

**OFFICE OF THE POLICE & CRIME COMMISSIONER FOR LINCOLNSHIRE AND LINCOLNSHIRE POLICE**

**JOINT ASSURANCE MAP**



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**FINANCE** 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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FINANCIAL MANAGEMENT (Including Insurance & Treasury Management)											
ST -68	Pension & taxation rules		↕	CC	<b>Weekly Finance team meeting</b> 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).  <b>Quarterly meeting of Regional CFO's &amp; HoFinance</b> in place - to facilitate Information / intelligence exchange.  <b>Annual financial "Service Plan"</b> (objectives) in place and progress against plan is monitored as part of weekly team meetings (Circa 2Hrs duration).  <b>G4S contractual requirements</b> are monitored via the overall Service Delivery Agreement. (Including KPI and MI).  <b>Benchmarking exercises</b> in place utilising HMIC VfM profiles / CIPFA "Backoffice" / Treasury management "CLUB"  <b>CIPFA review undertaken DATE?</b> - Development of quality standards for process controls under development led by FCFO May 2017.	To include routine Capital and Revenue reporting, budget forecast, monitoring and assumptions, Treasury Management review, procurement progress against strategy. Project delivery updates.  <b>Chief Officer Group - monthly reporting</b> on progress against plans aligned with RGM (as above). <i>(Improvements in operational reporting to COG and by Operational Officers is currently under development by FCFO as at May 2017).</i>  <b>Statutory and regulatory reports</b> completed as required Including Year-end accounts / Budget production / periodic HO returns - approved by CFO.  <b>Treasury Management Strategy</b> (inc mid-year review) - associated codes of practice adopted and routine reporting in place.	<b>"Record to Report"</b> - Ledger processes. To discover and recommend procedural improvements DATES? NEXT <b>"Recruit to Record"</b> planned for Date?	<i>Internal Audit Plan 2017/18 in place and approved by JIAC on 5 April 2017.</i>  <b>Payroll</b> = June 2016 = GREEN / March 2017 GREEN Satisfactory Assurance.  <b>Pensions-</b> July 2016 GREEN Satisfactory Assurance.  <b>MTFP</b> - July 2016 = GREEN Significant Assurance.  <b>Overtime / Time recording</b> - November 2016 = GREEN Satisfactory Assurance  <b>Income &amp; Debtors</b> - March 2017 = GREEN Satisfactory assurance.  <b>Stock Control</b> -July 2016 Amber limited assurance - action plan in place  <b>Online Banking &amp; Sunguard system</b> - May 2017 = GREEN significant assurance		<b>KPMG –External Auditors report July 2016/17</b> – (Covering PCC and Chief Constable) Opinion on financial statements, AGS and VFM requirement.  <b>PEEL Efficiency inspection report 2015</b> - graded - "requires improvement".  <b>HMIC PEEL Efficiency inspection report (Nov 2016)</b> - Graded as “Good” ... " <i>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".</i>	
ST -87	Lifting of Public Sector Pay Cap			CC							
C0 2	Achieve & Demonstrate efficiencies / VFM		↕	PCC							
C0 33	Financial loss – bad debt / major incident / default on investment		↕	PCC							
ST -76	Unforeseen pay & claims issues		↕	CC							
	<b>RISK SUMMARY &amp; CONTROL</b>  One red and three amber risks are recorded across both organisational risk registers - all are currently stable with developing controls in place.									GREEN	Controls in place and evidence of them working.  Further development of arrangements for producing better management Information.

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**BUDGET & Govt FUNDING**

ST -40	Police grants / funding		↕	CC	<b>Outline planning and budget timetable in place</b> - June 2017 (details key dates / decisions and activity schedule regarding MTFP planning / budget preparation in place)  <b>July 2017</b> - consider implications of future budget options / Agree timetable for management and strategic activity / reporting.	<b>Outline planning and budget timetable</b> - presented to PCSB in June 2017.  <b>Monthly Resources Governance Meetings</b> - work plan and routine agenda in place - includes: monthly reports on revenue budget monitoring / capital monitoring / key people data / quarterly reporting on Police officer budget assumptions - forecasting.	<b>No assurance</b> available in this format	<b>Internal Audit Plan 2017/18</b> in place and approved by JIAC on 5 April 2017. <b>MTFP - July 2016 = GREEN Significant Assurance.</b>	<b>PEEL Efficiency inspection report 2015</b> - grade "requires improvement".  <b>HMIC PEEL Efficiency inspection report (Nov 2016)</b> Graded as "Good": "HMIC considers that the force has done what can	<b>AMBER</b>	<b>CFO is member of National Technical Advisory Panel - for revised Funding Formula.</b>  <b>Awaiting Confirmation from HO on revised funding formula adoption &amp;</b>
C0 1	Failure to persuade Govt of Lincs case for fairer share of funding		↕	PCC							

