

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

VERSION 1.01 (agreed at Police and Crime Strategic Board 22 Jan 2015) **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 | | | | | Joint Independent Audit Committee Assessment | |
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| | | | | | | 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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| Ref Number | Strategic objective/ priority | Risk | Risk Assessment | | Owner | Management Controls | | | Corporate Reporting | | Compliance Reviews | Quality & Inspection | | | Internal Audit | External Audit | External providers | Inspectorate | PCC/Force proposal | JIAC Assessment |
| | | | Inherent (no controls) | Residual (with controls) | | Local Business Plan | Local Risk Register | Local Internal Control | Financial Reporting | Corporate Performance Reports | Regulations, Commissioning & Partnerships | Information Assurance (inc. sys accreditation) | Portfolio Mtg/Reviews | Satisfaction / Complaints Handling | Type | | Commissioning & Partnership's Internal Audit Reports | HMIC/Other | | |
| 001 | Reducing crime, Fair deal, Services there when needed | • Lack of effective Succession Planning (Chief Officer Team) | PCC Risk Register Red 16 | PCC Risk Register Red 16 | PCC/CC | Timetable for temporary appointments for Chief Officer Team. CC work in progress. Longer term succession planning. (Oct 2014) | Not on Force Risk Register. Recorded on PCC risk register. (Oct 2014) | PCC Governance Framework (Oct 2014) | n/a | n/a | n/a | n/a | n/a | n/a | n/a | n/a | n/a | HMIC expressed concern at previous interim appointments (2012/2013) | OPCC : Amber (10 Nov 2014) Force: Amber (1 Dec 2014) Joint Proposal: Amber | Review at JIAC meeting |
| 002 | 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 (Jan 2015) | Finance risks covered in Resources Governance report P&CS Board Reports (Jan 2015) | VfM Strategy Engagement with HO Resources Unit Financial governance (Jan 2015) | Medium Term Financial Strategy, Budget Proposal and Future Budget Options (Jan 2015) | Resources Governance meeting oversight P&CS Board COG + SLT (Jan 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) (Jan 2015) | Medium term financial planning (Nov 2013): GREEN Financial management inc budget management Q3 2014 (Awaiting results) Jan 2015 | Annual Audit Letter (Sept 2014) | National Audit Office Financial sustainability of police forces in England & Wales – case study visits (March 2015). | HMIC Valuing the Police 4, good/good/outstanding (July 2014). PEEL assessment - efficiency (good) savings requirements (outstanding) Nov 2014 | OPCC : Red (22 Jan 2015) Force: Red (22 Jan 2015) Joint Proposal: Red | Review at JIAC meeting |
| 003 | 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 (Policing Transformation Programme). THRIVE Project (Oct 2014) | Demand Management THRIVE Risk register in place (Nov 2014), other strands in scoping stage (Nov 2014) | Programme structure in place. Internal controls work in place. VfM Strategy. T-Police (HR/Finance management info, better understanding of how resources are used). (Oct 2014) | Policing Transformation Programme reports. Review in progress. (Oct 2014) | Resources Governance oversight (PTP development report, PTP benefits report). Annual Report (Oct 2014) | EM Policing Academic Collaboration - research programme. Local work with University of Lincoln (Oct 2014) | n/a | N/a | n/a | Medium term financial planning (Nov 2013): GREEN | Unqualified audit opinion (Sept 2014) VFM criterion (securing financial resilience, securing economy, efficiency & effectiveness) met (PCC/CC), but 1 significant risk identified (Annual Audit letter). (Sept 2014) | n/a | HMIC Valuing the Police 4 [good/good/outstanding] (July 2014) VFM Profiles (Oct 2014). PEEL assessment - efficiency (good) savings requirements (outstanding) Nov 2014 | OPCC : Amber/Red (10 Nov 2014) Force: Amber/Red (1 Dec 2014) Joint Proposal: Amber/Red | Review at JIAC meeting |
| 004 | 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 (Oct 2014) | Risk registers in place for projects, mitigation strategies evidenced. Operational risk registers in place, links to SPR (Oct 2014) | Governance structure in place, more development work required. Regional Efficiency Board, quarterly oversight of implementation of planned savings. Assurance map in development (CFOs leading) (Oct 2014) | Financial Regulations Governing Collaborative Units document. Finance Report, reported to the Resources Board. (Oct 2014) | Regional Performance Report reviewed by EMPCC Board. Strategic performance reporting to PCCs. Work in progress (Oct 2014) | Innovation Fund, multiple projects (inc Criminal Justice and NICHE, BW Video) (Oct 2014) | Information Assurance included in Operational Support Portfolio. RAG rated Amber. | n/a | n/a | EM collaboration (governance and financial framework) - AMBER/ RED (Dec 2013) Collaboration efficiency savings plans (Joint EM review) Q3 2014 | 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 (10 Nov 2014) Force: Amber/Red (1 Dec 2014) Joint Proposal: Amber/Red | Review at JIAC meeting |

