Assurance Map

DRAFT v0.3

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 major risks to organisational success and delivery of improved, cost effective, public services.

				1st Line of Defence			2nd Line of Defence										3rd Line of Defence					Assessment		Improvement Actions
				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)**			**Second line** **(more objective, but not wholly independent)**										**Third line** **(objective & independent)**							
Strategic objective/ priority	**Risk**	Risk Ref (from Risk register)	**Owner**	**Management Controls**			**Corporate Reporting**			**Quality & Inspection**			**Compliance Reviews**				**Internal Audit**	**External Audit**	**External providers**		**Regulator**	**Control RAG Rating** (*see key below)	**Assurance sufficent (Y/N?)**	
				Local Business Plan	Local Risk Register	Local Internal Control	Financial Reporting	Corporate Risk Register	Corporate Performance Reports	Portfolio Mgt / Gateway Reviews	Satisfaction / Complaints Handling	Internal Investigation & Review	Financial Regulations & Standing Orders	Policy & Process	Commissioning & Partnerships	Information Assurance (inc. sys accreditation)	Type		Project / Programme / Gateway Reviews	Commissioning & Partnership's Internal Audit Reports	HMIC			
Reducing crime	• Failure to ensure that Force objectives are delivered (failure to ensure that the Force's Operational Policing delivery plan is implemeted, failure to achieve performance indicators relating to the reduction of crime).	CO5	CE	Business leads Operational Delivery Plan - ACC (C+O) Control Strategy Management teams	Crime and Operations Risk Register	Control Strategy Business leads Risk registers	Revenue and Capital Monitoring reports to FCFO. Decision reports published on PCC's website e.g. budget report	Red 9	Force performance meetings, PCC performance governance meetings OPCC Operational Delivery Monitoring Plan Annual report	Force projects inc QA/review	PCC Professional Standards governance meeting	PSD and HR Local managers relevant policies	Financial Regulations and Standing Orders reviewed Feb 2014	Financial procedures refresh (Dec 2013)	Partners- via Community safety funding , outcome based reviews.	IMU Manager - IMU policies in place ICO Data Protection Audit (March 2014) 'reasonable' assurance	Risk management (2013/4 Q4 Amber Green) Delivery of Police and Crime Plan scheduled for 2014/5 Q3	Audit opinion - links to meeting objectives and management of risk	Policing Transformation Plan in place	Victims Services commissioning	Data Integrity (June 2014) Making the best use of police time - Inspection January 2014, report due June 2014	**DRAFT RAG - AMBER** **View to be agreed at PCC/CC Quarterly Assurance meeting in July 2014**	**Y**	Further development of OPCC Operational Delivery Monitoring Plan - in progress, embedding.
Fair deal for the people of Lincolnshire	• Failure to persuade government of Lincolnshire's case for a fairer share of national funding.	CO1	CFO	CFO & FCFO lead, plans in place	Finance risks covered in Resources Governance report Planning and Strategy Reports	VfM Strategy Engagement with HO Resources Unit Financial governance	Medium term Financial Strategy	Red 12	Resources Governance meeting oversight Planning and Strategy COG + SLT	Oxford Economics Review	0 recorded complaints to PCC on funding Consultation on Budget	n/a	n/a	n/a	n/a	n/a	Medium term financial planning (Nov 2013): GREEN	View as part of Annual Audit Letter	n/a	n/a	Valuing the Police 4 (April 2014)	**DRAFT RAG - AMBER** **View to be agreed at PCC/CC Quarterly Assurance meeting in July 2014**	**Y**	Continue to implement Lobbying strategy
	• Failure to achieve and demonstrate efficiencies and vfm	CO2	CE	DCC leading productivity work (Policing Transformation Programme)	Risk register in development (due April 2014)	Programme structure in place. Internal controls work in place. VfM Strategy	Policing Transformation Programme reports	Red 12	Resources Governance oversight (PTP development report, PTP benefits report)	None	n/a	Evaluation process structure	Financial Regulations and Standing Orders reviewed Feb 2014	links to force policy development, process mapping in process.	Uni of Lincoln and LCC research/ analysis	n/a	Medium term financial planning (Nov 2013): GREEN Internal Audit	Unqualified audit opinion (Sept 2013) Audit approach includes VfM risk	Programme at planning stage	Programme at planning stage	Valuing the Police 4 (April 2014)	**DRAFT RAG - AMBER** **View to be agreed at PCC/CC Quarterly Assurance meeting in July 2014**	**Y**	
Police and services that are there when you need them	• Failure to deliver and demonstrate value for money in regional collaboration	CO8	CE	Principles and vision agreed. Local plans in place for projects. Programme updates provided to EMPCC Board.	Risk registers in place for projects, mitigation strategies evidenced.	Governance structure in place.	Financial Regulations Governing Collaborative Units document. Finance Report, reported to the Resources Board.	Red 12	Regional Performance Report reviewed by EMPCC Board. development.	n/a	n/a	n/a	Financial Regulations Governing Collaborative Units document	n/a	Innovation Fund Transformation programme	Information Assurance included in Operational Support Portfolio. RAG rated Amber.	EM collaboration (governance and financial framework) - AMBER/ RED		n/a	n/a	Review of Regional Collaboration published 12/11/3. Effective (SOC, major crime) arrangements provide capability, capacity and resilience. Areas for	**DRAFT RAG - GREEN** **View to be agreed at PCC/CC Quarterly Assurance meeting in July 2014**	**Y**	Joint review/audit of collaboration planned for 2015/16
	• Failure to ensure strategic partners'/partners' objectives are delivered.	CO9	CE	G4S plans, Community Safety Partnership	G4S aligned with Force risk management process. G4S risk management process.	Management structures, CSP SMB	Executive Board, Performance and Delivery Board	Red 9	Executive Board, Performance and Delivery Board	n/a	n/a	n/a	n/a	n/a	n/a	n/a	Internal Audits 2013/14. Planned audits for 2014/15					**DRAFT RAG - to be confirmed** **View to be agreed at PCC/CC Quarterly Assurance meeting in July 2014**	**to be confirmed**	Audit planned for 2015/16 - HR Workforce planning, finance, estates, procurement

