Appendix A

SUMMARY OF RECOMMENDATIONS

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Counter Fraud – February 2020 – Rec 4.4 The Force and OPCC should consider ensuring that the fraud risk register is specific in nature and thus does not replicate existing risk management systems. **Management Response** – Roles and responsibilities for the management of the Fraud Risk Register and the reporting mechanisms associated with it were agreed at the AFCSG meeting in January 2020 (action plan in place). The update of policies and procedures associated with the fraud risk register scheduled within action plan dependent on each document/stage of implementation. **Update May 2020** - The Antifraud and corruption policy (PD161) has been refreshed to incorporate reference to the Fraud Risk Register and bring it up to date with recent changes in police regulations. (Completed and Approved by HoPSD and RPO) Minor updates to policy template underway – due for completion by the end of May. A new joint Anti-fraud and corruption strategy has been drafted and approved by HoPSD and RPO – due for ratification by OPCC CEX by the end of May. Review of content of Draft Fraud risk register scheduled for completion by end of June (to be conducted by FRPRO and RPO). Refresh of Risk management policies and strategies to include reference to fraud risk register and associated processes – scheduled for completion by end of September 2020. Briefings for Fraud risk register SPOCS and associated staff are under construction – schedule for completion by end Sept 2020. The AFCSG meeting which was scheduled to be held in April was cancelled due to availability of attendees. Agenda items will be rolled over to the June meeting. **Update Sept 2020** – **1.** The Antifraud and corruption policy (PD161) refresh has been **completed**. (Approved by Force / OPCC). **2.** A new joint Anti-fraud and corruption strategy has been **completed**. (Approved by Force / OPCC). **3.** Review of content of Draft Fraud risk register– Issues raised during discussion at September 2020 AFCSG prompted further meeting between Internal Auditor, RPO / FRPRO on 29th Sept 2020. Actions arising from this meeting include consideration by RPO / FRPRO of alternative format for recording of fraud risks and greater engagement with operational leads within risk areas / functions. Potential solutions to the issues raised are to be agenda item at Dec 2020 AFCSG. **4.** Refresh of Risk management policies and strategies to include reference to new fraud risk register and associated processes – progress is pending decision on above point (3). **5.** Briefings for Fraud risk register SPOCS – progress is pending decision on above point (3). Note- programme of planned AFCSG meetings affected by availability of key attendees some meetings cancelled / postponed – revised workplan under construction.	2	**Original Timescale** 30.09.20 **Revised Timescale** 31.12.20 **Revised Timescale** 31.12.21 **Revised Timescale** 31.08.22 On track for completion on 31.08.22	OPCC / Force	10.06.2020 25.11.2020 26.01.2021 28.04.2021 11.11.2021 02.03.2022 25.04.2022

Update Jan 2021 – The rollout of the current Fraud risk register has been paused while its format is reviewed with a view to developing a new format that highlights and focusses more on the 'day to day' practical fraud risks faced rather than the currently very broad approach encompassing generic 'theoretical' fraud risks. The FRPRO, RPO and the internal audit manager are to schedule an initial meeting to discuss the proposed new format in early 2021. **Update Apr 2021** – A meeting between the Audit manager, FRPRO and RPO will be held before the June 2021 AFCSG to allow for a revised approach to the current draft register be proposed at the meeting. Subject to approval of the proposal an action plan will then be produced including new target delivery dates. At this stage the revised timescale for implementation remains December 2021 as available resources and capacity to conduct the work are yet to be confirmed. **Update Aug 2021** – (Note Planned June AFCSG Meeting rescheduled to July 2021) A meeting between the Internal Audit Manager, FRPRO and RPO is scheduled for 3rd September to discuss the proposed use of a fraud risk matrix to manage specific fraud risk without duplicating existing risk processes. An action plan including timescales is pending the outcome of this meeting. The work of the Future Services Programme (FSP) will also need to be considered in any implementation plan. (Target date remains December 2021). **Update Nov 2021** – (Note: Planned AFCSG meeting moved from September to 4th October 2021). A meeting between the Internal Audit Manager, FRPRO and RPO was held on 3rd September to discuss the proposed use of a fraud risk matrix to manage specific fraud risk without duplicating existing risk processes. A revised approach was agreed and the RPO is to provide a DRAFT version of the Fraud Risk Matrix and briefing to the December 2021 AFCSG meeting for discussion / approval before an implementation plan can be created. (Target date and plan for implementation likely to be revised following December meeting plus the work of the Future Services Programme (FSP) will also need to be considered in the timeline of any implementation plan). **Update Feb 2022** – Draft fraud risk matrix and supporting documentation remains under construction. To be presented to AFCSG members for approval and subsequent roll out by August 2022. **Update Apr 2022** – The update remains unchanged, as the situation remains the same. Work is ongoing with a view to completion by end of August 2022 pending approval of AFCSG membership.				

