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**	
						First line (more knowledge, less independence)	Second line (more objective, but not wholly independent)		Third line (objective & independent)			
Ref Number	**PCP Strategic objective/ priority**	**Key Risks 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 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)												
ST-80	**TBC**	Lack of available deployable officers and PCSO's		⬆	CC			**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status of these complaints are as follows: · Local Resolution – 258 · Other Incl Disapplication, discontinued – 15 · Withdrawn – 64 · Upheld - 41	Overtime / Time recording - **November 2016 = GREEN** satisfactory Assurance Seized & Found property - Sept 2016 = GREEN Satisfactory Assurance	**HMIC Inspection report 2016 -** *"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".***	**TBC**	
ST-65	**TBC**	Failure of Sentinel ASB case management system to effectively hold, search for and maintain data on ASB.		⟺	CC							
ST-78	**TBC**	Lack of sufficient training and exercising for operational resources in Civil Contingencies senarios		⟺	CC							
	TBC											
		RISK SUMMARY										
CRIME - (PPU / CSE / Domestic Abuse / Vulnerable Adults / SOC / Major crime / Cyber / Fraud)												
ST-63	**TBC**	Lack if capacity and capability to mitigate the risk posed from emerging crime types		⟺	CC			**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	Overtime / Time recording - **November 2016 = GREEN** satisfactory Assurance Seized & Found property - Sept 2016 = GREEN Satisfactory Assurance	**HMIC Inspection report 2016 -** 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		
ST-60	**TBC**	Failure to process expired firearms licenses applications & renewals		⟺	CC							
ST-75	**TBC**	Failure to manage Registered Sex Offenders (RSO's) in the community.		⟺	CC							
ST-84	**TBC**	Failure to effectively manage murder enquiries (Holmes system issues)		⟺	CC							
ST-69	**TBC**	Failure to process a large amount of intelligence submissions. (FIB vacancies)		⟺	CC							
		RISK SUMMARY										
FORCE CONTROL ROOM (FCR)												
ST-71	**TBC**	Risk to officers due to lack of an effective mapping system within the FCR (Panic button)		⟺	CC		G4S Support strategy (2017 - 2020) and delivery plan in place by end of April 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				

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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		
		RISK SUMMARY **The only organisational level risk currently recorded in this business area relates to the mapping facility this is a software related isssue**						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				
	CUSTODY											
							Strategic custody user group Regional performance reporting HMIC inspection tracker - reports progress against recommendations.	**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"	**Seized & Found property** - Sept 2016 = GREEN Satisfactory Assurance	**HMIC- Unannounced Insp report 19 February 2016** 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 recommendations made. All recommendations completed on the AFI tracker with the exception of one ongoing relating to: Lincolnshire Police should collate and use data more meaningfully. This is in relation to 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.		
		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 within local risk register.**										

ACO - Assistant Chief Officer
AF&C - Anti fraud and corruption
BWV - Body Worn Video
ACC - Assistant Chief Constable
CC - Chief Constable
CE - Chief Executive
CFO - Chief Finance Officer
CMB - Crime Management Bureau
CSE - Child Sexual Exploitation
DA - Domestic Abuse
DCC - Deputy Chief Constable
DHR - Domestic Homicide Review
EM - East Midlands
FCFO - Force Chief Finance Officer
IMM - Internal Management Meeting
LASB - Lincolnshire Adult Safeguarding Board
LCSB - Lincolnshire Childrens Safeguarding Board
LRF - Lincolnshire Resilience Forum
NCRS - National Crime Recording Standards
OCG - Organised Crime Group
P&S - Planning and Strategy meeting
PPU - Public Protection Unit
PSD - Professional Standards Dept
PTP - Policing Transformation Programme
PVP - Protecting Vulnerable People
RM - Risk Management
SCR - Serious Case Review
SLT - Senior Leadership Team
SMT - Senior Management Team
SPOC - Single Point of contact
STRA - Strategic Threat and Risk Assessment
TM - Treasury Management
ToR - Terms of reference
VfM - Value for Money
YOS - Youth Offending Service

Level of Assurance	1st and 2nd lines of defence (process based assessment)	3rd line of defence & Quality and Inspection (results based assessment)	Overall Assessment RAG rating on the effectiveness of controls from assurance work undertaken
Green	**HIGH** - Controls in place assessed as adequate/effective and in proportion to the risks	**HIGH** - Mainly positive results, many strengths, minor recommendations for improvement	**HIGH –** Controls are in place assessed as adequate/effective and in proportion to the risks
Amber	**MEDIUM** - Some areas of concern over the adequacy/effectiveness of the controls in proportion to the risks	**MEDIUM -** Mixed results, some areas of concern and areas for improvement, some positive results and some strengths	**MEDIUM –** Some areas of concern over the adequacy/ effectiveness of the controls in place in proportion to the risks
Red	**LOW -** Significant concerns over the adequacy/effectiveness of the controls in proportion to the risks	**LOW -** Overall, negative results and areas of concern/requiring action and improvement	**LOW –** Significant concerns over the adequacy/effectiveness of the controls in place in proportion to the risk.
Grey	Not applicable or not relevant. Additional notes added for information.	Not applicable or not relevant. Additional notes added for information.	Insufficient information at present to judge the adequacy/effectiveness of controls.