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
Cyber Security – February 2023 – Rec. 4.1.1 The Force needs to put greater emphasis and priority on mitigating against the high impact vulnerabilities as stated in the ITHC in a timelier manner. **Management Response -** Whilst the Network and Security team prioritise high impact vulnerabilities the timeliness of mitigation is not always as desired. The team continues to be under resourced due to an inability to fill skilled roles within the team. With this impact the Security Analysts primary focus is on the highest of risks within the ITHC so they focus on the highs that would have the greatest impact to the force. This then allows them time to help with engineering duties due to under resourcing issues. Once the resourcing issues are dealt with the analysts will be able to focus solely on their duties and all risks will be dealt with more efficiently and proactive checks will also be carried out to try and mitigate any potential future risks. **Update August 2023** – A replacement Team Manager has been appointed and is currently serving his notice period in his current role before commencing employment with Lincolnshire Police. The DDAT restructure has made available Senior Network and Security Engineer roles which will hopefully attract suitable candidates. **Update October 2023 –** Optimistic that we will have the resource in place to fill our staffing deficit, and simultaneously the current team will be appropriately skilled to respond. When we talk about the responses to high and critical severity incidents, there is still an internal change process that needs to be followed but it is expected that Emergency changes should be undertaken within the 14-day designated period. **Update February 2024** – Network & Security recruitment has now been complete, and the vacancies have now been filled. However, there is an expectation that it will take time for the 3 new individuals to 'get up to speed' and acclimatise to the environment and requirements for the ways of working. Unfortunately, the most experienced Security engineer has been temporarily seconded to another department to assist and therefore leaves yet a further knowledge and skills gap. In order to mitigate and expedite the security skill gaps, the new team members are performing shadowing duties to develop their skillset and utilising the Enterprise Skills Initiative provided by Microsoft for security related training. ITHC remediation activity is skill managed with the ITSO on a weekly basis and the appropriate personnel attend wherever possible to ensure appropriate traction with developing mitigation activities.	2	**Original Timescale** 31/01/2024 **New Timescale** 31/05/24	Head of ICT Infrastructure & Operations	02/08/2023 04/10/2023 06/03/2024

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Cyber Security – February 2023 – Rec. 4.2 The Force should also revise their emergency plan to include for different types of cyberattacks and not to generalise their guidance. **Management Response –** The current plan has previously been reviewed by the National Management Centre and is planned for annual review in February as part of the annual review process. Security Analysts will work with the NMC to review the IT audit feedback and integrate that into an updated plan as appropriate. **Update July 2023 –** Consultation has happened with the NMC, ITSO and security teams respectively. The emergency planning team are currently reviewing the wider business continuity documentation which will play an important part in defining the cyber-attack response and is an on-going consultation with the team. This work will not be completed before the beginning of August. **Update August 2023 –** The team have engaged with the National Management Centre (NMC) regarding our current plan and discussed at a high level a likely approach to providing greater detail regarding specific types of attacks. The NMC have indicated they will provide further support by reviewing any draft document we produce. It was raised at the Quarterly Security Briefing the lack of resource was a factor in the slow progression to a conclusion. The Head of ICT Infrastructure & Operations has arranged a meeting with key staff to look at setting a more realistic completion date. **Update October 2023 –** This work is currently being carried out but due to resourcing pressures elsewhere, dedicated time to undertake this exercise is difficult to find. Slow progress is being made and conversations are still happening with the NMC and related Cyber specialists and departments. The work should be completed by the target date. **Update February 2024** – The Cyber Incident Response Plan has been reviewed and updated accordingly. There is still some further work to be done to address the different response types, guidance has recently been received from the NMC and will be reviewed and added to the CIRP accordingly.	2	**Original Timescale** 01/08/2023 **New Timescale** 31/12/2023 **New Timescale** 30/04/2024	Head of ICT Infrastructure & Operations	02/08/2023 04/10/2023 06/03/2024