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Workforce Planning – May 2021 – Rec 4.1 The Force should complete a mapping exercise and produce a centralised log of all key roles across the organisation, including non-leadership roles which are critical or specialised. Alongside this exercise, individuals who are able to assume these positions in a short / medium / long term capacity should be highlighted. **Management Response** – Agreed. A Force Lead will be identified to work to identify the key roles. HR will support the Force lead in developing succession planning models for the roles and maintain the centralised log going forward. **Update Aug 2021** – A Force lead has not yet been identified but this will be addressed at the People Board. The Target Operating Model has been determined and is in the implementation stages running through to April 2023. Initial observations are the development of a succession planning model for Detective roles and Firearms roles – consideration will be given to the newly developed Roads Policing Unit roles. These are those areas whereby enhanced training is given and there are multiple roles to meet the demand force wide. Whilst a framework is in its infancy, once a Force lead is identified to lead this, we are yet to determine the capabilities of the ERP system (t-Police) which will hold data and produce information enabling robust succession planning. Without the investment and development here, this moves to a manual task which is not conducive to efficient planning. In summary, this will be addressed within the People Board and aligned to the strategic priorities overall within the IT function who will be instrumental in enabling the system use. **Update Sept 2021** – This is in motion as part of the tactical training group work and will be finalised at the People Board in the first quarter of 2022/23. **Update Feb 2022** – This was updated in September 2021 as being in motion as part of the tactical training group work and would be finalised at the People Board in the first quarter of 2022/3. On review of the People Delivery Plan in December 2021 this activity was removed as there are local succession planning activities underway for specific roles in departments. **Update Apr 2022** – This was updated in September 2021 as being in motion as part of the tactical training group work and would be finalised at the People Board in the first quarter of 2022/3. On review of the People Delivery Plan in December 2021 this activity was removed as there are local succession planning activities underway for specific roles in departments. Therefore, this is no longer a piece of work in motion. This recommendation is complete.	1	**Original Timescale** To be agreed. This cannot be completed until the Target Operating Model work within the Future Services Programme has been completed. To be finalised at the People Board in the first quarter of 2022/23 **COMPLETE**	Director of People Services	11.11.2021 02.03.2022 25.04.2022