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	<b>RISK SUMMARY &amp; CONTROL</b>  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.				<b>September 2017</b> - update MTFP / set budget targets 2018/19 to 20/21. - Review Capital programme  <b>October 2017</b> - commence corporate review of budgets to conclude in November 2017.  <b>December 2017</b> - review budget position in light of provisional Police Finance Settlement.  <b>Jan 2018</b> - conduct budget consultation / finalise proposed budget  <b>Feb 2018</b> - Final Police Finance Settlement notify district councils of precept requirement / final approval of Chief Constable strategies and delivery plans  <b>March 2018</b> - Budgets loaded onto T-Police system - publish budget holder guidance and budget book / provide feedback to budget holders.  <b>Budget framework for 2018/19 and MTFP</b> development framework in place.	Review of any major risks or issues arising.  <b>July 2017</b> - PCSB consider first draft of budget options  <b>Sept 2017</b> - PCSB consider updated MTFP and budget target / future budget options and Chief constables strategies.  <b>Jan 2018</b> - Police and crime panel meeting - presentation of budget.  <b>Feb 2018 - PCC issues final Budget Decision Report</b> (setting budget and council tax)  <b>JIAC reporting</b> - scheduled / routine reporting to Quarterly meetings ( Forward plan manages papers to appear at meetings)			<i>reasonably be expected to be as efficient as possible and yet it still faces an uncertain financial future due to its low funding base".</i>  <b>January 2017</b> - HMIC critical of a lack of costed alternative plans in the event that Govt funding is not forthcoming. ( <b>hot debrief</b> ) <i>Note: costed scenarios now in place</i>		<b>likely implementation Date</b>  <b>Balanced budget prepared for 2017/18.</b>  <b>3 Costed options prepared (scenario planning if Improved Govt Funding is not provided)</b>
<b>PROCUREMENT</b>											
	NONE				<b>EU Procurement regulations</b> in place.(awareness maintained via intelligence sharing and quarterly meetings with East Midlands Legal services)  Procurement is considered as a specific	<b>Resources Governance Meeting</b> - 6 monthly procurement progresses against strategy / plan reviewed.  <b>Management and Key information</b> - internal (MIPI) report produced monthly	<b>No assurance</b> from this area available <b>NB</b> - Procurement are reviewing their processes in line with the rest of the Finance team.	<i>Internal Audit Plan 2017/18 in place and approved by JIAC on 5 April 2017.</i>  <b>Procurement Audit - July 2017</b>	<b>KPMG –External Auditors report July 2016/17</b> – (Covering PCC and Chief Constable) unqualified Opinion on financial statements, AGS and	<b>GREEN</b>	Review of EU tender threshold planned for 2018  <b>Anti-Fraud / corruption risk assessment</b>
	NONE										
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	NONE										

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	<b>RISK SUMMARY &amp; CONTROL</b> 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 team meetings.				element of the <b>Finance Risk Register</b> - Head of procurement feeds into larger review of financial risks via Head of Finance (G4S).  <b>Management and Key performance data</b> (MIKI) - progress reviewed monthly.  <b>Procurement plan</b> refreshed annually - Approved by Head of Force Finance.  <b>Management and performance information</b> monitored monthly (G4S) including Contract status -renewal / expiry schedules - advice provided to contract holders in line with commercial Partnership contract.	<b>Savings achieved</b> - reported quarterly to Home Office.  <b>Procurement Spend Data</b> uploaded to Home Office (6 monthly - to help national assessment of sector spending)		<b>GREEN</b> - Satisfactory Assurance	VFM requirement. (October 2017)  PEEL Efficiency inspection report 2015 - grade "requires improvement".  <b>HMIC PEEL Efficiency inspection report (Nov 2016)</b> 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".		<b>underway (July 2017).</b>

## OPERATIONS NOT PROTECTIVELY MARKED

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LOCAL POLICING – East & West Areas											
ST -80	Deployment of officer establishment		↔	CC	<ul style="list-style-type: none"><li>• <b>Local Risk Registers</b>, reviewed at SMT meeting Bi-weekly.</li><li>• <b>SMT meetings</b> fortnightly include HR and business manager - standing agenda includes Safety issues. (meetings minuted)</li><li>• <b>Regular quarterly meetings with RAF</b> to look at mutual aid, support available to help operational delivery objectives.</li><li>• <b>Operational delivery plan</b> segmented into areas of specialism for divisional Superintendents.</li><li>• <b>Divisional Performance officer</b> in place (East position recently appointed June 2017).</li><li>• <b>HMIC recommendations</b> / actions required managed by Supt at divisional level and tracked using issues matrix.</li><li>• <b>New performance framework</b> and approach in place May 2017 - performance analysed in SMT meeting supported by divisional Performance officer. (Linked directly to tasking process)</li><li>• <b>Issues arising with delayed release of officers</b> successful at interview for new roles - (Workforce planning meetings chaired by District Supt to manage resourcing and deployment )</li><li>• <b>Monthly finance meeting</b> between Ch Supt and Finance Dept</li></ul>	<ul style="list-style-type: none"><li>• <b>Force operational Delivery Plan - requires refreshing - April 2017 (ACC at PCSB).</b></li><li>• <b>Operational delivery plan updates</b> provided quarterly to <b>Performance Governance meetings</b> for review led by PCC CEX and ACC./ DCC / CC (ad hoc reporting can be requested from Subject matter experts).</li><li>• Written Reports by relevant area commander provided to <b>COG on any significant issues</b> arising.</li><li>• <b>PCC performance report</b> - published on PCC website and presented to the Police and Crime Panel Quarterly - (reflects force performance - crime figures)</li></ul>	<b>Complaints handling - August 2016 Audit opinion = GREEN Satisfactory Assurance</b> "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 <b>1 April 2015 and 30 March 2016</b> , 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"	<b>Internal Audit Plan 2017/18 in place and approved by JIAC on 5 April 2017.</b> <b>Overtime / Time recording - November 2016 = GREEN Satisfactory Assurance</b>  <b>Seized &amp; Found property - Sept 2016 = GREEN Satisfactory Assurance</b>	<b>IHMIC PEEL 2016 Effectiveness Inspection report (Published March 2017)</b> <b>Overall Judgement commentary -</b> "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".  <b>IHMIC PEEL 2016 Effectiveness Inspection report (Published March 2017)</b> <b>P14 Local Policing -</b> "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."	???	<b>Replacement for SENTINEL ASB case management system has business case with CSP in June 2017.</b>  <b>Divisional staff / Officers successful at interview - experiencing delays in being released to new roles.</b>
ST -65	ASB case management system		↔	CC							
ST -78	Training & Exercising		↔	CC							
ST -86	Security (AF&C)		↔	CC							
	<b>RISK SUMMARY &amp; CONTROL</b>  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, transferees and the recent "Policing Model Project". The other risks are stable with developing controls in place.										

