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

FINANCE

	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**	
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Ref Number	**Key Risks & Control Issues**	**Risk RAG**	**Status**	**Owner**	**Management Controls**	**Corporate Reporting**	**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 Strategy in place - progress made?	Information Assurance, regulatory compliance (inc. sys accreditation) Portfolio Mtg/Reviews Satisfaction / Complaints Handling	Type / Opinion	HMIC / Inspectorate		
FINANCIAL MANAGEMENT (Including Insurance and Treasury Management)											
ST-68	Pension and taxation rules		⟺	CC	**Finance Risk Register** in place which covers the Force and G4S Finance departments including Treasury Management and Procurement - reviewed Monthly at finance team meeting. **Financial strategy** in place April 2016. **All Finance related policies** are currently upto date - April 2017. Weekly **Finance team meeting** in place April 2017 - attendees include senior team members from both G4S and Force teams inc CFO,DCFO,FCFO, HoF & Senior Accountants - (Agenda and Actions arising are recorded). **Quarterly meeting of Regional CFO's** & HoFinance in place - to facilitate Information / intelligence exchange. **Annual financial "Service Plan" (objectives)** in place and progress against plan is monitored as part of weekly team meetings (Circa 2Hrs duration). **G4S contractual requirements** are monitored via the overall Service Delivery Agreement. (including KPI and MI). **Benchmarking** exercises in place utilising HMIC VfM profiles / CIPFA "Backoffice" / Treasury management "CLUB" **CIPFA review** undertaken DATE? - development of **quality standards** for process controls under development led by FCFO May 2017.	**Integrated Support Strategy** 2017 - 2020 incorporating draft delivery plan presented to PCSB March 2017. (Financial implications) **Annual Governance statement** (AGS) produced (Draft to JIAC in Februsry 2017 - Final June 2017). **Resource Governance Meeting** (RGM) held monthly (Agenda and actions arising plus work plan recorded) to include routine Capital and Revenue reporting, budget forecast, monitoring and assumptions, Treasury Management review, procurement progress against strategy. Project delivery updates. **Chief Officer Group** - monthly reporting on progress against plans aligned with RGM (as above). (improvements in operational reporting to COG and by Operational Officers is currently under development by FCFO as at **May 2017.** **Statutory and regulatory reports** completed as required Including Year end accounts / Budget production / periodic HO returns - approved by CFO. **Treasury Manageemnt Strategy** and associated codes of practice adopted and routine reporting in place.	**Internal Finance team reviews** (specifically to review existing processes to identify potential improvements) Reviews completed on: *"Procure to Pay"* processes. *"Record to Report"* - Ledger processes. To discover and recommend procedural improvements DATES? NEXT *"Recruit to Record"* planned *for* Date?	**General Ledger** - Dec 2016 = GREEN significant assurance. **Cash Bank & Treasury Management -** November 2016 = GREEN satisfactory Assurance. **Insurance -** July 2016 = GREEN Significant assurance **Payroll =** June 2016 = GREEN / March 2017 GREEN Satisfactory Assurance. **Pensions-** July 2016 = GREEN Satisfactory Assurance. **MTFP -** July 2016 = GREEN Significant Assurance. **Overtime / Time recording -** November 2016 = GREEN Satisfactory Assurance **Payments & creditors** - Feb 2017 = GREEN satisfactory. **Income & Debtors** - March 2017 = GREEN Satisfactory assurance. **Stock Control** -July 2016 Amber limited assurance - action plan in place	**PEEL Efficiency inspection report 2015** - graded - "requires improvement". **HMIC PEEL Efficiency inspection report (Nov 2016)** - Graded as " **Good**" ... *"The force provides a good policing service to the communities of Lincolnshire at one of the lowest costs per head of population in England and Wales. It has a small workforce and a high reliance on local funding".* ***"HMIC considers that the force has done what can reasonably be expected to be as efficient as possible"...*** *"yet it still faces an uncertain financial future due to its low funding base".*		**CFO is member of National Technical Advisotry Panel - for revised Funding Formula.** **Awaiting Confirmation from HO on revised funding formula adoption likely implementation Date**
	RISK SUMMARY **one red and three amber risks are recorded across both organisational risk registers - all are currently stable with developing controls in place.**										

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	BUDGET & Govt FUNDING										
ST-40	Police Grants / funding		⇔	CC	**Outline planning and budget timetable** in place - June 2017 (details key dates / decisions and activityschedule regarding MTFP planning / budget preparation in place) **July 2017 -** consider implications of future budget options / Agree timetable for manageemnt and strategic activity / reporting. **September 2017** - update MTFP / set budget targets 2018/19 to 20/21. - Review Capital programme **October 2017** - commence corporate review of budgets to conclude in November 2017. **December 2017** - review budget position in light of provisional Police Finance Settlement. **Jan 2018** - conduct budget consultation / finalise proposed budget **Feb 2018 - Final Police Finance Settlement** notify district councils of precept requirement / final approval of Chief Constable strategies and delivery plans **March 2018 - Budgets loaded onto T-Police system -** publish budget holder guidance and budget book / provide feedback to budget holders.	**Outline planning and budget timetable** - presented to PCSB in June 2017. **Monthly Resources Governance Meetings** - workplan and routine agenda in place - includes: monthly terports on revenue budget monitoring / capital monitoring / key people data / quarterly reporting on Police officer budget assumptions - forecasting.Review of any major risks or issues arising. **July 2017** - PCSB consider first draft of budget options **Sept 2017** - PCSB consider updated MTFP and budget target / future budget options and Chief constables strategies. **Jan 2018** Police and crime panel meeting - presentation of budget. **Feb 2018 - PCC issues final Budget Decision Reoprt** (setting budget and council tax) **JIAC reporting** - scheduled / routine reporting to Quarterly meetings (Forward plan manages papers to appear at meetings)	**No assurance** available in this format	**MTFP - July 2016 = GREEN Significant Assurance.**	**PEEL Efficiency inspection report 2015** - grade **"requires improvement".** **HMIC PEEL Efficiency inspection report (Nov 2016) Graded as " Good"** : *"HMIC considers that the force has done what can reasonably be expected to be as efficient as possible and yet it still faces an uncertain financial future due to its low funding base".* **January 2017** - HMIC critical of a lack of costed alternative plans in the event that Govt funding is not forthcomming. **(hot debrief)** *Note: costed scenarios now in place)*		**CFO is member of National Technical Advisotry Panel - for revised Funding Formula.** **Awaiting Confirmation from HO on revised funding formula adoption likely implementation Date** **Balanced budget prepared for 2017/18.** **3 Costed options prepared (scenario planning if Improved Govt Funding is not provided)**
C01	Failure to persuade Govt of Lincs case for fairer share of funding		⇔	PCC							
	RISK SUMMARY **There are currently no organisational level risks recorded within either the OPCC or Force risk registers relating directly to Budget. However, OPCC and Force risk registers both record risks regarding the levels of funding available from Central Government.** **The Government review of funding continues with MTFP assumptions from the OPCC based on proposed levels of funding being announced by mid 2017/18 and implementation of revised formula from 2018/19. (Govt Funding review timing is in doubt due to impact resulting from national election in June 2017.**										
	PROCUREMENT										
	NONE				**EU Procurement regulations** in place.(awareness maintained via intelligence sharing and quarterly meetings with East Midlands Legal services) Procurement is considered as a specific element of the **Finance Risk Register** - Head of procurement feeds into larger review of financial risks via Head of Finance (G4S). **Management and Key performance data** (MIKI) - progress reviewed monthly. **Procurement plan** refreshed annually - Approved by Head of Force Finance. Management and performance information monitored monthly (G4S) including Contract status -renewal / expiry schedules - advice provided to contract holders in line with commercial Partnership contract.	**Resources Governance Meeting** - 6 monthly procurement progress against strategy / plan reviewed. **Management and Key information -** internal (MIPI) report produced monthly **Savings achieved** - reported quarterly to Home Office. **Procurement Spend Data** uploaded to Home Office (6 monthly - to help national assessment of sector spending)	**No assurance** from this area as none conducted.	Audits TBC	PEEL Efficiency inspection report 2015 - grade "requires improvement". **HMIC PEEL Efficiency inspection report (Nov 2016)** Graded as **" Good" :** *"HMIC considers that the force has done what can reasonably be expected to be as efficient as possible and yet it still faces an uncertain financial future due to its low funding base".*		**Review of EU tender threshold planned for 2018 in light of Brexit.** **Anti-Fraud / corruption risk assessment underway (July 2017).**
	NONE										
	NONE										
	NONE										
	RISK SUMMARY **There are currently no organisational level risks in this business area - all are managed at a local level. There is an escalation process in place with risks discussed at routine / regular finance meetings.**										

