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 **Revised Timescale** 30.09.22 **Revised Timescale** 31.12.22	OPCC / Force	10.06.2020 25.11.2020 26.01.2021 28.04.2021 11.11.2021 02.03.2022 25.04.2022 19.09.2022 22.11.2022

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. **Update Aug 2022** – Fraud risk matrix template completed and RPO currently scheduling meetings with departmental / functional SPOCS to populate the Template. Policy and Strategy documents amended to reflect introduction of Matrix. **Update Nov 2022** – There is no new update, the completion date has been extended to December 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 4.1 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. **Update Aug 2022** – This was updated in September 21 and April 22 as closed. Succession planning for detectives and firearms officers was managed locally. However, as we continuously develop and aspire to handle things differently it is worthy of note stating that the imminent selection and subsequent appointment of a Head of Talent & Leadership will re-invigorate this recommendation. There is a requirement for investment in software/systems to enable data to be captured and information to be prepared which will form part of the ERP development. This is a	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 19.09.2022 22.11.2022

slow burn work activity which requires the resources and systems in place to enact this efficiently. **Update Nov 2022** – All established, temporary and supernumerary roles within Lincolnshire Police are captured on our t-Police system and our workforce data is managed and monitored on a frequent basis with Heads of Department and at our People Board. This ensures that we track key gaps and forecasted gaps amongst our roles to prepare for the need to recruit or re-deploy officers to meet service needs. Furthermore, all skills which are acquired are recorded against our 'people' which enables us to identify where a specialist skill is held and seek to redeploy into a different role as needed. The development of our ERP and the prospect of a Learning Management System will only seek to enhance the reporting capabilities here. This recommendation is now complete.				
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	1	**Original Timescale** 30.06.21 **Revised To** Second Quarter of 2022/23 **COMPLETE**	Director of People Services	11.11.2021 02.03.2022 25.04.2022 19.09.2022 22.11.2022

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. **Update Aug 2022** – This was updated in September 21 and April 22 as awaiting update to the ERP system to enable this to be actioned. 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. **Update Nov 2022** – Our t-Police ERP system captures all training undertaken by officers and staff, and where there is an expiry of the 'currency' of such training this is also captured so we can clearly identify when courses are required in the future to retain the skill set. This enables us to plan ahead with course needs and numbers for a range of roles – which in turn provides information to populate our annual training schedule. Investment in Learning Management Systems will enable us to enhance this process and capture multiple digital data reports in a timely manner as opposed to working through many data strands to pull one report together. This recommendation is now complete.				

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Wellbeing – Oct 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. **Update Aug 2022** – Data is being collated in relation to all new services, this includes: • The number and RAG rating of calls to the 24/7 mental health support line. • Details of referrals for physio including nature of referral, demographic details, recommended outcome, pre and post impact scoring, number of sessions, online or face to face etc.	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 **COMPLETE**	Head of Health & Wellbeing	11.11.2021 02.03.2022 25.04.2022 19.09.2022 22.11.2022

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Wellbeing – Oct 2021 – Rec. 4.2 continued • The number of sign-ups to the wellbeing app and most viewed content. • Where psychological screening takes place reports are issued back to departments (providing anonymity can be ensured). • Work is currently underway to map out the KPIs that will be collated by the team once this service is transferred back in-house. This will include turnaround times and workloads for the team as well as a wider picture of organisation health. This is in addition to data already collated to build a picture of the organisation such as health risk assessment, health services need's assessment, and annual survey data. We will add feedback to the health & care programme board as a standing item to appear quarterly on the agenda, starting from September (end of quarter 2 – based on financial year). **Update Nov 2022** – Occupational Health services are now managed internally, and we have transitioned away from EMOHU so have greater control over managing data for all health and care services. All data is being collated and shared with the People Board. This recommendation is now complete.				
Procurement – May 2022 – Rec. 4.1 The Force should ensure that the Financial, Contract and Procurement Regulations are reviewed and updated, if necessary, as a matter of urgency. **Management Response** – The Regulations have been updated to reflect the end of the G4S contract and will be reviewed by JIAC on 25th April. Approval following JIAC review. **Update Aug 2022** – An interim revision of the Financial, Contract & Procurement Regulations has been prepared which adjusts the approval matrix for the end of the G4S contract. This is currently in process for approval. A further full revision will be required once the review of the PCC's Scheme of Consent and both Schemes of Delegation has been completed. The interim revisions are completed but the full review will be done by 31.03.23, the 23/24 budget. **Update Nov 2022** – The response to this recommendation is still current. To be signed off at the next JIAC.	2	**Original Timescale** 31.05.2022 **Revised Timescale** 31.03.2023	OPCC CFO / DoF&CS	19.09.2022 22.11.2022

