Key Issue	Assurance Route	Primary Assurance owner	Progress	Level of Assurance & direction of travel	Rationale	Success Criteria
1. Solving Crimes	• Performance Governance Meetings – regular scrutiny/monitoring and review (KPIs, PIs) • SKPI agreed in Police and Crime Plan. Specific measurable targets set. • Links to 'just end' performance indicator ('file case quality'). • Annual review of performance	PCC (via Performance Governance meeting)	• ***May 2012:*** Limited improvements in SD rates. Continued concern about SSO SD rate (target not met) & limited improvement in overall SD rate. 300 officers - 'golden hour training' outstanding. • ***Sept 2012:*** Reviewed at F&P 4 Oct 2012. Improving picture. Golden hour training complete. SD rates steadily improving. • File quality working group - D/C/S Crime leading. Priority for Command group. Pol-tube/intranet webpages. Force monitoring. **• Indicators and targets for detections included in P&C Plan/governance arrangements**	**Satisfactory (June 2013)**	• Strong leadership demonstrated, action plans in place to address issues (eg file quality), regular review and evaluation at Force Performance meetings. • Plans in place to address cultural/leadership/organisational issues. • Dedicated 'Emerald' Team formed to focus on sexual offences (fully staffed/operational end July 2011). 30% target met for 2012/13. **• Data to May *2013* - overall all crime outcomes/burglary and violence, target not met. Current rate 31%, aim is 33%.** **• Average national ranking (April 2013) all crime: 25th (Target is 11th), burglary 32nd, violence 31st.**	• Solving crime targets met • Achievement of SKPIs • Effective call handling and screening • Effective supervision/managerial support/quality control • Training in place (eg golden hour) for new and existing officers (investigative skills in place) • Good quality file preparation (minimum waste of time/resources, low number of errors/repeat errors challenged) • Effective investigation process (planned, methodical, structured, timely, resourced, robust intelligence function in support) • Effective performance monitoring mechanisms in place • Positive victim/user satisfaction results
2. Protective Services	• Protective Services Briefings (exceptions based, quarterly) across all 9 PS Business areas: *Protecting vulnerable people, CT/domestic extremism, SOC, major crime, critical incidents, civil contingencies, public order, roads policing, firearms* • Minutes of Strategic Protective Services Board (SPSB) provided to OPCC (postponed March 2013 until further notice, awaiting SPR compliance requirements) • Collaboration Governance mechanisms (EMPCCB) • College of Policing minimum quality services standards (in development) • HMIC inspections • Strategic Policing Requirement (SPR) (demonstrating how responsibilities discharged)	PCC (via Governance briefings, Performance Governance Meeting)	**• Performance framework for each area in development.** • Force CID Annual Plan in place. • Force wide Strategic Threat & Risk Assessment - completed annually (with partners) • SPR included in Police and Crime Plan • PS Briefings scheduled for Dec/Jan 2013. Further discussions for Protecting Vulnerable People. PCC met ACC (PS) on 9 Jan 2013. ACC to provide update/watching brief maintained. **• Force to assess the SPR requirements for each business area** **• Individual STRAs maintained, monitored via Dept Management meetings.** **• Merging of Crime and Ops depts aims to bolster resources and improve resilience.** **Protective Service Briefings for PCC in June 2013. PVP - high risks identified, actions in place to manage and mitigate. Follow up meeting 28 June 2013.** **• HMIC SPR inspection - Force lead is ACC (PS), risk assessments questionnaire to be circulated after G8 summit**	**Satisfactory (June 2013)**	• Overall, 95% compliance rate with previous HMIC minimum standards **• Briefings provided to high standard - effective assessment of risk and key issues highlighted. ACC (PS) oversight.**	• Risk based resourcing assessment (resilience maintained in priority areas). • Strong leadership • Strategy/programme of work in place • Compliance with minimum standards/testing • Interdependencies/links with region clear • Effective SPR arrangements (planning/preparation/implementation)

