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<td>ST-87</td>
<td>Lifting of Public Sector Pay Cap</td>
<td>Financial strategy – in place April 2017. Weekly meeting between FCFO &amp; Head of finance. Weekly Finance team meeting in place April 2017 - attendees include senior team members from both G4S and Force teams inc CFO, DCFO, FCFO, HoF &amp; Senior Accountants - (Agenda and Actions arising are recorded). Quarter meeting of Regional CFO’s &amp; Ho Finance in place - to facilitate Information / intelligence exchange.</td>
<td>Resources Governance meeting (RGM) held monthly (workplan, agenda and action log produced)</td>
<td>Internal Audit Plan 2017/18 in place and approved by JIAC on 5 April 2017.</td>
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<tr>
<td>C02</td>
<td>Achieve &amp; Demonstrate efficiencies / VFM</td>
<td>Annual financial statement (GREEN). Financial report is in place and approved by CFO.</td>
<td>&quot;procure to pay&quot; - &quot;Record to Report&quot; - Ledger processes. To discontinue &amp; recommend procedural improvements –March 2017</td>
<td>Payroll = June 2016 = GREEN / March 2017 GREEN Satisfactory Assurance.</td>
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<tr>
<td>C033</td>
<td>Financial loss –</td>
<td>New &quot;Distinctly Lincolnshire&quot; Force strategic plan published Nov 2017 – Awaiting supporting delivery plans.</td>
<td>Reviews include: &quot;procure to pay&quot; – completed</td>
<td>Internal Audit Plan 2017/18 in place and approved by JIAC on 5 April 2017.</td>
</tr>
<tr>
<td>ST-76</td>
<td>Unknown pay &amp; claims issues</td>
<td>Financial Risk Register – in place covering force and G4S finance departments, treasury management and procurement – reviewed monthly at Finance Team meeting.</td>
<td>&quot;Record to Report&quot; - Ledger processes. To discontinue &amp; recommend procedural improvements –March 2017</td>
<td>Payroll = June 2016 = GREEN / March 2017 GREEN Satisfactory Assurance.</td>
</tr>
<tr>
<td>ST-94</td>
<td>Insurance Provision</td>
<td>New &quot;Distinctly Lincolnshire&quot; Force strategic plan published Nov 2017 – Awaiting supporting delivery plans.</td>
<td>Reviews include: &quot;procure to pay&quot; – completed</td>
<td>Internal Audit Plan 2017/18 in place and approved by JIAC on 5 April 2017.</td>
</tr>
</tbody>
</table>

**RISK SUMMARY & CONTROL**

Two red and five amber risks are recorded across both organisational risk registers - all are currently stable with developing controls in place. (Note: C043 & ST9 refer to the same risk relating to the provision of insurance).

**FINANCIAL MANAGEMENT** (Including Insurance & Treasury Management)

**C043 - Insurance Provision**

- **GREEN**
  - Finance Risk Register – in place covering force and G4S finance departments, treasury management and procurement – reviewed monthly at Finance Team meeting.
  - Financial strategy – in place April 2017. Weekly meeting between FCFO & Head of finance. Weekly Finance team meeting in place April 2017 - attendees include senior team members from both G4S and Force teams inc CFO, DCFO, FCFO, HoF & Senior Accountants - (Agenda and Actions arising are recorded). Quarterly meeting of Regional CFO’s & Ho Finance in place - to facilitate Information / intelligence exchange.
  - Annual financial “Service Plan” (objectives) in place and progress against plan is monitored as part of weekly team meetings (Circa 2hrs duration).
  - G4S contractual requirements are monitored via the overall Service Delivery Agreement. (Including KPI and MI).
  - Benchmarking exercises in place utilising HMIC VFM profiles / CIPFA “Back office” / Treasury management “CLUB”

- **AMBER**
  - Resources Governance meeting (RGM) held monthly (workplan, agenda and action log produced)
  - Meeting includes routine Capital and Revenue reporting, budget forecast, monitoring and assumptions, Treasury Management review, procurement progress against strategy, Project delivery updates.
  - Chief Officer Group - monthly reporting on progress against plans aligned with RGM (as above).

- **GREEN**
  - “Procure to Pay” - Ledger processes. To discontinue & recommend procedural improvements –March 2017
  - “Recruit to Reward” awaiting implementation of new payroll system - Jan 2018
  - “Order to Cash” Requirements to be defined by the end of October 2017

- **GREEN**
  - Internal Audit Plan 2017/18 in place and approved by JIAC on 5 April 2017.
  - Payroll = June 2016 = GREEN / March 2017 GREEN Satisfactory Assurance.

**C02 - Achieve & Demonstrate Efficiencies / VFM**

- **GREEN**
  - Annual financial statement (GREEN). Financial report is in place and approved by CFO.
  - “Procure to Pay” - Ledger processes. To discontinue & recommend procedural improvements –March 2017

**C033 - Financial Loss**

- **GREEN**
  - Financial Risk Register – in place covering force and G4S finance departments, treasury management and procurement – reviewed monthly at Finance Team meeting.

**ST-76 - Unknown Pay & Claims Issues**

- **GREEN**
  - Resources Governance meeting (RGM) held monthly (workplan, agenda and action log produced)
  - Meeting includes routine Capital and Revenue reporting, budget forecast, monitoring and assumptions, Treasury Management review, procurement progress against strategy, Project delivery updates.

**ST-94 - Insurance Provision**

- **GREEN**
  - Resources Governance meeting (RGM) held monthly (workplan, agenda and action log produced)
  - Meeting includes routine Capital and Revenue reporting, budget forecast, monitoring and assumptions, Treasury Management review, procurement progress against strategy, Project delivery updates.

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### BUDGET & Government FUNDING

<table>
<thead>
<tr>
<th>ST-40</th>
<th>Police grants / funding</th>
<th>NONE</th>
<th>GREEN</th>
<th>AMBER</th>
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<tbody>
<tr>
<td>C01</td>
<td>Failure to persuade Govt of Lincs case for fairer share of funding</td>
<td>R</td>
<td>R</td>
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<td>R</td>
<td>R</td>
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</table>

### RISK SUMMARY & CONTROL

- **Outline planning and budget timetable in place - June 2017** (details key dates / decisions and activity schedule regarding MTFP planning / budget preparation in place)
- **July 2017** - consider implications of future budget options / Agree timetable for management and strategic activity / reporting.
- **September 2017** - update MTFP / set budget targets 2018/19 to 2021. - Review Capital programme
- **October 2017** - commence corporate review of budgets to conclude in November 2017
- **December 2017** - review budget position in light of provisional Police Finance Settlement.
- **Jan 2018** - conduct budget consultation / finalise proposed budget
- **Feb 2018** - Final Police Finance Settlement notify district councils of precept requirement / final approval of Chief Constable strategies and delivery plans
- **March 2018** - Budgets loaded onto T-Police system - publish budget holder guidance and budget book / provide feedback to budget holders.
- **Budget framework for 2018/19 and MTFP development framework in place.**

### OVERSIGHT OF MANAGEMENT ACTIVITY

- **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?

### INDEPENDENT ASSURANCE

- **Information Assurance, regulatory compliance (Inc. sys accreditation) Portfolio Mtg Reviews Satisfaction / Complaints Handling**

### ASSURANCE ASSESSMENT

<table>
<thead>
<tr>
<th>ST-40</th>
<th>Police grants / funding</th>
<th>NONE</th>
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<td>Corporate Reporting</td>
<td>Compliance Reviews</td>
<td>Internal Audit</td>
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<tr>
<td>Risk RAG</td>
<td>How well are objectives being met?</td>
<td>Are key strategic objectives being delivered?</td>
<td>Information Assurance, regulatory compliance (Inc. sys accreditation) Portfolio Mtg Reviews Satisfaction / Complaints Handling</td>
<td>Type / Opinion</td>
</tr>
<tr>
<td>Status</td>
<td>Routine system / operational control &amp; Assurance – Business plans / Delivery plans, local control measures &amp; monitoring Dept. risk register</td>
<td>EXAMPLES Financial reporting Oversight boards / Project / Programme reporting / PCSB / governance meetings e.g. resource governance Strategy in place – progress made?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Owner</td>
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</table>

