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

## JOINT ASSURANCE MAP

**Please note: Assurance RAG ratings have been temporarily suspended pending a refresh / re-design of the Joint Assurance Map (The date for the next Joint Assessment Review Meeting (JAR) is scheduled for 9th March 2020).**

Lincolnshire POLICE & CRIME COMMISSIONER
SAFER TOGETHER

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## INTRODUCTION

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 comprehensive view of assurance across the risk environment. In addition to 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 the Police and Crime Commissioner (OPCC) to ensure that the risk management process is effective and robust.

## FINANCE

### Financial Management

Financial management for the force (including insurance and treasury management) is a core function delivered through a shared team consisting of G4S (via the Strategic partnership contract), force and OPCC staff. As distinct corporations sole the OPCC and Force each have a Chief Financial Officer (CFO) and a shared Deputy Chief finance Officer (DCFO). The day-to-day financial management of the force is primarily delivered via the strategic contract with G4S. Budget monitoring takes place monthly and is reported to Resource Governance meetings.

### Budget & Government Funding

This section of the assurance map covers the activities involved in preparing and managing the budget for policing in Lincolnshire. This incorporates the various funding streams including; council tax and central government grant via the funding formula which determines the levels of funding received by all 43 forces in England and Wales.

### Procurement

Procurement is one of the key functions managed by G4S within the Strategic Partnership contract. It encompasses all the procurement activity conducted by the organisation (acquiring goods, services and work from external suppliers) and the ongoing management of supplier contracts. An annual procurement plan sets out how best value will be achieved and progress against the plan is monitored through resources governance meetings. Significant procurement details are published on the PCC website via the Commissioner's 'decision notice' process.

## OPERATIONS

The Operations section of the assurance map encompasses those elements of the force involved directly in operational policing activity.

### 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 involved in crime prevention, 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 (NCRS).

### 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 EMCJS 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.

## SUPPORT

### ICT & Information Management

This section of the assurance map covers the activities of the ICT department (Computer hardware, software, telephony and technical support) and the Information Management Unit (Data control and management), including vetting and security units. The IMU control data within the statutory requirements that relate specifically to police information (including its retention and deletion) and the more general data protection regulations. Both the ICT and IMU are 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. Both of these functions are provided within the Strategic partnership with G4S. In each case the service delivered covers the provision, management, development and maintenance of fleet and estate assets. This encompasses working with partner organisations eg co-located services such as the planned tri-service operational station in Lincoln housing police, fire, and ambulance services.

### 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. This covers the recruitment, development and management of human resources (officers and Staff) plus their training and development needs. This is co-ordinated with national policing regulations and requirements for officer training.

### Commercial Partnership (contract management)

This section of the assurance map covers the activities of the commercial partnership team (CPT) who manage the contractual relationship with the strategic partner G4S, including performance monitoring and management of the commercial contract and service delivery. Please note: the contract covers operational support in the; Force Control Room, Crime Management Bureau, Firearms Licensing, Town Enquiry Offices, Custody, Identification Unit plus back-office support for Criminal Justice Services, Information Technology, Finance & Procurement, Learning & Development, Human Resources & Resource Management Unit, and Integrated Services for Support Services, Fleet, Assets & Facilities

### 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 departments involved in supporting the organisation in facilitating change and development activity, this includes strategic development, continuous improvement and project & programme 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, delivery plans, policy, formal project & programme management, benefits realisation monitoring, change management

# 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** | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | **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 | | |
| **FINANCIAL MANAGEMENT (Including Insurance & Treasury Management)** | | | | | | | | | | | |
| | | | | | **GREEN** | **AMBER** | **GREEN** | **GREEN** | **GREEN** | | |
| ST-68 | Pension & taxation rules | A | ⇩ | CC | **Finance Risk Register** – in place covering force and G4S finance departments, treasury management and procurement – reviewed monthly at Finance Team meeting.<br>**Financial strategy** – in place.<br>**Weekly meeting** between FCFO & Head of finance.<br>**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).<br>**Quarterly meeting of Regional CFO's** & Ho Finance in place - to facilitate Information / intelligence exchange.<br>**Annual financial "Service Plan"** (objectives) in place and progress against plan is monitored as part of weekly team meetings (Circa 2Hrs duration).<br>**G4S contractual requirements** are monitored via the overall Service Delivery Agreement. (Including KPI and MI).<br>**Benchmarking exercises** in place utilising HMIC VfM profiles / CIPFA "Back office" / Treasury management "CLUB"<br>**CIPFA review undertaken 2015/16** Development of quality standards for process controls under development led by FCFO May 2017. | New *"Distinctively Lincolnshire"* Force strategic plan published Nov 2017 – Supporting delivery plans in Progress.<br>• Change Board – financial reporting – Projects.<br>• Annual Governance statement (AGS) June 2018.<br>• Resources Governance meeting (RGM) held monthly (work-plan, agenda and action log produced)<br>Meeting includes routine Capital and Revenue reporting, budget forecast, monitoring and assumptions, Treasury Management review, procurement progress against strategy. Project delivery updates.<br>Chief Officer Group - monthly reporting on progress against plans aligned with RGM (as above). * *(Improvements in reporting to COG and by Operational Officers is currently under development by FCFO as at May 2017).*<br>Statutory and regulatory reports completed as required Including Year-end accounts / Budget production / periodic HO returns - approved by CFO.<br>Treasury Management Strategy (inc mid-year review) - associated codes of practice adopted and routine reporting in place. | **Internal finance team reviews** (specifically to review processes and identify improvements)<br><br>Reviews include:<br><br>**"procure to pay" -** completed<br><br>**"Record to Report" -** Ledger processes. To discover and recommend procedural improvements –March 2017<br><br>**"Recruit to Reward"** implementation of new payroll system awaited - Jan 2018.<br><br>**"Order to Cash"** Requirements to be defined by the end of October 2017.<br><br>**Fraud - risk assessment -** Sept 2018– linked to **Corporate Crime regulations requirements.** | Payroll =GREEN / March 2018.and March 2019 – satisfactory .<br>Pensions- July 2016 GREEN<br>Overtime / Time recording - November 2016 = GREEN<br>Income & Debtors –<br>• March 2018 – GREEN<br>Stock Control -July 2016 AMBER limited assurance - action plan<br>Online Banking & Sunguard system - May 2017 = GREEN significant assurance<br>• Apprenticeship Levy – Dec 2017 – GREEN<br>General Ledger – Mar 2018 = Green /<br>Cash, Bank & TM = GREEN March 2018<br>Benefits realisation = Green = satisfactory assurance- March 2018<br><br>Payments & creditors – "satisfactory GREEN" – (March 2018) | KPMG –External Auditors report July 2016/17 – (Covering PCC and Chief Constable) Opinion on financial statements, AGS and VFM requirement.<br>HMIC PEEL Efficiency inspection report (Nov 2016) - Graded as "Good".<br><br>*"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".*<br>**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.* | **GREEN ( 3 October 2018)** | **Audited Accounts / Report delayed (several months behind schedule) due to capacity issues of Auditor) Dec 2019**<br><br>**initial version of budget due for review by the end of Nov 2019.**<br><br>Draft **Fraud Risk Register** created – March 2019 (draft internal audit report on counter fraud received October 2019).- Action plan for implementation to be approved Jan 2020.<br><br>CIPFA review underway – (Sept 2019) |
| C02 | Achieve & Demonstrate efficiencies / VFM | R | ⇔ | PCC | | | | | | | |
| C033 | Financial loss – | A | ⇔ | PCC | | | | | | | |
| ST-76 | Unforeseen pay & claims issues | A | ⇔ | CC | | | | | | | |
| ST-105 | Remaining in Budgets | A | ⇔ | CC | | | | | | | |
| | **RISK SUMMARY & CONTROL**<br><br>One red and five amber risks are recorded across both organisational risk registers - all have developing controls in place. | | | | | | | | | | |