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Core Financials – June 2023 – Rec 4.1 HR should ensure that both leaver and payroll amendment forms are submitted in a timely manner to Payroll, to minimise the risk of making unrecoverable overpayments and backdating pay. **Management Response** In relation to the leavers identified, one individual in the sample resigned with immediate effect, and another was approved to give less notice than the 28 days due to the circumstances of their leaving and joining another Force. These circumstances mean that due to the payment of salary being two weeks in advance and two weeks in arrears – sometimes the payroll has already been run but changes still occur that affect the relevant pay period and therefore overpayment is unavoidable. In relation to the payroll amendment form, I will monitor this to ensure that where it is within our control, we obtain the information from management in a timely manner or escalate where this is looking like it will not be the case. **Update August 2023 –** The importance of this has been reiterated to the team and will continue to be monitored moving forwards. **Update October 2023 –** This is an ongoing action and continues to be monitored. No issues have arisen since the last update. **Update February 2024 –** This is an ongoing action and will continue to be monitored moving forwards. **Recommendation Completed.**	2	**Original Timescale** Ongoing. Review and update to be given by 31/12/2023 **COMPLETED**	Head of Human Resources	02/08/2023 04/10/2023 06/03/2024

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
EDI – June 2023 – Rec 4.1 The Force should implement an EDI Policy, contents should include but not be limited to: - • The Force's mission statement and approach with respect to EDI. • Legislation the Force are complying with in supporting EDI (Equality Act 2010 and Public Sector Duty). • Aims and objectives of the Force with respect to EDI; • Roles and responsibilities of individuals dedicated to EDI (including both the EDI Board and EDI Team); - • Any forms of training / performance reporting with respect to EDI; and – • References to the EDI Strategy and supporting strategies (such as the 'Making Lincolnshire Safe' strategy). The Policy will provide a single point of reference for individuals to learn about the Force and its relationship with EDI. **Management Response –** EDI Team can develop an EDI Policy which will be an overarching document that captures the recommended contents. **Update August 2023 –** On track to be completed by 31 December 2023. **Update October 2023 -** On track to be completed by 31 December 2023. **Update November 2023** – No additional update – work is on track to be completed by 31 December 2023. **Update February 2024** - This was completed before end of December and published the first week back in January - Equality, diversity, and inclusion policy (PD 267) - Intranet It went through consultation for the month of December and was shared with EDI Board. **Recommendation Completed**	2	**Original Timescale** 31/12/2023 **Completed**	Head of EDI	02/08/2023 04/10/2023 06/03/2024

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
EDI – June 2023 – Rec 4.2 As planned, the Force should deliver continuous and regular EDI training to their staff (this can be either formal or informal), ensuring content is relevant, focused and engaging. The Force should ensure logs of training completed are held for both officers and staff, allowing them to verify whether training is successfully completed as per their induction. This would also allow for monitoring of completion rates, where the Force could investigate the time, it takes for staff to complete such training (for online modules only). **Management Response -** We are working with Erin Bell to develop our approach to specific EDI Training and EDI issues within other training courses to ensure content is relevant. In the short term (<12months) the force is developing our capability to utilise T-Police and then ultimately developing a new Learning Management System – LMS (12-24 months). Logs of completed training are held, but it is not currently a straightforward process to maintain oversight of EDI inputs, completion rates and time taken, which should be resolved with the better utilisation of T-Police and then the replacement LMS. **Update August 2023 –** Work is underway and currently on track to be completed by the dates given. **Update October 2023 –** Work is underway and currently on track to be completed by the dates given. **Update November 2023** – No further update work is on track to be completed by the dates given. **Update February 2024** – Work is still ongoing and on track to meet the timescales given.	2	**Original Timescale** First Stage Utilising t-Police – 31 May 2024 Second Stage developing a new Learning Management System by 31/05/2025	Head of Learning & Development	02/08/2023 04/10/2023 06/03/2024