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| 005 | Police and services that are there when you need them | • Failure to ensure strategic partners'/partners' objectives are delivered. <i>(Ref: Commercial Partnership Team)</i> | PCC register Red 12 | PCC register Red 12 | CE RPO CPT Manager | G4S plans, Community Safety Partnership LRSP Plan, LCJB Plan in place. Strategic Partnership refresh (Oct 2014) | G4S aligned with Force risk management process. G4S risk management process. (Oct 2014) | Management structures, CSP SMB, LCJB, LRSP. Flag Reports. THRIVE report, CMB report. (Oct 2014) | Executive Board, Performance and Delivery Board (Green) CSP Reporting (more work required) Transactional Management Board (Monthly review) (Oct 2014) | Executive Board, Performance and Delivery Board - quarterly monthly reports. CSP: more work required. Transactional Management Board (Monthly review) (Oct 2014) | n/a | Security access - Tpolice/IMU - issues addressed (Oct 2014) | Continuous Improvement Unit Review - CMB (Sept 2014) | n/a | Income and debtors (AMBER/RED) May 2014 Payments and creditors (RED) May 2014 Cash, Banking and TM (AMBER/RED) May 2014 T-Police (AMBER/RED) May 2014 ICT Regional NICHE draft report Oct 2014 Planned audits for 2014/15 | 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/Red (10 Nov 2014) Force: Amber/Red (1 Dec 2014) Joint Proposal: Amber/Red | Review at JIAC meeting |
| 006 | Reducing crime, Fair deal, Services there when needed | • Failure to manage finances effectively (financial management/ governance) <i>Ref: Corporate Finance Team, G4S Finance Team</i> | PCC Risk Register Red 12 | PCC Risk Register Red 12 | CFO FCFO | TM strategy, Schemes of consent, scheme of delegation, financial and contract regs, training programme (Oct 2014) | Finance risk register Financial risks reported to Resources Governance meeting | Finance meetings, Systems, policies, practices, procedures - work in progress (Oct 2014) | 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. (Oct 2014) | AGS Code of Corporate Governance (Oct 2014) | n/a | n/a | n/a | Contract management - monthly performance review by CPT, quarterly to P&D (Oct 2014) | Cash, Banking and Treasury Management (AMBER/RED) May 2014 General Ledger (AMBER/GREEN) May 2014 Payments and Creditors (RED) May 2014 Income and Debtors (AMBER/RED) May 2014 T-Police (AMBER/RED) August 2014 | Overall audit conclusion (2013/14 accounts) unqual opinion. Audit priority 1 comments: deterioration on quality of accounts, quality/ availability of working papers, reconciliation of asset register to ledger & accounts (Sept 2014) | TM consultancy - review/compliance checks (June 2014) | | OPCC : Amber (10 Nov 2014) Force: Amber (1 Dec 2014) Joint Proposal: Amber | Review at JIAC meeting |
| 007 | 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 12 | CFO FCFO | MTFS, COG Strategic planning (Oct 2014) | Force Risk Register, RMS and policy, Finance Dept Risk register | VfM Strategy, Link to VfM and funding items, P&S reports, Planning schedule, Budget setting process/timetable (Oct 2014) | Medium term financial strategy, Budget Options for Savings Report (Oct 2014) | Planning and Strategy meetings (Oct 2014) | n/a | n/a | n/a | n/a | Medium term financial planning (Nov 2013) GREEN | Annual Audit Letter (Sept 2014) | n/a | HMIC Valuing the Police 4, good/good/ outstanding (July 2014) PEEL assessment - efficiency (good) savings requirements (outstanding) Nov 2014 | OPCC : Amber (10 Nov 2014) Force: Amber (1 Dec 2014) Joint Proposal: Amber | Review at JIAC meeting |
| 008 | Reducing crime | • Failure to ensure that Force objectives are delivered <i>(failure to ensure that the Force's Operational Policing delivery plan is implemented, failure to achieve performance indicators relating to the reduction of crime).</i> | PCC register Red 12 | PCC register Amber 9 | CE RPO | Business leads, Operational Delivery Plan, Control Strategy, Management teams. (Oct 2014) | Crime and Operations Risk Register (Oct 2014) | Control Strategy, Business leads. Delivery Plans - owned by business leads. Report quarterly SLT. (Oct 2014) | Revenue and Capital Monitoring reports to FCFO. Decision reports published on PCC's website e.g. budget report. (Oct 2014) | Force performance meetings, PCC performance governance meetings OPCC Operational Delivery Monitoring Plan Annual report (Oct 2014) | ACC Review of partnership delivery and funding (Oct 2014) | IMU Manager - IMU policies in place. (Oct 2014) | Continuous Improvement Unit - reviews. CMB Review (August 2014) Case Conference Co-ordinator review. ICAT review (ACC Commissioned) (Oct/Nov 2014) | PCC Professional Standards governance meeting (Oct 2014) | • Risk management (2013/4 Q4 AMBER/GREEN) • Delivery of Police and Crime Plan scheduled for 2014/5 Q3 • Governance (decision making) GREEN August 2014 • Delivery of Police and Crime Plan Q3 2014 (Oct 2014) | Audit opinion - links to meeting objectives and management of risk | Victims Services satisfaction and commissioning (Oct 2014) | 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) | OPCC : Green/Amber (10 Nov 2014) Force: Green/Amber (1 Dec 2014) Joint Proposal: Green/Amber | Review at JIAC meeting |

