

## Strategic internal audit plan 2016/17 to 2018/19

Actual 2014-15	Actual 2015-16	Review Type	Audit	Assurance		Audit Sponsor	2016-17	2017-18	2018-19	Comments
				PCC	CC					
		<b>Corporate</b>								
		C	Data Quality	✓	✓	DCC		✓		Removed from 15/16 due to recent successful HMIC review.
	✓	C	Business Continuity	✓	✓	DCC			✓	
		C	Health and safety arrangements	✓	✓	DCC	✓			This area was last reviewed in 2013/14 and there were a number of recommendations which should now be embedded.
✓		C	Seized and found property	✓	✓	DCC		✓		
	✓	C	Recording and management of assets	✓	✓	DCC & CFO to CC			✓	
		C	Fleet/Vehicle management (inc. fuel)	✓	✓	CFO to the CC	✓			The Constabulary is looking to join a consortium for this area. Whilst this will change the system there will be many aspects which remain the same. Audit can be used to inform negotiations if carried out beforehand.
		C	Tasking and Coordination	✓	✓	DCC				Deferred from 15/16 and removed from 16/17 plan due to recent HMIC review providing assurance in this area.
✓		C	Firearms licensing	✓	✓	DCC		✓		HMIC report just completed, 2017/18 audit to include follow up of recommendations.
✓		C	Commissioning	✓		PCC CExec		✓		
	✓	C	Forensic services	✓	✓	DCC			✓	
	✓	C	Strategic Partnering (OPCC)	✓		PCC CExec				
		<b>Major Projects</b>								

		MP	Collaboration arrangements (JOU)	✓	✓	DCC	✓			It was agreed with collaborative partners that the collaborations, such as the Joint Operations Unit, would be reviewed on a three year cycle.
✓	✓	MP	Estates Strategy Review	✓		CFO to the PCC		✓		
✓		MP	Change Programme	✓	✓	DCC	✓			To focus on the HC2020 programme.
<b>Corporate Governance</b>										
✓	✓	CG	Risk management	✓	✓	DCC & PCC CExec			✓	
✓		CG	Decision making and accountability	✓	✓	DCC		✓		
✓		CG	Development and delivery of the Police and Crime Plan	✓	✓	DCC & PCC CExec		✓		Moved to 17/18 due to PCC election in 2016.
		CG	PCC election arrangements	✓		PCC CExec	✓			To consider the OPCC's preparedness for May 2016 election and early part of new PCC's term.
✓	✓	CG	National Fraud Initiative	✓	✓	CFO to the CC	✓	✓	✓	This is an annual exercise.
✓	✓	CG	Pro-active Fraud work	✓	✓	HoPSD	✓	✓	✓	This is an annual requirement, scope to be agreed.
<b>Financial Management</b>										
✓	✓	FM	Departmental responsibilities (note 1)	✓	✓	CFO to the CC & CFO to the PCC	✓	✓	✓	To consider aspects of Shared Services processes which remain at the Constabulary and OPCC. 16/17 review to include follow up work on the 15/16 findings.
	✓	FM	Contract management	✓	✓	CFO to the CC & CFO to the PCC				
✓		FM	Compliance unit	✓	✓	CFO to the CC				
	✓	FM	Pension arrangements - employer responsibilities	✓	✓	CFO to the CC & CFO to the PCC				From 2015/16 covered under the Shared services internal audit plan.
✓		FM	Insurance costs and compensations	✓	✓	CFO to the CC		✓		
✓		FM	OPCC procurement	✓		CFO to the PCC				

✓		FM	Finance system change (Efin to SAP)	✓	✓	CFO to the CC & CFO to the PCC				
<b>Shared services</b>										
✓	✓	SS	Joint Shared services reviews (see note 2)	✓	✓	CFO to the CC & CFO to the PCC	✓	✓	✓	These reviews are documented in the Shared services internal audit plan.
<b>Other Direct Audit Activity</b>										
✓	✓	OA	Annual Audit Report	✓	✓	-	✓	✓	✓	
✓	✓	OA	Operational plan preparation	✓	✓	-	✓	✓	✓	
✓	✓	OA	Monitoring	✓	✓	-	✓	✓	✓	
✓	✓	OA	Progress reports	✓	✓	-	✓	✓	✓	
✓	✓	OA	Liaison/advice	✓	✓	-	✓	✓	✓	
✓	✓	OA	Corporate Working Groups - PAG	✓	✓	-	✓	✓	✓	
		OA	Assurance mapping advice	✓	✓	-	✓			Assistance requested on assurance mapping for the Constabulary and OPCC.
		OA	Contingency				✓			
259*	244		Total				244			Days include Joint Ops Unit collaboration review from table below.

\*includes 15 days carried forward from 2013/14 for Change Programme audit

Actual 2014-15	Actual 2015-16		Collaborations (HC and those with assurance to be obtained from other bodies):				2016-17	2017-18	2018-19	
			Joint operations unit	✓	✓	Hampshire	✓			It was agreed with collaborative partners that the collaborations, such as the Joint Operations Unit, would be reviewed on a three year cycle - to cover governance and finance.
	✓		Information management	✓	✓	Thames Valley	TBC	TBC	TBC	
✓	✓		ICT	✓	✓	Thames Valley	TBC	TBC	TBC	
			Air Support	✓	✓	National from 13/14	TBC	TBC	TBC	
			South East Regional Organised Crime Unit (see note 3)	✓	✓	Thames Valley	TBC	TBC	TBC	
	✓		South East Protected Persons Unit (SEPPU).	✓	✓	Thames Valley	TBC	TBC	TBC	
	✓		Contact management programme	✓	✓	Thames Valley	TBC	TBC	TBC	
			Intelligent policing programme	✓	✓	Hampshire				
			Digital policing	✓	✓	Hampshire				

**Note 1** - This review will cover those aspects remaining at Hampshire Constabulary rather than through Shared services.

**Note 2** -This will include risk assessed reviews of the areas now dealt with by Shared services including but not limited to - payroll, main accounting, budgetary control, accounts receivable, accounts payable, procurement and HR.

**Note 3** - The SEROCU includes Witness Protection, Covert Operations, Technical Surveillance and Regional Organised Crime Unit.