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Collaboration EMSOU Wellbeing – May 2022 – Rec 4.3 The Unit should utilise workforce analysis, specifically regarding any required support, Training Needs and High-Risk Business Areas, to identify training and interventions that may be most helpful. **Management Response** – In EMSOU we have worked with the Institute for Public Safety, Crime and Justice at the University of Northampton on staff surveys as well as the College of Policing conducting a peer review. We did the original one a few years ago and have been waiting for the effects of COVID to reduce so we can benchmark against the original to see if there are any improvements or new areas of risks. These can be provided and are very in-depth with a lot of analysis completed by them and fed into the EMSOU delivery plan. **Update Aug 2022** – Work ongoing on delivery plan in relation to outcome of previous analysis as per previous recommendation. **Update Nov 2022** – The College of Policing peer review looked at culture and inclusion across EMSOU and resulted in several observations. Each of these reviews provided important recommendations which we have now embedded within the main EMSOU delivery plan under the People and Culture workstream. This response plan will aim to build upon our strengths, as well as manage and mitigate any of the issues identified for improvement. This recommendation is now complete.	2	**Original Timescale** May 2022 **COMPLETE**	Director of Corporate, Forensic & Technical Services	19.09.2022 22.11.2022
Collaboration EMSOU Wellbeing – May 2022 – Rec 4.4 The Unit to utilise data from available systems and external service providers to identify trends related to wellbeing and assess the effectiveness of wellbeing projects and/or actions. **Management Response** – We have a performance project and team that is building a data lake to provide One Single Version of the truth for our data and then to be produced into Power Bi dashboards that can be analysed for trends and issues etc. HR and Wellbeing data is to form part of this so we can have accurate HR info into our data lake that we can then present and interpret. **Update Aug 2022** – Work is ongoing with an Extended Team working on it. Forms part of the ongoing work plan for this team within EMSOU. **Update Nov 2022** – By introducing the Workforce Information Assistant role to the EMSOU HR team, this will allow the extraction of various extract reports from the HR system including those which contain information on ED&I. The Workforce Information Assistant works closely with our performance team to compile reports which are shared at both EMSOU Senior Command Level and other regional levels across the collaboration. These reports include information on establishment, sickness (which assists to identify any trends/areas that need to be looked at more closely), recruitment and aspects of ED&I. Changes and training than can be provided using accurate and timely performance related data. This recommendation is now complete.	2	**Original Timescale** May 2022 **COMPLETE**	Director of Corporate, Forensic & Technical Services	19.09.2022 22.11.2022

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Contract Management – June 2022 – Rec. 4.1 The Force should ensure that written procedures and guidance documents are developed and published for contract management. Once created these should be effectively communicated to those responsible for managing contracts. **Management Response** – Given that a full restructure of both the Finance and Commercial Partnership Team is to take place before September 2022 (start date of consultation 14th June 2022), both this recommendation and 4.2 will be addressed following implementation of the new structure. Contract Management will change in 22/23 post the strategic partnership with G4S. Once the new structure has been implemented, revised procedures and guidance will be developed, and appropriate training will be given. BLC have been commissioned to provide a training package for 12 months for members of the new Commercial function. **Update Aug 2022** – No further update. The go live date for the new structure is 1 September 2022 so work in respect of the actions identified will be commencing after that date. **Update Sept 2022** – Lisa Norton has been appointed as the head of Commercial and Contract Management and will be leading on this work moving forward. **Update Nov 2022** – There is no further update on this recommendation at this stage and the Head of Commercial and Contract Management has confirmed that this is on the 'to do list'.	2	**Original Timescale** Revised Procedures – 31.03.23 Training – Ongoing, Commence in Sept 2022	DoF&CS / Head of Commercial & Contract Management	19.09.2022 22.11.2022