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CRIME (CSE / FRAUD / CYBER / PPU / SOC / Prevention / Firearms Licensing / Major Crime / ‘Emerald team’)													
ST -63	Emerging crime types		↕	CC	<ul style="list-style-type: none"><li>• <b>Crime Allocation policy</b> has been recently refreshed -Requires major overhaul in medium term - needs to reconcile 'crime type' approach to allocation with current THRIVE approach being used for management of demand. <b>Remaining Key departmental policies in place and current June 2017</b></li><li>• <b>Local Risk Registers</b>, reviewed at SMT on a fortnightly basis. (Includes FCR issues).. Clear escalation process in place.</li><li><b>Progress against Operational delivery plan</b> is covered across a range of management meetings including....</li><li>• <b>SMT meetings held every 2 weeks</b> for Chief inspectors and above including HR and Business manager.</li><li>• <b>Monthly meetings</b> held within key business areas - covering departmental themes.</li><li>• <b>121 meetings held</b> with all officers of Chief inspector rank and above</li><li>• <b>IMU audit results and HMIC recommendations</b> are placed into a matrix and progress against actions required are reviewed</li><li>• <b>Head of Crime meets with ACC</b> Monthly to discuss progress and key issues arising..</li><li>• <b>Performance issues relating to operational policing</b> are also discussed at these meetings as are potential improvements in practice - issues discussed do change activity / approach taken EG - recent changes in collection of CCTV evidence via email.</li><li>• <b>Welfare issues</b> also considered as part of performance / progress reporting / monitoring regime.(particularly in PPU area of work)</li><li>• <b>Crime file quality</b> - 5 point plan introduced in May 2017 - to monitor and improve quality of crime files submitted to CPS.</li><li><b>Firearms Licensing</b> - improvement plan put in place and is being monitored on a <u>weekly basis</u> between Force and G4S - May 2017.</li><li>• Monthly Firearms performance meetings chaired by the DCC.</li></ul>	<ul style="list-style-type: none"><li>• <b>Performance Governance Meetings - held bi-monthly (PCC / CEX / DCC/ ACC / CC).</b> <b>Work plan includes:</b><ul style="list-style-type: none"><li>* <b>Operational Delivery Monitoring Report</b> (incorporating Crime elements) - produced quarterly.</li><li>* <b>Review of Force Performance Dashboard</b> inc specific Crime performance indicators and contextual information.</li></ul></li><li>• <b>Verbal update to COG every 2 weeks</b> by head of Crime department - (Meeting Minuted).</li><li>• <b>ACC</b> - Crime portfolio holder provides 1-2-1 verbal update and exception report to PCC monthly.</li><li>• <b>Exceptional issues arising (strategic level)</b> can be reported to PCSB within Chief constable written / verbal report.</li></ul> <p>Safeguarding issues reported via County <b>Safeguarding Boards</b>.</p> <ul style="list-style-type: none"><li>• <b>PCC receives written Quarterly Assurance Reports</b> from multiple key business areas across the Crime portfolio - covers activity/ risks/ lessons learned, and contains chief officer overview / commentary.</li><li>• <b>PCC performance report</b> - published on PCC website and presented to the Police and Crime Panel Quarterly - (reflects force performance - crime figures)</li></ul> <p><b>Firearms Licensing</b> - Update report provided to PCSB by G4S regarding recovery plan in May 2017.</p>	<p><b>Complaints handling - August 2016 Audit opinion = GREEN Satisfactory Assurance</b></p> <p>"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:</p> <ul style="list-style-type: none"><li>· Local Resolution – 258</li><li>· Other Incl Disapplication, discontinued – 15</li><li>· Withdrawn – 64</li><li>· Upheld - 41</li><li>· Not Upheld – 181"</li></ul> <p><b>IMU Audit Regime</b></p> <p>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)</p>	<p><i>Internal Audit Plan 2017/18 in place and approved by JIAC on 5 April 2017.</i></p> <p><b>Overtime / Time recording - November 2016 = GREEN</b></p> <p>Satisfactory Assurance</p> <p><b>Seized &amp; Found property - Sept 2016 = GREEN</b></p> <p>Satisfactory Assurance</p>	<p><b>IHMIC PEEL 2016 Effectiveness Inspection report (Published March 2017)</b></p> <p>The extent to which the force is effective at keeping people safe and reducing crime is <b>good</b></p> <p>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.</p> <p>The force has substantially reduced the backlog of computers and telephones waiting for digital examination.</p> <p>•Lincolnshire Police's effectiveness at protecting those who are vulnerable from harm and supporting victims requires improvement.</p> <p>The force has made insufficient progress on two of the areas for improvement identified in HMIC's 2015 effectiveness (vulnerability) report.</p> <p>•The force should improve its response to missing and absent people</p> <p>•The force should improve its response to children at risk of sexual exploitation</p> <p><b>JTAI report dated Dec 2016</b> - Joint targeted area inspection of the multi-agency response to abuse and neglect in Lincolnshire</p> <p><b>Key Strength</b></p> <p>The local partnership has a clear and collective determination and drive to engage agencies in delivering a coherent approach to tackle domestic abuse.</p> <p><b>Main AFI</b> - 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.</p>	AMBER	<ul style="list-style-type: none"><li>• <b>Cyber / fraud strategy and delivery plan - under construction - Likely changes to National Action Fraud approach may bring significant increase in case load.</b></li><li>• <b>Changes to MHA as part of PCA 2017 – HoC working with MH Pathway Board to look at alternatives to detention in Police Cells.</b></li><li>• <b>Problems Attracting and retaining detectives -potential investigative capacity issues.</b></li><li>• <b>MOSOVO - growth in registered offenders requiring ongoing management.</b></li><li>• <b>Potential regional cyber forensic triage solution being investigated.</b></li><li>• <b>Firearms Licensing - recovery plan in place &amp; closely monitored.</b></li></ul>		
ST -60	Firearms licenses		↓	CC									
ST -69	Intelligence submissions		↕	CC									
ST -84	ICT – Major enquiries		↕	CC									
ST -86	Security (AF&C)		↕	CC									
RISK SUMMARY & CONTROL													
The crime portfolio covers a very broad spectrum of policing and operational activity and therefore attracts a wide range of risks which are closely managed / monitored at a local level as is evidenced within the '1st line of defence' . All 5 of these organisational risks have developing controls in place and their profiles and scores are monitored and managed on a regular basis.													