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Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Stock Control – July 2023 – Rec 4.2 The Force should investigate the discrepancy of the write off figures to ensure the correct figure has been processed. The Force should have agreed guidance for the write off of stock. The Force should ensure sufficient audit trail is retained for any review, approval and amendments of stock write offs. **Management Response –** In accordance with the Finance & Contract Regs (FR27 – Write off of Stocks & Stores), during the Strategic Partnership, a report was always submitted to the CPT for approval to write off any stock. This was reviewed by the CPT Contract Manger and submitted for approval to the OPCC's CFO / Force CFO depending on value of write-off being sought. As the CPT has now disbanded, a revised guidance note will be documented – this has previously been provided by the Deputy Finance Officer / Head of Finance. **Update August 2023** – The revised guidance note should be completed by 1 October 2023. Currently being reviewed by the Finance Manager. **Update October 2023** – Revised guidance note has been written by the Finance Manager. **Recommendation Completed.**	2	**Original Timescale** 01/10/2023 **COMPLETED**	Head of Finance	02/08/2023 04/10/2023 06/03/2024

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Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
IT Resilience – August 2023 – Rec 4.2 1) As planned, the Force should review all IT architecture to determine SPOFs. 2) The Force should follow through with its plan to install a dual active/passive SD WAN capability between Force HQ and Azure. 3) The Force should identify subject matter experts and whether these are key person dependencies and where this is noted look to cross pollinate information across other team members. Where this is not feasible, alternative strategies should be employed, such as using a call off support contract with a third party. 4) As planned, the Force should update their telephony communication system. **Management Response –** We have started the implementation of SD WAN which is the solution that will take over for the Azure VPN and this will make it a resilient service. Telephony is also undergoing a full review and all old analogue kit will be swapped as part of the wider national analogue decom. Analysis on SPOF and relevant documentation for knowledge sharing is an ongoing task – due to staffing constraints we have this will take some time to do a full audit / risk assessment and designs for resilience implementation where required. **Update October 2023 –** An element of this will slip beyond the estimated date due to a third-party issue with their SIP solution. All analogue telephones will continue to be replaced but the main 999 system is anticipated to be implemented March 2024. Everything else is on track. **Update November 2023** – Points 1 – 3 has very little change with regards to progress. This is an on-going piece of work and constitutes continuous improvement and therefore should continue to be practiced beyond the date identified in the timescale. Point 4 will slip beyond this date as the third party who provides the identified solution currently carries a risk with onboarding and has therefore asked for time to remediate their risk. Anticipated this will be delivered by March 2024. **Update February 2024** – Point 1 – All network infrastructure has been reviewed and recently completed an entire core network upgrade. All on-premise network infrastructure is now resilient with at minimum dual redundant circuits. All WAN sites assigned as Tier 2 or higher also have resilient circuits. Critical infrastructure is entirely resilient. The only SPOF from a network perspective is the Cloud Connect (express route) into Azure. Point 2 – we are currently undergoing design review for SD-WAN connectivity into Azure. This will provide georedundant resilient capability. Point 3 – there is no longer a vacancy factor within the ICT Ops teams and all roles are currently filled. Therefore, there is an on-going driver to ensure cross-pollination of skills and knowledge. The knowledgebase is continually developed and reviewed. Other team members are frequently exposed to other teams to help develop their understanding also. Point 4 – The Unify telephony platform is due to complete the upgrade process at the end of February and due to be live in March. 95% of the analogue telephony systems have now been decommissioned and user services migrated to the IP platform.	2	**Original Timescale** 01/12/2023 **Updated Timescale** 31/03/2024	Head of ICT Infrastructure & Operations	04/10/2023 06/03/2024

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Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
IT Resilience – August 2023 – Rec 4.3 The Force should review the applications catalogue, including. • The criticality tiers for each IT system should be aligned with the recovery time objective and targets found in the business continuity plan and service level agreement. • The adequacy of resilience measures to determine the residual resilience risk, and from this determine if further mitigation strategies need to be developed/implemented. **Management Response –** A wider engagement with all business areas that have association with various applications in use across the force will be undertaken to determine the support and resilience requirements, be that for 'standard' business hours and out of hours critical support. This will form the basis of the appropriate replacement tier mechanism and determine the appropriate response for mitigation. **Update October 2023 –** Work is underway and currently on track to be completed by the dates given. **Update November 2023** – The 'tier review' is continuing however, due to the vast amount off applications and the associated teams and departments that rely on their availability, progress is extremely slow. This will also help form the basis of the critical on-call out of hours facility. **Update February 2024** – With regards to resilience, 95% of hosted applications reside on 4 geo-load balanced servers, 2 servers per site providing local and geographic resilience. The databases that sit behind those front-end web servers are also geo-resilient SQL always on availability groups. It has been identified that only 3 applications/systems are not fault tolerant in this scenario and in those cases, there are manual procedures in place to address this. This completes this recommendation. The three remaining services that are not fully resilient have a manual process in place to ensure services are restored ASAP and cannot be made resilient so there is no further work that can be undertaken for this. **Recommendation Completed.**	2	**Original Timescale** 31/12/2023 **COMPLETED**	Head of ICT Infrastructure & Operations	04/10/2023 06/03/2024