**PROCUREMENT**

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<th>NONE</th>
<th>GREEN</th>
<th>GREEN</th>
<th>GREY</th>
<th>GREEN</th>
<th>GREEN</th>
</tr>
</thead>
<tbody>
<tr>
<td>EU Procurement regulations in place (awareness maintained via intelligence sharing and quarterly meetings with East Midlands Legal services)</td>
<td>Resources Governance Meeting - 6 monthly procurement progress against strategy / plan reviewed. Management and Key information - internal (MIKI) report produced monthly. Savings achieved - reported quarterly to Home Office. Procurement Spend Data uploaded to Home Office (6 monthly - to help national assessment of sector spending)</td>
<td>No assurance from this area available. NB - Procurement are reviewing their processes in line with the rest of the Finance team.</td>
<td>Internal Audit Plan 2017/18 in place and approved by JIAC on 5 April 2017. Procurement Audit - July 2017 GREEN - Satisfactory Assurance.</td>
<td>KPMG – External Auditors report July 2016/17 – (Covering PCC and Chief Constable) unqualified Opinion on financial statements, AGS and VFM requirements (October 2017) HMIC PEEL Efficiency inspection report (Nov 2016) Graded as “Good”: &quot;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”. PEEL Efficiency inspection report (Nov 2017) – Graded as ‘Requires Improvement’ The lack of clear financial plans to deal with a range of future funding scenarios in Lincolnshire Police is a cause of concern to HMICFRS.</td>
<td>Review of EU tender threshold planned for 2018 Corporate Criminal Offences – risk assessment work underway Dec 2017.</td>
</tr>
</tbody>
</table>

**RISK SUMMARY & CONTROL**

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.

- Management and Key performance data (MIKI) - progress reviewed monthly.
- Procurement plan refreshed annually - Approved by Head of Force Finance.
- Management and performance information monitored monthly (G4S) including Contract status - renewal / expiry schedules - advice provided to contract holders in line with commercial Partnership contract.
## OPERATIONS NOT PROTECTIVELY MARKED

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<thead>
<tr>
<th>OPCC / Force risk registers</th>
<th>RISK SUMMARY</th>
<th>Business operations – the front line BUSINESS AREAS</th>
<th>Oversight of management activity and assurance functions</th>
<th>Independent assurance / advice INDEPENDENT AND OBJECTIVE ASSURANCE</th>
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<tr>
<td>First line</td>
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<td>Compliance Reviews</td>
<td>Internal Audit</td>
</tr>
<tr>
<td>Key Risks</td>
<td>Risk-RAG</td>
<td>How well are objectives being met? Routine system / operational control &amp; Assurance – Business plans / Delivery plans, local control measures &amp; monitoring Dept, risk register</td>
<td>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?</td>
<td>Information Assurance, regulatory compliance (Inc. sys accreditation) Portfolio Mgmt/ Reviews Satisfaction / Complaints Handling</td>
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<td>Status</td>
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<td>Ref No.</td>
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<td></td>
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<tr>
<td>ST -91</td>
<td>A</td>
<td>GREEN</td>
<td>AMBER</td>
<td>GREEN</td>
<td>GREEN</td>
</tr>
<tr>
<td>ball process</td>
<td>C</td>
<td>Local Risk Registers, reviewed at SMT meeting Bi-weekly.</td>
<td>New “Distinctly Lincolnshire” Force strategic plan published Nov 2017 – Awaiting supporting delivery plans.</td>
<td>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 complaints are requested from Subject matter experts.</td>
<td></td>
</tr>
<tr>
<td>ST -50</td>
<td>C</td>
<td>SAFE</td>
<td>AMBER</td>
<td>AMBER</td>
<td>AMBER</td>
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<tr>
<td>Deployment of officer establishment</td>
<td>CC</td>
<td>SMT meetings fortnightly include HR and business manager - standing agenda includes Safety issues. (meetings minuted)</td>
<td>Functional Delivery Plan – no delivery plans in place</td>
<td>Overtime / Time recording - November 2016 = GREEN Satisfactory Assurance</td>
<td></td>
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<tr>
<td>ST -65</td>
<td>A</td>
<td>GREEN</td>
<td>AMBER</td>
<td>GREEN</td>
<td>GREEN</td>
</tr>
<tr>
<td>ASB case management system</td>
<td>C</td>
<td>SMT meetings attended by Chief Supt and Divisional Superintendents</td>
<td>Operational delivery plan updates not yet provided quarterly to Performance Governance meetings for review led by PCC CEX and ACC./ DCC / CC (ad hoc reporting can be requested from Subject matter experts).</td>
<td>Seized &amp; Found property - Sept 2016 = GREEN Satisfactory Assurance</td>
<td></td>
</tr>
<tr>
<td>ST -78</td>
<td>A</td>
<td>GREEN</td>
<td>AMBER</td>
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<tr>
<td>Training &amp; Exercising CSG</td>
<td>C</td>
<td>Functional Delivery Plan – no delivery plans in place</td>
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<td>ST -86</td>
<td>A</td>
<td>GREEN</td>
<td>AMBER</td>
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</tbody>
</table>

## LOCAL POLICING – East & West Areas

**RISK SUMMARY & CONTROL**

The main Red 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, transfers and the recent “Policing Model Project”. The other risks are stable with developing controls in place.

**First line**

- Local Risk Registers, reviewed at SMT meeting Bi-weekly.
- SMT meetings fortnightly include HR and business manager - standing agenda includes Safety issues. (meetings minuted)
- Regular quarterly meetings with RAF to look at mutual aid, support available to help operational delivery objectives.
- Operational delivery plan segmented into areas of specialist for divisional Superintendents.
- Divisional Performance officer in place (East position recently appointed June 2017).
- HMIC recommendations / actions required managed by Supt at divisional level and tracked using issues matrix.
- New performance framework and approach in place May 2017 - performance analysed in SMT meeting supported by divisional Performance officer. (Linked directly to tasking process)
- Issues arising with delayed release of officers successful at interview for new roles - (Workforce planning meetings chaired by District Supt to manage resourcing and deployment )
- Monthly finance meeting between Ch Supt and Finance Dept

**Second line**

- Force operational Delivery Plan – no delivery plans in place
- Operational delivery plan updates not yet provided quarterly to Performance Governance meetings for review led by PCC CEX and ACC./ DCC / CC (ad hoc reporting can be requested from Subject matter experts).
- Written Reports by relevant area commander provided to COG on any significant issues arising.
- 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 complaints are requested from Subject matter experts.

**Third line**

- Overtime / Time recording - November 2016 = GREEN Satisfactory Assurance
- Seized & Found property - Sept 2016 = GREEN Satisfactory Assurance
- Internal Audit Plan 2017/18 in place and approved by JAC on 5 April 2017

**HMIC PEEL 2016 Effectiveness Inspection report (Published March 2017) - “GOOD”**

Overall Judgement commentary:

*“The extent to which the force is effective at keeping people safe and reducing crime is good. The force has an effective approach to preventing crime, keeping people safe and tackling anti-social behaviour and serious and organised crime. It generally conducts investigations to a good standard, although it still needs to improve the service it provides to vulnerable people”.*

**HMIC PEEL 2016 Effectiveness Inspection report (Published March 2017)**

- P14 Local Policing - “In HMIC’s 2015 effectiveness report, we identified that the force should ensure that its focus on crime prevention is not undermined by the redeployment of neighbourhood officers and staff to undertake reactive duties, for example responding to emergency and priority calls. This year, we note a substantial improvement, with beat managers and PCSOs dedicated to their role of tackling problems and preventing crime and anti-social behaviour. Other organisations comment favourably on this improvement, as it means that more difficult problems can be dealt with in a more co-ordinated way.”

**HMICFRRS PEEL Legitimacy (Inc leadership) Insp Dec 2017**

Overall Judgement - GOOD

**OVERALL RAG**

**CURRENT KEY ACTIVITY & RATIONALE FOR OVERALL GRADING**

**AMBER January 2018**

Replacement for SENTINEL ASB case management system has gone out to tender being led by LCC who are procuring on behalf of LCSP. Delay of 3 months in the process leading to GO live of May 2018 Divisional staff / Officers successful at interview - experiencing delays in being released to new roles.

