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)	• Indicators and targets for detections included in P&C Plan/governance arrangements **• ACC (C&O) leading improvement plan (13 key issues identified - attendance criteria, crime management processes and housekeeping, internal/external processes and partners). Police focus on high impact outcomes (out of court disposals, police led prosecutions).** **Update from Crime Resolution Strategic Co-ordination Gold Group (ACC C&O) (PGM Oct 2013 - good progress)**	**Satisfactory (Sept 2013)** ➡ **Review Dec 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 Oct *2013* - overall all crime outcomes/burglary and violence, target not met. Current rate 31%, aim is 33%.** **• Average national ranking (Sept 2013) all crime: 19th (Target is 11th), burglary 19th, violence 24th. (NB Rankings no longer provided by HO)**	• 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 PS Business areas: *Protecting vulnerable people, CT/domestic extremism, SOC, major crime, critical incidents, civil contingencies, public order, roads policing, firearms plus cyber crime - links to SPR and NPR* • Protective Services governance (ACC C&O lead) • 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)	• Force wide Strategic Threat & Risk Assessment - completed annually (with partners) • SPR included in P&C Plan • Individual STRAs maintained, monitored via Dept Management meetings. • Merging of Crime and Ops depts aims to bolster resources and improve resilience. PS 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 self assessment submitted (Aug 2013), inspection in 2014/15). Latest briefings Sept (rounded assessment) - review based on evidence. Watching brief: resilience issues PPU, risk management, new governance structure to embed, ANPR briefing (annual review, evidence based assessment in progress, due end Nov 2013. [Remedial plan of action required to address issues and build confidence] **• Follow up meeting PCC and ACC (C&O) 15 Oct 2013. Issues discussed. Management/Action plans in place.** **• Inaugural SPR Gov Board (7/11/13). ToR. ACC (C&O) lead.**	**Satisfactory (Nov 2013)** ➡	• Overall, 95% compliance rate with previous HMIC minimum standards • Briefings provided to high standard - effective assessment of risk and key issues highlighted. ACC (CO) oversight. **Internal Audit on SPR - fieldwork completed. Results awaited.**	• 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) • 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 2012, June **2013 = 68.7% (latest released)** • Negatively decreasing YTD trend in local Neighbourhood Matters Survey (confidence question). 2013/14 target = 78%. current rate 78% (Oct 2013) **May 2013 - Watching brief: Town Enquiry Officers. Update August 2013: improvement plan in development.**	**Satisfactory (Aug 2013)** ➡ **Review Dec 2013**	• Positive call handling (G4S) performance (April 2013, targets met). **• Response times ….Urgent Rural: increasing 3 yr trend (Oct 2013), Urgent Urban: decreasing 3 yr trend (Oct 2013).** **• 'Phoning the Police Survey' - no significant difference in levels of satisfaction initial contact for emergency, (all categories above 90%) latest brief - Sept.** **• Overall satisfaction target 85% (by May 2016) - Oct 2013 data better than same time last year (83%). Kept Informed - improvement on last year (74.1%).** Links to Operational Delivery Monitoring Plan (quality of service) - work in progress	• 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)	• HMIC re-visit April 2012. Public facing HMIC report 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 • Plans in place to address issues raised in HMIC report. HMIC said 'good progress, increased victim satisfaction... however no room for complacency' • CSEW March 2013, 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 • ASB briefing meeting with PCC (17/9/13) ASB co-ordinator in post, processes in place, positive engagement with partners, strong performance monitoring, plans for future development in place. Next steps - develop 3 year plan. **• Thematic Progress report to PGM in October. Strategic assessment (Nov 2013)**	**Full (Oct 2013)** ⬆ Review Dec 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 (down 19.2% Apr Oct 2013). Continued improvement. 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*