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Contract Management – June 2022 – Rec. 4.2 The Force should ensure that appropriate training and guidance is developed, scheduled and provided to all staff with responsibilities for Contract Management. **Management Response** – Given that a full restructure of both the Finance and Commercial Partnership Team is to take place before September 2022 (start date of consultation 14th June 2022), both this recommendation and 4.2 will be addressed following implementation of the new structure. Contract Management will change in 22/23 post the strategic partnership with G4S. Once the new structure has been implemented, revised procedures and guidance will be developed, and appropriate training will be given. BLC have been commissioned to provide a training package for 12 months for members of the new Commercial function. **Update Aug 2022** – No further update. The go live date for the new structure is 1 September 2022 so work in respect of the actions identified will be commencing after that date. **Update Sept 2022** – Lisa Norton has been appointed as the Head of Commercial and Contract Management and will be leading on this piece of work moving forward. **Update Nov 2022** – The update is "Fundamentals of Contract Management" training has been provided to user departments undertaking contract management duties and the Commercial and Contract Management (CCM) Department staff on 10 October 2022. This is basic contract management training that was provided by BlueLight Commercial (BLC). Two out of the five CCM staff currently in post have also completed the "GCF Contract Management Foundation" course, which is online training hosted by the Government Commercial College. The rest of the current CCM team will be undertaking this training in due course. All CCM team members will also be aiming to complete the BLC Advanced Contract Management training prior to 31 March 2023. This recommendation is now complete.	2	**Original Timescale** Revised Procedures – 31.03.23 Training – Ongoing, Commence in Sept 2022 **COMPLETE**	DoF&CS / Head of Commercial & Contract Management	19.09.2022 22.11.2022
Estates Management – Sept 2022 – Rec. 4.1 The Force should review how management information reports can be re-implemented in order to monitor performance trends related to reactive maintenance. **Management Response** – A new Head of Asset & FM commenced in post on 01/09/2022 – A review of the previous management reports will be undertaken to assess the value of producing such reports and will re-implement as required. **Update Nov 2022** – This recommendation is on track to be completed by 31 December 2022.	2	**Original Timescale** 31.12.22	Head of A&FM	22.11.2022
Estates Management – Sept 2022 – Rec. 4.2 The Force should ensure that stock condition surveys are undertaken in line with the Asset Condition Survey Programme. **Management Response** – A new Head of Asset & FM commence in post on 01/09/22 – A review of the Condition Survey process will be undertaken to ensure alignment with agreed processes. **Update Nov 2022** – This recommendation is on track to be completed by 31 March 2023.	2	**Original Timescale** 31.03.23	Head of A&FM	22.11.2022

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Archives Management Follow-Up – Sept 2022 – Rec. 4.1 The Force should deliver refresher training to those responsible within CJU for recording the contents of items onto Transearch to ensure they are complying with the procedure. **Management Response** – From 1st October 2022 the Central Archive team will take over the responsibility for the whole of the Finalisations process from CJU. Training and a standard operating procedure have been provided for this which includes recording the contents of each archived item. Due to the above imminent change, there are no plans to provide refresher training to staff within CJU. **Update Nov 2022** – This recommendation is now complete.	2	**Original Timescale** 01.10.22 **COMPLETE**	Central Archive Team	22.11.2022
Archives Management Follow-Up – Sept 2022 – Rec. 4.2 The Force should ensure that GDPR related audits are conducted on an annual basis as per the Review, Retention, and Disposals of Information Policy (PD54). The Force should extend the audit regime it currently has in place to encompass the management of archived items within its scope. This audit may include performing the following additional tests noted within the finding, although that is not an exhaustive list. **Management Response** – The Central Archive is to be added to the December audit every year from December 2022 onwards. A visit has been arranged to the archive by the audit staff for 12th October 2022 to discuss this year's audit. **Update Nov 2022** – The Force should ensure that GDPR related audits are conducted on an annual basis as per the Review, Retention, and Disposals of Information Policy (PD54). The Force should extend the audit regime it currently has in place to encompass the management of archived items within its scope. This audit may include performing the following additional tests noted within the finding, although that is not an exhaustive list. This recommendation is now complete	2	**Original Timescale** 31.12.22 **COMPLETE**	IMU Audit Staff	22.11.2022