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3. Service Accessibility and Satisfaction	• Performance Governance Meetings - monitoring performance by exception (SKPIs/KPIs in place) • Engagement and Consultation Briefing - highlight issues/exception reporting	PCC (via Performance Governance meeting)	• Emergency and non-emergency handling PI - static 3 year trend. • Call handling SKPIs in place (G4S) • Collaboration update (Dec 2012): Contact Management currently in scoping. • E&C Briefing (Sept 2012): victims of crime tend to be more satisfied with the service received subsequent to the initial call than callers who were victims of ASB. • Keeping informed: DCC leading action plan (Crime Helpdesk initiative). Confidence survey results - watching brief - 70% in March/June/Sept 2012, **Dec 2012 = 68.6%** • Negatively decreasing YTD trend in local Neighbourhood Matters Survey (confidence question)**. 2013/14 target = 78%.** **May 2013 - Watching brief: Town Enquiry Officers. Chief Officer Group to present updated proposal.**	**Satisfactory (June 2013)** ➡	• Positive call handling (G4S) performance (April 2013, targets met). • Response times ….**• Urgent Rural: meeting target (May 2013) • Urgent Urban: meeting target.** • The Force has a recovery plan in place. Watching brief. **• 'Phoning the Police Survey' - no significant difference in levels of satisfaction initial contact for emergency, but improvement (4.5%) in non-emergency calls (March 2013 briefing)**	• Focus on the customer's experience • Strong senior leadership • Strategy/plans in place & regularly reviewed (inc links to BC/DR plans). • Effective resource planning to demand, staff retention policy, succession planning & recruitment (dedicated HR resource). • Appropriately trained/skilled staff/officers. • Location and facilities, IT, performance management are fit for purpose. • Positive call handling performance (qualitative/quantitative measures)/confidence • Continued consistent message to public and stakeholders (service standards) • Positive Stakeholder feedback • Effective Media Strategies/Plans in place to challenge/respond to defamation/issues (reputation management) • Structured/effective Tactical Tasking & Co-ordination Group (links to NIM) • Effective Local Policing (improved public engagement, and effective problem solving – links to increased confidence, policing by consent
4. Anti-social Behaviour	• ASB HMIC Inspection • Performance Governance meetings – ASB measures (PI) monitored and reviewed by exception. • ASB perceptions reported and reviewed via E&C Briefing (quarterly). • E&W Crime Survey results (perceptions based survey)	PCC (via Performance Governance meeting)	• ASB Practitioner Forum on intranet • HMIC re-visit April 2012. Public facing HMIC report issued June 2012. Strengths: briefings, availability and sharing of ASB information (joint IT system), NPT training/commitment. Perceptions of ASB reporting - in line with national average, improvements since 2010. Challenges: identifying repeat and vulnerable victims. IT systems/FCR staff training • ACC (SN) - Call Handling Working Group to consider improvements in context of ASB, hate crimes and wider call handling issues. • Plans in place to address issues raised in HMIC report. HMIC said 'good progress, increased victim satisfaction... however no room for complacency' • Sept 2012, 2nd lowest recorded ASB (out of 43 forces) • ASB performance framework in place. **• ASB process review May 2013 - evidence that improved processes have had a direct impact on the number of incidents reported**	**Satisfactory (June 2013)** ⬆	• Risk assessments at the point of call taker; all ASB incidents identify repeat, vulnerable and high risk victims of ASB • Delivery of Sentinel case management system across county • ALL partners are signed up to information sharing and working together to tackle ASB • Progress against HMIC recommendations • ASB Challenge Plan in place. **• ASB performance data - significantly fewer incidents this year (Apr - May 2013). Continued improvement.** **• April 2013 - ASB incidents: meeting 3% reduction target.**	• Performance indicators • HMIC reports (positives and any areas of concern addressed) • Positive Internal Audit report • Effective call handling • Risk assessment • IT systems that support an effective response to ASB • Well Trained Neighbourhood Policing Teams to use Sentinel for case management and intelligence • Clear strategy, policy and agreed protocols across partners • Effective engagement within communities • Effective implementation and evaluation *HMIC ASB inspection Report 2010*

