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

Lincolnshire POLICE & CRIME COMMISSIONER
SAFER TOGETHER

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FUNCTION / ACTIVITY REQUIRING ASSURANCE	
OPERATIONS section	**Reference Number**
• **FORCE CONTROL ROOM (FCR)**	**01**
• **LOCAL POLICING WEST**	**02**
• **LOCAL POLICING EAST**	**03**
• **CRIME**	**04**
• **CUSTODY**	**05**
• **SPECIAL OPERATIONS**	**06**
• **PROFESSIONAL STANDARDS DEPARTMENT (PSD)**	**07**
• **COLLABORATION**	**TBC**
SUPPORT section	
• **COMMERCIAL PARTNERSHIP (CPT)**	**TBC**
• **INFORMATION & COMMUNICATIONS TECHNOLOGY (ICT)**	**TBC**
• **INFORMATION MANAGEMENT UNIT**	**TBC**
• **ESTATES**	**TBC**
• **FLEET**	**TBC**
• **HUMAN RESOURCES**	**TBC**
• **LEARNING AND DEVELOPMENT**	**TBC**
• **ORGANISATIONAL CHANGE (SDD)**	**TBC**
• **TECH FUTURES**	**TBC**
FINANCE section	
• **FINANCIAL MANAGEMENT**	**TBC**
• **BUDGETING / GOVERNMENT FUNDING**	**TBC**
• **PROCUREMENT**	**TBC**

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

The Crime Command provides the following core investigative functions: Protecting Vulnerable People (PVP), Intelligence, Economic Crime, Crime Standards, Cyber and Digital Forensics. The difference between the current demand and the expected future demand is the continuation in the rise of complexity, volume, accreditation, and digital storage. Crimes against vulnerable people continue to increase particularly in areas such as Child Sexual Exploitation, Slavery, Fraud and Sexual Offending. Accreditation for Crime Scene, Digital and Cyber related investigations must be achieved and demand for digital storage capacity continues to rise. The complexity of fraud continues to increase with the growth of criminal capability. The intelligence environment must remain flexible in-line with a changing local, national, and international threat level. To meet the predicted demand, the intelligence strand has been reviewed and is currently operating under a new model. Some key differences in the model is the creation of a 24 x 7 intelligence cell and financial intelligence capability. This cell provides support in any dynamic situation and is tasked for other more routine work. The cell has had positive feedback from users and will continue to be monitored for its effectiveness. The intelligence environment, particularly Cyber and Digital Forensics are also subject to accreditation. The intelligence strand has employed a Technical Manager that will support the future requirements of accreditation and have also submitted a business case to support future demand through the Government's Uplift program.

The force has introduced a proportionality policy for PVP investigations. This is to better manage resource and demand by ensuring investigations prioritise dealing with risk and investigative viability. By example, it is anticipated this will reduce bureaucracy in referring unnecessary cases to the CPS and in doing so free up officer time to focus on investigative work which will safeguard people and / or yield an investigative outcome.

The force is introducing a new Crime Standards Board to increase scrutiny across investigations, RUI, bail, case file quality, wanted offenders and forensic hits. It is anticipated this approach will help directly influence improvement in investigative standards; ensure supervisory direction and oversight, and better target resource and action in relation to areas of greatest risk and need. The board will look to have a core panel including membership of senior detectives and others so a collective ownership can drive up standards. This will be complemented by a Performance Management Unit that would, in-essence, be the 'pro-active' arm of the board whereby support, training, advice and quality assurance can be provide both remotely and 'in the field'. The activities and impact would be monitored by the board.

Lincolnshire has established a Detective Academy. The academy aims to provide a hub for the development and support of investigators in all areas of the force, from recruitment, training and accreditation to career pathways and lateral movement opportunities. The Academy aims to ensure the highest standards of investigative training and skills across all aspects of criminal investigation.

The force has a clear PIP2 development pathway with a clear structure and pathway to accreditation. The academy combines joint working between the Investigation Standards Department, L&D, PVP and Area Policing and has produced the force Investigative Resilience plan.