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| 009 | 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 (Oct 2014) | Risk management strategy, risk management board, risk registers (Oct 2014) | Governance framework, links to AGS, code of corporate governance. Assurance map, Risk registers. Decision making reports. Financial and contract regs, training. (Oct 2014) | Revenue and Capital Monitoring reports to FCFO, MTFS (includes TM strategy) (Oct 2014) | AGS, Code of Corporate Governance (Oct 2014) | Compliance testing via internal controls eg procurement audit (Oct 2014) | n/a | n/a | PCC Professional Standards Governance meeting (Oct 2014) | Governance (Decision making and integrity) (June 2014) GREEN Governance - (Sept 2013) GREEN Risk management (AMBER/GREEN) Feb 2014 | Letter Accounts Review Code of Corporate Governance Annual Governance Statement as part of annual audit (Oct 2014) | 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 (10 Nov 2014) Force: Green (1 Dec 2014) Joint Proposal: Green | Review at JIAC meeting |
| 010 | Reducing crime | Force | • Operations (Civil contingencies, public order, Roads policing, emergency planning, firearms, critical incidents) | Assessed, does not require entry on PCC or Force Risk Register | DCC | Tasking and Co-ordination meetings. Control strategies. STRA. Daily management meetings. Strategic Board meetings. (Nov 2014) PW/PG to add | EMOps Risk Register in place. Links to Force risk register process. Force risk officer. (Nov 2014) | Standing Operating Procedures across areas, STRA, Tasking, SPR Board (Nov 2014) | Meeting structure (budget and resources), strategic workforce planning board, Blue book. HR and Finance reps attend SMT. Regional EMOPs structure - go live April 2015, business support areas - in prog (Nov 2014) | Quarterly PCC Briefings, Performance from EMOPs. Management oversight - work in progress (Nov 2014) | LRF, STRA, LRSP, Firearms CoP Licensing requirements, national requirements, public order (numbers), armoury checks/audit (Head of Ops) (Nov 2014) | DCC to advise | DCC 1-1s with Supt EMOPs, EMOPs business case review, LRSP review. (Nov 2014) | Professional Standards Dept - monitoring and management (Oct 2014) | SPR AMBER/GREEN (Dec 2013) | n/a | College of Policing Licence - Firearms (Nov 2014) | some links to HMIC PEEL | OPCC : Amber (8 Dec 2014) Force: Amber (1 Dec 2014) Joint Proposal: Amber | Review at JIAC meeting |
| 011 | Reducing crime | Force | • Crime (Intelligence, protecting vulnerable people, child sexual exploitation, child and adult protection, domestic abuse, dangerous persons, sexual offences, major crime, serious and organised crime, cyber crime, counter terrorism). | Assessed, does not require entry on PCC or Force Risk Register | DCC DCSupt Staniland | Tasking and Co-ordination meetings, Control strategies (PIER), Operational delivery plan, local plans, links to regional tasking. OCG meeting. PPU tasking meeting. Force DA plan. PVP mtg. PPU Action Plan. (Oct 2014) | Crime Risk Register in place, Risk Officer (Oct 2014) | DPMU (July 2014) AMBER Policies and procedures Control strategy, Strategic Assessments, STRA process, tasking, internal meeting structure. SPR governance board (Oct 2014) | Meeting structure (budget and resources), strategic workforce planning board, Blue book. HR and Finance reps attend SMT meetings (Oct 2014) | Quarterly PCC Briefings, progress against delivery reports (quarterly to PCC), Monthly performance report, SMT, SLT, District Perf mtgs (Oct 2014) | PPU compliance reviews. DA Strategic management board, LASB & LCSB regs/audit. CSE work in progress. CSP. S11 audit LSCB (self and peer review), MAPPA (Oct 2014) | DCC commissioned audit DPMU July 2014 RED. Additional resources allocated. LASB & LCSB, SCRs, DHRs, CJ OCD scrutiny panel, IMU regular audits (DPMU, DA) DA SMB. (Oct 2014) | Head of Crime 1-1s with Supts DA Lean Review (Oct 2014) Continuous Improvement Unit - reviews. CMB Review (August 2014) Case Conference Co-ordinator review. ICAT review (ACC Commissioned) (Oct/Nov 2014) | Professional Standards Dept - monitoring and management (Oct 2014) | Strategic Policing Requirement AMBER/GREEN (Dec 2013) Proceeds of Crime Act - RED (August 2014) All recommendations accepted and action plan implemented. | n/a | DHR, SCR process (partnership working) CAADA quality assure MARAC. (Oct 2014) | PEEL report Nov 2014 (investigating offending - reqs improvement) HMIC Crime Data Integrity report (Nov 2014) Interception of Communication Commissioner's Office (ICCO) HMIC DA inspection - > Action Plan (links to HO Action plan) Office of Surveillance Commissioner (Sept 2014) CoP CSE Review (Nov 2014) | OPCC : Green/Amber (10 Nov 2014) Force: Green/Amber (1 Dec 2014) Joint Proposal: Green/Amber | Review at JIAC meeting |

