resource governance Policy / Strategy in place - progress against them?	Information Assurance, regulatory compliance (inc. sys accreditation) Portfolio Mtg/Reviews Satisfaction / Complaints Handling	Type / Opinion	HMIC / Inspectorate		
COLLABORATION (EMSOU / EMOPSS / Legal services / Occupational Health / EMCJS / Forensics /												
				⇔		Regional risk register in place and co-ordination via Regional SPOC October 2015.	PCC board performance governance mechanisms agreed - Oct 2015. Regional PCC board - performance reporting?			• **HMIC Regional Organised Crime Units Review** (EMSOU) Review of capability and effectiveness – 11 Recommendations BTN Mar – June 2016.The East Midlands Special Operations Unit (EMSOU) is the most advanced and well-established of the ROCUs. (Nov 2015) **HMIC Insp 2016** The extent to which the force is effective at keeping people safe and reducing crime is **good** Lincolnshire Police has been assessed as good in respect of its effectiveness at keeping people safe and reducing crime. Overall judgment is an improvement on last year, when HMIC judged the force to require improvement. The force has an effective approach to preventing crime, keeping people safe and tackling anti-social behaviour and **serious and organised crime**.		
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				⇓								
		RISK SUMMARY **Currently there are no organisational level risks identified. All risk in this area is being managed at a local / regional level where specific risk registers and management procedures are in place.**										

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.