Custody

There are four custody sites within Lincolnshire that operate 24 hours a day 7 days a week, these are based in Skegness, Grantham, Boston, and Lincoln. The custody function and management sit within the crime department and is intrinsically linked to investigations and is a key part of criminal justice delivery.

Lincolnshire form part of the regional East Midlands Criminal Justice Service sharing best practice and supporting learning.

The custodian function is currently provided by our strategic partner G4S. The function is headed by a uniformed Chief Inspector supported by two geographically based Inspectors. The custody sergeants and review Inspectors are district resources. We have embedded Health Care professionals and Liaison and Diversion resources.

There is a detailed performance management regime with the key objectives being the safety and welfare of our detainees whilst they are in our care

Professional Standards Department

The Professional Standards Department (PSD) deals with all public complaints and tries to resolve as many as possible at the first opportunity to the satisfaction of the complainant. This can be by answering their questions there and then or asking the officer in the case to contact them about an ongoing case. All other complaints are recorded and allocated to a complaint handler to engage with the complainant, review what happened and then update the complainant and staff involved. A decision is made whether the service provided by Lincolnshire Police was acceptable or not acceptable. A small number of complaints require a formal investigation and can result in misconduct investigations. PSD are required to refer certain complaints, conduct matters and death and serious injury incidents to the Independent Office for Police Conduct (IOPC) and they independently investigate some cases.

PSD also has an anti-corruption unit (ACU) who are also responsible for investigating allegations of misconduct and corruption but more importantly try to prevent this happening in the first place by prevention messages and educating our staff in accordance with the control strategy priorities.

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1. **USER GUIDE**

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

1.1. **The purpose of the Assurance Map**

The purpose of the assurance map is to provide a mechanism to assess the degree of confidence in the ability of the organisation to deliver its strategic objectives.

1.2. **Understanding the Assurance Map**

1.2.1. **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.

1.2.2. **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. *(In the master folder on the Shared drive.)*

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 1st column - ***Operational Management*** - contains information on local management controls for the processes operated and activities conducted e.g., policies and procedures to be followed & resources required – Key assurance questions include are the right policies, processes & resources 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 2nd 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 e.g., performance management, workforce.

2.3. The 3rd 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 4th Column – **Internal Audit** contains only the results of internal audits – i.e., those independent of 'line-management' and it does not contain the results from internal / departmental dip sampling or compliance testing.

2.5. The 5th 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 6th 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 7th 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 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 status of the sources of assurance listed in that column. (e.g., 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** e.g., 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)

Appendix A – Assurance Map overview briefing (Current version is in the Master folder on the joint assurance shared drive).

ASSURANCE DASHBOARD *Note:* *1st & 2nd "lines of defence" are process based assessments.* *3rd line of defence is a results-based assessment* *The' overall' assessment is 'confidence' based.*	1st line - process	2nd line - Process		3rd line - Results		Current Overall Assurance RAG Ratings (Including date moderated / agreed)
	Operational Management & Process Controls. *(Local control measures)*	**Management Oversight, Corporate Reporting & Monitoring** *(Oversight of activity)*	**Risk Management** *(Risk registers & controls)*	**Internal Audit - Compliance Testing** (Results)	**External Inspection & Scrutiny** (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 confidence in the effectiveness of governance, risk management & controls in place for each of the functions listed.
OPERATIONS						
1 FORCE CONTROL ROOM (FCR)						16th March 2022
2 LOCAL POLICING - WEST						16th March 2022
3 LOCAL POLICING - EAST						16th March 2022
4 CRIME						16th March 2022
5 CUSTODY						16th March 2022
6 SPECIAL OPERATIONS						16th March 2022
7 PROFESSIONAL STANDARDS (PSD)						16th March 2022
8 COLLABORATION						
SUPPORT						
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						
FINANCE						
18 FINANCIAL MANAGEMENT						
19 BUDGET / GOVT FUNDING						
20 PROCUREMENT						
	Process controls confirmed by Leads for each area.	Delivery - Progress against plans. Management monitoring & corporate reporting, e.g., performance.	Risk - identification, recording, management and proportionate mitigation & control.	Current Audit plan agreed April 2022	Current HMICFRS PEEL Grades - 2019 • Efficiency – Requires Improvement. • Effectiveness – Good. • Legitimacy – Good	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.