Key Issue	Assurance Route	Primary Assurance owner	Progress	Level of Assurance & direction of travel	Rationale	Success Criteria
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. • Chairman - changing, accommodation issues (options being considered).	**Satisfactory (Aug 2013)** ➡ **Suggest 'watching brief'** **Review Dec 2013**	• 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 (Jan to Sept 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 OPCC and Force Risk Registers • Internal Audit • G4S Governance mechanisms	PCC (via BC Board minutes/ brief by exception)	• Links with G4S plans/strategies. • BC Testing in Feb 2013. Report to Audit Committee. Good progress. • June 2013 - No significant issues to report (ACC C&O). • Regional BC - work in progress. • Table top exercise Sept 2013 (Non HQ depts) **• Review process in place, testing priority plans and refining.** **• Next BC Board - Jan/Feb 2014** **• ICT Disaster recovery options under review.**	**Satisfactory (Nov 2013)**	**• BCM policy in place.** **• 'Maximum Tolerable Period of disruption' assessment complete [best practice].** **• BIA complete.** **• BCM plans and BC Incident management plans complete.** **• Internal Audit BC/DR: 7 recommendations completed.** **• G4S fully engaged in process.** **• Effective BC testing event (June) and de-brief.** **• Cross overs identified in plans (interdependencies).** **• BCM process established and embedded, CO engaged and leading** **• Future testing events planned**	• 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)	• MTFS agreed by EMPAJC Jan 2012. Robust governance arrangements in development. • Links to VtP3 HMIC inspection (looking at collaboration/partnering). • Budget agreed locally. Jan 2013, June 2013. • Meeting of PCCs and CC re Collaborative vision - May 2013 • Further work in progress to strengthen financial governance arrangements (Mar 2013) • HMIC Collaboration VfM inspection/review (Leics co-ordinating) **• EM Collaboration Efficiency Board - initiated. Review of collaborative units.** **• Collaboration Internal Audit (2013/4 Q1) await opinion** **• Internal Audit - Resource management unit - awaiting results.** **• HMIC Report - EM Collaboration - final report - published 12/11/13. Positive.**	**Limited (Aug 2013)** ➡ **Review Nov 2013**	• 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 Note: Board meeting 22/8/13	• 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. Forensics	**• Performance and Issues Briefing report to Performance Governance Meeting every 2 months to the end of the financial year 2013.** **• EMPCCB oversight through Performance report (quarterly)** **Review at 6 month point, April 2014.**	PCC (via Performance Governance meeting)	**• Initial regional approach to Forensics agreed in Dec 2011. Nottinghamshire, Derbyshire and Lincolnshire forces currently collaborate on forensics services.** **• Revised approach - East Midlands Regional Forensics Service Business Case [5 force solution] (decision notice in October 2013)** **• Section 22 to be agreed.** **• Regional Director in place, Forensics Analytical Services Team based at Derbys (fingerprint, footprint), Regional Identification Bureau (fingerprints) based at Notts, CSIs will remain employed and deployed within each force area.** **• Not able to fully hold the region to account over performance in Lincs as the Force retains the management of the CSIs.** **• Attendance Criteria to be determined in accordance with local needs and priorities.**	**Limited** **(NEW October 2013)**	**In transition, some teething problems. OPCC/Force (Oct 2013): Watching brief on performance: fingerprint laboratory timeliness (plans in place to address through lean process and better 'triage' system, forensic hits to detection rate (quality and timeliness of forensic product to be improved).**	**• Resilience and other performance benefits being delivered** **• Financial savings delivered and incorporated in Lincolnshire budgets** **• Effective arrangements for governance, performance and financial management.**
9. 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 (Aug 2013)** ➡ **Review Nov 2013**	• Strategy in place • Transformation Board to evidence delivery outputs (ToR agreed). **• HMIC VtP3 inspection received/responded to** • External Audit VFM Conclusion (June 2013) to be considered • Status of VfM Programme of reviews (FTB to consider/monitor) **• Savings Tracker at Resources Governance meeting.** **• 'Make a difference' campaign (innovation/productivity)** **• Products in development to deliver successful programme (target point is the Force Transformation Board, Nov 2013)**	• 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. **• Indicators for success articulated** *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 (Aug 2013)** ➡ **Review Nov 2013**	• 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 and police officer STRA. This process will be refreshed on a six monthly basis. Work in progress. Forms part of Force Transformation Board and work packages.**	• 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)*

Key Issue	Assurance Route	Primary Assurance owner	Progress	Level of Assurance & direction of travel	Rationale	Success Criteria
	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 (Aug 2013)** ➡ **Review Nov 2013**	• 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. 3 recs completed. **1 in progress.** **Guiding principles - work in progress** **ICT progress report at RGM 23 Aug 2013** **ICT Strategy in development - (deliverables based on Guiding Principles doc)**	• 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 (Aug 2013)** ➡ **Review Nov 2013**	• 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. • **Guiding principles - work in progress**	• 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.
	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 completed - improvement plan (RGM March 2013). Work on escalation process, visibility, embedding, strategic management. RGM reviewed Aug and Oct 2013.**	**Satisfactory (November 2013)** ⬇	• Procurement Strategy submitted on 14 December 2012 as part of Supporting Strategies to Police and Crime Plan. **• Improvement plan - work on NAO recommendations complete.** **• Internal audit - substantial assurance given (June 2013)** **• Risk assessment - complete and ongoing review.** **• Performance management arrangements in place - Annual Procurement Plan and Annual Performance Report on Progress against Plan (incs targets).** **• Links to t-Police in place.** **• Procurement plans form part of overarching Financial Strategy.**	• 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

3.2 Updated following RMG (Aug) and IMM
3.4 updated -prep for IMM (Oct 2013)
3.5 Updated 13 Nov 2013