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

OPERATIONS

NOT PROTECTIVELY MARKED

	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**	
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					How well are are objectives being met? **Routine system / operational control & Assurance -** , business plans / Delivery plan, local control measures & monitoring Dept risk reg	**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		
LOCAL POLICING - East & West Divisions											
ST-80	Deployment of officer establishment		⟺	CC	• Local Risk Registers, reviewed at SMT meeting monthly. • SMT meetings fortnightly include HR and business manager - standing agenda ibncludes H&Safety issues. (meetings minuited) • Regular quarterly meetings with RAF to look at mutual aid, support available to help operational delivery objectives. • Operational delivery plan segmented into areas of specialism for divisional Superintendents. • Divisional Perfromance officer in place (East position recently appointed June 2017). • HMIC recommendations / actions required managed by Supt at divisional level and tracked using issues matrix. • New performance framework and approach in place May 2017 - perfromance analysed in SMT meeting supported by divisional Performance officer. (Linked directly to tasking process) • Issues arising with delayed release of officers successful at interview for new roles.	• **Force operational Delivery Plan** - requires refreshing - April 2017 (ACC at PCSB). • **Operational delivery plan updates** provided quarterly to **Perfromance Governance meetings** for review led by PCC CEX and ACC./ DCC / CC (ad hoc reporting can be requested from Subject matter experts). • Written Reports by relevant area commander provided to **COG on any significant issues** arising. • **PCC performance report** - published on PCC website and presented to the Police and Crime Panel Quarterly - (reflects force performance - crime figures)	**Complaints handling - Augsut 2016 Audit opinion = GREEN Satisfactory Assurance** "The OPCC maintains oversight of the complaints management process within the Force. Quarterly meetings are held where Force complaint statistics are reviewed and scrutinised at the Professional Standards Governance meeting. Between **1 April 2015 and 30 March 2016,** the Force finalised a total of 559 complaints cases. The status of these complaints are as follows: · Local Resolution – 258 · Other Incl Disapplication, discontinued – 15 · Withdrawn – 64 · Upheld - 41 · Not Upheld – 181"	**Overtime / Time recording** - **November 2016 = GREEN** satisfactory Assurance **Seized & Found property** - **Sept 2016 = GREEN** Satisfactory Assurance	**IHMIC PEEL 2016 Effectiveness Inspection report (Published March 2017)** **Overall Judgement commentary -** *"The extent to which the force is effective at keeping people safe and reducing crime is* ***good*** *The force has an effective approach to preventing crime, keeping people safe and tackling anti-social behaviour and serious and organised crime. It generally conducts investigations to a good standard,* ***although it still needs to improve the service it provides to vulnerable people".*** ***IHMIC PEEL 2016 Effectiveness Inspection report (Published March 2017)*** ***P14 Local Policing -*** *"in HMIC's 2015 effectiveness report, we identified that the force should ensure that its focus on crime prevention is not undermined by the redeployment of neighbourhood officers and staff to undertake reactive duties, for example responding to emergency and priority calls. This year,* ***we note a substantial improvement,*** *with beat managers and PCSOs dedicated to their role of tackling problems and preventing crime and anti-social behaviour. Other organisations comment favourably on this improvement, as it means that more difficult problems can be dealt with in a more co-ordinated way."*		**Replacement for SENTINEL ASB case manageement system has business case with CSP in June 2017.** **Divisional staff / Officers successful at interview - experiencing delays in being released to new roles.**
ST-65	ASB case management system		⟺	CC							
ST-78	Training & Exercising		⟺	CC							
	RISK SUMMARY **The main risk relates to having sufficient staff to cope with the demand placed on the force. Controls are continually being developed to mitigate this including recruitment drives, tranferrees and the the recent "Policing Model Project". The iother risks are stable with developing controls in place.**										
CRIME - CSE / FRAUD / CYBER / PPU / SOC / Prevention / Firearms Licensing / Major crime /											
ST-63	Emerging crime types		⟺	CC	• **Crime Allocation policy** has been recently refreshed -Requires major overhaul in medium term - needs to reconcile ' crime type' approach to allocation with current THRIVE approiach being used for management of demand. **Remaining Key departmental policies in place and current June 2017** • **Local Risk Registers**, reviewed at SMT on a fortnightly basis. (Includes FCR issues).. Clear escalation process in place. **Progress against Operational delivery plan** is covered across a range of managmemnt meetings including.... • **SMT meetings held every 2 weeks** for Chief inspectors and above including HR and Business manager. • **Monthly meetings** held within key business areas - covering departmental themes. • **121 meetings held** with all officers of Chief inspector rank and above • **IMU audit results and HMIC recommendations** are placed into a matrix and progress against actions required are reviewed • Head of Crime meets with ACC Monthly to discuss progress and key issues arising.. • **Performance issues relating to operational policing** are also discussed at these meetings as are potnetial improvements in practice - issues discussed do change activity / approach taken EG - recent changes in collection of CCTV evidence via email. • **Welfare issues** also considered as part of performance / progress reporting / monitoring regime.(particularly in PPU area of work) • **Crime file quality** - 5 point plan introduced in may 2017 - to monitor and improve quality of crime files submitted to CPS. **Firearms Licensing** - improvement plan put in place and is being monitored on a weekly basis between Foce and G4S - May 2017.	• **Perfromance Governance Meetings - held bi-monthly (PCC / CEX / DCC/ ACC / CC).** **Workplan includes:** *** Operational Delivery Monitoring Report** (incorporating Crime elements) - produced quarterly. *** Review of Force Performance Dashboard inc specific** Crime performance indicators and contextual information. • **Verbal update to COG every 2 weeks** by head of Crime department - (Meeting Minuited). • **ACC** - Crime portfolio holder provides 1-2-1 verbal **update and exception report** to PCC monthly. • **Exceptional issues arising (strategic level)** can be reported to PCSB within Chief constable written / verbal report . Safeguarding issues reported via **County Safeguarding Boards.** • **PCC recieves written Quarterly Assurance Reports** from multiple key business areas across the Crime portfolio - covers activity/ risks/ lessons learned, and contains chief officer overview / commentary. • **PCC performance report** - published on PCC website and presented to the Police and Crime Panel Quarterly - (reflects force performance - crime figures) **Firearms Licensing** - Update report provided to PCSB by G4S regarding recovery plan in May 2017.	**Complaints handling - Augsut 2016 Audit opinion = GREEN Satisfactory Assurance** "The OPCC maintains oversight of the complaints management process within the Force. Quarterly meetings are held where Force complaint statistics are reviewed and scrutinised at the Professional Standards Governance meeting. Between 1 April 2015 and 30 March 2016, the Force finalised a total of 559 complaints cases. The status of these complaints are as follows: · Local Resolution – 258 · Other Incl Disapplication, discontinued – 15 · Withdrawn – 64 · Upheld - 41 · Not Upheld – 181" **IMU Audit Regime** Compliance audits conducted by IMU on MOSOVO / Hate crime / Domestic Abuse - action plans in place to address findings. - (Progress discussed at SMT and thematic management meetings)	**Overtime / Time recording** - **November 2016 = GREEN** satisfactory Assurance **Seized & Found property - Sept 2016 = GREEN** Satisfactory Assurance	**IHMIC PEEL 2016 Effectiveness Inspection report (Published March 2017)** The extent to which the force is effective at keeping people safe and reducing crime is **good** Lincolnshire Police's effectiveness at investigating crime and reducing re-offending is good. The quality of some investigations still needs to improve, but effective leadership and processes are raising standards. The force has substantially reduced the backlog of computers and telephones waiting for digital examination. •Lincolnshire Police's effectiveness at protecting those who are vulnerable from harm and supporting victims requires improvement. The force has made insufficient progress on two of the areas for improvement identified in HMIC's 2015 effectiveness (vulnerability) report. •The force should improve its response to missing and absent people •The force should improve its response to children at risk of sexual exploitation **JTAI report dated Dec 2016** - Joint targeted area inspection of the multi-agency response to abuse and neglect in Lincolnshire **Key Strength** The local partnership has a clear and collective determination and drive to engage agencies in delivering a coherent approach to tackle domestic abuse. **Main AFI -** Related to CRU and risk assessments, referring 'Stop Abuse Forms' to children social services and the significant backlog of work meaning the standard and medium risk cases not being fully risk assessed.		**• Cyber / fraud strategy and delivery plan - under construction - Likely changes to National Action Fraud approach may bring significant increase in case load.** **• Changes to MHA as part of PCA 2017 - HoCworking with MH Pathway Board to look at alternatives to detention in Police Cells.** **• Problems Attracting and retaining detectives - potential investigative capacity issues.** **• MOSOVO - growth in registered offenders requiring ongoing management.** **• Potential regional cyber forensic triage solution being investigated.** **• Firearms Licensing - recovery plan in place & closely monitored.**
ST-60	Firearms licenses		⟺	CC							
			⟺								
ST-84	ICT - Major enquiries		⟺	CC							
ST-69	intelligence submissions.		⟺	CC							
	RISK SUMMARY **The crime portfolio covers a very broad spectrum of policing and operational activity and therefore atttracts a wide range of risks which are closely managed / monitored at a local level as is evidenced within the '1st line of defence' . All 4 of these organisational risks have developing controls in place and their profiles and scores are relatively stable. Each is monitored and managed on a regular basis.**										