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Procurement Follow-Up – August 2023 – Rec 4.2 The Force should ensure that non-compliance with EPA contract awards are highlighted in a timely manner. The Force should report the non-compliance to the appropriate governance forum for effective oversight and scrutiny in line with its regular reporting of EPA's. **Management Response –** The Financial Governance Report for FY22-23 is being sent to JIAC in November 2023 and details of non-compliance will be added to this. Details will also be reported in the mid-year Commercial Report going forward. **Update October 2023 –** Currently on track to be completed by the target date. **Update November 2023** – This recommendation has been completed.	1	**Original Timescale** 30/11/2023 **COMPLETED**	Head of Commercial & Contract Management	04/10/2023 06/03/2024

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Environmental Sustainability – August 2023 - Rec 4.1 The Force should ensure that a deadline for the Sustainability Plan is set and that the Plan is completed within a reasonable timeframe. It should be ensured that all departments are engaged with when producing the Sustainability Plan to understand how they can contribute. The Sustainability Plan should set out the following as a minimum (see appendix A2 for more details): • Environmental Policy • Governance mechanism(s) Environmental Goals & Targets • Responsibilities for goals/targets and the areas within the Strategy • Environmental Management System (EMS) • Stakeholder Engagement • Continuous Improvement **Management Response** The 2023/26 Estate Management Plan includes: - • 23/24 – Q2 – Engage Sustainability resource (temp to assist in developing the plan) • 23/24 – Q4 – Confirm requirements of Sustainability Plan • 2024/25 – Develop and commence delivery of Sustainability Plan **Update November 2023** – A meeting took place on 21 August with the lead from the Midlands Net Zero Hub (established under the Dept for Energy & Net Zero to support public sector organisations to develop net zero and energy strategies and projects). It was confirmed that they would be able to provide a project resource by mid-October to work with us to develop a project plan which would then support the development of our Sustainability Plan. This has been chased up and a response awaited. A deadline for producing a Sustainability Plan is set – as per the Management Response in the audit report: Q4 2023/24 – the requirements of the Plan will be agreed and will be delivered in 24/25 (the timescales will be defined further once the requirements have been agreed). For Scopes 1 & 2 of the Net Zero ambition are within the remit of the Asset & FM Dept but Scope 3 will require all Departments to be engaged – this will be incorporated as the requirements are developed. **Update February 2024** - We have engaged the services of Midlands Net Zero Hub to assist us with producing a sustainability plan which will include governance mechanisms. A target date of mid-May has been set to produce the draft plan. The plan will be presented to Asset Management Group in May. The target date to have the plan signed off by COT is June/July. This will enable us to feed in any expenditure requirement into the capital/revenue budget setting process for 2025/26.	2	**Original Timescale** 31/12/2024	Head of Assets & Facilities Management	04/10/2023 06/03/2024