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| **BUDGET & Government FUNDING** | | | | | | | | | | | |
| | | | | | **GREEN** | **AMBER** | **GREY** | **GREEN** | **GREEN** | | |
| ST-40 | Police grants / funding | R | ⇔ | CC | **Outline planning and budget timetable in place** - details key dates / decisions and activity schedule regarding MTFP planning / budget preparation in place.<br><br>**July 2018** - consider implications of future budget options / Agree timetable for management and strategic activity / reporting.<br>**September 2018** - update MTFP / set budget targets 2018/19 to 20/21. - Review Capital programme<br>**October 2018** - commence corporate review of budgets to conclude in November 2017.<br>**December 2018** - review budget position in light of provisional Police Finance Settlement.<br>**Jan 2019** - conduct budget consultation / finalise proposed budget<br>**Feb 2019** - Final Police Finance Settlement notify district councils of precept requirement / final approval of Chief Constable strategies and delivery plans<br>**March 2019** - Budgets loaded onto T-Police system - publish budget holder guidance and budget book / provide feedback to budget holders.<br><br>**Budget framework for 2019/20 and MTFP development framework in place.** | New *"Distinctively Lincolnshire"* Force strategic plan published Nov 2017.<br><br>**Monthly Resources Governance Meetings** - 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. Review of any major risks or issues arising.<br><br>**Jan 2019** - Police and crime panel meeting - presentation of budget.<br><br>**Feb 2019 - PCC issues final Budget Decision Report** (setting budget and council tax)<br>**JIAC reporting** - scheduled / routine reporting to Quarterly meetings (Forward plan manages papers to appear at meetings). | **No assurance** available in this format | **Budgetary Control & MTFP–** Green "Significant Assurance" (October 2017) | **HMIC PEEL Efficiency inspection report (Nov 2016) 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".*<br><br>**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 The lack of clear financial plans to deal with a range of future funding scenarios means that it is not possible for HMICFRS to be certain that the force will continue to be able to provide efficient and effective policing in the future. | **AMBER (3 October 2018)** | **Budget process** underway – meetings between OPCC & Force ongoing – initial version of budget due for review by the end of Nov 2019<br><br>£1,8M **Special Grant** funding awarded - Oct 2019<br><br>Plans to deliver **'Officer Uplift'** in place – notification of allocation of funds to Lincolnshire received – clarification being sought from Home Office. (Dec 2019) |
| C01 | Failure of Govt to address Lincs case for fairer share of funding | R | ⇔ | PCC | | | | | | | |
| | **RISK SUMMARY & CONTROL**<br><br>OPCC and Force risk registers both record RED risks regarding the levels of funding available from Central Government. | | | | | | | | | | |

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| **PROCUREMENT** | | | | | | | | | | | |
| ST-101 | Deletions as per GDPR | R | ⇔ | CC | **AMBER** | **GREEN** | **GREY** | **GREEN** | **GREEN** | | |
| C047 | 'Brexit' | A | ⇔ | PCC | **EU Procurement regulations** in place.(awareness maintained via intelligence sharing and quarterly meetings with East Midlands Legal services)<br><br>Procurement is considered as a specific element of the **Finance Risk Register** - Head of procurement feeds into larger review of financial risks via Head of Finance (G4S).<br><br>**Management and Key performance data** (MIKI) - progress reviewed monthly.<br><br>**Procurement plan** refreshed annually - Approved by Head of Force Finance.<br><br>**Management and performance information** monitored monthly (G4S) including Contract status -renewal / expiry schedules - advice provided to contract holders in line with commercial Partnership contract. | New *"Distinctively Lincolnshire"* Force strategic plan published Nov 2017 – **Supporting delivery plans in Progress.**<br><br>**Resources Governance Meeting -** 6 monthly procurement progress against strategy / plan reviewed.<br><br>**Management and Key information -** internal (MIPI) report produced monthly<br><br>**Savings achieved -** reported quarterly to Home Office.<br><br>**Procurement Spend Data** uploaded to Home Office (6 monthly - to help national assessment of sector spending) | **No assurance** from this area available<br><br>**NB** - Procurement are reviewing their processes in line with the rest of the Finance team. | **Procurement Audit - July 2017**<br>**GREEN -** Satisfactory Assurance.<br><br>**Procurement Audit**<br>Sep/Oct 2018 – Satisfactory Assurance<br><br>Note: *Audit of Strategic procurement planned for 2019.* | **KPMG –External Auditors report July 2016/17 –** (Covering PCC and Chief Constable) unqualified Opinion on financial statements, AGS and VFM requirement. *(October 2017)*<br>**HMIC PEEL Efficiency inspection report (Nov 2016)** 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".*<br>**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.* | **GREEN (3 October 2018)** | Draft **Fraud Risk Register** created – March 2019 (draft internal audit report on counter fraud received November 2019). Action plan for implementation to be agreed Jan 2020) |
| | | NONE | | | | | | | | | |
| | | NONE | | | | | | | | | |
| | | NONE | | | | | | | | | |
| | **RISK SUMMARY & CONTROL**<br>There is currently one red risk relating to the new GDPR regulations. This are being well managed and it is anticipated that the score will reduce in the short term. | | | | | | | | | | |

