Police Crime Commissioner and Chief Constable - Assurance Map (to support the Annual Governance Statement)

ICT & Information Management

NOT PROTECTIVELY MARKED

		OPCC / Force risk registers ***RISK SUMMARY***				*Business operations - the front line* ***BUSINESS AREAS***	*Oversight of management activity and assurance functions* ***OVERSIGHT OF MANAGEMENT ACTIVITY***		*Independent assurance / advice* ***INDEPENDENT AND OBJECTIVE ASSURANCE***		**ASSURANCE ASSESSMENT**	
						First line (more knowledge, less independence)	Second line (more objective, but not wholly independent)		Third line (objective & independent)			
Ref Number	**PCP Strategic objective/ priority**	**Key Risks Identified**	**Risk RAG**	**Status**	**Owner**	**Management Controls**	**Corporate Reporting**	**Quality & Compliance reviews**	**Internal Audit**	**External Agency**	**OVERALL RATING (RAG)**	**CURRENT KEY ACTIVITY & RATIONALE FOR OVERAL GRADING**
						How well are objectives being met? Routine system / operational control & Assurance - Business plans / Delivery plans, local control measures & monitoring Dept risk register	**Are key strategic objectives being delivered?** EXAMPLES Financial reporting Oversight boards / Project /programme reporting / PCSB / governance meetings eg resource governance Policy / Strategy in place - progress against them?	Information Assurance, regulatory compliance (inc. sys accreditation) Portfolio Mtg/Reviews Satisfaction / Complaints Handling	Type / Opinion	HMIC / Inspectorate		
ICT & INFORMATION MANAGEMENT												
ST-82	**TBC**	Failure to respond to a sustained Cyber-attack or zero day vulnerability		⇔	CC	G4S Integrated Support Strategy 2017 - 2020 incorporating draft delivery plan in place.	Integrated Support Strategy 2017 - 2020 incorporating draft delivery plan presented to PCSB March 2017.	Information assurance audits / regime in IMU?	**Jan 2017 IT - Audit opinion: GREEN - Significant Assurance** . *"Following introduction of the G4S contract the IT service is now well established with a clear governance and contract management structure. The organisational structure is also well defined along with reporting lines which have matured and advanced since the service started with a general view in place that things are a lot better than they were previously."*			
ST-83	**TBC**	The force 999 telephone system being complex and unsupported by CISCO		⇔	CC							
056-IMU	**TBC**	Lack of deletion facility in a number of force systems as required under MoPI		⇔	CC							
ST-72	**TBC**	Failure to secure the printing of information from the force Command & Control system / system compatability.		⇔	CC							
ST-86	**TBC**	Persons with criminal intent infiltrating Lincs Police as a new employee or volunteer		⇔	CC							
		RISK SUMMARY										

ACO - Assistant Chief Officer
AF&C - Anti fraud and corruption
BWV - Body Worn Video
ACC - Assistant Chief Constable
CC - Chief Constable
CE - Chief Executive
CFO - Chief Finance Officer
CMB - Crime Management Bureau
CSE - Child Sexual Exploitation
DA - Domestic Abuse
DCC - Deputy Chief Constable
DHR - Domestic Homicide Review
EM - East Midlands
FCFO - Force Chief Finance Officer
IMM - Internal Management Meeting
LASB - Lincolnshire Adult Safeguarding Board
LCSB - Lincolnshire Childrens Safeguarding Board
LRF - Lincolnshire Resilience Forum
NCRS - National Crime Recording Standards
OCG - Organised Crime Group
P&S - Planning and Strategy meeting
PPU - Public Protection Unit
PSD - Professional Standards Dept
PTP - Policing Transformation Programme
PVP - Protecting Vulnerable People
RM - Risk Management
SCR - Serious Case Review
SLT - Senior Leadership Team
SMT - Senior Management Team
SPOC - Single Point of contact
STRA - Strategic Threat and Risk Assessment
TM - Treasury Management
ToR - Terms of reference
VfM - Value for Money
YOS - Youth Offending Service

Level of Assurance	1st and 2nd lines of defence (process based assessment)	3rd line of defence & Quality and Inspection (results based assessment)	Overall Assessment RAG rating on the effectiveness of controls from assurance work undertaken
Green	**HIGH** - Controls in place assessed as adequate/effective and in proportion to the risks	**HIGH** - Mainly positive results, many strengths, minor recommendations for improvement	**HIGH –** Controls are in place assessed as adequate/effective and in proportion to the risks
Amber	**MEDIUM** - Some areas of concern over the adequacy/effectiveness of the controls in proportion to the risks	**MEDIUM -** Mixed results, some areas of concern and areas for improvement, some positive results and some strengths	**MEDIUM** – Some areas of concern over the adequacy/ effectiveness of the controls in place in proportion to the risks
Red	**LOW -** Significant concerns over the adequacy/effectiveness of the controls in proportion to the risks	**LOW -** Overall, negative results and areas of concern/requiring action and improvement	**LOW –** Significant concerns over the adequacy/effectiveness of the controls in place in proportion to the risk.
Grey	Not applicable or not relevant. Additional notes added for information.	Not applicable or not relevant. Additional notes added for information.	Insufficient information at present to judge the adequacy/effectiveness of controls.