



Audit Programme

Assurance Team 2017 - 2018

Date: 13 February 2017

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Contents

1.0 Introduction	3
2.0 Audits 2017-18.....	4

1.0 Introduction

The Assurance Team's purpose is to provide a level of scrutiny, by auditing force IT systems and physical assets. These activities form part of the governance arrangements of the alliance.

The aim of the team is to ensure that the alliance complies with its own policies, procedures and national guidance, such as the Data protection Act (DPA), Management of Police Information (MoPI) and Authorised Professional Practice (APP).

Any non compliance with policy and procedures is reported to senior management via a formal audit report containing findings and recommendations for improvement. The recommendations, along with the management responses are reviewed by the Joint Audit Committee (JAC) at quarterly meetings.

The content of the annual assurance audit programme is influenced by the following factors:

- Stipulation from bodies such as the Home Office and HMIC
- Commissions from Business Areas
- Systems deemed High Risk on the Risk Assessment Matrix
- Follow up audits to assess improvement

The audit schedule is sanctioned by the Deputy Chief Constable and the JAC, giving authority and legitimacy to the Teams work.

In the coming year the Assurance Team will be amalgamating with the Crime & Incident Audit Team under the FCR. Assurance Audits will continue to be a fundamental part of the new Audit & Assurance Teams work load.

The Assurance Team were unable to conduct all audits on the 2016-17 schedule due to reduced resillience. These audits are listed as overflow in section 2.

2.0 Audits 2017-18

Overflow from 2016-17 Programme:

Child Protection Records

Review child protection records for data quality and compliance with procedures. Scope to include an assessment of measures put in place by the alliance to address recommendations from HMIC 2015 National Child Protection Inspection.

Domestic Abuse Involving Minors

Assess if minors are being recorded correctly and if linked to relevant parties and risk management plans.

Crime Recording Data Quality

Assess Athena post go live for data quality standards to ensure information can be identified effectively for investigative and statistical purposes. Cross referencing will also be conducted on the KIM Archive & Record Management System to confirm that hard copy undetected files can be retrieved from the correct location.

New Commissions:

Detained Property

Commissioned by Ch Sup SSI. Assess levels of compliance with processes for ensuring that property which is booked onto the Property Management System (PMS) is handed into the relevant property store.

COMPACT Missing Persons

Commissioned by Ch Insp SSI. Assess data quality between OIS/STORM/PNC & COMPACT and procedures prior to HMIC inspection Sept 2017.

Method of Entry Kits

Commissioned by Ch Sup LPA to establish if kits are complete and distributed adequately across the alliance, with the necessary level of trained officers having ready access to the kits.

Vehicle Recovery

Commissioned by Sup Ops Support. Following on from an internal audit conducted by the County Council auditors, a review of assurance monitoring processes put in place within vehicle recovery, to establish if they are effective.

Scheduled Yearly:**Firearms Licensing**

Repeat audit of the National Firearms Licensing Management System (NFLMS) for record accuracy, cross referencing with GENIE and PNC. Continued audit is the result of recommendations from the 2015 HMIC Targeting the Risk, Firearms Licensing Inspection.

ViSOR

Repeat audit of the Violent and Serious Sex Offenders (ViSOR) database. Data accuracy checks cross referencing with GENIE and PNC to maintain compliance with the ViSOR code of connectivity.

PNC

Repeat audit of PNC for data quality, to maintain compliance with the PNC code of connectivity.

Follow up Audits:**Minor Operations Risk Assessment Forms**

Review to assess improvements in the amount of information recorded and data quality following the re-design of the risk assessment form.

Stop and Search

Review to assess improvements in completion of stop search forms for data quality and grounds. Assess if there is a reduction in duplicate records being created following IT requests for change (RFC).

Detained Property

Review to assess if levels of compliance with processes for detained property management have improved following the initial audit.