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| 012 | Reducing crime | Force | • Local Policing (East and West) | Assessed, does not require entry on PCC or Force Risk Register | | ACC C/Supts Wood & Gibson | Tactical Tasking and Co-ordination meetings. SMT. Control strategies. STRA. Daily management meetings. Performance meetings. PDR process. (Nov 2014) | Local RR, reviewed at SMT, Performance officer manages process. Issue specific meetings, accident/near miss issues (H&S), standard practice models for reputational risk (Nov 2014) | Force policies and procedures. Control strategy. Operational Delivery Plan. Force task and co-ordination process. (Nov 2014) | Meeting structure (budget and resources), strategic workforce planning board, Blue book. HR and Finance reps attend SMT meetings. Current issue, overtime/t-police (Nov 2014) | Quarterly PCC Briefings, progress against delivery reports (quarterly to PCC), Monthly performance report, SMT, SLT, District Perf mtgs (Oct 2014) | Force compliance, strategic oversight groups (hate crime, stop search, other LP matters). Partnerships commissioning (PCC fund, officer time). Nov 2014 | Crime recording, quality and oversight. CMB and Crime Registrar. HMIC inspection. Issues escalated. (Nov 2014) | PCSO Review, New manual of guidance. Shift pattern review. DCC/ACC 6 month review of control strategies. Management oversight of key partnerships (YOS, CYPSP, LRSP). (Nov 2014) | Professional Standards Dept - monitoring and management. Satisfaction SKPI, control strategy, Performance Governance oversight. (Nov 2014) (Oct 2014) | n/a | n/a | n/a | PEEL Inspection Interim report (investigations - area for improvement, crime prevention/reduction - good, ASB - good). Stop search re-inspection. Disability hate crime (feedback largely positive). Nov 2014 | OPCC : Green/Amber (8 Dec 2014) Force: Green/Amber (1 Dec 2014) Joint Proposal: Green/Amber | Review at JIAC meeting | |
| 013 | Reducing crime, Fair deal, Services there when needed | • Failure to maintain effective resources and infrastructure | • Lack of effective Procurement (G4S) arrangements leading to service delivery failure. | Assessed, does not require entry on PCC or Force Risk Register | | ACO | Procurement Strategy Progress Reports (RGM) Incident Report (Jan 2015) | Progress report (quarterly) RGM (Jan 2015) | Monthly performance and delivery reports. Monthly Service review meetings with CPT, monthly TMB, fortnightly Steering Group (Nov 2014) | Quarterly P&D Board. (Nov 2014) | Resources Governance oversight, Quarterly Contract Performance report by CPT Manager to P & D. (Nov 2014) | Procurement procedures detailed in PCC Financial & Contract Regs. (Nov 2014) | n/a | Monthly meeting with ACO (Resources) and CPT Manager (Nov 2014) | Flag reports, change requests. (Nov 2014) | n/a | Local Partnerships (reporting to HO) - review undertaken - to be completed end Nov 2014. | n/a | n/a | OPCC : Green/Amber (22 Jan 2015) Force: Green/Amber (22 Jan 2015) Joint Proposal: Green/Amber some legacy issues | Review at JIAC meeting | |
| 014 | Reducing crime, Fair deal, Services there when needed | • Failure to maintain effective resources and infrastructure | • Lack of effective HR (G4S) arrangements leading to service delivery failure. | Assessed, does not require entry on PCC or Force Risk Register | | ACO | HR Strategy and Plan Progress Reports (Oct 2014) | Progress report (quarterly) (Nov 2014) | Monthly performance and delivery reports. Monthly Service review meetings with CPT, monthly TMB, fortnightly Steering Group, Gold Group (inc RMU) CC chair (Nov 2014) | P&D Board. Invoice submissions and evidence. Monthly review of monitored & managed budgets by CPT. (Nov 2014) | Resources Governance oversight, Quarterly Contract Performance report by CPT Manager. (Nov 2014) | PCC & CC Scheme of Delegation. (Nov 2014) | n/a | Monthly meeting with ACO (Resources) / Head of HR; and CPT Manager. (Nov 2014) | Flag reports, change requests. (Nov 2014) | VFM/benefits realisation RMU (Nov 2013) GREEN Data returns (HO Annual Data Returns (HR) Payroll Q3 2015 NB: HR (Absence) August 2013 GREEN | Local Partnerships (reporting to HO) - review undertaken - to be completed end Nov 2014. | Lincs Audit Payroll Review. Payroll/HR reconciliation of systems issues. CFO concerns (Jan 2015) | n/a | OPCC : Amber/Red (22 Jan 2015) Force: Amber/Red (22 Jan 2015) Joint Proposal: Amber/Red HR/Payroll, JIAC recruitment | Review at JIAC meeting | |