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| **LOCAL POLICING – East & West Areas** | | | | | | | | | | | |
| | | | | | **RED** | **RED** | **GREEN** | **GREEN** | **AMBER** | | |
| ST -80 | Deployment of officer establishment | R | ⇔ | CC | • **Local Risk Registers,** reviewed at SMT meeting Bi-weekly.<br><br>• **SMT meetings** fortnightly include HR and business manager - standing agenda includes Safety issues. (Mins taken)<br><br>• **Regular quarterly meetings with RAF** to look at mutual aid, support available to help operational delivery objectives.<br><br>• **Operational delivery plan** segmented into areas of specialism for divisional Superintendents.<br><br>• **Divisional Performance officers** in place (east and west force areas.<br><br>• **HMIC recommendations** / actions required managed by Supt at divisional level and tracked using issues matrix.<br><br>• **New performance framework** and approach in place May 2017 - performance analysed in SMT meeting supported by divisional Performance officer. (Linked directly to tasking process)<br><br>• **Monthly finance meeting** between Ch /Supt and Finance Dept | *"Distinctively Lincolnshire"* Force strategic plan published Nov 2017 . -<br><br>• **Operational delivery plan updates** (quarterly) **on hold at Performance Governance meetings (Since Sept 2017)**- for PCC CEX and ACC./ DCC / CC (ad hoc reporting can be requested from Subject matter experts).<br><br>• Written Reports by relevant area commander provided to **COG on any significant issues** arising.<br><br>• **PCC performance report -** published on PCC website (reflects force performance & key crime figures / indicators).<br><br>• **Quarterly Assurance Reports to PCC stopped in Nov 2017 -** revised sources of assurance to be discussed (from 10 Oct 2018).<br><br>• Reporting of **Progress against any HMIC "recommendations" and** "areas for improvement" (AFI) is to be routinely reported at PCSB (from October 2019)<br><br>• First Force Management Statement (FMS Completed May '18 published Sept 2018) – ongoing annual process.<br><br>• Quarterly Public Assurance Meeting (PAM) - PCC reviews force performance in public.(Aug 2019 onwards) – reports and recordings of meeting published on PCC website. | **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.<br><br>(Complaints data is routinely reported / updated on the Force website at *https://www.lincs.police.uk* ) | **Overtime / Time recording - November 2016 = GREEN** Satisfactory Assurance<br><br>**Seized & Found property - Sept 2016 = GREEN** Satisfactory Assurance.<br><br>**Risk Management Audit** June 2018 – Green **– "Significant assurance"**<br><br>**Health & Safety – "Satisfactory/ GREEN" (Sept 2018)** | **HMIC PEEL 2016 Effectiveness Inspection report (Published March 2017) - "GOOD"**<br><br>• **HMIC PEEL Efficiency Insp Nov 2017 – graded as "Requires Improvement"** Areas for improvement:<br>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:<br>•current demand /crimes less likely to be reported<br>The force should complete an audit of leadership skills and put plans in place to address any gaps identified.<br><br>***HMICFRS PEEL Legitimacy (Inc leadership) Insp Dec 2017***<br>Overall Judgement – "GOOD"<br><br>**HMIC PEEL Effectiveness 2017 – Graded overall as "GOOD"**(Published March 2018).<br><br>**HMICFRS – Crime data integrity Inspection 2018** –graded as **"Inadequate"** - Published in July 2018 (Force action plan in place). | **AMBER ( July 2018)** | • Force progress reports against Distinctively Lincolnshire plan available on intranet.(Nov 2019)<br><br>• PCC establishes **Crime Recording Panel** to review issues arising from HMICFRS inspection findings. (Sept 2018). Panel's Report in final stage prior to publication (Nov 2019). **– likely publication date Jan / Feb 2020)**<br><br>**Public Assurance Meetings (PAM) established to review force performance – Hold Chief Constable to account. (Aug 2019). PLUS Revised work-plan and enhanced CC's report for PCSB – to replace elements of outgoing resource and performance governance meetings (Oct 2019)**<br><br>**Significant rise in Crime rates – Lincs outlier in national statistics (ONS – October 2019) – improvement plan under construction (Dec 2019).**<br><br>**Revised forces' corporate planning cycle – Dec 2019** |
| | | | | | | | | | | | |
| ST -78 | Training & Exercising | A | ⇔ | CC | | | | | | | |
| ST -86 | Security (AF&C) | A | ⇔ | CC | | | | | | | |
| C0 44 | Force Operational effectiveness | R | ⇧ | PCC | | | | | | | |
| | **RISK SUMMARY & CONTROL**<br><br>The 2 Amber risks are stable with Red risk (PCC) relates to the operational effectiveness of the force – developing controls are in place. | | | | | | | | | | |

# OPERATIONS NOT PROTECTIVELY MARKED

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| **CRIME (CSE / FRAUD / CYBER / PVP / SOC / Prevention / Firearms Licensing / Major Crime / 'Emerald team')** | | | | | | | | | | | |
| | | | | | **RED** | **RED** | **GREEN** | **GREEN** | **AMBER** | | |
| ST-106 | Brexit | A | | CC | • **Refreshed Crime Allocation policy in nplace 15 Oct 2018** to reconcile ' crime type' approach to allocation with current THRIVE approach being used for management of demand.<br>**Remaining Key departmental policies in place and current June 2017**<br><br>• **Local Risk Registers**, reviewed at SMT on a fortnightly basis. (Includes FCR issues).. Clear escalation process in place.<br><br>**Progress against Operational delivery plan** is covered across a range of management meetings including....<br>• **SMT meetings held every 2 weeks** for Chief inspectors and above including HR and Business manager.<br>• **Monthly meetings** held within key business areas - covering departmental themes.<br>• **121 meetings held** with all officers of Chief inspector rank and above<br>• **IMU audit results and HMIC recommendations** are placed into a matrix and progress against actions required are reviewed<br>• **Head of Crime meets with ACC** Monthly to discuss progress and key issues arising.<br><br>• **Performance issues relating to operational policing** are also discussed at these meetings as are potential improvements in practice - issues discussed do change activity / approach taken EG - changes in collection of CCTV evidence via email.<br>• **Welfare issues** also considered as part of performance / progress reporting / monitoring regime.(particularly in PPU area of work)<br>• **Crime file quality** - 5 point plan introduced in May 2017 - to monitor and improve quality of crime files submitted to CPS.<br>• Monthly Firearms performance meetings chaired by the DCC.. | New *"Distinctively Lincolnshire"* Force strategic plan published Nov 2017.<br><br>**HMICFRS progress tracker** (from Mar 2018)<br>• **Verbal update to COG every 2 weeks** by head of Crime department - (Meeting minuted).<br>• **ACC** - Crime portfolio holder provides 1-2-1 verbal update and exception report to PCC monthly<br>.<br>• **Exceptional issues arising (strategic level)** can be reported to PCSB within Chief constable written / verbal report.<br>Safeguarding issues reported via County **Safeguarding Boards.**<br><br>• First Force Management Statement (FMS Completed May '18 published Sept 2018) – ongoing annual process.<br><br>• New force management Boards in place Nov 2018<br><br>Quarterly Public Assurance Meeting (PAM) - PCC reviews force performance in public.(Aug 2019 onwards) – reports and recordings of meeting published on PCC website. | **Complaints handling - August 2016 Audit opinion = GREEN Satisfactory Assurance**<br>"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.<br><br>(Complaints data is routinely reported / updated on the Force website at *https://www.lincs.police.uk* )<br><br>**IMU Audit Regime**<br>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). | **Overtime / Time recording - November 2016 = GREEN** Satisfactory Assurance<br>**Seized & Found property - Sept 2016 = GREEN** Satisfactory Assurance.<br>**Firearms Licensing – March 2018** GREEN satisfactoiry assurance.<br>**Risk Management Audit** June 2018 – Green **–"Significant assurance"**<br>**Health & Safety – "Satisfactory/ GREEN" (Sept 2018)** | **IHMIC PEEL 2016 Effectiveness Inspection report (Published March 2017) -"GOOD"**<br><br>**HMICFRS PEEL 2017 Effectiveness Inspection report (Published March 2018) - "GOOD"**<br><br>**JTAI report Dec 2016** - Joint targeted area inspection of the multi-agency response to abuse and neglect in Lincolnshire<br>Key Strength<br>The local partnership has a clear and collective determination and drive to engage agencies in delivering approach to tackle domestic abuse.<br>Main AFI - Related to backlog in CRU and 'Stop Abuse Forms' referrals to childrens social services<br><br>• **HMIC PEEL Efficiency Insp Nov 2017 – graded as "Requires Improvement"**<br><br>***HMICFRS PEEL Legitimacy (Inc leadership) Insp Dec 2017***<br>Overall Judgement – **"GOOD"**<br><br>**HMIC PEEL Effectiveness 2017 – Graded overall as "GOOD"(**Published March 2018).<br><br>**HMICFRS – Crime data integrity Inspection 2018** –graded as "Inadequate" - Published in July 2018 (Force action plan in place).<br><br>**HMICFRS – Child protection inspection** report published Feb 2019 – force action plan in place.( follow-up **Re-inspection conducted October 2019**<br><br>**Biometrics commissioner** – inspection visit 6 July 2018 – report made recommendations October 2018. | **AMBER July 2018** | • New structure for Crime Dept, implemented Sept 2018 – creation of 'protecting vulnerable people' focus.<br><br>• Problems attracting and **retaining detectives** - potential investigative capacity issues.<br><br>• **Violence Gold group established (Dec 2019) OPCC to attend from Jan 2020**<br>• **Public Assurance Meetings (PAM) established to review force performance – Hold Chief Constable to account. (Aug 2019). PLUS**<br>**Revised work-plan and enhanced CC's report for PCSB – to replace elements of outgoing resource and performance governance meetings (Oct 2019)**<br><br>• **Significant rise in Crime rates – Lincs outlier in national statistics (ONS – October 2019) – improvement plan under construction (Dec 2019).**<br><br>• **Revised force corporate planning cycle – Dec 2019** |
| C047 | 'Brexit' | A | ⇔ | PCC | | | | | | | |
| C041 | Regional Collaboration | R | ⇧ | PCC | | | | | | | |
| | | | | | | | | | | | |
| | | | | | | | | | | | |
| C044 | Operational effectiveness | R | ⇧ | PCC | | | | | | | |
| | **RISK SUMMARY & CONTROL**<br>All of these risks have developing controls in place. | | | | | | | | | | |