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	FORCE CONTROL ROOM (FCR)										
ST-71	ICT Functionality (Mapping)		⇩	CC	G4S Integrated Support Strategy 2017 - 2020 presented to PCSB March 2017 in DRAFT form, detailed delivery plan not yet ratified. • Key policies - **Call Handling & Buisness Continutiy - up to date as at May 2017** • M**onthly performance** meetings - KPI's are reviewed along with staffing issues including rentention and training. • **Local Risk Registers, reviewed at SMT** on a fortnightly basis. (Includes FCR issues).. Clear escalation process in place. • **Monthly 1-2-1 meetings** with FCR manager (G4S) and Head of Crime (Police) • **1-2-1 with FCR manager** (G4S) and Deputy Chief Constable • **Crime SMT Meeting** - staffing and IT issues . (Minuited meeting) .	G4S Integrated Support Strategy 2017 - 2020 presented to PCSB March 2017 in DRAFT form, detailed delivery plan not yet ratified. • **Monthly perfromance** reviewed - verbal updates provided to Head of Crime • **Written status / research / review reports** are presented to Head of Crime on a ad hoc basis dependent on issues arising.. (recent examples include demand management / use of IRT / use of Diary appointments and Diary Car and or station visits. • **Perfromance metrics are monitored and reported** via the Managemeent of the G4S contract (CPT unit) including PI/KPI/SKPI.(governance structure) **PCSB - Strategic FCR issues** also reported via Chief Constables written and verbal update report to Police and Crime Strategic Board held Monthly - PCC, CC, DCC,CFO, CE ACO, attendees.	**Complaints handling - Augsut 2016 Audit opinion = GREEN Satisfactory Assurance** "The OPCC maintains oversight of the complaints management process within the Force. Quarterly meetings are held where Force complaint statistics are reviewed and scrutinised at the Professional Standards Governance meeting. Between 1 April 2015 and 30 March 2016, the Force finalised a total of 559 complaints cases. The status of these complaints are as follows: · Local Resolution – 258 · Other Incl Disapplication, discontinued – 15 · Withdrawn – 64 · Upheld - 41 · Not Upheld – 181" Complaints data is routinely reported / updated on the Force website at https://www.lincs.police.uk	**No Assurance available in this format**	**IHMIC PEEL 2016 Effectiveness Inspection report (Published March 2017)** Page 20 - ***Control room response*** *"Lincolnshire Police ensures that the response to the victim is based on the victim's needs rather than the type of crime, which is good practice. It has done this by implementing a structured assessment based on the levels of threat, harm, risk and vulnerability (THRIVE)10 faced by the victim, rather than simply by the type of incident. HMIC found that the force has trained those members of its workforce who answer 101 and 999 calls to spot the signs of someone who might be vulnerable in some way. Call handlers have access to additional sources of information held in other databases. There is also support from an intelligence support officer who assists with gathering relevant information so that response officers have the full picture prior to attendance at an incident. HMIC listened to a small number of calls and found an effective and victim-centred response from call handlers.* *For those calls assessed as an emergency or priority, a response officer is deployed and call handlers give basic guidance to callers about preserving forensic evidence and safeguarding. When incidents are not attended, in appropriate cases, the incident is passed to the incident resolution team to carry out a desktop investigation. This team also has good processes in place either to refer or to investigate online crime and fraud offences, although not all callers referred to action fraud receive an incident reference number from the call handler."*		**As a result of Operation ARGO a lessons learned exercise is to be completed to provide asurance over the re-occurance of similar issues / behaviour. SIGNIFICANT AREA OF CHANGE- Major technology updates are planned including new "Command and Cotrol" system, new Telephony system / replacement of Airwaves and national ESPN project. Full Scoping and project plans with dedicated project manager within the FCR currently in development**
	RISK SUMMARY **The only organisational level risk currently recorded in this business area relates to the functionality of ICT in the FCR. Key systems are scheduled for replacement in accordance with the ICT integrated strategy 2017-2021.**										
	CUSTODY										
	none				Force **Custody policy** in place and up to date as at April 2017. EMCJS (regional) **Risk Register** - Maintained by Business Support Manager in place with clear escalation process used. Quarterly **strategic custody group** meeting held between Regional ACC and Chief Inspectors responsible for each Custody Hub. EMCJS Lead J Debenham chairs monthly Force custody l**ead officers** meeting - progress against strategic custody plan reviewed and any issues arising. Regional **Custody Perfromance Scorecard** used to monitor and manage performance - driving improvement activity (contains Data and Narrative content) . recent examples include improvement / investigation of issues surrounding suite waiting times and Juvenile detention certificates.April 2017 Specified leads and governance structure in place for intrioduction of **New Bail legislation - April 2017**. **Dip samples** conducted of Custody records to ensure compliance with required standards eg Risk assessments, bail data, PACE compliance. **New Vulnerability Strategiy** (The Vulnerable in Custody) introduced **April 2017.** Force Lead (Chief Inspector) conducts **routine monthly meetings** with 13 designated Custody Inspectors across region (2 located in Lincs). Implementation of New Bail Legislation from April 2017 is a current key issue.(PD187 Bail Management Policy is in place)	Regional performance reporting - **Mixed Scorecard approach** (data and narrative) - extensive data collection and analysis driven at a regional level covering East Midlands forces. **HMIC inspection tracker** (regional) in place to monitor Custody specific actions . - progress recorded against HMIC recommendations - feeds into Lincolnshire HMIC Inspection tracker - monitored at PCSB Quarterly (document in use undergoing further development). **Quarterly Assurance report** specific to Custody business area- produced by Force / Northern Hub lead, for circulation to DCC / PCC. Strategic Custody issues also reported via Chief Constables written and verbal update report to **Police and Crime Strategic Board** held Monthly - PCC, CC, DCC,CFO, CE ACO, attendees. **EMCJS - performance scorecard** used to monitor & Manage perfromance across a range of services / business areas.(used at a local and regional level) **Monthly.Professional standards Governance meeting** - reporting of professional standards information including complaints management.	**Complaints data is routinely reported / updated on the Force website at https://www.lincs.police.uk**	**Seized & Found property** - Sept 2016 = GREEN Satisfactory Assurance Complaints handling - August 2016 Audit opinion = GREEN Satisfactory Assurance "The OPCC maintains oversight of the complaints management process within the Force. Quarterly meetings are held where Force complaint statistics are reviewed and scrutinised at the Professional Standards Governance meeting. Between 1 April 2015 and 30 March 2016, the Force finalised a total of 559 complaints cases. The status of these complaints are as follows: · Local Resolution – 258 · Other Incl Disapplication, discontinued – 15 · Withdrawn – 64 · Upheld - 41 · Not Upheld – 181"	**HMIC- Unannounced Custody Insp report 19 February 2016 (Inspection visit September 2015)** Lincolnshire Police had made insufficient progress since the previous inspection. Better strategic oversight and working with partners to ensure safe and appropriate detention for the most vulnerable detainees was needed. **4 Main recomendations** and numerous other AFIs made. All recommendations completed on the HMIC tracker with the exception of one ongoing relating to: *Lincolnshire Police should collate and use data more meaningfully.* **This included the completion of the 'Use of Force' forms. C/I PSD has put in place a process to ensure Lincs are compliant with the NPCC data returns for Use of Force by 1st April 2017.**		**Changes to Bail Legislation (April 2017) are being implemented - impact under assessment at force and regional level. Plus assessment of preferred locations of custody suites across region has been undertaken - leading to potential changes in demand In Lincs - watching brief.** **HMIC inspection recommendations assessed at follow-up visit (Sept 2016) as being on track and appropriately addressed - progress monitored at force and regional level via "HMIC Tracker"** **Selected Suites being improved to meet latest Access standards.** **Lincolnshire Custody provision currently stable**
	none										
	none										
	none										
	RISK SUMMARY **There are currently no organisational level risks recorded within either the OPCC or Force risk registers relating directly to Custody. All risks identified are being managed at a local level.**										