| 015 | Reducing crime, Fair deal, Services there when needed | • Failure to maintain effective resources and infrastructure | • Lack of effective Strategic Development arrangements leading to service delivery failure. | Assessed, does not require entry on PCC or Force Risk Register | | ACO HoSD | Strategic Development Dept Plan and workplan, reviewed quarterly, published on intranet. Force vision. PA Consulting work. Lobbying strategy (Jan 2015) | Dept Risk Register reviewed monthly by SMT. Programme risk register, project risk registers. (Jan 2015) | SMT meetings. Team meetings. Improving force performance policy. Police and Crime Strategic Board. PEEL Board (Jan 2015) | SMT (budget review and monitoring, monthly with management accountant), workforce report review, PDR and sickness at SMT (Nov 2014) | Resources Governance oversight (PTP), Force Transformation Board and reports, Project Board. (Oct 2014) | n/a | System accreditation for projects where relevant (eg NICHE) (Nov 2014) | HoSD monthly meeting with ACO. SDD Business Review - work continues (Jan 2015) | None. PSD lead, liaise with HoSD as required. (Nov 2014) | Business and Strategic Planning (April 2012) | n/a | n/a | n/a | OPCC : Green/Amber (22 Jan 2015) Force: Green/Amber (22 Jan 2015) Joint Proposal: Green/Amber Awaiting business review, regional lead, capacity | Review at JIAC meeting | |

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| | | | | Inherent (no controls) | Residual (with controls) | | Local Business Plan | Local Risk Register | Local Internal Control | Financial Reporting | Corporate Performance Reports | Regulations, Commissioning & Partnerships | Information Assurance (inc. sys accreditation) | Portfolio Mtg/Reviews | Satisfaction / Complaints Handling | Type | | Commissioning & Partnership's Internal Audit Reports | HMIC/Other | | |
| 016 | Reducing crime, Fair deal, Services there when needed | • Failure to maintain effective resources and infrastructure | • Lack of effective ICT (G4S) arrangements leading to service delivery failure. | Assessed, does not require entry on PCC or Force Risk Register | | ACO | ICT Strategy and Plan Progress Reports (Jan 2015) | Progress report (quarterly) (Jan 2015) | Monthly performance and delivery reports. Monthly Service review meetings with CPT, monthly TMB, fortnightly Steering Group. (Nov 2014) | P&D Board. Invoice submissions and evidence. Monthly review of monitored & managed budgets by CPT. (Nov 2014) | Resources Governance oversight; Quarterly Contract Performance report by CPT Manager | ITHC/Treatment plans form part of monthly performance report as does code of connection. (Nov 2014) | Information Management Board, Force Security Board, CESG, Code of Connection. (Nov 2014) | ICT/IMU monthly meetings; Monthly meeting with ACO (Resources) and CPT Manager. (Nov 2014) | Flag reports, change requests. (Nov 2014) | Data security Q3 2014, GREEN (Jan 2015) | Local Partnerships (reporting to HO) - review undertaken - to be completed end Nov 2014. | ITHC, Penetration tests. (Nov 2014) | CESG (Government's National Technical Authority for Information Assurance, previously known as Communications-Electronics Security Group). | OPCC : Amber (22 Jan 2015) Force: Amber (22 Jan 2015) Joint Proposal: Amber national/regional demands (capacity) | Review at JIAC meeting |
| 017 | Reducing crime, Fair deal, Services there when needed | • Inability to comply with legislation / regulations leading to reputational damage. | | Assessed, does not require entry on PCC or Force Risk Register | | PCC DCC C/Supts | Force meeting structure. SMT meetings. Dept Mgt mtgs, DCC oversight (NCRS/RIPA, MOPI, stop search, POCA, equalities). PSD. (Oct 2014) | Links to Crime Risk Register, links to EM Ops risk register, local policing risk register. Risk officers. (Oct 2014) | Oversight of crime recording by DCC, Crime Registrar. Exception reporting to PCC. Initial/ongoing training, NCALT/briefin gs, L&D plan. (Oct 2014) | Financial consequences of risks capture in risk registers. Links to Legal services and PSD, Confidential Risk Register (Oct 2014) | DCC oversight. Escalation process via PSD or legal services (Oct 2014) | IMU Internal audit processes, Crime Registrar internal audit processes. (Oct 2014) | IMU policies in place. (Oct 2014) | n/a | PSD policies and procedures, published on intranet, Bad Apple. (Oct 2014) | POCA internal audit - Seizures of cash under the Proceeds of Crime Act are handled correctly and securely in line with legislation and procedures. RED (August 2014) All recommendations accepted and action plan implemented. (Jan 2015, DCC) | n/a | ICO. Covert Authorities Bureau. (Oct 2014) | HMIC Inspection Stop Search HMIC Crime Data integrity (Nov 2014) HMIC Corruption and Integrity (Nov 2014) ICO Data Protection Audit (March 2014) 'reasonable' | OPCC : Green (22 Jan 2015) Force: Green (22 Jan 2015) Joint Proposal: Green | Review at JIAC meeting |
