# LINCOLNSHIRE POLICE AND THE OFFICE OF THE POLICE AND CRIME COMMISSIONER – JOINT ASSURANCE MAP

Lincolnshire POLICE & CRIME COMMISSIONER SAFER TOGETHER

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**INTRODUCTION** **……..(under construction –EACH DESCRIPTION to be written by each functional lead)**

The joint assurance map is a means of gathering evidence from across the entire organisation for objective examination, to provide an assessment on governance, risk management and control processes in place. The assurance map is based on the 'three lines of defence' approach 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

**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.

**Special operations**

**PSD**

**Collaboration**

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 ) , , 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.

**SUPPORT**

**ICT**

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**

**JOINT ASSURANCE MAP TEMPLATE – THIS IS FOR ILLUSTRATION PURPOSES ONLY AND ITS ASSURANCE CONTENT IS NOT FACTUALLY ACCURATE.**

## ASSURANCE DASHBOARD – Summary Sheet for All Current Assurance.

| *Note:*<br>*1st & 2nd "lines of defence" are process based assessments.*<br>*3rd line of defence is a results based assessment.* | **1st line** | **2nd line** | | **3rd line** | | **Current**<br>**Overall Assurance RAG Ratings** |
|---|---|---|---|---|---|---|
| | **Operational Management & Process Controls.**<br>*(Local control measures)* | **Management Oversight, Corporate Reporting & Monitoring**<br>*(Oversight of activity)* | **Risk Management**<br>*(Risk registers & controls)* | **Internal Audit & Compliance Testing**<br>(Audit & Testing) | **External Inspection & Scrutiny** | |
| Key Force functions requiring assurance are listed below | Local controls assessed as adequate / effective and in proportion to the risks - legally compliant? (Eg - policy & procedure) | Reporting / monitoring assessed as adequate / effective and in proportion to the risks? | Effective identification, management & review of risk, with proportionate control activity? | considers:<br>- Audit results<br>- Recommendations<br>- Results of testing | Examples Include;<br>- HMICFRS reporting<br>- External audit opinion<br>- Biometrics comm'r<br>- OSC inspections | RAG ratings agreed at<br>Joint assessment review meeting (JAR)<br>12 March 2020 |
| **OPERATIONS** | | | | | | |
| **1 FORCE CONTROL ROOM (FCR)** | | | | | | TBC |
| **2 LOCAL POLICING EAST** | | | | | | TBC |
| **3 LOCAL POLICING WEST** | | | | | | TBC |
| **4 CRIME** | | | | | | TBC |
| **5 CUSTODY** | | | | | | TBC |
| **6 SPECIAL OPERATIONS** | | | | | | TBC |
| **7 PROFESSIONAL STANDARDS (PSD)** | | | | | | TBC |
| **8 COLLABORATION** | | | | | | TBC |
| **SUPPORT** | | | | | | |
| **9 COMMERCIAL PARTNERSHIP (CPT)** | | | | | | TBC |
| **10 ICT** | | | | | | TBC |
| **11 INFORMATION MANAGEMENT unit** | | | | | | TBC |
| **12 ESTATES** | | | | | | TBC |
| **13 FLEET** | | | | | | TBC |
| **14 HUMAN RESOURCES** | | | | | | TBC |
| **15 LEARNING AND DEVELOPMENT** | | | | | | TBC |
| **16 ORGANISATIONAL CHANGE (SDD)** | | | | | | TBC |
| **17 TECH FUTURES** | | | | | | TBC |
| **FINANCE** | | | | | | |
| **18 FINANCIAL MANAGEMENT** | | | | | | TBC |
| **19 BUDGET / GOVERNMENT FUNDING** | | | | | | TBC |
| **20 PROCUREMENT** | | | | | | TBC |
| **NOTES** → | Process controls confirmed by organisational leads for each area. | Progress monitoring / corporate reporting under review by COG (Nov 2019) | Risk identification training sessions planned in Q2 - 2020 (FRRPO). | Current Audit plan agreed March 2020 | Current PEEL Grades - 2018<br>Efficiency – Requires Improvement<br>Effectiveness - Good<br>Legitimacy – Good | These RAG ratings represent the overall level of confidence in the effectiveness of governance, risk management & controls in place for each of the functions listed. |

