

THE OFFICE OF THE POLICE AND CRIME COMMISSIONER & LINCOLNSHIRE POLICE – JOINT ASSURANCE MAP **DASHBOARD**

INDEX	REFERENCE (TBC)
<b>DASHBOARD SECTION</b>	
• INDEX	P1
• INTRODUCTION – Descriptions of each organizational function	P2 -3
• USER GUIDE – Understanding the assurance map <ul style="list-style-type: none"> <li>○ Appendix A – Assurance map Master overview briefing</li> </ul>	P4-5 (Attached)
• DASHBOARD – Summary of all Assurance Areas & Ratings	P6
• RAG RATING GUIDE	P4
• CHANGE LOGS – Each function / department listed below has its own individual change log incorporated	-
<b>FUNCTION / ACTIVITY REQUIRING ASSURANCE</b>	
<b>OPERATIONS section</b>	
• FORCE CONTROL ROOM (FCR)	01
• LOCAL POLICING WEST	02
• LOCAL POLICING EAST	03
• CRIME	04
• CUSTODY	
• SPECIAL OPERATIONS	06
• PROFESSIONAL STANDARDS DEPARTMENT (PSD)	
• COLLABORATION	
<b>SUPPORT section</b>	
• COMMERCIAL PARTNERSHIP (CPT)	
• INFORMATION & COMMUNICATIONS TECHNOLOGY (ICT)	
• INFORMATION MANAGEMENT UNIT	
• ESTATES	
• FLEET	
• HUMAN RESOURCES	
• LEARNING AND DEVELOPMENT	
• ORGANISATIONAL CHANGE (SDD)	
• TECH FUTURES	TBC
<b>FINANCE section</b>	
• FINANCIAL MANAGEMENT	
• BUDGETING / GOVERNMENT FUNDING	
• PROCUREMENT	

**INTRODUCTION**

This section contains brief descriptions of each organisational function contained in the Map. Each has been written by the lead responsible for that function. (A list of the leads for each function is maintained in a table on page 7 of the dashboard section)..

**Local Policing**

This section of the assurance map covers the delivery of operational policing at a local neighbourhood level across the Force. Local Policing is divided into two geographical areas, east and west, and each area is commanded by a Chief Superintendent. Each area is then split into smaller districts coterminous with the local authority boundaries, led by an Inspector and supported by a team off Officers and PCSO’s. Local Policing comprises response and neighbourhood policing along with local investigative teams.

**Specialist Operations**

Covers the following force-wide functions: Armed Policing, Police Dogs, Specialist search teams, Roads Policing, Serious Collision Investigation, Firearms Licensing, Public Order, Events management and Emergency Planning. Additionally Specialist Ops feeds into regional armed police training and police dog training and is the conduit for mutual aid requests. We support Local Resilience Forum needs and are a partner on the Lincolnshire Road Safety Partnership.

**Force Control Room**

The Force Control Room is the first point of contact when members of the public call for assistance or to access services. The FCR is responsible for ensuring that all incidents are appropriately resourced which may include the use of specialist resources. We ensure our communities feel safe and reassured by effectively managing incidents, making sure that adequate resources are deployed to provide a quality service. We work with the principles of PRIDE ensuring that the callers’ issues are correctly dealt with in an efficient manner. Our dedicated team work shifts, over a 24 hour period to answer all emergency 999 calls and non-emergency 101 calls, as well as deploying resources to police incidents across Lincolnshire. We ensure 999 emergency calls for service are answered promptly within Force and National targets and all incidents are recorded in accordance with the National Standard of Incident Recording and the National Crime Recording Standards.

**Crime**

To be provided by DCh/Supt A Cox

## 1. USER GUIDE

The following is a practical guide to using and understanding the layout and content of the joint assurance Map.

### 1.1. Understanding the Assurance Map

**1.1.1.** The **dashboard page** of the assurance map is a summary of all the individual RAGG ratings from each organisational function featured in the Map. Its aim is to provide a ‘snapshot’ of assurance levels from across the organisation. The “overall” ratings for each function contained in the dashboard are based on the level of confidence in the effectiveness of governance, risk management & control measures in place. The dashboard section is classed as an ‘OFFICIAL’ document and can be shared externally.

**1.1.2.** The **main body** of the assurance map contains detailed information on the Key organisational functions requiring assurance and because of its detailed content is classified as **OFFICIAL SENSITIVE and should not be shared outside of the organisation without prior consent from a chief officer or member of the OPCC SMT**. These pages are categorised under three section headings OPERATIONAL, SUPPORT and FINANCIAL as listed in the index. For an overview of the purpose of the assurance map and how it is used in practice please read the ‘overview briefing’ at **appendix A** to this document.