**HMIC PEEL Efficiency Insp Nov 2017**

Areas for improvement:

In order to focus its activity more effectively, the force should improve its ability to analyse information and intelligence to gain a better understanding of: current demand /crimes less likely to be reported /more complex demand in Lincolnshire. The force should complete an audit of leadership skills which will allow it to understand leadership capacity and capability, to identify any gaps and, if necessary, put plans in place to address them.
### CRIME (CSE / FRAUD / CYBER / PPU / SOC / Prevention / Firearms Licensing / Major Crime / 'Emerald team')

#### 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.

### OPCC / Force risk registers

#### RISK SUMMARY

| ST | -93 | Airwave communications | A | GREEN |
| ST | -92 | Casually engaged | A | GREEN |
| ST | -80 | Firearms licenses | G | AMBER |
| ST | -69 | Intelligence surveillance | G | GREEN |
| ST | -84 | ICT – Major enquires | A | GREEN |
| ST | -86 | Security (AF&C) | A | GREEN |

### OVERVIEW OF MANAGEMENT ACTIVITY

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<thead>
<tr>
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<tbody>
<tr>
<td><strong>Ref No.</strong></td>
<td><strong>Key Risks</strong></td>
<td><strong>Status</strong></td>
</tr>
<tr>
<td><strong>RAG</strong></td>
<td><strong>Owner</strong></td>
<td><strong>Management Controls</strong></td>
</tr>
</tbody>
</table>

#### Major Crime

- **Control and safety**
  - **Police and Crime Commissioner**
  - **Chief Constable**
  - **OPCC / Force risk registers**

- **Performance monitoring**
  - **Monthly to discuss**
  - **SMT on a fortnightly basis**

- **Key activities**
  - **Monitoring of complaints**
  - **Progress against actions required**

#### Firearms Licensing

- **Control and safety**
  - **Police and Crime Commissioner**
  - **Chief Constable**
  - **OPCC / Force risk registers**

- **Performance monitoring**
  - **Monthly to discuss**
  - **SMT on a fortnightly basis**

- **Key activities**
  - **Monitoring of complaints**
  - **Progress against actions required**

### OPCC / Force risk registers

#### RISK SUMMARY

<table>
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<tr>
<th><strong>BUSINESS AREAS</strong></th>
<th><strong>Opportunities</strong></th>
<th><strong>Metrics</strong></th>
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<tbody>
<tr>
<td>Business operations</td>
<td>-</td>
<td></td>
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<tr>
<td>Oversight of management activity</td>
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<td>Independent assurance</td>
<td>-</td>
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<tr>
<td><strong>ASSURANCE ASSESSMENT</strong></td>
<td><strong>OVERALL RAG</strong></td>
<td></td>
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</table>

#### OVERALL RAG

- **GREEN**
  - **Growth in**
  - **Likely changes to National Action Plans**
  - **New evidence and changes in detention powers**

- **AMBER**
  - **Potential investigative capacity issues**
  - **Regional cyber forensic triage solution**
  - **Firearms Licensing**

- **RED**
  - **Significant changes to National Action Plans**
  - **New evidence and changes in detention powers**

#### INDEPENDENT AND OBJECTIVE ASSURANCE

- **Ah**: Change in 2017

### Major Crime

- **New “Distinctly Lincolnshire”**
- **Force strategic plan published Nov 2017**
- **Awaiting supporting delivery plans**
- **Performance Governance Meetings**
- **Operational Delivery Monitoring Report**
- **Firearms Licensing**
- **Major Crime**
- **Emerald team**

### Performance indicators and contextual information

- **Monthly update to COG every 2 weeks**
- **Review of Performance Dashboard inc specific Crime indicators and contextual information**
- **Exceptional issues arising (strategic level)**
- **ACC - Crime portfolio holder provides 1-2-1 verbal update and exception report to PCC monthly.**
- **IMU Audit Regime**
- **Safeguarding issues reported via County Safeguarding Boards.**
- **IMU receives written Quarterly Assurance Reports from multiple key business areas across the Crime portfolio - covers activity/ risk/ lessons learned, and contains chief officer overview/ commentary.**
- **PCP performance report**
- **Police and Crime Panel Quarterly report to PCC monthly.**
- **Performance Governance Meetings**
- **Operational Delivery Monitoring Report**
- **Monthly to discuss**
- **SMT on a fortnightly basis.**

### Complaints handling

- **August 2016 Audit opinion = GREEN**
- **Satisfactory Assurance**

### Seized & Found property

- **Sept 2016 = GREEN**
- **Satisfactory Assurance**

### Recruitment

- **Recruitment for new Head of Crime underway (Dec 2017)**
- **HMICPEL 2016 Effectiveness Inspection report (Published March 2017)**
- **The extent to which the force is effective at keeping people safe and reducing crime is good**
- **Lincolnshire Police’s effectiveness at investigating crime and reducing re-offending is good.**
- **The 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 sufficient progress on two of the areas for improvement identified in HMIC’s 2015 effectiveness (vulnerability) report.**
- **The force should improve its response to missing and absent people.**
- **The force should improve its response to child sexual exploitation.**

### JTAI report dated Dec 2016 - Joint targeted area inspection of the multi-agency response to abuse and neglect in Lincolnshire

- **Key Themes**
  - **The local partnership has a clear and collective determination and drive to engage agencies in delivering a coherent approach to tackle domestic abuse.**
  - **Main Activity**
    - **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.**
    - **HMICPEL Legitimacy (Inc leadership) Insp Dec 2017**
    - **Overall Judgement: GOOD**
  - **Cyber / fraud strategy and delivery plan - under construction - Likely changes to National Action Fraud approach may bring significant increase in case load.**
  - **Changes to MHA as part of PCA 2017 – HoC working with MH Pathway Board to look at alternatives to detention in Police Cells.**
  - **Problems Attracting and retaining detectives - potential investigative capacity issues.**
  - **MOUSO - growth in registered offenders requiring ongoing management.**
  - **Potential regional cyber forensic triage solution being investigated.**
  - **Firearms Licensing – status report in production for PCSB (Jan 2018).**
  - **Recruitment for new Head of Crime underway (Dec 2017)**
## FORCE CONTROL ROOM (FCR)

<table>
<thead>
<tr>
<th>Key Risks</th>
<th>Risk RAG</th>
<th>Owner</th>
<th>Management Controls</th>
<th>Corporate Reporting</th>
<th>Compliance Reviews</th>
<th>Internal Audit</th>
<th>External Agency</th>
<th>Type / Opinion</th>
<th>OVERALL RAG</th>
</tr>
</thead>
<tbody>
<tr>
<td>ICT Functionality (Mapping)</td>
<td>G</td>
<td>S</td>
<td></td>
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</tbody>
</table>

- **Key policies - Call Handling & Business Continuity - up to date as at May 2017**
  - Monthly performance meetings - KPI’s are reviewed along with staffing issues including retention and training.
  - Local Risk Registers, reviewed at SMT on a fortnightly basis. (Includes FCR issues). Clear escalation process in place.
  - Monthly 1-2-1 meetings with FCR manager (G4S) and Head of Crime (Police)
  - 1-2-1 with FCR manager (G4S) and Deputy Chief Constable
  - Crime SMT Meeting - staffing and IT issues (Minuited meeting)

### FORCE CONTROL ROOM (FCR)

**RISK SUMMARY & CONTROL**

The only organisational level risk currently recorded in this business area relates to the functionality of ICT in the FCR. Key systems are scheduled for replacement in accordance with the ICT integrated strategy 2017-2021.

- **New “Distinctly Lincolnshire” Force strategic plan published Nov 2017 – awaiting supporting delivery plans.**
- **Monthly performance reviews - verbal updates provided to Head of Crime**
- **Written status / research / review reports are presented to Head of Crime on an 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.**
- **Performance metrics are monitored and reported via Chief Constables written and verbal update report to Police and Crime Strategic Board held Monthly - PCC, CC, DCC,CFO, CE ACO, attendees.**

**PCSB - Strategic FCR issues** also reported via Chief Constables written and verbal update report to Police and Crime Strategic Board held Monthly - PCC, CC, DCC,CFO, CE ACO, attendees.