# 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** | |
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| | | | | | **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 | | |
| **FORCE CONTROL ROOM (FCR)** | | | | | | | | | | | |
| | NONE | | | | **GREEN** | **AMBER** | **GREEN** | **GREY** | **AMBER** | | |
| ST -71 | ICT Functionality (Mapping) | **G** | ⇔ | CC | • Key policies - **Call Handling & Business Continuity - up to date as at May 2017**<br><br>• **Monthly performance** meetings - KPI's are reviewed along with staffing issues including retention and training.<br><br>• **Local Risk Registers, reviewed at SMT** on a fortnightly basis. (Includes FCR issues).. Clear escalation process in place.<br><br>• **Monthly 1-2-1 meetings** with FCR manager (G4S) and Head of Crime (Police)<br><br>• **1-2-1 with FCR manager** (G4S) and Deputy Chief Constable<br><br>• **Crime SMT Meeting** - staffing and IT issues (Minuted meeting). | New *"Distinctively Lincolnshire"* Force strategic plan published Nov 2017.<br><br>• **Monthly performance** reviewed - verbal updates provided to Head of Crime<br><br>• **Written status / research / review reports** are presented to Head of Crime on a ad hoc basis dependent on issues arising.<br><br>• **Performance metrics are monitored and reported** via the Management of the G4S contract (CPT unit) including PI / KPI / SKPI.(governance structure)<br><br>**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.<br><br>Reporting of **Progress against any HMIC "recommendations" and** "areas for improvement" (AFI) is routinely reported at PCSB ( Force / OPCC meeting).<br><br>• First Force Management Statement (FMS Completed May '18 published Sept 2018) – ongoing annual process.<br><br>• New Force management Boards in place Nov 2018<br><br>Quarterly Public Assurance Meeting (PAM) - PCC reviews force performance in public.(Aug 2019 onwards) – reports and recordings of meeting published on PCC website. | **Complaints handling - August 2016 Audit opinion = GREEN Satisfactory Assurance**<br>"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.<br><br>Complaints data is routinely reported / updated on the Force website at https://www.lincs.police.uk | *No Audit assurance available in this area of business* | **IHMIC PEEL 2016 Effectiveness Inspection report (Published March 2017) Graded as "Good"**<br><br>• **HMIC PEEL Efficiency Insp Nov 2017 – graded as "Requires Improvement"**<br><br>***HMICFRS PEEL Legitimacy (Inc leadership) Insp Dec 2017***<br>Overall Judgement – "GOOD"<br><br>**HMIC PEEL Effectiveness 2017 – Graded overall as "GOOD"**(Published March 2018).<br><br>**HMICFRS – Crime data integrity Inspection 2018** –graded as **"Inadequate"** - Published in July 2018 (Force action plan in place). | **AMBER July 2018** | **New "Command and Control" system"**, Project plan re-scheduled – Rectification plan agreed (Nov 2019)<br><br>Scoping work underway for real-time **understanding of demand** – project group to meet (Dec 2019).<br><br>**Mental Health Nurses** in FCR and rapid response vehicles – jointly funded PCC/ CCG Feb 2019.<br><br>PCC establishes **Crime Recording Panel** to review issues arising from HMICFRS inspection findings and progress against improvements required. **(Sept 2018).**<br><br>**Revised call taking processes are impacting on call handling times and abandonment rates for 101 calls. Monitoring ongoing Dec 2019.** |
| | NONE | | | | | | | | | | |
| | **RISK SUMMARY & CONTROL**<br><br>This organisational level risk currently recorded in this business area relates to the functionality of ICT in the FCR. Key systems are scheduled for replacement and a programme of work is underway. | | | | | | | | | | |

| | *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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| | | | | | **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** | | | | | | | | | | | |
| ST-95 | Medical services | A | ⇔ | C C | **GREEN** | **GREEN** | **GREEN** | **GREEN** | **GREEN** | | |
| | **RISK SUMMARY & CONTROL**<br><br>There is a single organisational level risk recorded on the Force risk register relating directly to Custody. All risks identified are managed at a local / regional level. | | | | Force **Custody policy** in place and up to date as at April 2017.<br><br>EMCJS (regional) **Risk Register** - Maintained by Business Support Manager in place with clear escalation process used.<br><br>Quarterly **strategic custody group** meeting held between Regional ACC and Chief Inspectors responsible for each Custody Hub.<br><br>EMCJS Lead J Debenham chairs monthly Force custody **lead officers** meeting - progress against strategic custody plan reviewed and any issues arising.<br><br>**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<br><br>Specified leads and governance structure in place for introduction of **New Bail legislation - April 2017.**<br><br>**Dip samples** conducted of Custody records to ensure compliance with required standards e.g. Risk assessments, bail data, PACE compliance.<br><br>**New Vulnerability Strategy** (The Vulnerable in Custody) introduced **April 2017.**<br><br>Force Lead (Chief Inspector) conducts **routine monthly meetings** with 13 designated Custody Inspectors across region (2 located in Lincs).<br>(PD187 Bail Management Policy is in place) | New *"Distinctively Lincolnshire"* Force strategic plan published Nov 2017.<br><br>Regional performance reporting - **Mixed Scorecard approach** (data and narrative) - extensive data collection and analysis driven at a regional level covering East Midlands forces.<br><br>**HMIC inspection tracker** (regional) in place to monitor Custody specific actions. - Progress recorded against HMIC recommendations - feeds into Lincolnshire HMIC Inspection tracker - routinely reported at force /opcc performance governance Meeting (Held every 2 months).<br><br>**Quarterly Assurance report** specific to Custody business area- produced by Force / Northern Hub lead, for circulation to DCC / PCC.<br><br>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.<br><br>**EMCJS - performance scorecard** used to monitor & Manage performance across a range of services / business areas.(used at a local and regional level)<br><br>**Monthly Professional standards Governance meeting** - reporting of professional standards information including complaints management.<br><br>• First Force Management Statement (FMS Completed May '18 published Sept 2018) ongoing annual process. | **Complaints handling - August 2016 Audit opinion = GREEN Satisfactory Assurance**<br>"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.<br><br>Complaints data is routinely reported / updated on the Force website at https://www.lincs.police.uk | **Complaints handling** - August 2016 Audit opinion = GREEN Satisfactory Assurance<br>"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.<br><br>**Health & Safety – "Satisfactory/ GREEN" (Sept 2018)** | **HMIC- Unannounced Custody Insp 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"<br>one ongoing relating to:<br>*Lincolnshire Police should collate and use data more meaningfully.*<br>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.<br><br>**HMIC efficiency Insp Nov 2017 Overall Judgement – "Requires Improvement".**<br>Lincolnshire Police is judged to require improvement in the efficiency with which it keeps people safe and reduces crime.<br><br>The force's understanding of demand is judged to require improvement; it is judged to be good for its use of resources to manage demand; and its planning for future demand is judged to require improvement.<br><br>IHMIC PEEL 2017 Effectiveness Inspection report (Published March 2018) overall Graded as "Good". | **GREEN July 2018** | **Changes to Bail**<br>Legislation (April 2017) are being implemented - impact under assessment at force and regional level.<br>.<br><br>**Provision of Appropriate Adults** – (LCC / OPCC) Children and adults within revised scope – consultation with employees underway- (Nov 2019). |