| 018 | Reducing crime, Fair deal, Services there when needed | • Failure to maintain effective resources and infrastructure | • Lack of effective Facilities (Assets and Fleet management) (G4S) arrangements leading to service delivery failure. | Assessed, does not require entry on PCC or Force Risk Register | | ACO | Assets and Fleet Strategy and Plan Progress Reports (Oct 2014) | Progress report (quarterly) (Nov 2014) | Monthly performance and delivery reports. Monthly Service review meetings with CPT, monthly TMB, fortnightly Steering Group. (Nov 2014) | P&D Board. Invoice submissions and evidence. Monthly review of monitored & managed budgets by CPT. (Nov 2014) | Resources Governance oversight; Quarterly Contract Performance report by CPT Manager. (Nov 2014) | n/a | National Police Estates Group and National Association of Police Fleet Managers - used to benchmark. (Nov 2014) | Asset Management Group (quarterly); Monthly meeting with ACO (Resources) and CPT Manager. (Nov 2014) | Flag reports, change requests. (Nov 2014) | Asset management (March 2014) AMBER/GREEN Asset management Q3 2014 Fleet management Q2 2014 | Local Partnerships (reporting to HO) - review undertaken - to be completed end Nov 2014. | n/a | n/a | OPCC : Green/Amber (10 Nov 2014) Force: Green/Amber (1 Dec 2014) Joint Proposal: Green/Amber | Review at JIAC meeting |
| 019 | Reducing crime, Fair deal, Services there when needed | • Lack of Business Continuity planning/arrangements (Ref: Contingency Planning) | | Assessed, does not require entry on PCC or Force Risk Register | | PCC/CC Ian Watkins | Local Business Continuity Plans in place (Sept 2014) | Feeds into risk register, Local Resilience Forum/Lincs Community Risk Register (Sept 2014) | Emergency Planning Officer manages and co-ordinates internal controls. BC Strategic Board oversight (6 monthly) (Sept 2014) | N/A | Reports to Strategic BC Board (6 monthly) reports to LRF (6 monthly) Review via Dept Heads Quarterly briefing to PCC (Civil Cont) BC Board Highlights report to PCC (Sept 2014) | BC plans for collaboration delivered services - plans in development (Oct 2014) | Force Information Security Manager in place (systems assurance and systems accreditation). (Oct 2014) | n/a | n/a | Business Continuity / Disaster Recovery (Non IT) Internal Audit (June 2012) RED. All recommendations complete. | n/a | Annual audit via ACPO lead - Civil Contingencies Capability Framework (inc BCP) (March 2014) | HMIC Civil Contingencies audit (March 2014) Links to other inspections (eg Crime Recording). | OPCC : Green/Amber (10 Nov 2014) Force: Green/Amber (1 Dec 2014) Joint Proposal: Green/Amber | Review at JIAC meeting |
| 020 | Reducing crime, Fair deal, Services there when needed | Lack of effective risk management arrangements | PCC Risk management | Assessed, does not require entry on PCC or Force Risk Register | | CE/ CFO RPO | Risk Management Strategy and Policy (Sept 2014) | PCC Risk Register (Sept 2014) | Dedicated officer. Assurance map. Reports quarterly to JIAC (Nov 2014) | IMM meetings (monthly) (Sept 2014) | IMM meetings (monthly). Significant risks considered at governance meetings (Nov 2014) | Local links to Greater Lincs RM Group. RPO attends Futures Scanning national group (emerging risks/horizon scanning) (Nov 2014) | n/a | RPO meetings with CE, CFO, DCE. Briefings to PCC (Nov 2014) | n/a | Risk management (Dec 2013) AMBER/GREEN Risk management Q4 2014 | Audit opinion links to management of risks | n/a | HMIC reports link to risk | OPCC : Green/Amber (10 Nov 2014) Force: Green/Amber (1 Dec 2014) Joint Proposal: Green/Amber | Review at JIAC meeting |

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 | | | | Joint Independent Audit Committee Assessment | | | | | |
|--|---|---|---|--|--------------------------|---------------------------------|--|--|--|--|---|---|--|---|------------------------------------|--|---|--|---|--|------------------------|
| | | | | Delivering the risk and control environment BUSINESS AREAS | | | Other oversight and assurance functions MANAGEMENT OVERSIGHT | | | | | Independent assurance / advice INDEPENDENT AND OBJECTIVE | | | | | | | | | |
| | | | | First line (more knowledge, less independence) Identifying risks and improvement actions. Implementing controls. Reporting on progress. | | | Second line (more objective, but not wholly independent) Designing policies. Setting direction. Ensuring compliance. Assurance oversight | | | | | Third line (objective & independent) Independent challenge, audit. Reporting on assurance. | | | | | | | | | |
| Ref Number | Strategic objective/ priority | Risk | | Risk Assessment | | Owner | Management Controls | | | Corporate Reporting | | Compliance Reviews | Quality & Inspection | | | Internal Audit | External Audit | External providers | Inspectorate | PCC/Force proposal | JIAC Assessment |