**Complaints handling - August 2016 Audit opinion = GREEN**

- **Satisfactory Assurance**
  - TheOPCC maintains oversight of the complaints management process within the Force. Quarterly meetings are held where Force complaint statistics are reviewed and scrutinised at the Professional Standards Governance meeting. Between 1 April 2015 and 30 March 2016, the Force finalised a total of 559 complaints cases. The status of these complaints are as follows:
    - Local Resolution – 258
    - Other Incl Disapplication, discontinued – 15
    - Withdrawn – 64
    - Upheld - 41
    - Not Upheld – 181
  - Complaints data is routinely reported / updated on the Force website at https://www.lincs.police.uk

**Internal Audit Plan 2017/18** in place and approved by JIAC on 5 April 2017.

**No Audit assurance available in this area of business**

**IHMC PEE 2016 Effectiveness Inspection report (Published March 2017)**

- Page 20 - Control room response “Lincolnshire Police ensures that the response to the victim is based on the victim’s needs rather than the type of crime, which is good practice. It has done this by implementing a structured assessment based on the levels of threat, harm, risk and vulnerability (THRIVE)10 faced by the victim, rather than simply by the type of incident. HMIC found that the force has trained those members of its workforce who answer 101 and 999 calls to spot the signs of someone who might be vulnerable in some way. Call handlers have access to additional sources of information held in other databases. There is also support from an intelligence support officer who assists with gathering relevant information so that response officers have the full picture prior to attendance at an incident. HMIC listened to a small number of calls and found an effective and victim-centred response from call handlers. For those calls assessed as an emergency or priority, a response officer is deployed and call handlers give basic guidance to callers about preserving forensic evidence and safeguarding. When incidents are not attended, in appropriate cases, the incident is passed to the incident resolution team to carry out a desktop investigation. This team also has good processes in place either to refer or to investigate online crime and fraud offences, although not all callers referred to action fraud receive an incident reference number from the call handle”,

### SIGNIFICANT AREA OF CHANGE - Major technology updates are planned including new “Command and Control” system planned, new Telephony system recently installed / replacement of Airwaves and national ESPN project. Full Scoping and project plans with dedicated project manager within the FCR in place.

Additional detailed analysis to better understand overall demand is being planned (Oct 2017).

Mental Health Nurses Trialled in FCR – review continuation / funding
### Custody

**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.

<table>
<thead>
<tr>
<th>Key Risks</th>
<th>RAG</th>
<th>Status</th>
<th>Owner</th>
<th>Measure &amp; Monitoring</th>
<th>Custody Policy in place and up to date as at April 2017.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Force Custody Policy</td>
<td>GREEN</td>
<td>GREEN</td>
<td>GREEN</td>
<td>GREEN</td>
<td>GREEN</td>
</tr>
</tbody>
</table>

**CUSTODY**

- 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 - fed 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.
- EMCSJS - 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](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.
- HMIC- Unannounced Custody Inspectors report 19 February 2016 (Inspection visit September 2015) 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" 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 Linca are compliant with the NPCC data returns for Use of Force by 1st April 2017.
- Changes to Bail Legislation (April 2017) are being implemented - impact under assessment at force and regional level. Assessment of preferred locations of custody suites across region has been undertaken - leading to potential changes in demand In Lincs - watching brief.
- Selected Suites being improved to meet latest Access standards.
- Lincolnshire Custody provision currently stable.
- Provision of effective FME Services - Monitoring progress.
## ICT & Information Management

### NOT PROTECTIVELY MARKED

<table>
<thead>
<tr>
<th>OPCC / Force risk registers</th>
<th>RISK SUMMARY</th>
<th>Business operations – the front line</th>
<th>Oversight of management activity and assurance functions</th>
<th>Independent assurance / advice</th>
</tr>
</thead>
<tbody>
<tr>
<td>RISK SUMMARY</td>
<td>Management Controls</td>
<td>Corporate Reporting</td>
<td>Compliance Reviews</td>
<td>Internal Audit</td>
</tr>
<tr>
<td>First line</td>
<td>Second line</td>
<td>Third line</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Ref No.</td>
<td>Key Risks</td>
<td>Status</td>
<td>Owner</td>
<td>Are key strategic objectives being delivered?</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>EXAMPLES</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Strategy</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>in place – progress made?</td>
</tr>
</tbody>
</table>

### ICT & INFORMATION MANAGEMENT (Inc Security & Vetting)

| CO | Introduction of GDPR | GREEN |
| ST -82 | Suspected Cyber-attack | AMBER |
| ST -83 | FCR Telephony | GREEN |
| 05 | ICT Functionality | GREEN |
| ST -72 | ICT Compatibility | GREEN |

**RISK SUMMARY & CONTROL**

There are 5 risks contained on the Force and PCC’s risk registers 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.

New "Distinctly Lincolnshire" Force strategic plan published Nov 2017 – Awaiting supporting delivery plans.

- Resources Governance meeting - 6 monthly ICT strategic progress Report - most recent in Jan 2017
- IMB-Information Management Board, Chaired by the SIRO at ACPO strategic level and held quarterly.
- Governance and Information Risk Return (GIRR) - National return required of all forces to determine the level of Information Assurance Maturity. (This replaced the old IAMI and was recently extended to include all areas having been signed by both the Chief and ACO - May 2017.
- IMU - DBS performance - monitored by the Disclosure and Barring Service (DBS), national figures published on a monthly basis - currently rated as 1st - national leaders.
- Regional working - IMU provide data quality statistics to regional forces and this will shortly include Regional RRD processes - other IMU related Work undertaken involving regional forces is reported to Regional Project Board - quarterly.
- Transactional Management Board - receives monthly update report.

- Independent IT Health Check regime in place - Independently approved companies conduct tests on systems to ensure they are fit for purpose. Any issues arising are added to the "One List" and are subject to fortnightly meetings with IT Dept. to ensure they are progressed.
- IMU conduct the Accreditation of all new and existing systems. These assessments are presented to the SIRO for approval - and include outlining any risks identified.
- IMU conduct a series of scheduled Information Assurance Audits on internal systems and operational processes in High, Medium and Transactional risk areas these include:
  - ICT - Compliance with ISO 27001 - internally checked (future plan to achieve certification - externally verified)

### Internal Audit Plan

2017/18 in place and approved by JIAC on 5 April 2017.

Jan 2017 ICT - Audit opinion: GREEN - Significant Assurance. Following introduction of the G4S contract the IT service is now well established with a clear governance and contract management structure.

ICT – Business Continuity – Oct2017 = Significant assurance

T Police – Dec 2017 Green Satisfactory assurance.

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.

External Penetration testing of IT systems / full force network is conducted by group of specialist organisations. Up to 3 times per year plus testing is co-ordinated with introduction of any new systems.


HMIC Building the picture: an inspection of police information management (July 2015). - No serious issues identified.

**HMIC PEEl 2016 Effectiveness Inspection report (Published March 2017)**

- Force graded as "GOOD". P 54. "There is an information technology security officer and IT health checks are regularly carried out. The force intends to carry out specific cyber-threat testing to improve knowledge of cyber-threats among the workforce. Learning from a cyber-attack assistance from 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".

**AMBER January 2017**

<table>
<thead>
<tr>
<th>AMBER January 2017</th>
</tr>
</thead>
<tbody>
<tr>
<td>(GDPR) EU legislation / Directive is due to be introduced in May 2018 - implementation planning underway.</td>
</tr>
<tr>
<td>Key staff have recently been lost from the IMU - recruitment is ongoing.</td>
</tr>
<tr>
<td>Migration of Information from Regional legacy systems into GENIE to facilitate Regional functionality - ongoing work</td>
</tr>
<tr>
<td>Programme for ICT renewal and replacement in FCR represents significant area of change. (telephony updated Nov 2017 - command and control planned for early 2018)</td>
</tr>
</tbody>
</table>

ESN / Airwave replacement – major impact / implementation considerations.
### ESTATES & FLEET

**RISK SUMMARY & CONTROL**

There are currently no organisational level risks in this area of business. All risks are being managed locally with an escalation process in place.

<table>
<thead>
<tr>
<th>Key Risks</th>
<th>Risk RAG</th>
<th>Owner</th>
<th>Management Controls</th>
<th>Corporate Reporting</th>
<th>Compliance Reviews</th>
<th>Internal Audit</th>
<th>External Agency</th>
<th>OVERALL RAG</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Risk Register - is reviewed at the force Risk Management Board and on a quarterly basis at departmental SMT meeting.</td>
<td>GREEN</td>
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</tr>
<tr>
<td>• Quarterly Departmental Management Team (DMT) meetings held to discuss performance, Health and safety, HR and issues arising.</td>
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</tr>
<tr>
<td>• Regional meeting (Fleet) - Chaired by ACO from Leicestershire and all 5 regional fleet managers attend, along with representatives from EMSOU, EMSCU, EMOPSS and EMCHRIS.</td>
<td>GREY</td>
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<tr>
<td>• Regional Fleet Administrators meeting - areas of best practice are exchanged.</td>
<td>GREEN</td>
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<tr>
<td>• Performance reviewed on a monthly basis against a set of pre-determined indicators - traffic light grading system, there is a minimum target threshold all areas must achieve - financial penalties can be implemented as a result.</td>
<td>AMBER</td>
<td></td>
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<tr>
<td>• Monthly Asset Management meetings - Attended by ACO, CPT, Finance, A&amp;FM and Fleet.</td>
<td>GREY</td>
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<tr>
<td>• Management plans in place and published on intranet include, asbestos management / assets / environmental / water.</td>
<td>GREEN</td>
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<tr>
<td>• Health &amp; safety plan - 1 strategy in place</td>
<td>GREY</td>
<td></td>
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<tr>
<td>• Assets management group meetings - quarterly reporting (inc ACO, HoCPT, HoFleet, Finance representative.</td>
<td>AMBER</td>
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<tr>
<td>• Annual 5 force best practice sharing meeting and quarterly technical meeting (Fleet).</td>
<td>GREEN</td>
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</tbody>
</table>

New “Distinctly Lincolnshire” Force strategic plan published Nov 2017 – Awaiting delivery plans

- Monthly 1-1 with each Head of Department with representative from CPT to discuss service delivery*

- Resources Governance Meeting held Monthly - with specific update report on Fleet and Estate provided 6 monthly.