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	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**	
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Ref Number	**Key Risks Identified**	**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 plan, local control measures & monitoring Dept risk reg	**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		

ICT & Information Management

NOT PROTECTIVELY MARKED

		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	**Second line**		**Third line**			
Ref Number	**PCP Strategic objective/ priority**	**Key Risks Identified**	**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**
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ICT & INFORMATION MANAGEMENT (Inc Security & Vetting)												
ST-82		Sustained Cyber-attack		⟺	CC	**G4S Integrated Support Strategy 2017 - 2020 presented to PCSB March 2017 in DRAFT form, detailed delivery plan not yet ratified.** • **ICT & IMU departmental Risk Registers** in place and routinely reviewed by relevant SMT. • **Joint ICT / IMU meeting held monthly** This progresses Information assurance and IT issues and acts as a joint forum for discussion / problem solving. • **IMU Senior Management Team (SMT)- meeting Held fortnightly** with a variety of agenda items including Staff Issues, performance, Risks, Health and Safety, HR issues and details of business areas within the department. All the above meetings are subject to full minutes being taken.. • **Monthly individual business area meetings** within the IMU department to discuss performance issues and development / improvement - problem solving considerations. • **IMU monthly performance measures** / results - provided to ACPO lead, for monitoring. • **Introduction of new legislation affecting IMU** - General Data Protection Regulation (GDPR due May 2018) - planning underway for introduction, legislation has specific directive for Law Enforcement Agencies. • All policies affecting ICT and IMU are current and in place **(May 2017)** (IICT elements of Business Continuity Policy require a refresh as at June 2017. • ICT Head attends manageemnt meetings - • G4S Executive Committee (Heads of departments) monthly • G4S Operations Board - fortnightly • CPT service delivery review - Monthly- (contractual framework / performance) (action logs recorded for departmental meetings)	**G4S Integrated Support Strategy 2017 - 2020 presented to PCSB March 2017 in DRAFT form, detailed delivery plan not yet ratified.** • **Resources Governance meeting** - 6 monthly **ICT strategic progress Report** - most recent in JAN 2017 • **IMB-Information Management Board**, Chaired by the SIRO at ACPO strategic level and held quarterly. • **Governance and Information Risk Return** (GIRR) - National return required of all forces to determine the level of Information Assurance Maturity. (This replaced the old IAMM and was only recently submitted having been signed by both the Chief and ACO - **May 2017.** • **IMU - DBS performance** - monitored by the Disclosure and Barring Service (DBS), national figures published on a monthly basis.- currently rated as **1st - national leaders.** • **Regional working** - IMU provide **data quality statistics** to regional forces and this will shortly include RRD processes - other IMU related Work undertaken involving regional forces is reported to **Regional Project Board - quarterly.** **Transactional Management Board -** recieves monthly update report.	• **I ndependent IT health Check regime** in place - Independently approved companies conduct tests on systems to ensure they are fit for purpose. - Any issues arising are added to the "One List" and are subject to fortnightly meetings with IT Dept to ensure they are progressed. • IMU conduct the **Accreditation of all new and existing systems** These assessments are presented to the SIRO for approval - and include outlining any risks identified. • IMU conduct a series of scheduled **Information Assurance Audits** on internal systems and operational processes in **High, Medium and Transactional risk areas** these include: Vetting / Police National Computer - / Sensitive intelligence / Security Policy / VISOR system / MISPERS / Domestic Abuse / Custody / Hate Crime / RRD.. **Schedule due for refresh in mid 2017.** • **ICT - Compliance with ISO 27001** - internally checked (future plan to acheive certification - externally verified)	**Jan 2017 ICT - Audit opinion: GREEN - Significant Assurance** . *"Following introduction of the G4S contract the IT service is now well established with a clear governance and contract management structure. The organisational structure is also well defined along with reporting lines which have matured and advanced since the service started with a general view in place that things are a lot better than they were previously."*	**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). -** No serious issues identified. **HMIC PEEL 2016 Effectivenss Inspection report (**Published March 2017) - Force graded as "GOOD". P 54 - *"There is an information technology security officer and IT health checks are regularly carried out. The force intends to carry out specific cyber-threat testing to improve knowledge of cyber-threats among the workforce. Learning from a cyber-attack on Lincolnshire County Council's website in early 2016 was shared with the force and assisted in reducing its exposure to a similar incident in November 2016".*		**(GDPR) EU legislation / Directive is due to be introduced in May 2018 - this will impact on the IMU area of business - implementation planning at early stages of development.** **Key staff have recently been lost from the IMU - recruitment is ongoing.** **Migration from legacy systems to GENIE (Including regional forces) - significant work involved - and is a develping area of business.** **programme for ICT renewal and replacement in FCR represents significant area of change.**
		RISK SUMMARY **There are 5 risks contained on the Force risk register for this area of business. Each is stable with developing controls in place. Scheduled replacement or functionality of computer systems accounts for the majority of the risk in this area - Plans are in place to upgrade and replace affected systems as part of the current ICT strategy and delivery plan 2017 -2020 (G4S Integrated Support Strategy).**										

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

		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	**Second line**		**Third line**			
Ref Number	**PCP Strategic objective/ priority**	**Key Risks Identified**	**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		

ESTATES & FLEET

NOT PROTECTIVELY MARKED

	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	**Second line**		**Third line**			
Ref Number	**Key Risks Identified**	**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		
ESTATES & FLEET											
	NONE				• **G4S Integrated Support Strategy** 2017 - 2020 presented to PCSB March 2017 in DRAFT form, detailed delivery plan not yet ratified. • **Risk Register** - is reviewed at the force Risk Management Board and on a quaterly basis at departmental SMT meeting. • **Quaterly Departmental Management Team (DMT)** meetings held to discuss performance, Health and safety, HR and issues arising. • **Bi - monthly team meetings** held to ensure escalation and cascading of relevent information. • **Regional meeting (Fleet)**. - Chaired by ACO from Leicestershire and all 5 regional fleet managers attend, along with representatives from from EMSOU, EMSCU, EMOPSS and EMCHRIS. • **5 force regional fleet manageement meeting (quarterly)** - attended by all fleet managers. Technical issues adressed. • **Regional Fleet Administrators meeting** - areas of best prctice are exchanged. • **Perfomance reviewed on a monthly basis** against a set of pre determined indicators - traffic light grading system, there is a minimum target threshold all areas must achieve - financial penalties can be implemented as a result.. • **Monthly Asset Management** meetings- Attended by ACO, CPT, Finance, A&FM and Fleet. • **Management plans** in place and published on intranet include, asbestos management / assets / environmental / water. • **Health& safety plan** - / strategy in place • **Assets management group meetings** - quarterly reporting (inc ACO,HoCPT, HoFleet, Finance representative. • **Annual 5 force best practice sharing meeting and quarterly tachmical meeting (Fleet).**	• Integrated Support Strategy 2017 - 2020 incorporating draft delivery plan presented to PCSB March 2017. Estates development plan attached as appendix. Progress to be reported Quarterly.(not yet ratified) • **Resources Governance Meeting held Monthly -** with specific update report on Fleet and Estate provided 6 monthly. **Monthly Service delivery reporting** G4S lead has 1-2-1 with head of **Commercial Partnership Team** to review SDA KPI - service delivery. **PCSB - Monthly chief constables report -** opportunity to report on strategic issues affecting Estates and Fleet.	No Assurance available	no assurance available	PEEL Efficiency inspection report 2015 - graded - "requires improvement". **HMIC PEEL Efficiency inspection report (Nov 2016)** - Graded as " Good" ... "The force provides a good policing service to the communities of Lincolnshire at one of the lowest costs per head of population in England and Wales. It has a small workforce and a high reliance on local funding". "HMIC considers that the force has done what can reasonably be expected to be as efficient as possible"..."yet it still faces an uncertain financial future due to its low funding base".		**Strategy for future police estate yet to be ratified May 2017 .** **Blue light - City campus at planning stage / size and capacity yet to be finalised May 2017.**
	NONE										
	NONE										
	RISK SUMMARY **There are currently no organisational level risks in this area of business. All risks are managed locally with an escalation process in place.**										