RATING GUIDANCE	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 (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 (DK 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

Function Requiring Assurance	Lead – for Assurance Map	Notes
OPERATIONS		
01 FORCE CONTROL ROOM (FCR)	Ch Insp Nic Templeman (TBC)	Part of Central Command – Ch/Supt Nicky Mayo
02 LOCAL POLICING WEST	D Ch/ Supt Jon McAdam	
03 LOCAL POLICING EAST	Ch/ Supt Kate Anderson	
04 CRIME	D Ch/ Supt Andy Cox	
05 CUSTODY	Ch/ Insp Daryl Pearce (Supt Liz Rodgers)	Part of Crime Command.
06 SPECIAL OPERATIONS	Ch/Supt P Timmins (T/Supt Pat Coates)	Part of Central Command – Ch/Supt Nicky Mayo
07 PROFESSIONAL STANDARDS DEPARTMENT (PSD)	Supt Deb Clark	
08 COLLABORATION		
SUPPORT		
09 COMMERCIAL PARTNERSHIP (CPT)		
10 ICT		
11 INFORMATION MANAGEMENT		
12 ESTATES		
13 FLEET		
14 HUMAN RESOURCES		
15 LEARNING AND DEVELOPMENT		
16 ORGANISATIONAL CHANGE (SDD)		
17 TECH FUTURES		
FINANCE		
18 FINANCIAL MANAGEMENT		
19 BUDGET / GOVERNMENT FUNDING		
20 PROCUREMENT		

MASTER ASSURANCE MAP – DASHBOARD CHANGE LOG (ALL CHANGES TO THE ASSURANCE MAP DASHBOARD MUST BE RECORDED HERE)			
Date	**Change made**	**Made by**	**Notes**
29 March 2021	Added this change log and corrected typos within text of user guide page.	RPO - AS Williams	All changes to the Dashboard from this point are to be logged for reporting and tracking purposes by the RPO & FRPRO.
30 March 2021	• Update 'user guide' with amendments / comments from Jan 2021 JIAC meeting. • Added T/ Supt Pat Coates to the list of Leads (for the duration of Op Talla) – for SP Operations	RPO - AS Williams	
12th April 2021	• changes made to 'leads' document to reflect changes to COT - ACO leaving 7th May new ACC - Plus replacement head of local policing East. • Update the logo on front page of dashboard with current force crest	RPO - AS Williams	
18th May 2021	• Added 'Introduction' text for Custody to dashboard Page 4-5	RPO – AS Williams	
19th May 2021	• Added 'Introduction' text for PSD to dashboard Page 4-5 • Added page numbers to index for list of leads and scoring matrix.	RPO – AS Williams	
16 June 2021	• Amend page numbers in Index following changes made above. • Update RAG ratings from all available templates (overall ratings yet to be moderated / agreed).	RPO – AS Williams	In preparation for June 2021 JAR meeting.
21 June 2021	• Add reference to location of overview briefing file (appendix A) on Page 4 of Dashboard. • Rename all master templates as Version 1.0 (remove 'draft') following confirmation of overall RAG ratings on 21 June JAR meeting.	RPO – AS Williams	For: FCR, custody, Local policing E&W, Spec Ops, PSD,
20 Sept 2021	• Update dashboard with moderated RAG ratings from June 2021 JAR meeting (Crime Rating yet to be agreed)	RPO - AS Williams	Crime dept - rating due for discussion at Sept 2021 JAR meeting
22 Sept 2021	• Update dashboard with moderated RAG rating for '04 - CRIME' from Sept 2021 JAR Meeting	RPO - AS Williams	
14 Feb 2021	• Update names of lead officers for each organisational function on the Map	RPO - AS Williams	Addition of Kate Anderson LP East command.
11th April 2022	• Change date of internal audit plan • Update lead officer names / roles with responsibility for A Maps. • Update overall RAG rating dates to 16th March.	RPO - AS Williams	• Supt Clark to PSD , Ch/Ins Templeman to FCR