Monthly Service delivery reporting

G4S lead has 1-2-1 with head of Commercial Partnership Team to review SDA KPI - service delivery.

PCSB - Monthly chief constables report - opportunity to report on strategic issues affecting Estates and Fleet.

No Assurance available in this form

**CURRENT KEY ACTIVITY & RATIONALE FOR OVERALL GRADING**

- **Police estate plan yet to be confirmed – Nov 2017.**
- Blue light - City campus plans approved – works underway. (New project manager required - yet to be confirmed – Dec 2017).
- Re-profiling of Govt Grant to raise contingency allowance – work ongoing.
- Fleet review requested by DCC (potential for externally led review to provide independent assurance). Oct 2017
- **Introduction of Telematics for fleet vehicles (planning and timescale to be confirmed). Oct 2017.**
### HUMAN RESOURCES Inc LEARNING & DEVELOPMENT

#### RISK SUMMARY

<table>
<thead>
<tr>
<th>Risk No.</th>
<th>Key Risks</th>
<th>Risk RAG</th>
<th>Status</th>
<th>Owner</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>ST-85</td>
<td>Training Facility</td>
<td>A (Green)</td>
<td>HR / L &amp; D departmental Risk Register in place.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ST-88</td>
<td>Training required</td>
<td>A (Green)</td>
<td>Strategic workforce planning board in place to make decisions relating to workforce structure / recruitment.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- **HR guidance** in place and all relevant policies up to date as at June 2017.
- **New "Distinctly Lincolnshire" Force strategic plan published Nov 2017 – Awaiting supporting delivery plans.**
- **Workforce 'Establishment' data - "Blue Book" produced monthly / Volunteers "yellow book" Quarterly- Review scheduled to ensure effective content in Q1 & 2017/18**
- **Resource Governance Meeting (RGM) Monthly - Key People data report updated at monthly meeting - progress against strategic plan and specific HR related project work. 28 / 3 / 2017 - currently no significant issues arising all elements of report marked as GREEN.**
- **PCSB - Chief constables report - opportunity to highlight strategic issues relevant to HR.**

#### OVERSIGHT OF MANAGEMENT ACTIVITY

- **Corporate Reporting**
- **Compliance Reviews**
- **Internal Audit**
- **External Agency**

- **Oversight of management activity and assurance functions**
- **Business plans / Delivery plans, local control measures & monitoring Dept. risk register**
- **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?**

#### INDEPENDENT AND OBJECTIVE ASSURANCE

- **Information Assurance, regulatory compliance (Inc. sys accreditation) Portfolio Mtg/ Reviews Satisfaction / Complaints Handling**

#### ASSURANCE ASSESSMENT

- **Overall RAG**
- **CURRENT KEY ACTIVITY & RATIONALE FOR OVERALL GRADING**

**GREEN**
- No assurance available in this format.
  - (Complaints data is routinely reported / updated on the Force website at [https://www.lincs.police.uk](https://www.lincs.police.uk)

**AMBER**
- Workforce 'Establishment' data - "Blue Book" produced monthly / Volunteers "yellow book" Quarterly- Review scheduled to ensure effective content in Q1 & 2017/18
- Resource Governance Meeting (RGM) Monthly - Key People data report updated at monthly meeting - progress against strategic plan and specific HR related project work. 28 / 3 / 2017 - currently no significant issues arising all elements of report marked as GREEN.
- PCSB - Chief constables report - opportunity to highlight strategic issues relevant to HR.

**GREY**
- No assurance available in this format.
  - (Complaints data is routinely reported / updated on the Force website at [https://www.lincs.police.uk](https://www.lincs.police.uk)

**GREEN**
- **Internal Audit Plan 2017/18 in place and approved by JIAC on 5 April 2017.**
- **T- police UAT & change management Green - Significant assurance (Apr 2016)**
- **HMIC Efficiency Inspection Nov 2017 Areas for improvement**
- **Pensions Audit Mar 2016 Green Satisfactory Assurance.**

**GREEN**
- **2016 HMIC PEEL legitimacy report**
- **The extent to which the force is legitimate at keeping people safe and reducing crime is "Good"**
- **HMIC Efficiency Inspection Nov 2017**
- **Areas for improvement**
- **The force should complete an audit of leadership skills which will allow it to understand leadership capacity and capability, to identify any gaps and, if necessary, put plans in place to address them.**
- **HMICFRS PEEL Legitimacy (Inc leadership) Insp Dec 2017 Overall Judgement - GOOD**

**AMBER**
- Work ongoing to develop an improved officer recruitment process. (May 2017)
- PDR completion rates remain a challenge (Dec 2017).
- Appropriate tracking & maintenance of key officer / specialist qualifications and training is under review. (Sept 2017) – work ongoing Jan 2018.
- Wellbeing – Business case being prepared for introduction of specific wellbeing measures (co-ordinator post recruited Nov 2017)
- Recruitment for Ho L&D failed to attract suitable candidate - Nov ’17, post to be re-advertised from December 2017. (Chief inspector currently operating in this role)
- Book on Book Off system at live trial stage (Dec 2017)
## COMMERCIAL PARTNERSHIP – G4S

### ASSURANCE ASSESSMENT

<table>
<thead>
<tr>
<th>CURRENT KEY ACTIVITY &amp; RATIONALE FOR OVERALL GRADING</th>
</tr>
</thead>
<tbody>
<tr>
<td>GREEN / January 2018</td>
</tr>
</tbody>
</table>

### OVERALL RAG

<table>
<thead>
<tr>
<th>GREEN</th>
<th>AMBER</th>
<th>GREEN</th>
<th>GREEN</th>
<th>GREEN</th>
</tr>
</thead>
</table>

### COMMERCIAL PARTNERSHIP

<table>
<thead>
<tr>
<th>None</th>
<th>GREEN</th>
<th>AMBER</th>
<th>GREEN</th>
<th>GREEN</th>
<th>GREEN</th>
</tr>
</thead>
</table>

### RISK SUMMARY & CONTROL

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 up to the end of the contract period.

<table>
<thead>
<tr>
<th>Ref. No.</th>
<th>Key Risks</th>
<th>Risk RAG</th>
<th>Status</th>
<th>Owner</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Co 9</td>
<td>Delivery of contractual objectives</td>
<td>R</td>
<td>PCC</td>
<td>PCC</td>
<td>A CPT departmental Risk Register is in place – with clear escalation process to strategic risk register.</td>
</tr>
<tr>
<td>Co 40</td>
<td>Review / Transition Planning</td>
<td>R</td>
<td>PCC</td>
<td>PCC</td>
<td>Service Delivery Agreement (SDA) is in place (Contract) which details the services that G4S shall deliver and the governance structure underpinning their delivery.</td>
</tr>
</tbody>
</table>

### BUSINESS AREAS

#### OPCC / Force risk registers

<table>
<thead>
<tr>
<th>RISK SUMMARY</th>
</tr>
</thead>
<tbody>
<tr>
<td>GREEN</td>
</tr>
</tbody>
</table>

### FIRST LINE

<table>
<thead>
<tr>
<th>Management Controls</th>
<th>Corporate Reporting</th>
<th>Compliance Reviews</th>
<th>Internal Audit</th>
<th>External Agency</th>
</tr>
</thead>
<tbody>
<tr>
<td>How are management objectives being met? Routine system / operational control &amp; Assurance – Business plans / Delivery plans, local control measures &amp; monitoring Dept. risk register</td>
<td>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?</td>
<td>Information Assurance, regulatory compliance (Inc. sys accreditation) Portfolio Mtg/ Reviews Satisfaction / Complaints Handling</td>
<td>Type / Opinion</td>
<td>HMIC / Inspectorate</td>
</tr>
</tbody>
</table>