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FORCE CONTROL ROOM (FCR)													
ST -71	ICT Functionality (Mapping)		↓	CC	<div>G4S Integrated Support Strategy 2017 - 2020 presented to PCSB March 2017 in DRAFT form, detailed delivery plan not yet ratified.</div> <div><div>• Key policies - Call Handling &amp; Business Continuity - up to date as at May 2017</div><div>• Monthly performance meetings - KPI's are reviewed along with staffing issues including retention and training.</div><div>• Local Risk Registers, reviewed at SMT on a fortnightly basis. (Includes FCR issues).. Clear escalation process in place.</div><div>• Monthly 1-2-1 meetings with FCR manager (G4S) and Head of Crime (Police)</div><div>• 1-2-1 with FCR manager (G4S) and Deputy Chief Constable</div><div>• Crime SMT Meeting - staffing and IT issues (Minuited meeting)</div></div>	<div>G4S Integrated Support Strategy 2017 - 2020 presented to PCSB March 2017 in DRAFT form, detailed delivery plan not yet ratified.</div> <div><div>• Monthly performance reviewed - verbal updates provided to Head of Crime</div><div>• 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.</div><div>• Performance metrics are monitored and reported via the Management of the G4S contract (CPT unit) including PI/KPI/SKPI.(governance structure)</div></div> <div>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.</div>	<div>Complaints handling - August 2016 Audit opinion = GREEN Satisfactory Assurance</div> <div>"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"</div> <div>Complaints data is routinely reported / updated on the Force website at https://www.lincs.police.uk</div>	<div>Internal Audit Plan 2017/18 in place and approved by JIAC on 5 April 2017.</div> <div>No Audit assurance available in this area of business</div>	<div>IHMIC PEEL 2016 Effectiveness Inspection report (Published March 2017)</div> <div>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."</div>	GREEN	<div>As a result of Operation ARGO a lessons learned exercise is to be completed to provide assurance over the re-occurrence of similar issues / behaviour.</div> <div>SIGNIFICANT AREA OF CHANGE- Major technology updates are planned including new "Command and Control" 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</div>		

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	Second line		Third line			
Ref No.	Key Risks	Risk RAG	Status	Owner	Management Controls	Corporate Reporting	Compliance Reviews	Internal Audit	External Agency	OVERALL RAG	CURRENT KEY ACTIVITY & RATIONALE FOR OVERALL 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 e.g. resource governance Strategy in place – progress made?	Information Assurance, regulatory compliance (Inc. sys accreditation) Portfolio Mtg/ Reviews Satisfaction / Complaints Handling	Type / Opinion	HMIC / Inspectorate		
CUSTODY											

# 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	Second line		Third line				
Ref No.	Key Risks	Risk RAG	Status	Owner	Management Controls	Corporate Reporting	Compliance Reviews	Internal Audit	External Agency		OVERALL RAG	CURRENT KEY ACTIVITY & RATIONALE FOR OVERALL 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 e.g. resource governance Strategy in place – progress made?	Information Assurance, regulatory compliance (Inc. sys accreditation) Portfolio Mtg/ Reviews Satisfaction / Complaints Handling	Type / Opinion	HMIC / Inspectorate			
	RISK SUMMARY & CONTROL  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.				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 lead officers meeting - progress against strategic custody plan reviewed and any issues arising.  Regional Custody Performance 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 introduction of New Bail legislation - April 2017.  Dip samples conducted of Custody records to ensure compliance with required standards e.g. Risk assessments, bail data, PACE compliance.  New Vulnerability Strategy (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 performance 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	Internal Audit Plan 2017/18 in place and approved by JIAC on 5 April 2017.  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 recommendations 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.	GREEN	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	

## ICT & Information Management NOT PROTECTIVELY MARKED

OPCC / Force risk registers <b>RISK SUMMARY</b>					Business operations – the front line <b>BUSINESS AREAS</b>	Oversight of management activity and assurance functions <b>OVERSIGHT OF MANAGEMENT ACTIVITY</b>			Independent assurance / advice <b>INDEPENDENT AND OBJECTIVE ASSURANCE</b>		<b>ASSURANCE ASSESSMENT</b>	
					First line	Second line			Third line			
Ref No.	Key Risks	Risk RAG	Status	Owner	Management Controls	Corporate Reporting	Compliance Reviews		Internal Audit	External Agency	OVERALL RAG	CURRENT KEY ACTIVITY & RATIONALE FOR OVERALL 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 e.g. resource governance Strategy in place – progress made?	Information Assurance, regulatory compliance (Inc. sys accreditation) Portfolio Mtg/ Reviews Satisfaction / Complaints Handling	Type / Opinion	HMIC / Inspectorate			
ICT & INFORMATION MANAGEMENT (Inc Security & Vetting)												
ST -82	Sustained Cyber-attack		↔	CC	<b>G4S Integrated Support Strategy 2017 - 2020 presented to PCSB March 2017 in DRAFT form, detailed delivery plan not yet ratified.</b>  • <b>ICT &amp; IMU departmental Risk Registers</b> in place and routinely reviewed by relevant SMT.  • <b>Joint ICT / IMU meeting held monthly</b> This progresses Information assurance and IT issues and acts as a joint forum for discussion / problem solving.  • <b>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.</b> All the above meetings are subject to full minutes being taken. • <b>Monthly individual business area meetings</b> within the IMU department to discuss performance issues and development / improvement - problem solving considerations.  • <b>IMU monthly performance measures</b> / results - provided to ACPO lead, for monitoring on amonthly basis.  • <b>Introduction of new legislation affecting IMU -</b> 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 ( <b>May 2017</b> ) ( <b>ICT elements of Business Continuity Policy require a refresh as at June 2017</b> ). • ICT Head attends management 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)	<b>G4S Integrated Support Strategy 2017 - 2020 presented to PCSB March 2017 in DRAFT form, detailed delivery plan not yet ratified.</b>  • <b>Resources Governance meeting - 6 monthly ICT strategic progress Report -</b> most recent in JAN 2017  • <b>IMB-Information Management Board,</b> Chaired by the SIRO at ACPO strategic level and held quarterly.  • <b>Governance and Information Risk Return (GIRR)</b> -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 - <b>May 2017.</b>  • <b>IMU - DBS performance</b> - monitored by the Disclosure and Barring Service (DBS), national figures published on a monthly basis.- currently rated as 1st - <b>national leaders.</b>  • <b>Regional working</b> - IMU provide <b>data quality statistics</b> to regional forces and this will shortly include Regional RRD processes - other IMU related Work undertaken involving regional forces is reported to Regional Project Board - quarterly.  <b>Transactional Management Board</b> - receives monthly update report.	• <b>Independent IT health Check regime</b> 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 <b>Accreditation of all new and existing systems.</b> These assessments are presented to the SIRO for approval - and include outlining any risks identified. • IMU conduct a series of scheduled <b>Information Assurance Audits</b> on internal systems and operational processes in <b>High, Medium and Transactional risk areas</b> these include: Vetting / Police National Computer - / Sensitive intelligence / Security Policy / VISOR system / MISPERS / Domestic Abuse / Custody / Hate Crime / RRD. <b>Schedule due for refresh in mid-2017.</b> • <b>ICT - Compliance with ISO 27001</b> - <b>internally checked</b> (future plan to achieve certification - externally verified)	<b>Internal Audit Plan 2017/18 in place and approved by JIAC on 5 April 2017.</b> <b>Jan 2017 ICT - Audit opinion: GREEN</b> - Significant Assurance. <i>"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."</i>  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.	<b>External Penetration testing</b> of IT systems / full force network is conducted by group of specialist organisations. Up to 3 times per year plus testing co-ordinated with introduction of any new systems.  <b>HO National Information Management Summary Report</b> (reporting methods for IA) published to all forces for comparison. <b>Lincs Police ranked 1st. (May 2015).</b>  <b>HMIC Building the picture: an inspection of police information management (July 2015).</b> - No serious issues identified.  <b>HMIC PEEL 2016 Effectiveness Inspection report</b> (Published March 2017) - Force graded as "GOOD". P 54 - <i>"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</i>	<b>GREEN</b>	(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.  <b>Key staff have recently been lost from the IMU - recruitment is ongoing.</b>  <b>Migration of Information from Regional legacy systems into GENIE to facilitate Regional RRD but also to provide additional information to operational officers from across the region with significant work involved - and is a developing area of business.</b>  <b>Programme for ICT renewal and replacement in FCR represents significant area of change.</b>	
ST -83	FCR Telephony		↔	CC								
05 6- IM U	ICT Functionality		↔	CC								
ST -72	ICT Compatibility		↔	CC								
	<b>RISK SUMMARY &amp; CONTROL</b> There are 4 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).											