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Environmental Sustainability – August 2023 - Rec 4.2 Governance mechanisms for environmental sustainability as a whole should be established. This could include: • Strategic governance body e.g., sub-committee or steering group. Clear definitions of roles and responsibilities across all mechanisms. • Operational delivery group. • A sponsor in senior management to provide leadership **Management Response** To be discussed at Force Capability Board to confirm governance. Paper to be submitted for discussion at Capability Board. **Update November 2023** – This was raised at the Capability Board on 7 September 2023 to highlight the need for this to be considered. A paper is to be presented at the Asset Management Group on 23 November for initial formal discussion as the AMG feeds into Capability Board. **Update February 2024** - We have engaged the services of Midlands Net Zero Hub to assist us with producing a sustainability plan which will include governance mechanisms. A target date of mid-May has been set to produce the draft plan. The plan will be presented to Asset Management Group in May. The target date to have the plan signed off by COT is June/July. This will enable us to feed in any expenditure requirement into the capital/revenue budget setting process for 2025/26.	2	**Original Timescale** 30/09/2023	Head of Assets & Facilities Management	04/10/2023 06/03/2024

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Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Environmental Sustainability – August 2023 – Rec 4.3 When the Sustainability Plan has been completed, the Force should consider implementing a training programme covering areas such as carbon literacy, energy conservation, waste reduction, and information on the Force's environmental policies and procedures. The Force should also consider hiring an Environmental Officer or continuing to engage with external consultants to help with the long-term implementation and monitoring of the Sustainability Plan. If this is not deemed feasible, responsibilities must be incorporated into existing colleagues' roles. **Management Response –** To be discussed at People Board once Plan is agreed. Paper to be submitted for discussion at People Board. Included in Estate Management Plan to engage external specialist support. **Update November 2023** – Discussion at People Board not due until 31 March 2024 as unable to be progressed until the Plan is developed and what the training requirement will be. A bid for an Energy Specialist role was included in the Asset & FM Dept bid under the PBB Project, but not progressed as considered it could be managed within existing resources. However, agreed with Director of Finance that a specialist could be engaged on a fixed term basis – this has not progressed as per the opportunity to have a resource provided via the Midlands Net Zero Hub (as detailed in Recommendation 4.1). Once the project plan has been developed the need for a fixed term specialist post will be revisited. **Update February 2024** - We have engaged the services of Midlands Net Zero Hub to assist us with producing a sustainability plan which will include governance mechanisms. A target date of mid-May has been set to produce the draft plan. The plan will be presented to Asset Management Group in May. The target date to have the plan signed off by COT is June/July. This will enable us to feed in any expenditure requirement into the capital/revenue budget setting process for 2025/26.	2	**Original Timescale** Estate Management Plan – 30/9/2023 Paper to People Board – 31/03/2024	Head of Assets & Facilities Management	04/10/2023 06/03/2024

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Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Environmental Sustainability – August 2023 - Rec 4.4 Environmental reporting should be undertaken for carbon and wider environmental impacts (e.g., waste produced) for the Force as a whole. If the Force lacks capability to undertake reporting as a whole, this should be developed further internally or through engaging with relevant experts. **Management Response** Included in Estate Management Plan to engage external specialist support which can assist in advising how this can be achieved. **Update November 2023** – The original timescale included in the Audit report (30/09/23) was intended to commit to considering how this can be progressed, and the appointment of a specialist to assist, not committing to the implementation of reporting at force-wide level. As per the main report, it is confirmed that we have demonstrated our capability to report on carbon and environmental impacts from a buildings' perspective, but not across the overall Force activities. It is included in the Estate Management Plan to review / enhance waste disposal opportunities – including Fleet and IT departments as other high waste contributors. To develop the processes and collate the required data is a significant piece of work and cannot be achieved within existing resources. This will be progressed as part of the requirements of our Sustainability Plan as baseline information is required to enable monitoring to be undertaken on our road to Net Zero. The A&FM Dept hold significant data relating to our estate, but no systems are in place to collate the wider Force data. **Update February 2024** - We have engaged the services of Midlands Net Zero Hub to assist us with producing a sustainability plan which will include governance mechanisms. A target date of mid May has been set to produce the draft plan. The plan will be presented to Asset Management Group in May. The target date to have the plan signed off by COT is June/July. This will enable us to feed in any expenditure requirement into the capital/revenue budget setting process for 2025/26.	2	**Original Timescale** 30/09/2023	Head of Assets & Facilities Management	04/10/2023 06/03/2024