| | | | | Inherent (no controls) | Residual (with controls) | | Local Business Plan | Local Risk Register | Local Internal Control | Financial Reporting | Corporate Performance Reports | Regulations, Commissioning & Partnerships | Information Assurance (inc. sys accreditation) | Portfolio Mtg/Reviews | Satisfaction / Complaints Handling | Type | | Commissioning & Partnership's Internal Audit Reports | HMIC/Other | | |
| 021 | Reducing crime, Fair deal, Services there when needed | Lack of effective risk management arrangements | Force Risk management | Assessed, does not require entry on PCC or Force Risk Register | | DCC Dave Hull | RM Strategy to 2017 and Policy to Oct 2015. Force, dept, project risk registers in place + confidential register (Nov 2014) | Force Risk Register, local registers, project registers. Risk Officer reviewing processes (Nov 2014) | Dedicated officer, SPOCs. All dept registers monthly review at SMT. Assurance map. Reports quarterly to JIAC (Nov 2014) | Risk Management Board (Quarterly) Confidential RMB (Sept 2014) | RM Board (Quarterly) Confidential RMB. Significant risks reported to PCC (Governance mtgs) (Nov 2014) | n/a | IMU review all Force info risks across all depts at IMU Board. IMU Manager rep at Force RMB. (Oct 2014) | Risk officer monthly meeting with DCC. (Nov 2014) | n/a | Risk management (Dec 2013) AMBER/GREEN Risk management Q4 2014 | Audit opinion links to management of risks | n/a | HMIC reports link to risk | OPCC : Green/Amber (10 Nov 2014) Force: Green/Amber (1 Dec 2014) Joint Proposal: Green/Amber | Review at JIAC meeting |
| 022 | Reducing crime, Fair deal, Services there when needed | • Lack of effective fraud, corruption and error arrangements leading to reputational damage. <i>(Ref Professional Standards)</i> | | Assessed, does not require entry on PCC or Force Risk Register | | PCC/CC RPO Supt Morrison | AF&C Strategy and Plans in place. Bad Apple systems. (Oct 2014) | Risks assessed. (Oct 2014) | AF&C Mtgs (oversight). Joint policy in place, PS Governance, NCALT counter corruption training (Oct 2014) | Annual Audit Commission Survey (Oct 2014) | AF&C Meetings AF&C ToR (Oct 2014) | Compliant with Police Regulations (Oct 2014) | n/a | n/a | n/a | No internal audit in last 3 years | No issues raised during Inquiries of Management or follow up to Audit Commission survey | n/a | HMIC Integrity and Corruption inspection (27 Nov 2014) 'excellent progress' 2 recs | OPCC : Green/Amber (8 Dec 2014) Force: Green/Amber (1 Dec 2014) Joint Proposal: Green/Amber | Review at JIAC meeting |
| 023 | Reducing crime, Fair deal, Services there when needed | • Failure to maintain effective resources and infrastructure | • Lack of effective Legal (regional) arrangements leading to service delivery failure. | Assessed, does not require entry on PCC or Force Risk Register | | DCC | EMPLS bi-weekly bronze meetings, dealing with all aspects of civil claims/admin/D VPOs/ ASBOs etc (Nov 2014) | Risk register in place, held within EMPLS and also contribute to the force confidential risk register (Nov 2014) | Policies/ procedures and an internal tasking process for allocation of work to relevant lawyer with appropriate skills. (Nov 2014) | Meeting structure in place internally reporting to EMPLS board chaired by DCC Goodwin (Nov 2014) | Resources Governance oversight (6 monthly review). Bi-monthly force meetings with DCC and ACO (Oct 2014) | Solicitors required to be licensed to practice (Nov 2014) | All cases managed through AMICUS and audit carried out by Baker Tilley. (Nov 2014) | Regular 1 to 1s between staff and head of unit, plus bi-weekly bronze meetings (Nov 2014) | PSD. (Nov 2014) | Advisory Audit - Procurement of legal services. May 2014 | n/a | East Midlands Efficiency Board (Nov 2014) | n/a | OPCC : Green (8 Dec 2014) Force: Green (1 Dec 2014) Joint Proposal: tbd | Review at JIAC meeting |
| 024 | Reducing crime, Fair deal, Services there when needed | • Failure to maintain effective resources and infrastructure | • Lack of effective IMU arrangements leading to service delivery failure. | IMU not recorded on Force Risk Register 1 specific risk - RRD Amber 6 | NOTE: RRD - Red 12 | DCC (Dick Burge) | Force information assurance strategy. Team mtgs, supervisor mtgs, management mtgs. Departmental Plan. BC Plan. (Oct 2014) | Department risk register. IMU review all Force information risks across all depts at IMU Board. (Oct 2014) | Policies and procedures for all areas of the IMU (security, vetting etc). Force Information Management Board. Force Security Board. (Oct 2014) | Budget management. Income generation. Management meetings. (Oct 2014) | Performance booklet (monthly) covers SLAs (partner agency disclosures), Vetting, DBS. Local and national reporting structure. ACO oversight. (Oct 2014) | IAMM internal compliance review (level 3) - top performing force. IMU Audit (self audit RRD and PADO). (Oct 2014) | National Police Info Risk Management Team (Accreditation). Info Assurance Maturity Model (annual). National Security Policy Framework annual return. Systems risk assessment. (Oct 2014) | Information Manager monthly