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5. Roads Safety	• Performance Governance Meetings - scrutiny/monitoring and review • Killed & Seriously Injured Performance indicator in place • LRSP	PCC (via Performance Governance meeting)	• Exceptional performance reporting mechanism • KSI rate: 336 (2008), 459 (2009), 461 (2010), 484 (2011). • 4 'E' strategy maintained (engineering, education, enforcement, evaluation) • Joint needs assessment (Force and partners) roads = high priority.	**Satisfactory (June 2013)** ➡ **Suggest 'watching brief'**	• LRSP Forward Strategy 2011 - 14 in place, Force implementing joint strategy. • Road fatalities training delivered to all operational RPU officers. • Engagement/comms strategy in place (eg speed seminars, Op Octane [motorcycles]) • Positive feedback from public, LAs and private sector re traffic management. **• Latest overall KSI performance data (April 2013 to Feb 2013): fewer than last year, on track to meet target** **• 5 year trend static.**	• Strategy in place • Performance indicators in place • Structures/processes/systems /training fit for purpose • Effective co-ordination with partners • Effective leadership (vision, priorities, commitment) • Effective Communications (medium and message, engagement) • Effective use of resources *DfT Strategic Framework for Road Safety (2011)* *Audit Commission 'Changing Lanes' (2007)*
6. Business Continuity	• OPCC to receive minutes of BC Management Board • Risks identified and managed via LPA and Force Risk Registers • Internal Audit • G4S Governance mechanisms	PCC (via BC Board minutes/ brief by exception)	• 26 recommendations from original LPA BC scrutiny • BC meeting on 23 Feb 2012 (FCR and ICT updates = standing item) • Internal audit review of BC - to AR&G 25 Sept 2012 • Links with G4S plans/strategies. **• BC Testing in Feb 2013. Report to Audit Committee. Good progress.** **• Table top exercise planned for Sept 2013.** **• May 2013 - No issues to report (ACC PS).** **• Regional BC - work in progress.**	**Limited (April 2013)** ⬆	• 'Maximum Tolerable Period of disruption' assessment complete [best practice]. • No exceptions to highlight regarding ICT and FCR business continuity • BIA completed, BCM plans in development, FCR upgrade - on time/on budget to plan. **• Internal Audit: Recommendations completed.** **• Force/G4S Plans received (June 2013), ICT and Legal - imminent sign off.** **• G4S full engaged in process.** **• Effective BC testing event and de-brief**	• Policy in place • Overarching Plan/Strategy in place • BC Strategic Work programme • Business Impact analysis completed • BC principles embedded • Effective risk management • Strategy/Plans for business areas in place
7. Collaboration **a) Operational Policing** **b) Support Services (eg HR, IT, Finance)**	• EMPCC Board (governance, oversight in place). • Critical Risk Register. **• Interdependencies/links to Police and Crime Plan and Operational Delivery Plan – PCC oversight and scrutiny.** • HMIC Inspections • Internal Audits	PCC (via Resources Governance meeting)	• Medium Term Financial Strategy agreed by EMPAJC Jan 2012. Robust governance arrangements in development. • Links to VtP3 HMIC inspection (looking at collaboration/partnering). • Budget agreed locally. Jan 2013. **Next Board meeting June 2013.** **• Meeting of PCCs and CC re Collaborative vision - May 2013** **• Further work in progress to strengthen financial governance arrangements (March 2013 draft minutes)** **• HMIC Collaboration VfM inspection/review (Leics co-ordinating)** **EM Collaboration Efficiency Board - initiated. Review of collaborative units be produced and ready for presenting in July 2013** **• Collaboration Internal Audit (2013/4 Q1) await opinion**	**Limited (May 2013)** ➡ **(To be reviewed August 2013 or by exception)**	• EMPCCB in place providing oversight/ governance. • Lack of appropriate professional financial support in place (senior finance officer) • Governance arrangements and performance management framework under review by CEs (Lincs lead). **• Operational resilience, strong performance** **• Organisational delivery (financial decision making, clarity about roles/responsibilities) financial governance/controls, financial savings - ongoing, work in development** **• EMPCCB - business arrangements in place**	**• Resilience and other performance benefits being delivered** **• Financial savings delivered and incorporated in Lincolnshire budgets** **• Effective arrangements for governance and financial management.**