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Reducing crime, Fair deal, Services there when needed	Failure to ensure effective governance	NC01	CE	Business plans in place, business continuity plans	Risk management strategy, risk management board, risk registers	Finance dept oversight of governance, links to AGS, code of corporate governance	Revenue and Capital Monitoring reports to FCFO, MTFS (includes TM strategy)	Red 9	AGS Code of Corporate Governance	n/a	PCC Professional Standards governance meeting	n/a	Financial Regulations and Standing Orders reviewed Feb 2014	Policy Framework in place	Victims and Witness Coordinator	ICO Audit - reasonable (March 2014)	Financial audits, HR audits	Letter Accounts Review Code of Corporate Governance Annual Governance Statement as part of annual audit	n/a	n/a	Valuing the Police 4 (April 2014)	**DRAFT RAG - GREEN** **View to be agreed at PCC/CC Quarterly Assurance meeting in July 2014**	**Y**	
	Failure to maintain effective resources and infrastructure	Cross Cutting	CE/ CFO	HR plan Control strategies Business continuity plans G4S contract/plans	Risk registers in place, mitigation strategies evidenced.	Resources governance meeting Business continuity board Risk management board Local Force governance	Financial/resource reports to resources governance meeting Performance and delivery board	n/a	Resources governance oversight.	n/a	PSD PCC professional standards governance meeting	n/a	Financial Regulations and Standing Orders reviewed Feb 2014	Resources management board oversight on review dates	LCC funding PCSOs	n/a	Asset management due June 2014 HR (Absence August 2013, green) VFM/benefits resolution RMU Nov 2013, green Medium term financial planning Nov 2013, green		n/a	Independent review of PCSO remuneration, Audit Lincolnshire. Recommendations/ actions Nov 2013	Valuing the Police 4 (April 2014)	**DRAFT RAG - AMBER** **View to be agreed at PCC/CC Quarterly Assurance meeting in July 2014**	**to be confirmed**	Audit planned for 2015/16 - HR Workforce planning. Strategic planning itinerary for longer term
Reducing crime, Fair deal, Services there when needed	Inability to bridge funding gap for 2016/17 as a result of CR 2	Force risk SG40	CFO FCFO	Medium term financial strategy	n/a	VfM Strategy Link to Vfm and funding items	Medium term financial strategy	Red 12	Planning and Strategy	n/a	n/a	n/a	Financial Regulations and Standing Orders reviewed Feb 2014	n/a	Part of plans to increased partnership working	n/a	Internal Audit 2013	Reviewed as part of Annual Accounts process	n/a	n/a	Valuing the Police 4 (April 2014)	**DRAFT RAG - GREEN** **View to be agreed at PCC/CC Quarterly Assurance meeting in July 2014**	**Y**	Financial and strategic planning

Control RAG Rating

GREEN/HIGH	**HIGH** - Controls in place assessed as adequate/effective and in proportion to the risks
AMBER/MEDIUM	**MEDIUM** - Some areas of concern over the adequacy/effectiveness of the controls in proportion to the risks
RED/LOW	**LOW -** Significant concerns over the adequacy/effectiveness of the controls in proportion to the risks
GREY	Insufficient information at present to judge the adequacy/effectiveness of the controls.