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Workforce Planning – May 2021 – Rec 4.3 Lincs should undertake a Skills Analysis or associated activity of their current Workforce that can be used to benefit the training programme. A centralised log to record when training has been undertaken and when it needs to be re-taken should be developed and used when reviewed future training needs. **Management Response** – There is scope within the existing ERP system – t-police – to capture a skills profile required against each role within the Force. This will enable details to be reported upon whereby skills are required for officers in particular roles and assist with the annual training planning and training demand and delivery thereafter. The immediate requirement is for the Force to identify what competencies they require each role to hold. This is being scoped initially and will be taken to a COT/CPT lead for sign off before implementation into t-police. It is anticipated that this will be developed in the first quarter of 2021/22. **Update Aug 2021** – This is already in situ. T-Police captures training completed and tracks when the next training is due thereby enabling our mandatory training demand to be identified for the following years training plan. A full skills analysis and skills matrix is yet to be developed and additional resources would be required to dedicate time to this over a defined period. In the first instance, now we have clarity that t-Police as the ERP system will be remaining in place for at least the next two years we are able to work with Cap Gemini to identify how the skills matrix can be held on the system under each established role. This is still in the development stages amongst a range of priorities. **Update Sept 2021** – This is subject to the demands on the IT programme delivery and Cap Gemini works but will aimed to be in the second quarter of 2022/23. No further update available at this time. **Update Feb 2022** – This was updated in September as being subject to the demands on the IT Programme Delivery and Cap Gemini works. The current position is that we are awaiting the implementation of a new ERP which will support this work. This is tabled on the People Delivery Tracker as being started in April 2023 and finished by December 2023. However, this is subject to ERP developments. **Update Apr 2022** – This was updated in September as being subject to the demands on the IT Programme Delivery and Cap Gemini works. The current position is that we are awaiting the implementation of a new ERP which will support this work. This is tabled on the People Delivery Tracker as being started in April 2023 and finished by December 2023. However, this is subject to ERP developments which are now in motion to be implemented in April 2024. It is unlikely this piece of work will be developed until this time.	1	**Original Timescale** 30.06.21 **Revised To** Second Quarter of 2022/23	Director of People Services	11.11.2021 02.03.2022 25.04.2022

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Wellbeing – October 2021 – Rec. 4.2 The Force should ensure that all wellbeing initiatives are supported by data monitoring and analysis, so that the need for initiatives can be clearly evidenced and resources can appropriately be allocated. Management information should be produced for new wellbeing initiatives and management information reports should be presented at the appropriate governance forums on a regular basis e.g. monthly or quarterly. Where HR attend EMOHU meetings which include management information discussions, relevant information should be shared back to the Wellbeing Programme Board which HR also attend. **Management Response** – a) – The EMOHU meetings are now attended by the Head of Wellbeing, which resolves the data sharing aspect. The Head of Occupational Health also now attends the Wellbeing Programme Board, this should ensure that following any publication of EMOHU KPIs there is someone at the Wellbeing Programme Board that could summarise these statistics to the group. b) – The Head of Health & Wellbeing will also ensure consideration of statistical data has been considered when procuring new services. c) – The introduction of a new software system (Qlik) may allow the sharing of more meaningful data once the HR source system is added to into Qlik (timeframes currently unknown). **Update Feb 2022** – The new OH service delivery system when brought back in house in July 2022 will have a suite of MI that will link to Qlik. MI is provided to COT reference the Crisis Support Service and MI regarding referrals to Working Minds for psychological support is also being formulated. **Update Apr 2022** – No new services have come on-line as yet, although physiotherapy services access is due imminently, the provider will produce MI. The OH transition is July and we will be configuring a new OH service delivery software system to do that. OH will, in the interim issue the standard report. Some Psychological Support Management information will be issued to COT, that is crisis support (which COT have been getting), psychological screening (an evolving picture) and uptake on psychological support via Working Minds.	2	**Original Timescale** a) 30.09.21 **COMPLETE** b) 31.12.22 or until such a time that no new services are introduced c) 30.09.22 estimated timeframe provided of 6-12 months to link HR source system to Qlik	Head of Health & Wellbeing	11.11.2021 02.03.2022 25.04.2022