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	
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Ref No.	Key Risks	Risk RAG	Status	Owner	Management Controls	Corporate Reporting	Compliance Reviews	Internal Audit	External Agency	OVERALL RAG	CURRENT KEY ACTIVITY & RATIONALE FOR OVERALL 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 e.g. resource governance Strategy in place – progress made?	Information Assurance, regulatory compliance (Inc. sys accreditation) Portfolio Mtg/ Reviews Satisfaction / Complaints Handling	Type / Opinion	HMIC / Inspectorate			
											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".	

**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 No.	Key Risks	Risk RAG	Status	Owner	Management Controls	Corporate Reporting	Compliance Reviews	Internal Audit	External Agency	OVERALL RAG	CURRENT KEY ACTIVITY & RATIONALE FOR OVERALL 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 e.g. resource governance Strategy in place – progress made?	Information Assurance, regulatory compliance (Inc. sys accreditation) Portfolio Mtg/ Reviews Satisfaction / Complaints Handling	Type / Opinion	HMIC / Inspectorate		
ESTATES & FLEET											
	NONE				<ul style="list-style-type: none"><li>• <b>G4S Integrated Support Strategy 2017 - 2020</b> presented to PCSB March 2017 in DRAFT form, detailed delivery plan not yet ratified.</li><li>• <b>Risk Register</b> - is reviewed at the force Risk Management Board and on a quarterly basis at departmental SMT meeting.</li><li>• <b>Quarterly Departmental Management Team (DMT)</b> meetings held to discuss performance, Health and safety, HR and issues arising.</li><li>• <b>Bi - monthly team meetings</b> held to ensure escalation and cascading of relevant information.</li><li>• <b>Regional meeting (Fleet)</b> - Chaired by ACO from Leicestershire and all 5 regional fleet managers attend, along with representatives from EMSOU, EMSCU, EMOPSS and EMCHRIS.</li><li>• <b>Regional Fleet Administrators meeting</b> - areas of best practice are exchanged.</li><li>• <b>Performance reviewed on a monthly basis</b> 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.</li><li>• <b>Monthly Asset Management meetings</b>- Attended by ACO, CPT, Finance, A&amp;FM and Fleet.</li><li>• <b>Management plans</b> in place and published on intranet include, asbestos management / assets / environmental / water.</li><li>• <b>Health&amp; safety plan</b> - / strategy in place</li><li>• <b>Assets management group meetings</b> - quarterly reporting (inc ACO, HoCPT, HoFleet, Finance representative.</li><li>• <b>Annual 5 force best practice sharing meeting and quarterly technical meeting (Fleet).</b></li></ul>	<ul style="list-style-type: none"><li>• <b>Integrated Support Strategy 2017 - 2020</b> incorporating draft delivery plan presented to PCSB March 2017. Estates development plan attached as appendix. Progress to be reported Quarterly.(not yet ratified)</li><li>• <b>Monthly 1-1</b> with each Head of Department with representative from CPT to discuss service delivery”</li><li>• <b>Resources Governance Meeting held Monthly</b> - with specific update report on Fleet and Estate provided 6 monthly.</li><li><b>Monthly Service delivery reporting</b></li></ul> <p>G4S lead has 1-2-1 with head of <b>Commercial Partnership Team</b> to review SDA KPI - service delivery.</p> <p><b>PCSB - Monthly chief constables report</b> - opportunity to report on strategic issues affecting Estates and Fleet.</p>	No Assurance available	<i>Internal Audit Plan 2017/18 in place and approved by JIAC on 5 April 2017.</i>  <b>Fleet Management Audit - GREEN</b> Substantial Assurance - Aug 2017	No specific independent external assurance available for Estates Management / Fleet Management	AMBER	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										
	<b>RISK SUMMARY &amp; CONTROL</b> There are currently no organisational level risks in this area of business. All risks are managed locally with an escalation process in place.										