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

	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	**Second line**		**Third line**			
Ref Number	**Key Risks Identified**	**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		

HUMAN RESOURCES

NOT PROTECTIVELY MARKED

	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	**Second line**		**Third line**			
Ref Number	**Key Risks Identified**	**Risk RAG**	**Status**	**Owner**	**Management Controls**	**Corporate Reporting**	**Quality & Compliance reviews**	**Internal Audit**	**External Agency**	**MASTER 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		
HUMAN RESOUCES (Inc Learning and Development)											
ST-85	Training Facility		⇔	CC	**Support strategy and delivery plan 2017-2020** in place May 2017. HR / L & D departmental **Risk Register** in place. **Strategic workforce planning board** in place to make decisions relating to workforce structure / recruitment.. Ongoing work to develop improved officer recruitment process **HR guidance** in place and all relevant policies upto date as at June 2017..	**Integrated Support Strategy 2017 - 2020** incorporating draft delivery plan presented to PCSB March 2017. **Workforce 'Establishment' data** - ***"Blue Book"*** *produced monthly / Volunteers* ***"yellow book"*** Quarterly- Review scheduled to ensure effective content in **Q1&2 2017/18** **Resource Governance Meeting (RGM) Monthly** - Key People data report updated at monthly meeting - progress against strategic plan and specific HR related project work. **28 / 3 / 2017 - currently no significant issues arising all elements of report marked as GREEN.** **PCSB - Chief constables report - opportunity to highlight strategic issues relevant to HR.**	No assurance available in this format. (Complaints data is routinely reported / updated on the Force website at https://www.lincs.police.uk)	**T- police UAT & change management** Green - Significant assurance **(Apr 2016)** Pensions Audit **Mar 2016** Green Satisfactory Assurance. **Complaints** audit **(Aug 2016)** - green satisfactory **Overtime time** recording - Green - Significant assurance **(Nov 2016)** **Learning and development** = **March 2017** - GREEN satidfactory assurance	**2016 HMIC PEEL reports** •The extent to which the force is **effective** at keeping people safe and reducing crime - "Good" •The extent to which the force is **efficient** at keeping people safe and reducing crime "Good" •The extent to which the force is **legitimate** at keeping people safe and reducing crime is "Good"		**Work ongoing to develop an improved officer recruitment process. (May 2017)** **Next officer intake planned forSept 2017.** **Transferees intake planned for July 2017.** **Chief Constable has directed that a further recruitment campaign be run in order to deliver an intake of PCSO's in November 2017.** **PDR completion rates remain a challenge (June 2017).**
	RISK SUMMARY **There is a single risk in this Area of business and a working group is currently exploring a solution to resolve the practical training Issue identified. (May 2017).**										

Commercial Partnership - G4S

NOT PROTECTIVELY MARKED

	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	**Second line**		**Third line**			
Ref Number	**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		
	COMMERCIAL PARTNERSHIP TEAM										
					A CPT departmental Risk Register is in place - with clear escalation process to strategic risk register. **Service Delivery Agreement (SDA)** is in place (Contract) which details the services that G4 shall deliver and the governance structure underpinning their delivery. **Performance framework** in place detailing KPI and indicators at a tactical level. **Perfromance & delivery board** held quarterly **Transactional Management Board (TMB)** held monthly (minuted). **Dispute resolution process** in place - detailed within the SDA including problem escalation. **Change management process** in place- Business cases provided to TMB / decision paper prepared for OPCC approval and publication on PCC website. **Firearms Licensing - improvement plan put in place and is being monitored on a weekly basis by Force and G4S - May 2017 onwards.**	**6 Monthly Executive board meetings** held between PCC/CE/ DCC/ G4S MD to discuss Vision and Strategy for the Partnership. **Performance and delivery board** quarterly meetings **Resources Governance Meeting - Monthly (PCC / CFO / DCFO, HoHR, ACO and fiunctional leads as required)** Workplan covers major resource areas and progress against delivery plans / strategies.(inc HR / Finance / ICT / programme & projects / fleet & estates / Learning & development / Risks arising) - Meetings administered via workplan / action log / agenda. **Firearms Licensing - Update report provided to PCSB by G4S regarding recovery plan in May 2017.**	CPT conduct **monthly dip sample** data quality tests on 'Raw Data' used by G4S in performance analysis & monitoring of KPIs. **Internal review carried out by G4S in Oct 2016** - the contractual performance framework and how G4S provide data - openly shared with the CPT and no areas of concern identified. Complaints data is routinely reported / updated on the Force website at https://www.lincs.police.uk	No Assurance available in this area	**PEEL Efficiency inspection report 2015** - grade "requires improvement". **HMIC PEEL Efficiency inspection report (Nov 2016)** Graded as " Good" : "HMIC considers that the force has done what can reasonably be expected to be as efficient as possible and yet it still faces an uncertain financial future due to its low funding base".		**Management & performance of Firearms licensing unit - special measures brought to bear on the issue with weekly monitoring of improvement plan in place from May 2017.** **Review of SDA - PI/SKPI is being planned to ensure measurement of correct indicators of service delivery / peformance.** **3 Costed options prepared (scenario planning) should Improved Govt Funding not be provided)** **Anti-Fraud / corruption risk assessment review underway (July 2017).** **Contract transition planning G4S SDA - initial planning meeting set for 1 Aug 2017.**
C09	Delivery of contractual objectives		⟺	PCC							
C040	Review / Transition Planning		⟺	PCC							
	RISK SUMMARY **The risks in this area of business relate to contractual issues and acheivement of agreed objectives. These relate to the general contract (SDA) as applied across all areas of service delivery and includes the scheduled review of the SDA leading upto the end of the contract period.**										