### SECOND LINE

<table>
<thead>
<tr>
<th>OVERSIGHT OF MANAGEMENT ACTIVITY</th>
</tr>
</thead>
<tbody>
<tr>
<td>GREEN</td>
</tr>
</tbody>
</table>

### INDEPENDENT AND OBJECTIVE ASSURANCE

<table>
<thead>
<tr>
<th>INDEPENDENT AND OBJECTIVE ASSURANCE</th>
</tr>
</thead>
<tbody>
<tr>
<td>GREEN</td>
</tr>
</tbody>
</table>

### THIRD LINE

<table>
<thead>
<tr>
<th>INDEPENDENT AND OBJECTIVE ASSURANCE</th>
</tr>
</thead>
<tbody>
<tr>
<td>GREEN</td>
</tr>
</tbody>
</table>

### CURRENT KEY ACTIVITY & RATIONALE FOR OVERALL GRADING


- 6 Monthly Executive board meetings held between PCC/CE/ DCC/ G4S MD to discuss Vision and Strategy for the Partnership.

#### Performance and delivery board quarterly meetings

- Resources Governance Meeting - Monthly (PCC / CFO / DCFO, HoHR, ACO and 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.

#### Complaints data is routinely reported / updated on the Force website at https://www.lincs.police.uk

#### NEW DATA SOURCES

- Firearms Licensing: TBA
- Vehicle Fleet management: Aug 2017 – GREEN substantial assurance
- Corporate Crime (G4S) August 2017 = Satisfactory / Green.
- Apprenticeship Levy – Dec 2017 – GREEN satisfactory assurance. (managed by G4S PSS)

### PEEL Efficiency inspection report 2015 - grade "requires improvement".

- HMIC PEEL Efficiency inspection report (Nov 2016) Graded as “Good” “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”.

### NEW ACTIVITY

- Change management process in place - Business cases provided to THB / decision paper prepared for OPCC approval and publication on PCC website. (Where applicable)
- Firearms Licensing - improvement plan put in place and is being monitored on a weekly basis by Force and G4S - May 2017 onwards.
- Service Review Meetings (Tactical Level) held monthly with G4S Business Leads and CPT contact managers.

### NEW ACTIVITY


### NEW ACTIVITY

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- Firearms Licensing - improvement plan put in place and is being monitored on a weekly basis by Force and G4S - May 2017 onwards.
- Service Review Meetings (Tactical Level) held monthly with G4S Business Leads and CPT contact managers.

### NEW ACTIVITY

<table>
<thead>
<tr>
<th>ST -90</th>
<th>Regional Collaborations</th>
<th>GREEN</th>
<th>GREEN</th>
<th>GREY</th>
<th>GREEN</th>
</tr>
</thead>
<tbody>
<tr>
<td>C0 41</td>
<td>Regional Collaborations</td>
<td>A</td>
<td>C</td>
<td>PC</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Regional risk register</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>EM PCC / Chief's Resources Board - Bi monthly (Agenda &amp; Minutes produced)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>EM PCC / Chief's Resources Board - Quarterly (Agenda &amp; Minutes produced)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>EM OPCC Chief Executives Board - Bi monthly (Agenda &amp; Minutes produced)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Regional CFO's meeting - quarterly (informal agenda)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>EM PCC / Chief's board - Bi monthly (Agenda &amp; Minutes produced)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>EMSOU - Forensic services - Corporate Performance Pack (Reviewed at Lincs Perf Governance meetings)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>EMCJS - performance scorecard used to monitor &amp; measure performance across a range of services / business areas (used at a local and regional level)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**RISK SUMMARY & CONTROL**

There is one risk recorded on the OPCC register relating to regional collaborations and one on the FRR - 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.

**Business operations – the front line BUSINESS AREAS**

- Management Controls
- Corporate Reporting
- Compliance Reviews
- Internal Audit
- External Agency

**OVERSIGHT OF MANAGEMENT ACTIVITY**

- Information Assurance, regulatory compliance (Inc. sys accreditation)
- Portfolio Mgt / Reviews
- Satisfaction / Complaints Handling

**ASSURANCE ASSESSMENT**

- Current key activity & rationale for overall grading

**COLLABORATIONS (EMSOU / EMOppS / Legal Services / Occupational Health / EMCJS / EMSOU Forensic Services)**

**Section 22 (Police Act 1996) - Collaboration agreements are in place for Collaborative services.**

- Performance measurement and accountability for collaborated services - Delivery of service is reported / managed at a force level. - (Note: Each Chief officer is held to account locally via their respective PCC for delivery of collaborated services)

- Regional risk register in place - and co-ordination with Force manager is rendered via Regional SPOC.

- EM PCC / Chief's Resources Board - Bi monthly (Agenda & Minutes produced)
- EM PCC / Chief’s Board - Bi monthly (Agenda & Minutes produced)
- EM OPCC Chief Executives Board - Bi monthly (Agenda & Minutes produced)
- Regional CFO’s meeting - quarterly (informal agenda)
- EM PCC / Chief's board - Bi monthly (Agenda & Minutes produced)
- 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)

**NOTE**

- NO recent assurance available from this source
- Collaboration efficiency savings plans (Joint EM review) EMOpSS (draft version AMBER/GREEN) April 2015.

**RISK SUMMARY**

- GREEN
- GREY
- AMBER

**RISK ASSURANCE**

- PCC regional portfolio ownership established. (Marc Jones - EMSOU – from May 2017)
- Regional review of EMOpSS due to report early 2018.
- Strategic issues arising regarding future of some regional collaborations – under discussion at Chief and PCC regional fora.
- Commitment made to hold a regional review of collaboration - structure and budget via workshop event. (Jan 2018)

**OVERALL RAG**

- GREEN
- GREY
- AMBER

**INDEPENDENT assurance / advice**

- • HMIC Regional Organised Crime Units Review (EMSOU)
  - Review of capability and effectiveness – 11 Recommendations STN Mar – June 2016. The East Midlands Special Operations Unit (EMSOU) is the most advanced and well-established of the ROCUs. (Nov 2015)
  - HMIC Insp 2016
  - The extent to which the force is effective at keeping people safe and reducing crime is good
  - 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."
ORGANISATIONAL SUPPORT - NOT PROTECTIVELY MARKED

### ORGANISATIONAL SUPPORT

**Business operations – the front line BUSINESS AREAS**

**Oversight of management activity and assurance functions**

**INDEPENDENT AND OBJECTIVE ASSURANCE**

<table>
<thead>
<tr>
<th>Ref No.</th>
<th>Key Risks</th>
<th>Status</th>
<th>Risk Tag</th>
<th>Type</th>
<th>Owner</th>
<th>Risk IAG</th>
<th>Management Controls</th>
<th>Corporate Reporting</th>
<th>Compliance Reviews</th>
<th>Internal Audit</th>
<th>External Agency</th>
<th>OVERALL RAG</th>
</tr>
</thead>
<tbody>
<tr>
<td>ST - 79</td>
<td>Transition to new ESN</td>
<td>N</td>
<td>CC</td>
<td>GREEN</td>
<td>N</td>
<td>N</td>
<td>N</td>
<td>N</td>
<td>N</td>
<td>N</td>
<td>N</td>
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<tr>
<td>ST - 81</td>
<td>Blue Light Programme</td>
<td>A</td>
<td>C</td>
<td>AMBER</td>
<td>A</td>
<td>A</td>
<td>A</td>
<td>A</td>
<td>A</td>
<td>A</td>
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<tr>
<td>CO 36</td>
<td>New Chief Officer Team</td>
<td>N</td>
<td>N</td>
<td>GREEN</td>
<td>N</td>
<td>N</td>
<td>N</td>
<td>N</td>
<td>N</td>
<td>N</td>
<td>N</td>
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<tr>
<td>CO 38</td>
<td>Service Commissioning Capacity</td>
<td>N</td>
<td>N</td>
<td>GREEN</td>
<td>N</td>
<td>N</td>
<td>N</td>
<td>N</td>
<td>N</td>
<td>N</td>
<td>N</td>
<td>N</td>
</tr>
<tr>
<td>CO 39</td>
<td>Local Partnerships</td>
<td>A</td>
<td>F</td>
<td>GREEN</td>
<td>A</td>
<td>A</td>
<td>A</td>
<td>A</td>
<td>A</td>
<td>A</td>
<td>A</td>
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</tr>
<tr>
<td>CO 6</td>
<td>Capacity &amp; Resilience in OPC</td>
<td>N</td>
<td>N</td>
<td>GREEN</td>
<td>N</td>
<td>N</td>
<td>N</td>
<td>N</td>
<td>N</td>
<td>N</td>
<td>N</td>
<td>N</td>
</tr>
</tbody>
</table>

**RISK SUMMARY & CONTROL**

All risks have developing controls in place. Delivery of the ‘Blue Light’ programme has a static risk profile on the OPC register (rated higher than that of the force) relating to the financial and ongoing project management risks identified. Work is ongoing to address these concerns although current grant and project management elements are reflected in the score remaining high.