# 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 | | |
| **ICT & INFORMATION MANAGEMENT (Inc Security & Vetting)** | | | | | | | | | | | |
| | | | | | **GREEN** | **AMBER** | **GREEN** | **GREEN** | **GREEN** | | |
| ST -82 | Sustained Cyber-attack | A | ⇔ | CC | • **ICT & IMU departmental Risk Registers** in place and routinely reviewed by relevant SMT.<br>• **Joint ICT / IMU meeting held monthly** This progresses Information assurance and IT issues and acts as a joint forum for discussion / problem solving.<br>• **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.<br>All the above meetings are subject to full minutes being taken.<br>• **Monthly individual business area meetings** within the IMU department to discuss performance issues and development / improvement - problem solving considerations.<br>• **IMU monthly performance measures /** results - provided to ACPO lead, for monitoring on a monthly basis.<br>• All policies affecting ICT and IMU are current and in place<br>• ICT Head attends management meetings -<br>• G4S Executive Committee (Heads of departments) monthly<br>• G4S Operations Board - fortnightly<br>• CPT service delivery review - Monthly- (contractual framework / performance)<br>(action logs recorded for departmental meetings). | New *"Distinctively Lincolnshire"* Force strategic plan published Nov 2017 – **Supporting delivery plans in Progress.**<br>• **Resources Governance meeting** - 6 monthly **ICT strategic progress Report -** most recent in JAN 2017<br>• **IMB-Information Management Board,** Chaired by the SIRO at ACPO strategic level and held quarterly**.**<br>• **Governance and Information Risk Return** (GIRR) -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 **- May 2017.**<br>• **IMU - DBS performance** - monitored by the Disclosure and Barring Service (DBS), national figures published on a monthly basis.- currently rated as 1st **- national leaders.**<br>• **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.<br>**Transactional Management Board -** receives monthly update report.<br>•First Force Management Statement published (Sept 2018 | • **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.<br>• 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.<br>• IMU conduct a series of scheduled **Information Assurance Audits** on internal systems and operational processes in **High, Medium and Transactional risk areas** these include:<br>Vetting / Police National Computer - / Sensitive intelligence / Security Policy / VISOR system / MISPERS / Domestic Abuse / Custody / Hate Crime / RRD.<br>• **ICT - Compliance with ISO 27001** - internally checked (future plan to achieve certification - externally verified). | **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."*<br>**ICT – Business Continuity** – *Oct 2017* = **Significant assurance**<br>**T Police – Dec 2017 Green Satisfactory assurance.**<br>**GDPR** Nov/Dec 2018– Significant Assurance<br>IMU conduct a series of **scheduled Information Assurance Audits** on internal systems and operational processes in High, Medium and Transactional risk areas these include:<br>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.<br>**HO National Information Management** Summary Report (reporting methods for IA) published to all forces for comparison. **Lincs Police ranked 1st. (May 2015).**<br>**HMIC Building the picture: an inspection of police information management (July 2015).** - No serious issues identified.<br>**HMIC PEEL 2016 Effectiveness Inspection report "GOOD"** (Published March 2017)<br>**IHMIC PEEL 2017 Effectiveness Inspection report (Published March 2018) overall Graded as "Good".** | **AMBER July 2018** | Migration of Information from Regional legacy systems into GENIE to facilitate Regional functionality - ongoing work (2019)<br>ESN / Airwave replacement – major impact / implementation considerations.(national programme under review – potential future cost implications Nov 2019). Watching brief. |
| | | | | | | | | | | | |
| 05 6-IM U | ICT Functionality | R | ⇔ | CC | | | | | | | |
| ST -72 | ICT Compatibility | A | ⇔ | CC | | | | | | | |
| | **RISK SUMMARY & CONTROL**<br>There are 3 risks in the Force 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. | | | | | | | | | | |

# 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** | |
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| | | | | | **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 | | | | **GREEN** | **RED** | **GREY** | **GREEN** | **GREY** | | |
| C045 | Disposal of West Parade | **A** | ⇔ | PCC | • **Risk Register** - is reviewed at the force Risk Management Board and on a quarterly basis at departmental SMT meeting.<br>• **Quarterly Departmental Management Team (DMT)** meetings held to discuss performance, Health and safety, HR and issues arising.<br>• **Bi - monthly team meetings** held to ensure escalation and cascading of relevant information.<br>• **Regional meeting (Fleet)** - Chaired by ACO from Leicestershire and all 5 regional fleet managers attend, along with representatives from EMSOU, EMSCU, EMOPSS and EMCHRIS.<br>• **Regional Fleet Administrators meeting** - areas of best practice are exchanged.<br>• **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.<br>• **Monthly Asset Management meetings-** Attended by ACO, CPT, Finance, A&FM and Fleet.<br>• **Management plans** in place and published on intranet include, asbestos management / assets / environmental / water.<br>• **Health& safety plan - /** strategy in place<br><br>• **Assets management group meetings -** quarterly reporting (inc ACO,HoCPT, HoFleet, Finance representative**.**<br><br>• **Annual 5 force best practice sharing** meeting and quarterly technical meeting (Fleet). | New *"Distinctively Lincolnshire"* Force strategic plan published Nov 2017 –<br><br>• **Monthly 1-1** with each Head of Department with representative from CPT to discuss service delivery"<br><br>• **Resources Governance Meeting held Monthly -** with specific update report on Fleet and Estate provided 6 monthly.<br><br>**Monthly Service delivery reporting**<br><br>G4S lead has 1-2-1 with head of **Commercial Partnership Team** to review SDA KPI - service delivery.<br><br>**PCSB - Monthly chief constables report -** opportunity to report on strategic issues affecting Estates and Fleet.<br><br>• First Force Management Statement (FMS Completed May '18 published Sept 2018) – ongoing annual process. | No Assurance available in this form. | Fleet Management Audit - GREEN Substantial Assurance - Aug 2017.<br><br>Health & Safety – "Satisfactory/ GREEN" (Sept 2018).<br><br>Estates Management – GREEN "Significant Assurance" (October 2018) | No specific independent external assurance available for Estates Management / Fleet Management*. | **AMBER July 2018** | • Blue Light - City campus works completed – building now occupied in phased stages (from August 2019)<br><br>• Options for disposal of West Parade under consideration with interested party.(Dec 2019)<br><br>• Options for use of old Skegness Magistrates court under consideration (Sept 2019). |
| | NONE | | | | | | | | | | |
| | NONE | | | | | | | | | | |
| | **RISK SUMMARY & CONTROL** There is currently one organisational level risk recorded in this area of business. This is a strategic risk raised by the OPCC and relates to the significant stakeholder issues associated with disposal of this property. A potential solution is under discussion (Jan 2020) | | | | | | | | | | |

