

**800 MHz Trunked Regional Public Safety Radio System
Standards, Protocols, Procedures**

Document Section:	7 - Compliance & Conflict Resolution	CMRAC Recommendation
Sub-Section:	7.1	Date:
Procedure Title:	Audit/ Monitoring Process	
Date Established:	9/22/2006	CMRB Approval - Signature:
Replaces Document Dated:		Date:
Date Revised:		

1. Purpose or Objective

The objective of this procedure is to describe the process by which the practices of the users of the Regional Public Safety Radio System will be monitored and/or audited to ensure compliance with the standards, policies and procedures set forth by the Central Minnesota Radio Board.

- Audit: An event stimulated examination of practices, reports, resource use and/or facilities
- Monitor: Routine review of practices, reports, documents, resource use and/or facilities

2. Technical Background:

- Capabilities N/A
- Constraints N/A

3. Operational Context:

Central Minnesota Radio Board (CMRB) is charged with setting standards and determining protocols and procedures for the smoothest possible operations between and among the users of the shared region-wide 800 MHz digital trunked public safety radio system.

The users fall into two groups:

- Full participants in the shared infrastructure and
- Conventional users who will have access to the regional system by utilizing interoperability equipment that has been designed into the system.

The ability to communicate between these two groups is possible due to the interoperational hardware and software being developed. The improper use of this hardware can have minor to grave consequences. These standards, policies and procedures have been set forth by teams consisting of radio users and managers from both groups so as to maximizing service to the citizens of the Central Minnesota region and minimize potential negative consequences. Responsible management of this resource, therefore, requires that compliance be monitored and audited.

4. Recommended Protocol/ Standard:

Monitoring is defined as the scheduled and routine inspection of operational practices and review of system reports. Monitoring frequency would generally be on a regular and scheduled basis.

An audit is defined as a one time, infrequent or occasional in depth analysis of comprehensive elements. An audit may be annual or upon demand. An audit may be stimulated by an event or complaint or monitoring outcome.

For detailed on what will be monitored and audited see *Appendix 8 – Auditing & Monitoring Checklists*.

5. Recommended Procedure:

An interagency team of monitors and auditors will be proposed by systems owners and/or independent agency managers. The CMRAC will appoint from this list and submit to the Central Minnesota Radio Board for final approval. The actual monitoring and auditing activity will be directed by the Central Minnesota Radio Owners Group (CMROG).

MONITORING PROCEDURE

1. An annual schedule will be developed by November 1 of each year, outlining the monitoring schedule per agency, and assigning monitors. This schedule is subject to the approval of the CMRAC and the CMRB.
2. By December 1 of each year this schedule will be distributed to the senior communications manager of all agencies that are using any resource within the Regional Public Safety System.
3. All monitoring appointments will be kept. A pool of back up monitors will be established in the case of absence of the primary monitor.
4. A monitoring checklist in triplicate will be established for each type of monitoring activity with space under each item for free form comments. There will be three possible ratings per item:
 - Completely in compliance
 - Substantially in compliance, but needs improvement
 - Not in compliance
5. The checklists will be thoroughly completed for each and every monitoring session. Completion will include checking the appropriate rating boxes and completing comments as appropriate for each item.
6. Next steps for corrective action will be determined as applicable with timelines and responsibility spelled out.

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7. The form will be dated and signed by the monitor and the responsible party at the target agency. A copy of the completed checklist will be given to the CMROG, one to the CMRB, one to the appropriate System or Sub-System Owner(s) or independent agency manager(s).
8. System Owners will follow up to ensure that all next steps and/or corrective action has been completed within the time frame established.
9. CMRB staff will review monitoring results, follow up with System Owners on next steps and study trends/ performance patterns and take action as appropriate.

AUDIT PROCEDURE

1. The CMRB and its staff, System or Sub-System Owners all may call for audits in response to an event or incident that caused damage to or had the potential to cause damage to the users or resources of the regional public safety radio system. Events and incidents may include monitoring outcomes consistently showing non-compliance.
2. An audit form in triplicate will be established. The form will provide space to address:
 - Technical impact to current system performance including systems or subsystems that have been affected
 - Operational/ capacity impact to current system performance including which system or subsystem will be or may be affected.
 - The degree of conformance with Radio Board plan and standards.
 - Cost impact to Radio Board and current participants
 - Impact on future system capacity and plans
3. The audit form will be thoroughly completed for each function inspected. Completion will include setting forth next steps for corrective action with timelines and responsibility spelled out.
4. The form will be dated and signed by the auditor and the responsible party at the target agency. A copy of the completed audit will be given to the agency, one to the CMRB, and one to the appropriate System or Sub-System Owner.
5. System Owners will follow up to ensure that all corrective action has been completed within the time frame established.
6. CMRB staff will review audit results, follow up with System Owners on next steps and study trends/ performance patterns and take action as appropriate.

6. Management

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The Executive Director and staff of the Central Minnesota Radio Board, acting on behalf of the board, will manage this process. Any action taken by staff shall be reported to the CMRB and shall be subject to review and/or appeal.