**ASSURANCE ASSESSMENT**

**CURRENT KEY ACTIVITY & RATIONALE FOR OVERALL GRADING**

| N | N | N | N | N | N | N | N | N | N | N | N |

**ORIGINALLY SUPPORT (Business Support / Governance / Projects & Programmes – change management / SDD)**

<table>
<thead>
<tr>
<th>NONE</th>
<th>GREEN</th>
<th>AMBER</th>
<th>GREEN</th>
<th>GREEN</th>
<th>GREEN</th>
</tr>
</thead>
</table>

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2. Force change manual is in place since Feb 2017 which details how organisational change should be conducted & administered including benefits measurement and realisation.

3. Formal project management processes are in place (Prince II). Trained project managers and project support officers in place.

4. Benefits realisation strategy in place April 2017 (measurement / monitoring - linked to project and programme work).


6. Change Board - Force reviews major change programmes and projects SMG - Force Senior management board meetings monthly OPCPC / Force represented at Lincolnshire Anti-fraud and Corruption Partnership (OPCC liaison).


8. Reporting of Progress against HMIC “recommendations” and “areas for improvement” (AFI) is routinely reported at Police and Crime Strategic Board (PCSB) on a quarterly basis.

9. Professional Standards Governance meetings - meets quarterly (complaints monitoring and officer / staff conduct issues reviewed).


11. Project and Programme update report – (Update to PCSB quarterly)

12. Chief constables monthly report to PCSB (Public and confidential versions)

13. JIAC reporting - scheduled / routine reporting to Quarterly meetings (Forward plan manages papers to appear at meetings)

14. Change Board - Force reviews major change programmes and projects

15. SMG - Force Senior management board

16. COG - Chief officer group meetings / reporting on strategic and key issues monthly (reports prepared for submission - Agenda and Minuted)

17. See Internal audit results and Regular Professional Standards Governance meetings for complaints management assurance.

18. Complaints data is routinely reported / updated on the Force website at https://www.lincs.police.uk

19. 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 – 251 Other incl Dismissal, discontinued – 15 Withdrawn – 64 Upheld – 41 Not Upheld – 161" Internal Audit Plan 2017/18 in place and approved by JIAC on 5 April 2017.

20. 2016 HMICPEEL Effectiveness report (Published March 2017) The extent to which the force is effective at keeping people safe and reducing crime - "Good"

- The extent to which the force is efficient at keeping people safe and reducing crime "Good"

- The extent to which the force is legitimate at keeping people safe and reducing crime is "Good".

21. HMICFRS PEEL Legitimacy (Inc leadership) Incp Dec 2017 – overall grading = GOOD


22. HMICFRS – PEEL Effectiveness 2017 (March 2018) – awaiting grade


24. MHealth Strategy in development jointly with LPFT / OPC Due to report Jan 2018.

25. Regional PCC secretariat recruited to commence Q1 2018


27. HMICFRS - Production of Force Management Statements (FMS) is underway December 2017 – completion target May 2018.

28. Chief Supt - seconded to LCC for 2 years in Community Safety, (Deputy director) - specific job spec / objectives is under development – Dec 2017.
<table>
<thead>
<tr>
<th>Map Version</th>
<th>Updated by</th>
<th>Review / Meeting JAR / RMB / IMM etc.</th>
<th>Date</th>
<th>Key Update / Review Meeting Outcome / Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1</td>
<td>Aubrey Williams</td>
<td>JAR</td>
<td>16 March 2017</td>
<td>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)</td>
</tr>
<tr>
<td>1.2</td>
<td>Aubrey Williams</td>
<td>FRPRO / RPO</td>
<td>26 March 2017</td>
<td>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.</td>
</tr>
<tr>
<td>1.2</td>
<td>Aubrey Williams</td>
<td>JAR</td>
<td>01 June 2017</td>
<td>Meeting postponed awaiting arrival of new DCC in June 2017</td>
</tr>
<tr>
<td>1.2</td>
<td>Aubrey Williams</td>
<td>RMB</td>
<td>21 June 2017</td>
<td>Brief update provided to RMB on progress relating to creation and finalisation of new thematic Assurance map.</td>
</tr>
<tr>
<td>1.2</td>
<td>Aubrey Williams</td>
<td>IMM</td>
<td>25 June 2017</td>
<td>Updated page 2 Financial section with HMICFRS Inspection report updated in Financial Management section</td>
</tr>
<tr>
<td>1.3</td>
<td>Aubrey Williams</td>
<td>N/A</td>
<td>17 July 2017</td>
<td>Removed reference to objectives as these are contained on risk register for each organisation</td>
</tr>
<tr>
<td>1.3</td>
<td>Dave Hull</td>
<td>RMB</td>
<td>21 June 2017</td>
<td>Changes to force risk after the RMB</td>
</tr>
<tr>
<td>1.4</td>
<td>Dave Hull</td>
<td>N/A</td>
<td>20 July 2017</td>
<td>ICT/IMU area updated after updates received from Head of IMU</td>
</tr>
<tr>
<td>1.4</td>
<td>Dave Hull</td>
<td>N/A</td>
<td>20 July 2017</td>
<td>Estates and Fleet area updated after updates received from Head of Facilities</td>
</tr>
<tr>
<td>1.4</td>
<td>Dave Hull</td>
<td>N/A</td>
<td>20 July 2017</td>
<td>Local policing area updated after updates received from C/Supt West</td>
</tr>
<tr>
<td>1.4</td>
<td>Dave Hull</td>
<td>N/A</td>
<td>25 July 2017</td>
<td>Procurement tab updated update received from Lisa Norton (See e-mail)</td>
</tr>
<tr>
<td>1.4</td>
<td>Dave Hull</td>
<td>N/A</td>
<td>02 August 2017</td>
<td>CPT &quot;First line&quot; updated and Internal audit section after receiving amended written copy from CPT Manager.</td>
</tr>
<tr>
<td>1.4</td>
<td>Dave Hull</td>
<td>N/A</td>
<td>04 September 2017</td>
<td>Crime area updated after updates received from D/C/Supt Davison</td>
</tr>
<tr>
<td>1.5</td>
<td>Aubrey Williams</td>
<td>N/A</td>
<td>05 September 2017</td>
<td>All content of map approved / confirmed as factually accurate by heads of each theme / department.</td>
</tr>
<tr>
<td>1.5</td>
<td>Aubrey Williams</td>
<td>FRPRO / RPO</td>
<td>06 September 2017</td>
<td>Latest internal audit results updated for Fleet management / procurement / CPT contract management</td>
</tr>
<tr>
<td>1.6</td>
<td>Candice McKane</td>
<td>PI</td>
<td>28 September 2017</td>
<td>Transferred all information into the new word template</td>
</tr>
<tr>
<td>1.6</td>
<td>Aubrey Williams</td>
<td>RPO</td>
<td>3 October 2017</td>
<td>Added front page including auto index to document (ability to jump directly to content)</td>
</tr>
<tr>
<td>1.6</td>
<td>Aubrey Williams</td>
<td>RPO</td>
<td>11 October 2017</td>
<td>Ref to external audit added to Finance section (3rd line) plus internal audit plan for year ahead ref added (3rd Line).</td>
</tr>
<tr>
<td>1.7</td>
<td>Dave Hull</td>
<td>FRPRO</td>
<td>12 October 2017</td>
<td>Risk sections updated after RMB</td>
</tr>
<tr>
<td>1.7.1</td>
<td>Aubrey Williams</td>
<td>RPO</td>
<td>18 October</td>
<td>Update risk narrative sections to match Risks changed following RMB.</td>
</tr>
<tr>
<td>1.7.1</td>
<td>Aubrey Williams</td>
<td>RPO</td>
<td>19 October</td>
<td>Update overall RAG / Assurance Assessments - for each theme following quarterly JAR meeting between CEX and DCC on 18 October 2017.</td>
</tr>
<tr>
<td>1.7.2</td>
<td>Candice McKane</td>
<td>PI</td>
<td>19 October</td>
<td>Identify ALL RAG ratings throughout the Assurance Map via R, A, G lettering or wording to enable the map to be printed in a single colour. (Following request by DCC at October JAR meeting).</td>
</tr>
<tr>
<td>1.7.2</td>
<td>Aubrey Williams</td>
<td>RPO</td>
<td>31 October 2017</td>
<td>Internal audit results updated within Budget section and compliance reviews updated in Financial Management section</td>
</tr>
<tr>
<td>1.7.4</td>
<td>Dave Hull</td>
<td>FRPRO</td>
<td>20 November 2017</td>
<td>Updated page 2 Financial section with HMICFRS Inspection report</td>
</tr>
<tr>
<td>1.7.4</td>
<td>Dave Hull</td>
<td>FRPRO</td>
<td>29 November 2017</td>
<td>Updated page 5 LP rationale - HMICFR 2017 efficiency Inspection</td>
</tr>
<tr>
<td>1.7.4</td>
<td>Dave Hull</td>
<td>FRPRO</td>
<td>29 November 2017</td>
<td>Updated P9 Operations. - HMICFR 2017 efficiency Inspection</td>
</tr>
<tr>
<td>1.7.5</td>
<td>Aubrey Williams</td>
<td>RPO</td>
<td>1 Dec 2017</td>
<td>Updated with “Distinctly Lincs” Strategy doc and Firearm licensing Online solution</td>
</tr>
<tr>
<td>Version</td>
<td>Author</td>
<td>Role</td>
<td>Date</td>
<td>Notes</td>
</tr>
<tr>
<td>---------</td>
<td>--------------</td>
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<td>----------------------------------------------------------------------</td>
</tr>
<tr>
<td>1.7.5</td>
<td>Dave Hull</td>
<td>FRPRO</td>
<td>6 Dec 2017</td>
<td>Updated risks after RMB Dec 2017</td>
</tr>
<tr>
<td>1.7.6</td>
<td>Aubrey Williams</td>
<td>RPO</td>
<td>12 December 2017</td>
<td>Updated RAG rating for 2nd line of defence across all appropriate areas relating to - corporate reporting. Changed to AMBER as delivery plans not in place / progress against plan therefore unreported. Update finance with insurance risk from PCC’s register.</td>
</tr>
<tr>
<td>1.7.6</td>
<td>Dave Hull</td>
<td>FRPRO</td>
<td>14 December 2017</td>
<td>Updates from HMICFRS legitimacy report grades to Crime, LP, HR and Org support External Audit areas.</td>
</tr>
<tr>
<td>1.7.6</td>
<td>Aubrey Williams</td>
<td>RPO</td>
<td>2 January 2018</td>
<td>Update key activity in RAG summary column ahead of JAR meeting on 4th Jan.</td>
</tr>
<tr>
<td>1.7.7</td>
<td>Aubrey Williams</td>
<td>RPO</td>
<td>4 January 2018</td>
<td>Update revised Assurance RAG ratings for all sections of the Map following todays <strong>JAR meeting</strong> - plus key activity comments.</td>
</tr>
</tbody>
</table>
The joint Assurance Map – Its Purpose and an Introduction to each theme / business area it contains.