| | 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 | | |
| **HUMAN RESOURCES Including LEARNING & DEVELOPMENT** | | | | | | | | | | | |
| ST-96 | PEQF | A | ⇔ | Cc | AMBER | AMBER | GREY | AMBER | GREEN | | |
| ST-85 | Training Facility | G | ⇔ | CC | • HR / L&D departmental **Risk Register** in place.<br>• **Strategic People Board – (Established 2018) –** Remit = ' *a central point in relation to all people activities, ensuring that the Force is adequately resourced and skilled to deliver'.*<br>• ACO authorises all staff recruitment.<br>• *Action plan in place in response to HR Audit – limited assurance result (June 2018).*<br>• *Book on Book off system in place across the force. (Aug 2019)* | *"Distinctively Lincolnshire"* Force strategic plan published Nov 2017.<br><br>**Workforce 'Establishment' data** - *"Blue Book" produced monthly / Volunteers "yellow book"* Quarterly- Review scheduled to ensure effective content in Q1&2 2017/18<br><br>**Resource Governance Meeting (RGM) Monthly** - Key People data report updated BI -monthly and specific HR related project work.<br><br>PCSB - Chief constables report - opportunity to highlight strategic issues relevant to HR.<br><br>• First Force Management Statement (FMS Completed May '18 published Sept 2018) – ongoing annual process.<br><br>• New force management Boards in place Nov 2018<br><br>Quarterly Public Assurance Meeting (PAM) - PCC reviews force performance in public.(Aug 2019 onwards) – reports and recordings of meeting published on PCC website. | No assurance available in this format.<br><br>(Complaints data is routinely reported / updated on the Force website at *https://www.lincs.police.uk* ) | **T- police UAT & change management** Green - Significant assurance **(Apr 2016)**<br><br>**Pensions Audit Mar 2016** Green Satisfactory Assurance.<br><br>**Complaints audit (Aug 2016)** - green "satisfactory"<br><br>**Overtime time** recording **Green** - Significant assurance **(Nov 2016)**<br><br>**Learning and development March 2017** - GREEN satisfactory assurance.<br><br>**T Police – Dec 2017** Green Satisfactory assurance.<br>• **Apprenticeship Levy – Dec 2017 – Green** satisfactory assurance. (managed by G4S PSS)<br><br>**HR - "Recruit To Reward" - June 2018 AMBER** "Limited Assurance" HR recruitment guidance / processes to be refreshed following HR audit June 2018.(Amber - Limited Assurance). | **2016 HMIC PEEL legitimacy report** •The extent to which the force is **legitimate** at keeping people safe and reducing crime is **"Good"**<br><br>**HMIC Efficiency Inspection Nov 2017 – "requires improvement"**<br><br>**HMICFRS PEEL Legitimacy (Inc leadership) Insp Dec 2017** Overall Judgement – **GOOD.**<br><br>**IHMIC PEEL 2017 Effectiveness Inspection report (Published March 2018) overall Graded as "Good".**<br><br>**HMICFRS – Crime data integrity Inspection 2018** – graded as "Inadequate" - Published in July 2018 (Force action plan in place). | AMBER July 2018 | PDR completion rates remain a challenge (Dec 2017). Revised approach under consideration (Aug 2019)<br><br>Appropriate tracking & maintenance of key officer / specialist qualifications and training is under review. (Sept 2017). – work ongoing Jan 2018.<br><br>2 days Wellbeing leave for force employees– Policy adopted by force for 2 year trial period ends in 2020. |
| ST-107 | Driver Training | A | ⇔ | CC | | | | | | | |
| | NONE | | | | | | | | | | |
| | NONE | | | | | | | | | | |
| | **RISK SUMMARY & CONTROL** There are three risks in this area of business all on the force risk register each is stable with developing controls in place. | | | | | | | | | | |

# COMMERCIAL PARTNERSHIP – G4S 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 | | |
| **COMMERCIAL PARTNERSHIP** | | | | | | | | | | | |
| | NONE | | | | **GREEN** | **AMBER** | **GREEN** | **GREEN** | **GREEN** | | |
| C 0 9 | Delivery of contractual objectives | A | ⇔ | PCC | **A CPT departmental Risk Register** is in place - with clear escalation process to strategic risk register.<br><br>**Service Delivery Agreement (SDA)** is in place (Contract) which details the services that G4S shall deliver and the governance structure underpinning their delivery.<br><br>**Performance framework** in place detailing KPI and indicators at a tactical level. Monthly Performance Report received detailing performance achieved that month against target service levels.<br>**Performance & delivery board** held quarterly. (Minuted)<br><br>**Transactional Management Board (TMB)** held monthly (Minuted).<br><br>**Dispute resolution process** in place - detailed within the SDA including problem escalation.<br><br>**Change management process** in place- Business cases provided to TMB / decision paper prepared for OPCC approval and publication on PCC website.(Where applicable)<br><br>Service Review Meetings (Tactical Level) held monthly with G4S Business Leads and CPT contact managers. | New *"Distinctively Lincolnshire"* Force strategic plan published Nov 2017<br><br>**6 Monthly Executive board meetings** held between PCC/CE/ DCC/ G4S MD to discuss Vision and Strategy for the Partnership.<br><br>**Performance and delivery board** quarterly meetings<br><br>**Resources Governance Meeting - Monthly (PCC / CFO / DCFO, HoHR, ACO and** functional leads as required)<br>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.<br><br>• First Force Management Statement (FMS Completed May '18 published Sept 2018) - ongoing annual process. | CPT conduct **monthly dip sample** data quality tests on 'Raw Data' used by G4S in performance analysis & monitoring of KPIs.<br><br>**Internal review carried out by G4S in Oct 2016** - the contractual performance framework and how G4S provide data - openly shared with the CPT and no areas of concern identified.<br><br>**Complaints data** is routinely reported / updated on the Force website at https://www.lincs.police.uk | **• G4S Contract Management** Aug 2017 - satisfactory assurance<br>**• ICT/Business Continuity** 27 June 2017<br><br>• L & D :TBA<br><br>**• Vehicle Fleet management** : Aug 2017 – GREEN substantial assurance<br><br>**• T Police – Dec 2017 Green Satisfactory assurance.**<br><br>**• Contract Management** (G4S) August 2017 = Satisfactory / Green.<br><br>**• Apprenticeship Levy – Dec 2017 – Green satisfactory assurance. (managed by G4S PSS)**<br><br>**Firearms Licensing – March 2018** GREEN satisfactory assurance.<br><br>**Health & Safety – "Satisfactory/ GREEN" (Sept 2018)** | **PEEL Efficiency inspection report 2015** - grade "requires improvement".<br><br>**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".<br><br>**HMIC efficiency Insp Nov 2017**<br>**Overall Judgement – Requires improvement.** Lincolnshire Police is judged to require improvement in the efficiency with which it keeps people safe and reduces crime.<br><br>The force's understanding of demand is judged to require improvement; it is judged to be good for its use of resources to manage demand; and its planning for future demand is judged to require improvement.<br>**HMICFRS – Crime data integrity Inspection 2018** – graded as "Inadequate" - Published in July 2018 (Force action plan in place). | **GREEN July 2018** | Review of SDA - PI/SKPI is being planned to ensure measurement of correct indicators of service delivery / performance.<br><br>Draft **Fraud Risk Register** created – March 2019 (draft internal audit report on counter fraud received November 2019 - Action plan / implementation to be agreed Jan 2020)<br><br>Commercial Contract review process timetable extended – decision due in 2020. (Nov 2019).<br><br>Governance review – working group established Oct 2019. |
| C 0 4 0 | Review / Transition Planning | R | ⇔ | PCC | | | | | | | |
| | NONE | | | | | | | | | | |
| | NONE | | | | | | | | | | |
| | **RISK SUMMARY & CONTROL**<br>The risks in this area of business relate to contractual issues and achievement of agreed objectives within The general contract (SDA) as applied across all areas of service delivery and the scheduled review of the SDA leading up to the end of the contract period.<br><br>The 'objectives' risk profile is reducing as the likelihood of objectives not being reached diminishes as the contract period shortens. | | | | | | | | | | |