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## FORCE CONTROL ROOM (FCR)

| **1#** | **1st Line** | **2nd Line** | | **3rd Line** | | **KEY ISSUES**<br>(Gaps in assurance?)<br><br>**Including Dates** | **RATIONALE FOR CURRENT ASSURANCE RATING**<br>ie developing controls and activity underway<br><br>**Including dates** |
|---|---|---|---|---|---|---|---|
| | **Operational Management process Controls.**<br>*(Local control measures)* | **Management oversight Reporting & Monitoring**<br>*(oversight of activity)* | **Risk Management**<br>(Risk registers) | **Internal Audit & Compliance**<br>*(Results)* | **External Inspection & Scrutiny**<br>*(Eg HMICFRS)* | | |
| **RAG** | | | | | | **Key Issues** | **Rating Agreed – 9th March 2020** |
| **STATUS**<br>*(Exception reporting)* | • 2 Significant department policies remain out of date (over 8 month period).<br>• Revised Call handling Processs introduced | • Reporting on progress against DL delivery plan significantly out of date. | No risks on force register. | - Green audit result - March 2020 | HMICFRS identified 2 "areas of concern" (June 2020) | • New Command and Control system to be rolled out 2020 / 21 – currently delayed (Nov 2019).<br>• Uncertainty over national ESN programme – including potential costs. (Jan 2018)<br>• Diversion of demand<br>• Process changes impacting on 101 call answer times and abandonment rates.(Nov 2019).<br>• Effective deployment of resources is challenging.<br>• Availability / timely response of NPAS resources | • Recovery plan for delivery of command and control (C&C) system project agreed (Dec 2019).<br>• Formal Project team in place to deliver C&C Sept 2019 via tech futures programme management<br>• Business Information solution to help understand demand is being scoped Nov 2019)<br>• G4S providing additional staff to meet higher demand. (sept 2019)<br>• SMT / COG monitoring progress with refreshing of 2 main department policies (Jan 2020) anticipated completion date set as March 2020.<br>• Telematics and geofencing technology being implemented to help improve deployment efficiency (Feb 2020).<br>• Roll out of new Force drones Q1 2020. |
| **Sources of Assurance** | Notes | Notes | Notes | Notes | Notes | | |
| | X Policies | X Progress monitoring / reporting | ✓ Dept register<br>✓ Attend RMB<br>✓ Fraud register | ✓ Audit **Results** 2019<br>Significant 0<br>Limited 0<br>Satisfactory 1 | ✓ HMICFRS<br>- Tracked recommends underway & on target | | |
| | ✓ Procedures<br>✓ H&S<br>✓ Legal compliance<br>✓ Delivery / Planning<br>✓ DEI | ✓ Key Reporting – PCSB by exception + change board regularly | ✓ Fraud risk register in place | ✓ Dept Compliance audits | | | |
| | ✓ Performance Mngmt<br>- G$ contractual reporting | - SMT bi-weekly review<br>- Monthly 1-2-1 with DCC | | | | | |
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CHANGE LOG

| VERSION No | Date | Author | Activity – eg FCR | Change | Note |
|---|---|---|---|---|---|
| 0.2 | 1 May 2020 | RPO | Local policing | Add area of concern raised by HMIC | |
| 0.2 | 1 May 2020 | RPO | FCR | | |
| | | | | | |
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| **Scoring Matrix** | **Assurance level** | **1ST & 2ND LINES OF DEFENCE (PROCESS BASED ASSESSMENT)** | **3RD LINE OF DEFENCE (RESULTS BASED ASSESSMENT)** | **OVERALL ASSESSMENT** (Confidence in effectiveness of governance, risk management & control) |
|---|---|---|---|---|
| **LOW** (RED) | Low / no assurance | Significant concerns over the adequacy / effectiveness of the controls in proportion to the risks. | Overall negative results and areas of significant concern requiring action and improvement | Low or no confidence provided by inadequate levels of evidence with fundamental gaps in assurance. |
| **LIMITED** (AMBER) | Limited | Some areas of concern over the adequacy / effectiveness of the controls in proportion to the risks. | Mixed results, some areas of concern and areas for improvement. Some positive results and some strengths | Limited confidence provided by insufficient evidence – gaps in assurance require improvement. |
| **MODERATE** (Lt GREEN) | Moderate | Controls assessed as acceptable / effective and in proportion to the risks. | Mainly positive results, many strengths, minor recommendations for improvement | Moderate confidence provided by acceptable levels of evidence – any gaps in assurance are minor |
| **HIGH** (GREEN) | Significant | Controls in place assessed as significant / highly effective and in proportion to the risks. | Overall positive results with significant strengths, no areas of concern, very minor areas for improvement | High confidence provided by a significant level of evidence with no meaningful gaps in assurance |
| **N/A -** (Grey) | Not applicable - none required | Assurance - not required / not applicable | Assurance - not required / not applicable | Assurance - not required / not applicable |