## HUMAN RESOURCES NOT PROTECTIVELY MARKED

	OPCC / Force risk registers <b>RISK SUMMARY</b>				Business operations – the front line <b>BUSINESS AREAS</b>	Oversight of management activity and assurance functions <b>OVERSIGHT OF MANAGEMENT ACTIVITY</b>		Independent assurance / advice <b>INDEPENDENT AND OBJECTIVE ASSURANCE</b>		<b>ASSURANCE ASSESSMENT</b>	
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Ref No.	Key Risks	Risk RAG	Status	Owner	Management Controls	Corporate Reporting	Compliance Reviews	Internal Audit	External Agency	OVERALL RAG	CURRENT KEY ACTIVITY & RATIONALE FOR OVERALL GRADING
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HUMAN RESOURCES Inc LEARNING & DEVELOPMENT											
ST -85	Training Facility		↔	CC	<b>Support strategy and delivery plan 2017-2020</b> in place May 2017. HR / L & D departmental <b>Risk Register</b> in place.  <b>Strategic workforce planning board</b> in place to make decisions relating to workforce structure / recruitment.  Ongoing work to develop improved officer recruitment process.  <b>HR guidance</b> in place and all relevant policies up to date as at June 2017.	<b>Integrated Support Strategy 2017 - 2020</b> incorporating draft delivery plan presented to PCSB March 2017.  <b>Workforce 'Establishment' data</b> - " <i>Blue Book</i> " produced monthly / <i>Volunteers "yellow book"</i> Quarterly- Review scheduled to ensure effective content in <b>Q1&amp;2 2017/18</b>  <b>Resource Governance Meeting (RGM) Monthly</b> - Key People data report updated at monthly meeting - progress against strategic plan and specific HR related project work. <b>28 / 3 / 2017 - currently no significant issues arising all elements of report marked as GREEN.</b>  <b>PCSB - Chief constables report</b> - 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)	<b>Internal Audit Plan 2017/18</b> in place and approved by JIAC on 5 April 2017. <b>T- police UAT &amp; change management</b> Green - Significant assurance (Apr 2016)  <b>Pensions Audit Mar 2016</b> Green Satisfactory Assurance.  <b>Complaints audit (Aug 2016)</b> - green satisfactory  <b>Overtime time</b> recording Green - Significant assurance (Nov 2016)  <b>Learning and development = March 2017</b> - GREEN satisfactory assurance	<b>2016 HMIC PEEL reports</b> •The extent to which the force is <b>effective</b> at keeping people safe and reducing crime - "Good"  •The extent to which the force is <b>efficient</b> at keeping people safe and reducing crime "Good"  •The extent to which the force is <b>legitimate</b> at keeping people safe and reducing crime is "Good"	AMBER	Work ongoing to develop an improved officer recruitment process. (May 2017)  Next officer intake planned for Sept 2017.  Transferees intake planned for July 2017.  <b>Chief Constable has directed that a further recruitment campaign be run in order to deliver an intake of PCSO's in November 2017.</b>  PDR completion rates remain a challenge (June 2017).  Tracking & maintenance of key officer training / qualifications under review. (Sept 2017)
ST -88	Training required		↔	CC							
	<b>RISK SUMMARY &amp; CONTROL</b>  There are two organisational level risks in this area of business and both have developing controls involving dedicated resource put in place to resolve the training Issues identified. (Sept 2017).										

**COMMERCIAL PARTNERSHIP – G4S** NOT PROTECTIVELY MARKED

	OPCC / Force risk registers <b>RISK SUMMARY</b>				Business operations – the front line <b>BUSINESS AREAS</b>	Oversight of management activity and assurance functions <b>OVERSIGHT OF MANAGEMENT ACTIVITY</b>		Independent assurance / advice <b>INDEPENDENT AND OBJECTIVE ASSURANCE</b>		<b>ASSURANCE ASSESSMENT</b>	
					First line	Second line		Third line			
Ref No.	Key Risks	Risk RAG	Status	Owner	Management Controls	Corporate Reporting	Compliance Reviews	Internal Audit	External Agency	OVERALL RAG	CURRENT KEY ACTIVITY & RATIONALE FOR OVERALL 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 e.g. resource governance Strategy in place – progress made?	Information Assurance, regulatory compliance (Inc. sys accreditation) Portfolio Mtg/ Reviews Satisfaction / Complaints Handling	Type / Opinion	HMIC / Inspectorate		
COMMERCIAL PARTNERSHIP TEAM											
C09	Delivery of contractual objectives		↔	PCC	<b>A CPT departmental Risk Register</b> is in place - with clear escalation process to strategic risk register.  <b>Service Delivery Agreement (SDA)</b> is in place (Contract) which details the services that G4S shall deliver and the governance structure underpinning their delivery.  <b>Performance framework</b> in place detailing KPI and indicators at a tactical level. Monthly Performance Report received detailing performance achieved that month against target service levels. <b>Performance &amp; delivery board</b> held quarterly. (Minuted)  <b>Transactional Management Board (TMB)</b> held monthly (Minuted).  <b>Dispute resolution process</b> in place - detailed within the SDA including problem escalation.  <b>Change management process</b> in place- Business cases provided to TMB / decision paper prepared for OPCC approval and publication on PCC website.(Where applicable)  <b>Firearms Licensing - improvement plan put in place and is being monitored on a weekly basis by Force and G4S - May 2017 onwards.</b>  Service Review Meetings (Tactical Level) held monthly with G4S Business Leads and CPT contact managers.	<b>6 Monthly Executive board meetings</b> held between PCC/CE/ DCC/ G4S MD to discuss Vision and Strategy for the Partnership.  <b>Performance and delivery board</b> quarterly meetings  <b>Resources Governance Meeting - Monthly (PCC / CFO / DCFO, HoHR, ACO and functional leads as required)</b> Work plan 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 work plan / action log / agenda.  <b>Firearms Licensing - Update report provided to PCSB by G4S regarding recovery plan in May 2017.</b>	CPT conduct <b>monthly dip sample</b> data quality tests on 'Raw Data' used by G4S in performance analysis & monitoring of KPIs.  <b>Internal review carried out by G4S in Oct 2016</b> - the contractual performance framework and how G4S provide data - openly shared with the CPT and no areas of concern identified.  <b>Complaints data</b> is routinely reported / updated on the Force website at https://www.lincs.police.uk	<b>Internal Audit Plan 2017/18</b> in place and approved by JIAC on 5 April 2017.  • <b>G4S Contract Management</b> Aug 2017 - satisfactory assurance  • <b>ICT/Business Continuity</b> 27 June 2017  • <b>L &amp; D</b> :TBA  • <b>Firearms Licensing</b> : TBA  • <b>Vehicle Fleet management</b> : Aug 2017 – GREEN substantial assurance  • <b>T Police</b> : TBA	<b>PEEL Efficiency inspection report 2015</b> - grade "requires improvement".  <b>HMIC PEEL Efficiency inspection report (Nov 2016)</b> 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".	GREEN	<b>Management &amp; performance of Firearms licensing unit - close scrutiny measures implemented with weekly monitoring of improvement in place from May 2017.</b>  <b>Review of SDA - PI/SKPI</b> is being planned to ensure measurement of correct indicators of service delivery / performance.  <b>3 Costed options</b> prepared (scenario planning) should Improve Govt Funding not be provided)  <b>Anti-Fraud / corruption risk assessment review</b> underway (July 2017).
C040	Review / Transition Planning		↔	PCC							
	<b>RISK SUMMARY &amp; CONTROL</b> The risks in this area of business relate to contractual issues and achievement 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.										