# COLLABORATIONS 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 / Legal Services / Occupational Health / EMCJS / EMSOU Forensic Services)** | | | | | | | | | | | |
| ST -90 | Regional Collaborations | R | ⇔ | CC | **AMBER** | **GREEN** | **GREY** | **GREEN** | **GREEN** | | |
| C041 | Regional Collaborations | R | ⇔ | PCC | **Section 22 (Police Act 1996) - Collaboration agreements are in place for Collaborative services.**<br><br>**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)<br><br>**Regional risk register in place** - and co-ordination with Force register is managed via Regional SPOC.<br><br>**EM PCC / Chief's Resources Board**-- Bi monthly (Agenda & Minutes produced) - 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)**<br><br>**EM PCC & CE Business Meeting- Bi monthly (agenda & Minutes produced)**<br><br>**EM OPCC Chief Executives Board- Bi monthly (Agenda & Minutes produced).**<br><br>**Regional CFO's meeting - quarterly (informal agenda)**<br><br>**EM PCC / Chief's board - Bi monthly (Agenda & Minutes produced)**<br><br>**EMSOU - Forensic services -** Corporate Performance Pack (Reviewed at Lincs Perf Governance meetings)<br><br>**EMCJS - performance scorecard** used to monitor & Manage performance across a range of services / business areas.(used at a local and regional level) | **EM PCC / Chief's board - Bi monthly** (Agenda & Minutes produced)<br><br>**EM PCC / Chief's Resources Board— quarterly** (Agenda & Minutes produced)<br>**EM PCC & CE Business Meeting- Bi monthly** (Agenda & Minutes produced**)**<br>**EM OPCC Chief Executives Board- Bi monthly** (Agenda & Minutes produced)<br>**JIAC collaboration reporting** - JIAC to receive regional audit reports, in summary, regarding collaborated services.(from July 2017).<br>**PCC Decision Notices** (including rationale / business case for all significant decisions) published on the PCC Website.<br>**EMCJB -** Chief officer attend Quarterly meetings (inc Performance monitoring / service delivery).<br>**EMSOU - Forensic services -** Corporate Performance Pack (Reviewed at Lincs Perf Governance meetings<br>**EMCJS - performance scorecard** used to monitor & Manage performance across a range of services / business areas.(used at a local and regional level)<br>**New performance framework /** metrics in place for EMOpSS - (July 2017).<br>**PCC Regional Secretariat** created Nov 2017 inc Collaboration Mangr & analyst & Adminstr.<br>**EM - PCC/ Chiefs Board - to review performance established Aug 2017**<br><br>• **Regional PCC's collaboration management team** in place March 2018 (located Lincs OPCC) | NO recent assurance available from this source specifically relating to collaborations<br><br>**Complaints handling - August 2016 Audit opinion = GREEN Satisfactory Assurance**<br>"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.<br><br>**Complaints data** is routinely reported / updated on the Force website at https://www.lincs.police.uk | **NOTE - Regional Audits** are reported to JIAC on a quarterly basis in summary form.<br>**Regional Audits 2016/17**<br>**NOTE:** These audits use a standard scope and ToR - the audit opinion for the 3 relating to Lincs are below.<br>• **EM Legal services - amber / limited assurance**<br>• EMSOU (overall) - **Satisfactory assurance / green**<br>• EMOpSS - **Satisfactory assurance / green**<br>**Regional Audits 2017/18**<br>NOTE: These audits use a standard scope and ToR -<br>• EMCHRS - Occupational Health **"substantial assurance" Nov 2017.**<br>• EMCJS **"Satisfactory" Jan 2018**<br>• EMSOU - Forensic Services – "**Substantial "Oct 2017**<br>HRS learning & development **"satisfactory Sept 2017**<br><br>**Audit of POCA 2017/18 (planned)**<br>**Lincs Road Safety Partnership**<br>Nov 2017= limited assurance / March 2019 follow-up = GREEN Significant assurance | **HMIC Regional Organised Crime Units Review (EMSOU)**<br>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)<br><br>**HMIC Effectiveness Insp 2016 - GOOD**<br>Overall judgment is an improvement on last year, when HMIC judged the force to require improvement.<br><br>**IHMIC PEEL 2017 Effectiveness Inspection report (Published March 2018) overall Graded as "Good"**<br><br>**HMICFRS – Crime data integrity Inspection 2018 Lincolnshire** –graded as **"Inadequate"** - Published in July 2018 (Force action plan in place). | **AMBER July 2018** | • **Nottinghamshire police withdraw** from EMOpSS collaboration - April 2018.<br><br>**Regional Collaboration - Sec 22** agreement under review.<br><br>**Review of EMSOU** due to report end of Nov 2019 – report recommendations accepted in part by regional board Dec 2019.<br><br>**Regional budget –** scenarios prepared and review underway due for discussion at PCC/ CC Board - Nov 2019. Potential for National decisions relating to funding of regional collaborations – watching brief, Dec 2019.<br><br>Regional collaborative leads to prepare **'Assurance Statements'** (self-assessment audits to feed into internal audit process). |
| ST -100 | GDPR | A | ⇔ | CC | | | | | | | |
| | | | | | | | | | | | |
| | | | | | | | | | | | |
| | **RISK SUMMARY & CONTROL**<br>The risk recorded on the OPCC register relating to collaborations has a rising risk profile – relating to the withdrawal of Nottinghamshire from the EMOpSS collaboration and the resulting implications for all collaborations. (both operational and governance related)<br><br>There are developing controls in place - The PCC CC and CE continue to monitor the risk through their current regional governance arrangements with regional colleagues. | | | | | | | | | | |