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

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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	**Second line**		**Third line**			
Ref Number	**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**
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COLLABORATIONS (EMSOU / EMOPSS / Legal services / Occupational Health / EMCJS / EMSOU Forensic Services /											
C041	Regional Collaborations		⇔	PCC	**Section 22 (Police Act 1996) - Collaboration agreements are in place for Collaborative services.** **Performance measurement and accountability for collaborated services -** Delivery of service is reported / managed at a force level. - (Note: Each Chief officer is held to account locally via their respective PCC for delivery of collaborated services) **Regional risk register in place** - and co-ordination with Force register is managed via Regional SPOC. **EM PCC / Chief's Resources Board-- Bi monthly** (agena & Minuites produced) ToR In development - covers VFM / financial planning / scrutiny of perfromance (sub-group) / performance of finance,HR, legal, learning, ICT, Occ health unit, PIF & Innovation grants **(work programme will be reported to EMPCC Board)** **EM PCC & CE Business Meeting- Bi monthly (agena & Minuites produced)** **EM OPCC Chief Executives Board- Bi monthly (agena & Minuites produced).** **Regional CFO's meeting - quarterly (informal agenda)** **EM PCC / Chief's board - Bi monthly (agena & Minuites produced)** **EMSOU - Forensic services -** Corporate Performance Pack (Reviwed at Lincs Perf Governance meetings) **EMCJS - performance scorecard** used to monitor & Manage perfromance across a range of services / business areas.(used at a local and regional level)	**EM PCC / Chief's board - Bi monthly** (agena & Minuites produced) **EM PCC / Chief's Resources Board-- Bi monthly (**agena & Minuites produced) **EM PCC & CE Business Meeting- Bi monthly (**agena & Minuites produced) **EM OPCC Chief Executives Board- Bi monthly (**agena & Minuites produced) **JIAC reporting** - scheduled / routine reporting to Quarterly meetings (Forward plan manages papers to appear at meetings). **PCC Decision Notices** (including rationale / business case for all significant decisions) published on the PCC Website. **EMCJB** - Chief officer attend Quarterly meetings (inc Performance monitoring / service delivery). **EMSOU - Forensic services** - Corporate Performance Pack (Reviwed at Lincs Perf Governance meetings **EMCJS - performance scorecard** used to monitor & Manage perfromance across a range of services / business areas.(used at a local and regional level) **PCSB - monthly chief constables report** - can contain strategic collaborative reporting.(restricted and public content)	NO recent assurance available from this source .	**Collaboration efficiency savings** plans (Joint EM review) EMOpSS (draft version AMBER/GREEN) April 2015. **NOTE - Regional Audits** are reported to JIAC on a quarterly basis in summary. **Regional Audits 2016/17** **NOTE:** These audits use a standard scope and ToR - the audit opinion for the 3 relating to Lincs are below. • EM Legal services **- limited assurance** • EMSOU (overall) - **Satisfactory assurance** • EMOpSS - **Satisfactory assurance** **Regional Audits 2017/18 (planned)** NOTE: These audits use a standard scope and ToR - the audit opinion for the 3 relating to Lincs will be recorded below. • EMCHRS - Occupational Health • EMCJS (overall) • EMSOU - Forensic Services **Audit of POCA 2017/18 (planned)** (using separate scope and ToR)	**• 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".*		**EM - PCC/ Chiefs Board sub group to review performance is in development. (July 2017)** **Regional PCC secretairiat in development - to suport regional PCCs / collaborative working.(june 2017)** **New performance framework / metrics in place for EMOpSS -(July 2017).** **New PCC / Chief EM Regional Resources Board in development June 2017.** **PCC regional portfolio ownership established. (Marc Jones - EMSOU - May 2017)** **JIAC to recieve regional audit reports (in summary) regarding collaborated services.(july 2017)**
	none		⇧								
	none		⇩								
	RISK SUMMARY **There is one risk recorded on the OPCC register relating to regional collaborations - developing controls are in place and the risk is currently stable. The PCC and CE continue to monitor the risk through their current regional governance arrangements and routine communications with senior regional leads.**										