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Environmental Sustainability – August 2023 – Rec 4.5 The Force ensure that: • A sustainability assessment of the Force's supply chain is undertaken to identify areas of improvement and set sustainability goals. • Environmental sustainability should be embedded within the supplier selection process - e.g., scoring of tenders and KPIs. • Environmental and sustainability risks are considered for inclusion within the Procurement risk register. **Management Response** CCM to liaise with BLC on how to undertake a sustainability assessment of the supply chain. CCM to liaise with Estates on the details included within the Force's Sustainability Plan to ensure this is included within the procurement evaluation processes as appropriate. Commercial Risk register will be amended as appropriate with any environmental and sustainability risks. **Update October 2023 - C**urrently on track to be completed by the target date. **Update February 2024** – Work is ongoing and should be completed by the original timescale date.	2	**Original Timescale** 31/03/2024	Head of CCM	04/10/2023 06/03/2024

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Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Learning & Development – January 2024 – Rec 3.1 The Force should maintain easily accessible information in relation to training records to keep track of core operational training. The Force should regularly review and cleanse data to ensure that where core competency training is due to expire this is identified in a timely manner and officers are duly booked onto refresher training to minimise the delay from expiry to refresher. **Management Response** A review has been undertaken of the data outlined above to provide satisfaction as to the reason for each matter. We know that individuals will be in an active assignment with 'restrictions' or in a role/rank whereby the skill is not readily used (Supt and above). However, the data on T-Police as part of this audit does not show this. The data will be worked through line by line to provide assurance on this finding. Moving forward, data will be [or is] reviewed monthly to sense check data accuracy and any gaps to ensure rationale is known. The limitations of the T-Police system in use and issues with data accuracy are the root cause in the majority of cases, and we now have a significantly better level of assurance that there are no Active Assignment Officers with out-of-date competencies. This recommendation has been completed.	1	**Original Timescale** 31/01/2024 **COMPLETED**	Head Of Learning & Development / Business Support Manager – L&D	06/03/2024

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Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Learning & Development – January 2024 – Rec 3.2 The Force should review the training records data, including the attainment date and review date, and ensure that the correct refresher cycle has been applied. Incorrect refresher periods should be amended, and where officers are overdue for training, operational courses should be booked as a matter of priority. **Management Response** A review has been undertaken of the data outlined above to provide satisfaction as to the reason for each matter. We know that individuals will be in an active assignment with 'restrictions' or in a role/rank whereby the skill is not readily used (Supt and above). However the data on T-Police as part of this audit does not show this, or where an individual no longer wishes to carry a Taser therefore no refresher is required. The data will be continue to be worked through line by line to provide assurance on this finding and on a regular basis to sense check data accuracy and any gaps to ensure rationale is known This recommendation has been completed.	1	**Original Timescale** 31/01/2024 **COMPLETED**	Head Of Learning & Development / Business Support Manager – L&D	06/03/2024

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Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Learning & Development – January 2024 – Rec 3.3 The Force should review these instances where mandatory training has not been completed and ensure individuals who have not fully completed training do so as a priority. Where individuals do not fully complete training by the deadline, the Force should escalate matters further to ensure oversight and governance of individuals' training status. **Management Response** Mandatory Training Policy/Process/SOP has been devised which clearly sets the requirements of: - What training on College Learn is mandatory – This typically comes via the force lead for a subject or direct to L&D from the College of Policing. All mandatory training is now taken to the monthly Tactical People Group to ensure appropriate Value for Money (ie not too many or too few Officers/Staff being required to complete course. - This is reviewed monthly, with typically a 3 month window for e-learning to be completed - Lead for each item of mandatory training is identified and provided timely updates on completion - Monitored via liaison between L&D and the force lead Police and Crime Commissioner for Lincolnshire – Learning and Development (02.23/24) Internal Audit Final Report Page 12 Some will be fed through other Boards as appropriate but local monitoring to be through Tactical People Group. This recommendation has been completed.	1	**Original Timescale** 31/01/2024 **COMPLETED**	Head Of Learning & Development / Business Support Manager – L&D	06/03/2024