# 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)** | | | | | | | | | | | |
| C0 48 | Police complaints | A | ⇔ | PCC | **AMBER** | **AMBER** | **GREEN** | **GREEN** | **GREEN** | | |
| ST -79 | Transition to new ESN | R | ⇔ | CC | New *"Distinctively Lincolnshire"* Force strategic plan published Nov 2017 – **Force change manual** is in place since **Feb 2017** which details how organisational change should be conducted /& administered including benefits measurement and realisation.<br><br>**Formal project management processes are in place (Prince II).** Trained project managers and project support officers in place.<br><br>**Benefits realisation strategy** in place April 2017 (measurement / monitoring - linked to project and programme work).<br><br>**Business Case Policy -(PD29)** in place - (preparation / presentation of a business case)<br>**Business continuity / crisis management** Policy in place (PD90)<br><br>**Change Board -** Force reviews major change programmes and projects<br>SMB - Force Senior management board meets monthly<br><br>OPCC & Force represented at **Lincolnshire Counter Fraud Partnership** – quarterly meetings (LCFP Liaison is via RPO / OPCC).<br><br>• Regional PCC's collaboration executive team in place March 2018 (located Lincs OPCC) | New *"Distinctively Lincolnshire"* Force strategic plan published Nov 2017.<br><br>Reporting of **Progress against HMIC "Recommendations" and** "Areas For Improvement" (AFI) to be routinely reported at performance governance Meeting from June 2018 (Held every 2 months)<br>**Professional Standards Governance meeting-** meets quarterly (complaints monitoring and officer / staff conduct issues reviewed)<br><br>**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 )..<br>**Project and Programme update report –** (Update to PCSB quarterly)<br><br>**Chief constables monthly report to PCSB** (Public and confidential versions produced)<br><br>**JIAC reporting -** reporting to Quarterly meetings (Forward plan manages papers appearing)<br><br>**Force Management Boards**: (Est Dec 18 / Jan 19) (Actions / mins recorded)<br>• Change Board<br>• Wellbeing Board<br>• Quality of Service Board<br>• Distinctively Lincolnshire Board<br><br>• First Force Management Statement (FMS Completed May '18 published Sept 2018) – ongoing annual process. | See **Internal audit** results and Regular **Professional Standards Governance meetings** for complaints management assurance.<br><br>Complaints data is routinely reported / updated on the Force website at **https://www.lincs.police.uk** | **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.*<br><br>***Code of Corporate Governance** – Audit May 2018 – GREEN – **"Satisfactory assurance"***<br><br>**Risk Management Audit** June 2018 – Green **– "Significant assurance"**<br><br>**Benefits realisation =** Green = satisfactory assurance- March 2018.<br><br>**Health & Safety – "Satisfactory/ GREEN" (Sept 2018)** | **2016 HMIC PEEL Effectiveness report (Published March 2017**)<br><br>• **HMICFRS – PEEL Effectiveness 2017** (Pub March 2018) – "GOOD"<br><br>•**HMICFRS PEEL Legitimacy (Inc leadership) Insp Dec 2017** – overall grading "**GOOD"**<br><br>• **Risk Management maturity** Peer Review by Leicestershire Police rated Lincolnshire as **Proficient** – (possible scores = Novice, Competent, Proficient and Expert (**9 Aug 2017**). Peer review by local councils – Force achieved Grade 4 maturity (out of possible 5) scored second highest out of 9 peers**. (Oct 2018)**<br><br>**HMICFRS – Crime data integrity Inspection 2018** – graded as **"Inadequate"** - Published July 2018 (Force action plan in place). | **AMBER July 2018** | • **Victims Strategy** published Dec 2018 – public launch March 2019<br><br>• **"Distinctively Lincolnshire"** – reporting of progress against plan available on force intranet. (file structure & update reports against objectives.(Nov 2019)<br><br>**Resources and Performance governance boards replaced** with new Public Assurance Meeting (PAM) and existing PCSB from August 2019.<br><br>**New Corporate Planning process** introduced October 2019 – inc revist of DL plan activities and objectives.<br><br>**Revised Force format for performance reporting** linked to operational tasking based on threat harm and risk.<br><br>Governance review – working group established Oct 2019. |
| C0 36 | 'Blue Light' Programme | A | ⇔ | PCC | | | | | | | |
| C0 37 | Chief Officer Team | A | ⇔ | PCC | | | | | | | |
| C0 38 | Service Commissioning Capacity | A | ⇔ | PCC | | | | | | | |
| C0 39 | Local Partnerships | A | ⇔ | PCC | | | | | | | |
| C0 6 | Capacity & Resilience in OPCC | A | ⇩ | PCC | | | | | | | |
| | **RISK SUMMARY & CONTROL**<br><br>All risks have developing controls in place. | | | | | | | | | | |

## KEY

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

**RISK STATUS - Direction of Travel**
(Copied from the Force or OPCC risk register – based on existing & developing controls).

| Risk reducing | No change/stable | Risk increasing |
|---|---|---|
| ⇩ | ⟺ | ⇧ |

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

**UPDATE LOG – Showing from August 2019 ONLY**

| Map Version | Updated by | Review / Meeting (JAR / RMB / IMM) & by RPO - FRPRO | Date | Key Update / Review Meeting Outcome / Comments |
|---|---|---|---|---|
| | | | | |
| **1.9.14** | Aubrey Williams | RPO | 10 August 2019 | Add reference to Public Assurance Meetings (PAM) |
| **1.9.15** | Aubrey Williams | RPO | 5 November 2019 | Add reference to new corporate planning process and Plan on a Page initiative including revisit of DL objectives. |
| **1.9.15** | Aubrey Williams | RPO | 5 November 2019 | Add revisit of Child protection inspection – no grading applied – but action plan in place. |
| **1.9.15** | Aubrey Williams | RPO | 5 November 2019 | Reference Cipfa review underway (financial processes / QA) from Sept 2019 |
| **1.9.15** | Aubrey Williams | RPO | 5 November 2019 | Reference PCSB as a part replacement for Resources and Performance governance meetings |
| **1.9.15** | Aubrey Williams | RPO | 5 November 2019 | Remove reference to performance governance and resources governace meetings as these are replaced by PAM and PCSB. |
| **1.9.15** | Aubrey Williams | RPO | 5 November 2019 | Crime recording panel final report due for publication from Nov 2019 onward (CDI inspection response) |
| **1.9.15** | Aubrey Williams | RPO | 5 November 2019 | Change to Appropriate adults provision (custody)– consultation with LCC employees is underway. |
| **1.9.15** | Aubrey Williams | RPO | 5 November 2019 | Potential uses for Skegness Magistrates court building uder consideration. Disposal of West Parade – interested party identified. |
| **1.9.15** | Aubrey Williams | RPO | 5 November 2019 | Book on book off system used across the force |
| **1.9.15** | Aubrey Williams | RPO | 5 November 2019 | Commercial contract review process extended into 2020 |
| **1.9.15** | Aubrey Williams | RPO | 5 November 2019 | Updated all current key activity columns – (extreme RHS of each page.) |
| **1.9.15** | Aubrey Williams | RPO | 5 November 2019 | Updated joint commissioning of mental health nurses in response vehicles and in FCR |
| **1.9.15** | Aubrey Williams | RPO | 5 November 2019 | Regional section 22 agreement under review and Budget scenarios being prepared for review by end of November 2019. |
| **1.9.15** | Aubrey Williams | RPO | 5 November 2019 | Regional review underway (EMSOU) and assurance statements for collaborative service leads underway. |
| **1.9.15** | Aubrey Williams | RPO | 5 November 2019 | Reference to ONS crime rates which identify Lincs as a national outlier. |
| **1.9.15** | Aubrey Williams | RPO | 5 November 2019 | Risk summary and control updated on pages - |
| **1.9.15** | Aubrey Williams | RPO | 5 November 2019 | Add reference to draft counter fraud audit report (Nov 2019) |
| **1.9.16** | Aubrey Williams | RPO | 13 January 2020 | Update risk summaries across all sections to align with OPCC risk register – based on OPCC management meeting 6th Jan. |
| **1.9.16** | Aubrey Williams | RPO | 14 January 2020 | Update fraud risk register / fraud audit entry on pages 3,5 &13 relating to action plan prepared for agreement on implementation. |
| **1.9.16** | Aubrey Williams | RPO | 14 January 2020 | Update regarding establishment of violence gold group / PAM meetings and PCSB replacing outgoing governance meetings on pages- 6.7.&15 |
| **1.9.16** | Aubrey Williams | RPO | 14 January 2020 | Add reference to Force performance improvement plan – pages 6,7 |
| **1.9.16** | Aubrey Williams | RPO | 14 January 2020 | Add reference to changes in FCR processes impacting on 101 call times / abandonment rates. –page 8 |
| **1.9.16** | Aubrey Williams | RPO | 14 January 2020 | Update current key activity section of custody – page 9 |

| | | | | |
|---|---|---|---|---|
| **1.9.16** | Aubrey Williams | RPO | 14 January 2020 | Add dates to all key activity entries where not previously apparent.- all pages |
| **1.9.16** | Aubrey Williams | RPO | 14 January 2020 | Add reference to watching brief for regional collaboration budgets – page 14 |
| **1.9.16** | Aubrey Williams | RPO | 14 January 2020 | Change reference to date of next JAR meeting on front cover (jan meeting cancelled – re arranged for March 9th 2020. |
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