## 2. How to navigate a page of the map

Each ‘page’ of the Assurance Map is laid out as a series of Columns beneath a grey header, as described below...Reading from left to right

- 2.1. The 1<sup>st</sup> column - **Operational Management** - contains information on local management controls for the processes operated and activities conducted; eg policies and procedures to be followed – Key assurance questions include; are the right policies and processes in place? Are they up to date? Are they legally compliant? And are they relevant to the activities conducted? And in proportion to the risks posed? (The RAG scoring applied is based on an assessment of the processes in operation).
- 2.2. The 2<sup>nd</sup> Column - **Management oversight** contains sources of management monitoring and reporting on the activities conducted – Key assurance questions include – is the reporting & monitoring conducted appropriate, effective and in proportion to the risks? (These sources of assurance include local management dip sampling; regular progress against plan monitoring and reporting, including both key meetings and written reporting eg performance management, workforce.
- 2.3. The 3<sup>rd</sup> column – **Risk management** contains sources of assurance on the management of risk across the organisation (local and corporate), registers, assessments, recording, escalation
- 2.4. The 4<sup>th</sup> Column – **Internal Audit** contains the results of internal audits – ie those conducted by external agencies and not the results from internal / departmental dip sampling or compliance testing.
- 2.5. The 5<sup>th</sup> column – **External Inspection** contains information, on the results of external inspection and scrutiny involving agencies such as, the HMICFRS, the Biometrics commissioner, the IOPC, the Information Commissioners office. (The RAG scoring applied is based on an assessment of the results achieved).
- 2.6. The 6<sup>th</sup> Column – **KEY ISSUES** contains a bullet point list of the key issues affecting that specific organisational function – as identified by the lead for that function.
- 2.7. The 7<sup>th</sup> and final column **Current Assurance Rating** contains the developing controls and mitigating activity taking place in response to the ‘Key issues’ affecting the function.
- 2.8. The first segment at the top of each of the columns is a **colour RAGG rating** which indicates the current status for each set of assurances contained in that column. This rating is entered initially by the RPO / FRPRO and moderated at the quarterly JAR meeting between the OPCC / Force (CEX and DCC).
- 2.9. The second segment of each column is the ‘**status box**’ where notes ‘by exception’ appear as bullet points, reporting on the current status of the sources of assurance listed in that column. (eg planned changes or problems arising)
- 2.10. The items listed below the grey row marked ‘**Sources of assurance**’ are a checklist of the sources of assurance relevant to that column. (This is designed to be a list rather than detailed descriptions of each)
- 2.11. **Ticks & Crosses**
  - 2.11.1. **A Cross (X)** is placed at the side of a source of assurance if there is currently an issue or problem with that source of assurance, and consequently an explanatory note should be placed in the ‘status box’ at the top of the column (EG if a policy operated by the function was out of date or required significant updating then a cross would be placed at the side of ‘Policies’ in the list of assurances and a very brief explanation entered into the status box). Please note that crosses are **highlighted in yellow** to aid their visibility.
  - 2.11.2. **A Tick** is placed at the side of a source of assurance if it is felt to be operating without any identified concerns.

## 3. Scoring of Entries

- 3.1. The RAG ratings within each page of the assurance map are initially entered by the RPO / FRPRO and along with the overall ratings in the dashboard they are moderated & agreed at the quarterly JAR meetings held between the OPCC / Force.
- 3.2. The RAG rating matrix is a guide to help with scoring each element of the Map - The Rating of any section / function is based on context, effectiveness of the process in place or results achieved and how proportionate any mitigation / controls are to the risks posed.
- 3.3. The “Current overall” rating in the dashboard section reflects the CONFIDENCE in the overall level of assurance available.

## 4. Recording changes made to the MAP

- 4.1. Any change to the map content should be recorded (by the person making the change) **in the change log specific to each function** eg Crime, Local policing, FCR, etc. (only a brief dated note of the change is required).
- 4.2. The RPO / FRPRO will archive a copy of the entire Map on a quarterly basis to assist with longer-term audit and review.