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Governance – November 2021 – Rec. 4.2 Lincolnshire should review and update all outstanding guidance documentation, including guidance documents, plans, policies and procedures. In addition to this, consideration should be made by Lincolnshire for how to ensure reviews are made in a timely basis once there is a centralised location for all of the documentation. Lincolnshire should record review dates instead of updated dates once a tracking mechanism for guidance is determined. **Management Response** – Work has already commenced on recording 'review dates' for all key documents as well as updating those documents that are identified as 'outstanding'. A reporting process and tracking mechanism has been created which will identify (to the relevant document 'owner') all documents that are due to be reviewed (using a RAG rating system to identify the required timescale). This will be implemented to coincide with the go-live' date for the new 'Policy section' of the PCC's website. **Update Feb 2022** – RPO has completed the assessment. Outstanding documents placed into action plan. CAO and RPO held a meeting to discuss actions required to meet deadline for completion. (NB – OPCC website now has single library of all key documents to aid transparency / access). **Update Apr 2022** – The process of updating all key documents continues with the addition of a new version control template for documents.	2	**Original Timescale** 31.12.21 – RPO to complete assessment of review dates **COMPLETE** 28.02.22 – RPO to update any outstanding documents **Revised To** 30.09.22	Research & Performance Officer	02.03.2022 25.04.2022
Partnerships – December 2021 – Rec. 4.3 The OPCC should map out partnership activity into a central record. The OPCC should also consider mapping out who attends partnership meetings to act as a quick reference and to assist in the monitoring of resources. **Management Response** – PDM to map out partnership activity and meeting attendance within the OPCC Delivery Plan. **Update Feb 2022** – Partnership mapping is underway aligned to the Delivery Plan which underpins the Police and Crime Plan. This recommendation is on track to be completed by 31 March 2022. **Update Apr 2022** – Partnership activity and meeting attendance has been mapped and is therefore complete, although there will be an ongoing piece of work in terms of ensuring it accurately reflects the changing position. The Delivery Plan is in draft form and the partnership activity and meeting attendance will be incorporated into the final version by the end of April. The Delivery Plan will be considered at the fortnightly meetings with OPCC SMT and updated as required. This recommendation is complete.	2	**Original Timescale** 31.03.22 **COMPLETE**	Partnership & Delivery Manager	02.03.2022 25.04.2022

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Complaints Management – January 2022 – Rec. 4.1 Providing Regular Updates to Complainants – 1) The Force should carry out a lessons learned review of the complaint highlighted to ensure these issues do not occur again. (2) The Force should ensure that complainants receive regular updates on the progress of their complaint and any actions that have been taken. **Management Response** – (1) This relates to CO/315/21 which was sent to the Chief Inspector on 23/04/21; Inspector A was appointed as the complaint handler. Contact was made with the complainant on 26/4/21 and it was established that there were two elements; one relating to the Neighbourhood Policing Team (NPT) which was resolved there and then, and one relating to Protecting Vulnerable People (PVP). An oversight on behalf of Inspector A meant PVP were not notified of the complaint until 29/7/21; they contacted the complainant the same day. (2) Staff are reminded on the PSD2 (complaints handling form) of the following: "Update complainant and officer/s within 28 days and every following 28 days". This message will be reiterated on communications and training sessions provided to complaint handlers. Will be subject to dip samples by the Independent Advisory Group (IAG) during next 12-month period. **Update Apr 2022** – A series of inputs are taking part with complaint handlers as and when the opportunity presents – this includes the recent detective conference and the West Inspectors CPD day. During these inputs the necessity of the 28-day updates is reinforced as is the fact that the form will guide the handler through complaints, ensuring compliance with the regulatory framework if the form is duly followed. Regular meetings continue to be conducted with IAG, who have been asked to maintain an overview of complaint handling processes by Lincolnshire Police, with a focus on the service that is being delivered to the community. Their feedback is actioned accordingly to inform and maintain improvements to the process.	2	**Original Timescale** 1 – COMPLETE 2 – 31.12.22	Head of PSD	25.04.2022
Core Financials – January 2022 – Rec. 4.1 Non-Purchase Order Invoices – The Force should perform a review of the Approval Matrix to ensure its accurate and up to date. Moreover, a periodic review of the matrix should be scheduled to prevent this from becoming outdated. The authoriser of the invoice should ensure that the GRN stamp has been signed and dated prior to the payment of the invoice. **Management Response** – There is a regular review of the approval matrix undertaken – there is no evidence that it is outdated or inaccurate. The example of expenditure approved outside the matrix was a refund of a firearms license payment. This was not in line with the matrix but was appropriately approved. The process has now been changed to ensure it fits with the matrix. We have reiterated the need to ensure non-PO invoices are receipted in an accurate and consistent manner. **Update Apr 2022** – This recommendation is now complete.	2	**Original Timescale** 28.02.22 **COMPLETE**	Exchequer Services Manager	25.04.2022

Appendix A

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Future Services Programme – March 2022 No 1 or 2 recommendations on the audit report. This has been added for information only.	0	N/A	N/A	25.04.22