The joint assurance map is a means of gathering evidence from across the entire organisation for objective examination, for the purpose of providing an independent assessment on governance, risk management and control processes for the organisation. The assurance map is based on the three lines of defence approach and is suitably comprehensive to help identify gaps in assurance needs that are vital to the organisation, and to facilitate escalation of risk and control issues requiring visibility and attention by senior management, by providing a cohesive and comprehensive view of assurance across the risk environment.

In addition to these internal assurances, there are external agencies such as Internal and External Auditors as well as Her Majesty’s Inspectorate of Constabulary and fire and rescue services (HMICFRS) that work with the force and the Office of Police and Crime Commissioner (OPCC) to ensure that the risk management process is effective and robust.

Financial management

Financial management for the force is a key function delivered by G4S within the Strategic partnership contract.

Budget & Govt Funding

This section of the assurance map covers the activities involved in preparing and managing the budget for the force. Finance for the organisation is one of the key functions managed by G4S within the Strategic partnership contract.

Procurement

Procurement for the organisation is one of the key functions managed by G4S within the Strategic partnership contract. It encompasses all the procurement conducted by the organisation and the management of supplier contracts. An annual procurement plan is prepared each year which sets out:

Local Policing (East & West Areas)

This section of the assurance map covers operational policing focussed at a local level in the county’s neighbourhoods. Local policing is divided in to two major geographical areas, east and west. Each headed by a chief superintendent. Each area is further split into council district areas, with each one being led by an inspector. These districts are further divided into neighbourhood policing areas. There are 58 areas in total. Each team consists of a community beat sergeant, community beat constable and PCSOs who are dedicated to policing a specific local area.

Crime

The crime section of the Assurance map covers those aspects of operational / frontline policing across a very broad spectrum of work, including specialist teams of officers and staff protecting the public and investigating crimes.

Examples include, Emerald team (serious sexual offences), MOSOVO, (Management of Sexual or Violent Offenders), Online investigation team, Missing persons, Domestic abuse, child sexual exploitation, Modern slavery, Serious and organised Crime, safeguarding, victims services.

Force Control Room (FCR)

This section of the assurance map covers the activities of the Force Control Room which operates on a 24/7 basis and is provided within the strategic partnership contract with G4S. It is primarily the first point of contact for members of the public, receiving an average of 25,000-30,000 101 calls and 7,000-8,000 999 calls per month. It consists of frontline officers and support staff which make up a Police National Computer bureau, Intelligence Support Desk and the Incident Resolution team and call-takers and controllers who manage incoming calls and co-ordinate an appropriate response. They interrogate the systems available to them to ensure the safety of officers, and that each incident is concluded to a satisfactory level and in compliance with the National Crime Recording Standards.

Custody

This section of the assurance map covers the activities of the custody provision which operates on a 24/7 basis and is provided within the strategic partnership contract with G4S who provide the custody staff. Police officers (custody Sgts) are legally required to manage and control the detention of detainees. The force operates 4 custody suites sited in Grantham, Lincoln, Skegness and Boston. The management of custody is through a regional collaboration via EMCS with Lincolnshire and Nottinghamshire forming the northern regional Hub. The custody sites are monitored under the independent Custody Visiting Scheme (ICVS) to help ensure appropriate treatment of, and conditions for detainees.

ICT & Information management

This section of the assurance map covers the activities of the ICT department and the Information Management unit and is provided within the strategic partnership contract with G4S.

Estates and fleet

This section of the assurance map covers the activities of the fleet vehicle department and the policing Estate (properties). Both of these functions are provided within the Strategic partnership with G4S. In eachcase the service delivered covers the provision management and maintenance of fleet and estate assets.
Human Resources inc learning & development
This section of the assurance map covers the activities of the Human resource and Learning & development departments and is provided within the strategic partnership contract with G4S.

Commercial Partnership
This section of the assurance map covers the activities of the commercial partnership team who manage the contractual relationship with the strategic partner G4S including the performance monitoring and management of the commercial contract / service delivery provided by G4S.

Collaborations
This section of the assurance map covers the formal collaborations entered into by the force. These are a variety of services delivered by multi force collaborations from across the five east midlands forces.(not all collaborations involve all five forces). The services delivered collaboratively involving Lincolnshire include: Forensic services (EMSOU – FS), Operational support (EMOpSS) which incorporates specialist armed and roads policing, Legal services, Occupational health, East Midlands Criminal Justice Service (EMCJS) and the East Midlands Special Operations Unit (EMSOU) which incorporates the investigation of, Major Crime, and Serious and organised crime. These are established under formal ‘Section 22’ agreements which lay out the legal terms of each collaboration.

Organisational support
This section of the assurance map covers the activities of the force departments involved in supporting the organisation in facilitating change and development activity, this includes strategic development, continuous improvement and project management functions of the force. These functions are provided by a mix of retained support staff and operational officers. (work covered includes the development of strategy, policy, formal project management, benefits realisation, change management.)