meetings with ACO (Oct 2014) | (Oct 2014) | RSN Tenon - MoPI Management of Police Information - no recommendations and a green status. April 2012 Data Security IT Audit - Due Nov 2014 | n/a | No ICO interventions. DBS standards and compliance annual review (QAF). Regional review of information assurance (ARISTA) Green. JIAC visit to IMU (compliance and process) and report to committee. July 2014. (Oct 2014) | ICO Data Protection (March 2014) 'reasonable assurance' HMIC Information Management "building the picture" Audit (June 2014) HO National Information Management Summary Report (reporting methods for IA) published to all forces for comparison. Lincs Police ranked 1st. (Oct 2014) | OPCC : Green (10 Nov 2014) Force: Green (1 Dec 2014) Joint Proposal: Green | Review at JIAC meeting |
| 025 | Reducing crime, Fair deal, Services there when needed | • Failure to maintain effective resources and infrastructure | Lack of effective communications and public affairs arrangements leading to reputational damage | Assessed, does not require entry on PCC or Force Risk Register | | DCE | Shared Service Strategy in place (Nov 2014) | Role in mitigating risks in PCC and CC risk registers (Nov 2014) | Service manager attends SLT/COG. Head of Comms meets ACO monthly. Updates at IMM, P&S (Nov 2014) | PCC budget. CE budget holder. Managed and monitored by DCE. (Nov 2014) | Day to day leadership and management (Nov 2014) | n/a | News management software records all interactions with journalists (Nov 2014) | Head of Comms meets ACO monthly (Nov 2014) | Managed by PSD/PCC (Nov 2014) | n/a | n/a | n/a | n/a | OPCC : Green (10 Nov 2014) Force: Green (1 Dec 2014) Joint Proposal: tbd 14 Nov 2014 | Review at JIAC meeting |

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 | | | | Joint Independent Audit Committee Assessment | | | |
|--|---|---|--|--------------------------|----------------------------------|--|--|---|--|--|---|--|--|------------------------------------|----------------|----------------|--|--|------------------------|-----------------|
| | | | | | | Delivering the risk and control environment BUSINESS AREAS | | | Other oversight and assurance functions MANAGEMENT OVERSIGHT | | | | Independent assurance / advice INDEPENDENT AND OBJECTIVE | | | | | | | |
| | | | | | | First line (more knowledge, less independence) Identifying risks and improvement actions. Implementing controls. Reporting on progress. | | | Second line (more objective, but not wholly independent) Designing policies. Setting direction. Ensuring compliance. Assurance oversight | | | | Third line (objective & independent) Independent challenge, audit. Reporting on assurance. | | | | | | | |
| Ref Number | Strategic objective/ priority | Risk | Risk Assessment | | Owner | Management Controls | | | Corporate Reporting | | Compliance Reviews | Quality & Inspection | | | Internal Audit | External Audit | External providers | Inspectorate | PCC/Force proposal | JIAC Assessment |
| | | | Inherent (no controls) | Residual (with controls) | | Local Business Plan | Local Risk Register | Local Internal Control | Financial Reporting | Corporate Performance Reports | Regulations, Commissioning & Partnerships | Information Assurance (inc. sys accreditation) | Portfolio Mtg/Reviews | Satisfaction / Complaints Handling | Type | | Commissioning & Partnership's Internal Audit Reports | HMIC/Other | | |
| 026 | Reducing crime, Fair deal, Services there when needed | • Lack of effective health and safety arrangements <i>(Ref: Health and Safety)</i> | Assessed, does not require entry on PCC or Force Risk Register | | CE/CC Nick Cornwall Smith | Health and Safety Annual Action Plan in place (Sept 2014) | Links to local and corporate risk register (Sept 2014) | H & S Board, local H&S Meetings, policies and procedures in place, reporting structure (to RGM) Annual Report (Sept 2014) | n/a | H&S Annual Report, progress monitored at H&S Board (July 2014) | n/a | n/a | n/a | n/a | n/a | n/a | Nil return HSE (July 2014). No prosecutions or enforcement notices in last 15 years. (Sept 2014) | OPCC : Green (10 Nov 2014) Force: Green (1 Dec 2014) Joint Proposal: Green | Review at JIAC meeting | |

Abbreviations

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

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

| Level of Assurance | 1st and 2nd lines of defence (process based assessment) | 3rd line of defence & Quality and Inspection (results based assessment) |
|--------------------|--|--|
| | HIGH - Controls in place assessed as adequate/effective and in proportion to the risks | HIGH - Mainly positive results, many strengths, minor recommendations for improvement |
| | 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 |
| | 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 |
| | Not applicable or not relevant. Additional notes added for information. | Not applicable or not relevant. Additional notes added for information. |