**COLLABORATION** 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 No.	Key Risks	Risk RAG	Status	Owner	Management Controls	Corporate Reporting	Compliance Reviews	Internal Audit	External Agency	OVERALL RAG	CURRENT KEY ACTIVITY & RATIONALE FOR OVERALL 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 e.g. resource governance Strategy in place – progress made?	Information Assurance, regulatory compliance (Inc. sys accreditation) Portfolio Mtg/ Reviews Satisfaction / Complaints Handling	Type / Opinion	HMIC / Inspectorate		
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.	EM PCC / Chief's board - Bi monthly (Agenda & Minutes produced)	NO recent assurance available from this source	Collaboration efficiency savings plans (Joint EM review) EMOpSS (draft version AMBER/GREEN) April 2015.	• 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)	AMBER	EM - PCC/ Chiefs Board sub group to review performance is in development. (July 2017)
	NONE		↑		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)	EM PCC / Chief's Resources Board-- Bi monthly (Agenda & Minutes produced)		NOTE - Regional Audits are reported to JIAC on a quarterly basis in summary.	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)		Regional PCC secretariat in development - to support regional PCCs / collaborative working (June 2017)
	NONE		↓		Regional risk register in place - and co-ordination with Force register is managed via Regional SPOC.	EM PCC & CE Business Meeting- Bi monthly (Agenda & Minutes produced)		Regional Audits 2016/17 NOTE: These audits use a standard scope and ToR - the audit opinion for the 3 relating to Lincs are below.	HMIC Insp 2016 The extent to which the force is effective at keeping people safe and reducing crime is good 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".		New performance framework / metrics in place for EMOpSS - (July 2017).
					EM PCC / Chief's Resources Board-- Bi monthly (Agenda & Minutes produced) ToR In development - covers VFM / financial planning / scrutiny of performance (sub-group) / performance of finance, HR, legal, learning, ICT, Occ health unit, PIF & Innovation grants (work programme will be reported to EMPCC Board)	EM OPCC Chief Executives Board- Bi monthly (Agenda & Minutes produced)		• EM Legal services - limited assurance			New PCC / Chief EM Regional Resources Board in development June 2017.
	RISK SUMMARY & CONTROL 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.				EM PCC & CE Business Meeting- Bi monthly (agenda & Minutes produced)	JIAC reporting - scheduled / routine reporting to Quarterly meetings (Forward plan manages papers to appear at meetings).		• EMSOU (overall) - Satisfactory assurance			PCC regional portfolio ownership established. (Marc Jones - EMSOU - May 2017)
					EM OPCC Chief Executives Board- Bi monthly (Agenda & Minutes produced).	PCC Decision Notices (including rationale / business case for all significant decisions) published on the PCC Website.		• EMOpSS - Satisfactory assurance			JIAC to receive regional audit reports (in summary) regarding collaborated services.(July 2017)
					Regional CFO's meeting - quarterly (informal agenda)	EMCJB - Chief officer attend Quarterly meetings (inc Performance monitoring / service delivery).		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.			
					EM PCC / Chief's board - Bi monthly (Agenda & Minutes produced)	EMSOU - Forensic services - Corporate Performance Pack (Reviewed at Lincs Perf Governance meetings)		• EMCHRS - Occupational Health • EMCJS (overall) • EMSOU - Forensic Services			
					EMSOU - Forensic services - Corporate Performance Pack (Reviewed at Lincs Perf Governance meetings)	EMCJS - performance scorecard used to monitor & Manage performance across a range of services / business areas.(used at a local and regional level)		Audit of POCA 2017/18 (planned) (using separate scope and ToR)			
					EMCJS - performance scorecard used to monitor & Manage performance 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)					