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ORGANISATIONAL SUPPORT

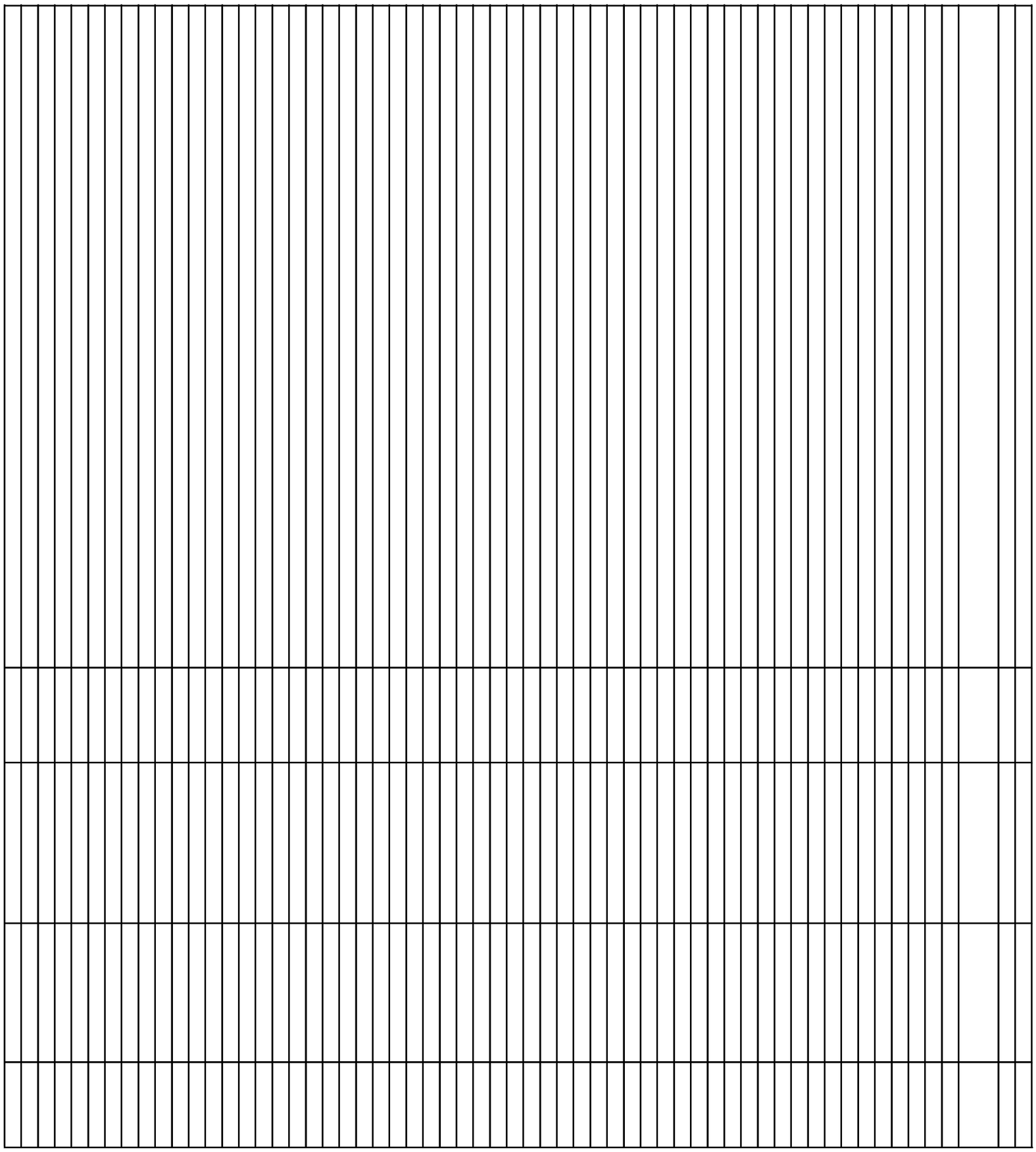
NOT PROTECTIVELY MARKED

	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***		**SUMMARY ASSURANCE ASSESSMENT**	
					First line	**Second line**		**Third line**			
Ref Number	**Key Risks & Control Issues**	**Risk RAG**	**Status**	**Owner**	**Management Controls**	**Corporate Reporting**	**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 Local 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		
ORGANISATIONAL SUPPORT (Business support / Governance / Project & Programmes - change management / SDD)											
ST-74	Implementation of HMIC Recommendations		⇔	CC	**Integrated Support Strategy 2017 - 2020** draft delivery plan PCSB at March 2017. (plan not yet ratified) **Force change manual** is in place since **Feb 2017** which details how organisational change should be conducted /& administered including benefits measurement and realisation. **Formal project management processes** are in place (Prince II). Trained project managers and project support officers in place . **Benefits realisation strategy** in place April 2017 (measurement / monitoring - linked to project and programme work). **Business Case Policy -(PD29)** in place - (preparation / presentation of a business case) **Business continuity / crisis manageemnt** Policy in place (PD90) **Change Board** - Force reviews major change programmes and projects SMB - Force Senior management board meets monthly OPCC / Force represented on Lincolnshire Anti-fraud and Corruption Group (OPCC Liaison)	**Integrated Support Strategy 2017 - 2020** incorporating draft delivery plan presented to PCSB March 2017. Not yet ratified Reporting of **Progress against HMIC "recommendations"** and "areas for improvement" (AFI) is routinely reported at Police and Crime Strategic Board (PCSB) on a quarterly basis. . **Professional Standards Governance meeting-** meets quarterly (complaints monitoring and officer / staff conduct issues reviewed) **Resources Governance Meeting - Monthly** (PCC / CFO / DCFO, HoHR, ACO and fiunctional leads as required) Workplan covers major resource areas and progress against delivery plans / strategies.(inc HR / Finance / ICT / programme & projects / fleet & estates / Learning & development / Risks arising) - Meetings administered via workplan / action log / agenda. **Project and Programme update report -** Update to PCSB quarterly) **Chief constables monthly report to PCSB** (Public and confidential versions) **JIAC reporting** - scheduled / routine reporting to Quarterly meetings (Forward plan manages papers to appear at meetings) **Change Board - Force** reviews major change programmes and projects **SMB -** Force Senior management board **COG -** Chief officer group meetings / reporting on strategic and key issues monthly (reports prepared for submission - Agenda and Minuted)	See **Internal audit** results and Regular **Professional Standards Governance meetings** for complaints management assurance. Complaints data is routinely reported / updated on the Force website at **https://www.lincs.police.uk**	**Complaints handling - Augsut 2016 Audit opinion = GREEN Satisfactory Assurance** *"The OPCC maintains oversight of the complaints management process within the Force. Quarterly meetings are held where Force complaint statistics are reviewed and scrutinised at the Professional Standards Governance meeting. Between 1 April 2015 and 30 March 2016, the Force finalised