Key Issue	Assurance Route	Primary Assurance owner	Progress	Level of Assurance & direction of travel	Rationale	Success Criteria
8. Efficiency/ effectiveness/ savings including but not limited to: • VfM • Workforce Plan • ICT • Asset management • Procurement	**Value for Money** • VfM work reports to Force Transformation Board (DCC Chair, CFO/FCFO attend) • HMIC Support/Challenge meetings • PCC/CE attend EMPCCB • Governance meetings • External/internal audit opinion • HMIC VfM Profiles • Annual Report • Independent Audit Committee	PCC (via Resources Governance meeting)	**• Force Transformation Board in place - remit to identify areas for review, monitor vfm strategy, ensure vfm outcomes** **• Savings tracker** **• Savings overview provided as part of CC's Budget proposal 2013/14 and 2014/15 (considered at Planning and Strategy Meeting on 10/1/13)** **• Links to Workforce productivity review** **• Note: review outputs from Transformation Board.**	**Limited (May 2013)** ↑ **(To be reviewed August 2013 or by exception)**	**• Strategy in place** **• Transformation Board to evidence delivery outputs (ToR agreed).** **• HMIC VtP3 inspection to be considered** **• External Audit VFM Conclusion (June 2013) to be considered** **• Status of VfM Programme of reviews (FTB to consider/monitor)**	**• VfM Strategy in place** **• Transformation Board oversight of effective VfM plan** **• Delivery - delivering demonstrable efficiency savings (productivity and cashable gains)** **• Delivery – police services are comparable to those provided elsewhere in England despite much lower levels of spending in Lincolnshire.** *HMT Managing Public Money guidance - available*
	Workforce Plan • Resources Governance Meetings - oversight and progress against objectives in People Strategy • Links to Confidential Risk management process (eg Employment Tribunals) • Internal Audit • HMIC - VtP inspections (links to 'People/reconfiguring the workforce) • Strategic Workforce Planning Board (delivery mechanism)	PCC (via Resources Governance meeting)	• 'Strategic Workforce Planning Board' - ongoing (DCC in chair) • NPIA Cost Effectiveness reports (July & Oct 2012). Ongoing work re: demand management. • Intake of officers brought forward, delivery of PCC objective around officer numbers. **• Productivity review (Workplan and ToR June 2013)** **• Internal Audit - Resource management (focus on resource allocation). Fieldwork in Q1.**	**Limited (May 2013)** ↑ **(To be reviewed August 2013 or by exception)**	• People Strategy in place - Links to P&C Plan. RAG current status - overall, on track. **• The force is currently completing a STRA around police staff posts. Once completed (by mid to late June) the Force will revisit the police officer STRA. This process will be refreshed on a six monthly basis.**	• Strategy in place. Delivery outputs evidenced. • Effective leadership (consults communities, compelling vision, partnership delivery) • Effective organisation (responding to demand, workforce mix, resource deployment, performance management, empowered, sickness management, volunteer management) • Robust workforce planning documentation, managing change, personal responsibility • Effective G4S transformational plans • Effective risk management • Agreed Police officer establishment *Productivity Framework (NPIA 2010)*
	ICT • Resources Governance Meeting • G4S Governance: Executive Board, Performance and Delivery Board (SKPI, KPIs, PIs). • Internal Audit • Links to Regional Collaboration ICT Project. Governance via EMPCCB	PCC (via Resources Governance meeting)	**• Collaboration: ICT governance Board in place (Jan 2013). EM Director of IT in place (April 2013). Single IT strategic plan to be developed. Projects in feasibility stage. FBCs planned for Jan 2014.** **• Progress against objectives in ICT Strategy considered at RGM - status update at June 2013 meeting** **• ICT Strategy 2012 - 15 (supporting strategy to Police and Crime Plan) complete.** **• Review delivery of outputs from strategy, evidence of progress from Transformation Plan.**	**Limited (May 2013)** ➡ **(To be reviewed August 2013 or by exception)**	• ICT Strategy in place. • RMG assessment/scrutiny of progress against objectives (Dec 2012). No significant issues. Overall RAG rating: Amber. • Internal Audit - ICT Disaster Recovery (Feb 2013). Overall RAG rating: Amber/Green.	• Agreed ICT strategy underpinned by investment and delivery programme • 6 monthly monitoring of progress (or by exception) • Effective links with transformational plans • Delivery
	Asset Management • Resources Governance meetings • Internal Audit - 'Asset management' Report in quarter 3.	PCC (via Resources Governance meeting)	• Asset Strategy 2011 - 16 in place (section on asset development programme - ongoing) **• Progress against objectives in Asset Strategy considered at RGM 26 April 2013 (5 objectives, 4 green status, 1 amber)** **• Force Asset Management Board in place.**	**Limited (May 2013)** ➡ **(To be reviewed August 2013 or by exception)**	**• Asset/Fleet Management Strategy provided as part of Supporting Strategies to Police and Crime Plan (10 Jan 2013).** **• Clear links to operational need and MTFS - to be articulated.** **• Working session to discuss AMS final draft (RGM 26/4/13) - ongoing discussions. Links to Financial and Strategic Planning event - July 2013.**	• Asset management strategy approved and in place/delivered. • Operational needs are reflected in the strategy • Effective supporting comms plans in place. • AMS objectives being achieved.