**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		ASSURANCE ASSESSMENT		
					First line	Second line		Third line					
Ref No.	Key Risks	Risk RAG	Status	Owner	Management Controls	Corporate Reporting	Compliance Reviews	Internal Audit	External Agency	OVERALL RAG	CURRENT KEY ACTIVITY & RATIONALE FOR OVERALL 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 e.g. resource governance Strategy in place – progress made?	Information Assurance, regulatory compliance (Inc. sys accreditation) Portfolio Mtg/ Reviews Satisfaction / Complaints Handling	Type / Opinion	HMIC / Inspectorate				
–ORGANISATIONAL SUPPORT (Business Support / Governance / Projects & Programmes – change management / SDD)													
					<b>Integrated Support Strategy 2017 - 2020</b> draft delivery plan PCSB at March 2017. (plan not yet ratified)	<b>Integrated Support Strategy 2017 - 2020</b> incorporating draft delivery plan presented to PCSB March 2017. Not yet ratified	See Internal audit results and Regular Professional Standards Governance meetings for complaints management assurance.	<b>Complaints handling - August 2016 Audit opinion = GREEN Satisfactory Assurance</b> "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" <b>Internal Audit Plan 2017/18 in place and approved by JIAC on 5 April 2017.</b>	<b>2016 HMICPEEL Effectiveness report (Published March 2017)</b> •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".  • PEER Review by Leicestershire Police Risk and Business Continuity Manager. Level of <b>Risk Management maturity</b> showed Lincolnshire as Proficient - The model comprises of 4 key strands; Culture, Process, Experience and Application. Each strand has a series of areas that are judged against the following levels of maturity; Novice, Competent, Proficient and Expert with a value of 1 - 4. (9 Aug 2017)	AMBER From DCC – Recommends RAG - Green	<b>Integrated delivery strategy is awaiting finalisation / ratification by new chief officer team May 2017.</b>  <b>Anti-Fraud / corruption risk assessment underway (July 2017).</b>  <b>Victims Strategy developed and implementation planning ongoing July 2017.</b>  <b>MH Strategy in development jointly with LPFT / OPCC July 2017.</b>  <b>Regional PCC secretariat in development (June 2017)- to be based in Lincs OPCC.</b>		
ST -79	Transition to new ESN		↔	CC	<b>Force change manual</b> is in place since <b>Feb 2017</b> which details how organisational change should be conducted /& administered including benefits measurement and realisation.	Reporting of <b>Progress against HMIC “recommendations”</b> and "areas for improvement" (AFI) is routinely reported at Police and Crime Strategic Board (PCSB) on a quarterly basis. .	<b>Professional Standards Governance meeting-</b> meets quarterly (complaints monitoring and officer / staff conduct issues reviewed)						
ST - 81	‘Blue Light’ Programme		↔	CC	<b>Formal project management processes are in place (Prince II)</b> . Trained project managers and project support officers in place.	<b>Resources Governance Meeting - Monthly</b> (PCC / CFO / DCFO, HoHR, ACO and functional leads as required) Work plan 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 work plan / action log / agenda.							
C0 36	‘Blue Light’ Programme		↑	PCC									
C0 37	New Chief Officer Team		↓	PCC									
C0 38	Service Commissioning Capacity		↔	PCC									
C0 39	Local Partnerships		↔	PCC									
C0 6	Capacity & Resilience in OPCC		↔	PCC									
	<b>RISK SUMMARY &amp; CONTROL</b>  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 amended governance structure and a specialist financial role being attached to the project.												

## Assurance Map Version 1.7 - Police and Crime Commissioner and Chief Constable (in support of the Annual Governance Statement)

### KEY

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

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	<b>HIGH</b> - Controls in place assessed as adequate/effective and in proportion to the risks	<b>HIGH</b> - Mainly positive results, many strengths, minor recommendations for improvement	<b>HIGH</b> – Controls are in place assessed as adequate/effective and in proportion to the risks
Amber	<b>MEDIUM</b> - Some areas of concern over the adequacy/effectiveness of the controls in proportion to the risks	<b>MEDIUM</b> - Mixed results, some areas of concern and areas for improvement, some positive results and some strengths	<b>MEDIUM</b> – Some areas of concern over the adequacy/effectiveness of the controls in place in proportion to the risks
Red	<b>LOW</b> - Significant concerns over the adequacy/effectiveness of the controls in proportion to the risks	<b>LOW</b> - Overall, negative results and areas of concern/requiring action and improvement	<b>LOW</b> – 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.

**UPDATE LOG**

<b>Map Version</b>	<b>Updated by</b>	<b>Review / Meeting JAR / RMB / IMM etc.</b>	<b>Date</b>	<b>Key Update / Review Meeting Outcome / Comments</b>
1.1	Aubrey Williams	JAR	16 March 2017	New thematic layout / approach for Map approved by DCC and CEX -new map to be populated by semi structured interviews, Dates to be arranged. (New format to be presented to JIAC on 5 April 2017 including brief protocol for administration of the map)
1.2	Aubrey Williams	FRPRO / RPO	26 March 2017	FRPRO / RPO discussed new layout and agreed plan of action to populate new framework. - FRPRO to commence with adding known information prior to interviews with business leads and heads of Depts.
1.2	Aubrey Williams	JAR	01 June 2017	Meeting postponed awaiting arrival of new DCC in June 2017
1.2	Aubrey Williams	RMB	21 June 2017	Brief update provided to RMB on progress relating to creation and finalisation of new thematic Assurance map.
1.2	Aubrey Williams	IMM	25 June 2017	latest version shared with IMM ahead of JIAC on 27 July - requested feedback (along with Risk register content)
1.3	Aubrey Williams	N/A	17 July 2017	Removed reference to objectives as these are contained on risk register for each organisation
1.3	Dave Hull	RMB	21 June 2017	Changes to force risk after the RMB
1.4	Dave Hull	N/A	20 July 2017	ICT/IMU area updated after updates received from Head of IMU
1.4	Dave Hull	N/A	20 July 2017	Estates and Fleet area updated after updates received from Head of Facilities
1.4	Dave Hull	N/A	20 July 2017	Local policing area updated after updates received from C/Supt West
1.4	Dave Hull	N/A	25 July 2017	Procurement tab updated update received from Lisa Norton (See e-mail)
1.4	Dave Hull	N/A	02 August 2017	CPT "First line" updated and Internal audit section after receiving amended written copy from CPT Manager.
1.4	Dave Hull	N/A	04 September 2017	Crime area updated after updates received from D/C/Supt Davison
1.5	Aubrey Williams	N/A	05 September 2017	<b>All content of map approved / confirmed as factually accurate by heads of each theme / department.</b>
1.5	Aubrey Williams	FRPRO / RPO	06 September 2017	Latest internal audit results updated for Fleet management / procurement / CPT contract management
1.5	Dave Hull	FRPRO / RPO	06 September 2017	Risk maturity external review results - added to organisational support section
1.6	Candice McKane	RPO	28 September 2017	Transferred all information into the new word template
1.6	Aubrey Williams	RPO	3 October 2017	Added front page including auto index to document (ability to jump directly to content)
1.6	Aubrey Williams	RPO	11 October 2017	Ref to external audit added to Finance section (3 <sup>rd</sup> line) plus internal audit plan for year ahead ref added (3 <sup>rd</sup> Line).
1.7	Dave Hull	FRPRO	12 October 2017	Risk sections updated after RMB