a total of 559 complaints cases. The status of these complaints are as follows:* *· Local Resolution – 258* *· Other Incl Disapplication, discontinued – 15* *· Withdrawn – 64* *· Upheld - 41* *· Not Upheld – 181"*	**2016 HMICPEEL Effectiveness report (Published March 2017)** •The extent to which the force is effective at keeping people safe and reducing crime - "Good" •The extent to which the force is efficient at keeping people safe and reducing crime "Good" •The extent to which the force is legitimate at keeping people safe and reducing crime is "Good".		**Integrated delivery strategy is awaiting finalisation / ratification by new chief officer team May 2017.** **Anti-Fraud / corruption risk assessment underway (July 2017).** **Victims Strategy developed and implimentation planning ongoing July 2017.** **MH Strategy in development jointly with LPFT / OPCC July 2017.** **Regional PCC seceitariat in development (June 2017)- to be based in Lincs OPCC.**
ST-79	Transition to new ESN		⇔	CC							
ST-81	Blue Light' Programme		⇔	CC							
C036	'Blue light' Programme		⇧	PCC							
C037	New Chief Officer Team		⇩	PCC							
C038	Service Commissioning Capacity		⇔	PCC							
C039	Local Partnerships		⇔	PCC							
C06	Capacity & Resilience in OPCC		⇔	PCC							
	RISK SUMMARY **Six of the eight risks in this area are stable and all have developing controls in place. Delivery of the 'Blue Light' programme has an increasing risk profile on the OPCC register relating to the monitoring of project costs. Work is ongoing to address these concerns through closer scrutiny, an ammended governance structure and a specialist financial role being attached to the project.**										

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

	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***		**SUMMARY ASSURANCE ASSESSMENT**	
					First line	**Second line**		**Third line**			
Ref Number	**Key Risks & Control Issues**	**Risk RAG**	**Status**	**Owner**	**Management Controls**	**Corporate Reporting**	**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 Local 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		

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 I (results based assessment)**
Green	**HIGH** - Controls in place assessed as adequate/effective and in proportion to the risks	**HIGH** - Mainly positive results, many stre recommendations for improvement
Amber	**MEDIUM** - Some areas of concern over the adequacy/effectiveness of the controls in proportion to the risks	**MEDIUM -** Mixed results, some areas of for improvement, some positive results ar
Red	**LOW -** Significant concerns over the adequacy/effectiveness of the controls in proportion to the risks	**LOW -** Overall, negative results and area concern/requiring action and improvemer
Grey	Not applicable or not relevant. Additional notes added for information.	Not applicable or not relevant. Additional information.

nspection	**Overall Assessment** **RAG rating on the effectiveness of controls from assurance work undertaken**
ngths, minor	**HIGH –** Controls are in place assessed as adequate/effective and in proportion to the risks
concern and areas nd some strengths	**MEDIUM** – Some areas of concern over the adequacy/ effectiveness of the controls in place in proportion to the risks
s of nt	**LOW** – Significant concerns over the adequacy/effectiveness of the controls in place in proportion to the risk.
notes added for	Insufficient information at present to judge the adequacy/effectiveness of controls.