## 5. Organisational Leads for each function.

- 5.1. The RPO / FRPRO will maintain a table which lists the lead person responsible for each function contained in the map. (This can be found in the Dashboard section of the Map – P2)

# JOINT ASSURANCE MAP **DASHBOARD** - OFFICIAL

<b>ASSURANCE DASHBOARD</b> <small>Note: 1<sup>st</sup> &amp; 2<sup>nd</sup> "lines of defence" are <u>process</u> based assessments. 3<sup>rd</sup> line of defence is a <u>results</u>-based assessment The 'overall' assessment is 'confidence' based.</small>	1st line - process	2nd line - Process		3 <sup>rd</sup> line - Results		<b>Current Overall Assurance RAG Ratings</b> (Including date moderated / agreed)
	<b>Operational Management &amp; Process Controls.</b> <i>(Local control measures)</i>	<b>Management Oversight, Corporate Reporting &amp; Monitoring</b> <i>(Oversight of activity)</i>	<b>Risk Management</b> <i>(Risk registers &amp; controls)</i>	<b>Internal Audit - Compliance Testing</b> (Results)	<b>External Inspection &amp; Scrutiny</b> (Results)	
Key Force functions requiring assurance are listed below	Local process controls assessed as adequate, effective and in proportion to the risks?	Oversight, Monitoring & Reporting assessed as adequate, effective and in proportion to the risks?	Effective identification, management & review of risk, with proportionate mitigation & control?	considers: - Audit results - Recommendations - Results of testing	Examples Include; - HMICFRS - External audit opinion - Biometrics comm'r - OSC inspections - IOPC reporting.	The RAG ratings in this column represent the overall level of <u>confidence</u> in the effectiveness of governance, risk management & controls in place for each of the functions listed.
<b>OPERATIONS</b>						
1 FORCE CONTROL ROOM (FCR)						TBC – Inc Date
2 LOCAL POLICING - WEST						TBC – Inc Date
3 LOCAL POLICING - EAST						TBC – Inc Date
4 CRIME						
5 CUSTODY						
6 SPECIAL OPERATIONS						TBC – Inc date
7 PROFESSIONAL STANDARDS (PSD)						
8 COLLABORATION						
<b>SUPPORT</b>						
9 COMMERCIAL PARTNERSHIP						
10 ICT						
11 INFORMATION MANAGEMENT						
12 ESTATES						
13 FLEET						
14 HUMAN RESOURCES						
15 LEARNING AND DEVELOPMENT						
16 ORGANISATIONAL CHANGE (SDD)						
17 TECH FUTURES						
<b>FINANCE</b>						
18 FINANCIAL MANAGEMENT						
19 BUDGET / GOVT FUNDING						
20 PROCUREMENT						
	Process controls confirmed by organisational leads for each area.	Delivery - Progress against plans. Management monitoring & corporate reporting, eg performance.	Risk - identification, recording, management and proportionate mitigation & control.	Current Audit plan agreed <a href="#">March 2020</a>	Current HMICFRS PEEL Grades - 2019 <ul style="list-style-type: none"> <li>Efficiency – Requires Improvement.</li> <li>Effectiveness – Good.</li> <li>Legitimacy – Good</li> </ul>	These overall RAG ratings are reviewed & agreed at the Joint Assessment Review (JAR) meetings held each Quarter. The date on which each was last reviewed and agreed is also recorded.

# JOINT ASSURANCE MAP **DASHBOARD** - OFFICIAL

<b>RATING GUIDANCE</b>	<b>Assurance level</b>	<b>1<sup>ST</sup> &amp; 2<sup>ND</sup> LINES OF DEFENCE (<u>PROCESS</u> BASED ASSESSMENT)</b>	<b>3<sup>RD</sup> LINE OF DEFENCE (<u>RESULTS</u> BASED ASSESSMENT)</b>	<b><u>OVERALL ASSESSMENT</u> (<u>Confidence</u> in effectiveness of governance, risk management &amp; control)</b>
<b>LOW</b> (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.
<b>LIMITED</b> (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.
<b>MODERATE</b> (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
<b>HIGH</b> (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
<b>N/A</b> - (Grey)	Not applicable / none required	Assurance - not required / not applicable	Assurance - not required / not applicable	Assurance - not required / not applicable

# JOINT ASSURANCE MAP **DASHBOARD** - OFFICIAL

Organisational Function Requiring Assurance	Organisational Lead – for Assurance Map	Notes
1 FORCE CONTROL ROOM (FCR)	Supt D Clark	Part of Central Command – Ch/Supt Nicky Mayo
2 LOCAL POLICING WEST	Ch/ Supt C Davison	
3 LOCAL POLICING EAST	Ch/ Supt J McAdam	
4 CRIME	Ch/ Supt A Cox	
5 CUSTODY		
6 SPECIAL OPERATIONS	Supt P Timmins	Part of Central Command – Ch/Supt Nicky Mayo
7 PROFESSIONAL STANDARDS Department (PSD)		
8 COLLABORATION		
SUPPORT		
9 COMMERCIAL PARTNERSHIP (CPT)		
10 ICT		
11 INFORMATION MANAGEMENT		
12 ESTATES		
13 FLEET		
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