Key Issue	Assurance Route	Primary Assurance owner	Progress	Level of Assurance & direction of travel	Rationale	Success Criteria
	Procurement • CFO meets with FCFO • PCC considers awards of major contracts when required • Resources Governance meeting - oversight and monitoring of procurement strategy NOTE: this does not include partnership commissioning.	PCC (via Resources Governance meeting)	• Strategy and procurement route approved (F&P 9 Feb 2012) • Assessment against progress report considered at RMG on 21 Feb 2013. **• Actions agreed to implement improvement plan (RGM March 2013). Work on escalation process, visibility. Review June 2013.**	**Satisfactory (Jan 2013)** ⬇ **To be reviewed June 2013**	• Procurement Strategy submitted on 14 December 2012 as part of Supporting Strategies to Police and Crime Plan. • Await progress update on improvement plan.	• Centralisation and effective co-ordination of procurement activity • Strategic planning approach to procurement in place • Delivery of plan • Effective links with VfM

Assurance Level	Definition
None	No assurances can be given about the Force's capacity and capability to deliver effective and efficient services/functions in the area of review. Planning and management is generally weak leaving the activity exposed to vulnerabilities, poor performance and unable to achieve the organisation's objectives set out in the Police and Crime Plan.
Limited	There is a lack of assurance, about the effectiveness of one or more of the key controls/activities.
Satisfactory	While there are basically sound systems and processes in place, there are weaknesses, which put some of the organisation's objectives at risk.
Full	There are sufficient, relevant, positive assurances to confirm the effectiveness of key controls/activities and the objectives are met.

KEY

Direction of Travel - Overall Trend

⬆ **Continuing improving trend**

➡ **No change/stable**

⬇ **Deteriorating trend**

Version Control

2.9 Updated following Int man meeting 14/3/13

2.10 Update, prep for IMM and RGM.

3.0 Updated, IMM, PGM

3.1 Updated RMG