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Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Learning & Development – January 2024 – Rec 4 The Force should ensure that a Force Strategic L&D Plan is developed in line with the L&D requirements over the medium to long term, including, but not restricted to, details on objectives, aims, actions, roles and responsibilities and governance. **Management Response** The Force has an existing People Strategy which covers L&D, HR and Health & Care services. People Board and People Delivery Tracker highlight those core activities for delivery over the 3 year period aligning to the Force Strategy. The Annual Plan emphasises this each year. Following consultation and reflection there is benefit in maintaining an L&D Department Plan (which will also stretch to all three depts under the people strand – HR and Health & Care) which will outline what we do, how we do it and how we enable the success of our people across the force. **Update February 2024** - We are reliant on T-Police optimisation, so this recommendation is likely to take another couple of months.	2	**Original Timescale** 31/03/2024 **Updated Timescale** 20/04/2024	Director of People Services / Head of Learning & Development	06/03/2024

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Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Learning & Development – January 2024 – Rec 5 The Force should implement a formal programme of quality reviews. On implementation and performance of quality review, the Force should embed continuous improvement and lessons learnt into L&D activities and training courses. **Management Response** The appointment of the QA Manager in January 2024 and a full QA team will enable the development of a programme of QA works across our course delivery. This includes reference and compliance with APP along with an outcome focused success. It is a work in progress and will develop over the next 4 months, with liaison across QA Team in other forces as well as the College of Policing **Update February 2024 -** L&D department annual QA plan has been developed and will be shared with dept SLT this week for adaptation and approval. Documentation linked to this has been created, and also includes an outline plan for year two. The plan is cyclical and includes both evaluation and action planning for the teams within L&D, and this will then feed into the full L&D department evaluation and action plan.	2	**Original Timescale** 30/06/2024	Head Of Learning & Development / QA Manager	06/03/2024

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Learning & Development – January 2024 – Rec 6 The Force should ensure that for those delivering training, qualification certificates are retained by the Force to clearly demonstrate that trainers are adequately qualified and trained to deliver training. **Management Response** The request for information made was misunderstood and as such the data of our existing trainers was being pulled together rather than those of external trainers. External trainers or associate trainers' data are not held by the force directly as the credentials of such trainers are not always qualification bases – for instance, Leadership Trainers providing inputs and sessions on various topics which are right for the Leadership curriculum may not require a specific qualification. Moving forward the associate trainer credentials will be held on each 'file' for such trainer to ensure that we have confidence in the ability and knowledge of the trainer outside of their training style. **Update February 2024** – QA Manager has prepared the Plan and it will be implemented. This recommendation has been completed.	2	**Original Timescale** 30/06/2024 **COMPLETED**	Head Of Learning & Development / QA Manager	06/03/2024
Workforce Planning – January 2024 The Force should undertake a skills analysis exercise of their workforce which would enable them to identify any areas of concern and develop an effective training programme. 2. The Force should ensure such exercise is completed on a cyclical basis to ensure clear oversight is consistently maintained. **Management Response** Full agreement with the comments and cause. Three Actions have been initiated. 1. Profiles of skills against Posts/Roles to understand the skills required across the organisation, including an understanding of where mandatory training requirements come from (eg Legislation, College of Policing Licence) – This is a full skills analysis and it is intended that it will be reviewed annually (subject to the capability of the replacement ERP). 2. Recording of all training on T-Police, in particular Externally Delivered Training 3. Capture of all Training that is being delivered across the organisation and which otherwise would not be recorded centrally The force is currently procuring an ERP System, which will provide a Learning Management System as a matter of priority.	2	**Original Timescale** 01/07/2024	Head Of Learning & Development	06/03/2024

Appendix A

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Workforce Planning – January 2024 The Force should complete a mapping exercise to highlight all key roles across the Force and clearly identify positions that require specific tailored training. As part of the exercise, individuals should be highlighted who are able to assume these positions in a short / medium / long term capacity. **Management Response** Profiles of skills against Posts/Roles to understand the skills required across the organisation, including an understanding of where mandatory training requirements come from (eg Legislation, College of Policing Licence) – This is a full skills analysis and it is intended that it will be reviewed annually (subject to the capability of the replacement ERP	2	**Original Timescale** 01/07/2024	Head Of Learning & Development	06/03/2024