

Num		DATE	Assurance Team/ Internal Audit	AUDIT TITLE	RECOMMENDATION DESCRIPTION	OWNERSHIP	Target Date <b>Changed</b>	Orig Date Due?	PRIORITY High Medium Low	UPDATE	RAG Red Amber Green	STATUS Ongoing Completed	Complete Date	Target Date Revised
<b>OUTSTANDING RECOMMENDATIONS</b>														
1	Warks WM	Apr-15	Assurance Team	Common Law police Disclosure Audit	<p>(2) Both forces are processing CLPD decisions differently.</p> <p>There will be inefficiencies in both processes.</p> <p>A common Policy and Process should be agreed and implemented for both forces. Taking the best practice from each forces process</p>	Robin Smith (KIM Manager)	Dec-15 <b>Oct-16</b>	Yes	High	17/5/2016 Following a review of the department CLPD will be harmonised during 2016 via new policy implementation. This includes setting a single process for CLPD and verifying via audit for performance improvement. Formal review will be performed during May 2016 with external audit of transition plans to enable verification and comparative analysis of performance on an ongoing basis. (Robin Smith)	Amber	Ongoing		Yes
2	Warks WM	Feb-16	Assurance Team	Custody	<p>(5) Foreign Nationals must have town of birth recorded on their records to ensure the information can be sent to ACRO.</p> <p>Town of birth must be included and PNSB have also asked for the district if possible, as many foreign forces only work regionally</p>	Supt Alex Franklin-Smith	Jul-16	No	High	11/5/2016 Foreign national input on refresher days to include this. Reminders sent to all staff and some evidence that this is now happening more and more. Regional training package progressing (next meeting in June). The ACRO link is a complex issue, potentially being resolved through Athena - subject to funding.  (Custody Ch Insp Mike Smith)	Amber	Ongoing		No
3	Warks WM	Feb-16	Assurance Team	Custody	<p>(6) Offence Location and DP home address must be accurate on PNC.</p> <p>Staff must ensure that they input the whole location/address in a recognised format, to ensure data interfaces accurately.</p> <p>A GENIE check of the OIS/STORM log, or the relevant crime report should be conducted to ascertain this information where necessary.</p> <p>The main location omission is offence location on the PNC Arrest Summons showing just the town and not the premise or street.</p>	Supt Alex Franklin-Smith	Jan-17	No	High	<p>Athena will help to improve performance in this area.</p> <p>All addresses have to be linked to existing addresses in the Athena database, which will auto populate. To be covered in Athena training and refresher training.</p>	Amber	Ongoing		No

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4	Warks WM	Apr-15	Assurance Team	Common Law police Disclosure Audit	<p>(4) It was noted that a different threshold appears to be applied in both forces when deciding whether to disclose under the CLPD requirement.</p> <p>An inconsistent approach to disclosure could lead to inappropriate disclosures or failure to disclose</p> <p>A comparison of the number of positive decisions should be made over a longer period of time to check these findings and if confirmed a consistent threshold should be defined in procedures.</p>	Robin Smith (KIM Manager)	<b>Dec-15 Oct-16</b>	Yes	Medium	17/5/2016 With the harmonisation of processes the practice of operating two different thresholds will be halted with a single policy standards implemented during summer 2016. Formal monitoring will be undertaken to ensure a consistent approach to disclosures under new policy provisions and reporting will be required to SIRO and Head of KIM during transition period. (Robin Smith)	Amber	Ongoing		Yes
COMPLETED RECOMMENDATIONS														
5	Warks WM	Mar-15	Assurance Team	ViSOR Audit	<p>(3) Clarification is required as to which team has responsibility for ensuring information is updated on Genie and PNC and what IPU will and will not update.</p> <p>IPU need to clarify the process and responsibilities for information to be updated.</p>	Supt Steve Eccleston Head of PVP (Protective Services)	Aug-15 Apr-16 <b>Aug-16</b>	Yes	High	15.02.16 Paper completed and forwarded to DI Mark Walters on the 9.3.16 recommending the requirement for a central admin team for ViSOR with supporting information. 3.5.16 This was submitted to Gareth Keyte for forwarding to StraDa. No further action can be taken until StraDa make a decision as to if this is a feasible option. 10.5.16 Recommendation completed by PVP Team. Now with StraDa awaiting a decision. 18.5.16 Paper returned with a request for different format and additional information process mapping requested by DI Williams to assist with a resubmission of a fully informed paper.	Green	Completed	10/05/2016	Yes

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6	Warks WM	Jun-15	Assurance Team	Intelligence Audit	<p>(1) Duplicate nominal created / not identified and requested for merge.</p> <p>The Back Record Conversion of data from Warwickshire systems (IMS, CIS, CATS &amp; NSPIS) has resulted in a vast number of duplicate records for Warwickshire nominals.</p> <p>A total of 56 nominal merge requests were submitted by the Assurance Team, requesting 87 nominal records to be merged.</p>	Supt Steve Quinn Head of Intelligence	Nov-15 Mar-16	Yes	High	<p>Liason has been made with Kirstie Kirstie Adams from the Audit team. Kirstie has identified an issue with duplicate records being either created by IPU when recording logs. A briefing has taken place and direction given around the matters leading to a change in working practices. Checking for duplicates has been included in the procedure for the QA of logs and in the buddy checks.</p> <p>20/4/2016 A dip sample of 100 records by the Assurance Team found that 4 out of 100 records that should have been referred for merge were not referred (4%). This compares with 8% in the original audit. audit to be repeated 2016. Recommendation completed.</p>	Green	Completed	20/04/2016	Yes
7	Warks WM	Jul-15	Assurance Team	Mental Health Detention Audit	<p>(4) It is not necessary to create a new CRIMES Incident to hold the AMHA or CMHA role if there is an existing incident that results in an S.136 Detention.</p> <p>Duplication of information, excessive unnecessary inputting. Concerns have been raised by the Force Crime Registrar regards this duplication for Home Office returns.</p> <p>Send out a reminder to OCC staff to add the S.136 Mental Health Detention tag if the OIS/STORM log states a S.136 detention is to, or has taken place.</p>	Supt Steve Eccleston Head of PVP (Protective Services)	Nov-15	Yes	High	<p>Update from DI Walters 03.05.16 - This appears to refer to a rational not being added to the crime as to why the AMHA marker has been used (the need to make clear this was a S136 detention). This is followed up monthly audit where it is high lighted on S136 crimes if it is not clear it was indeed a S136 detention. SPOCS are provided with this information to ensure officers make it clear on each VA incident if it was a S136 detention. 10.05.16 Recommendation completed by PVP - Is subject to ongoing monthly review processes.</p>	Green	Completed	10/05/2016	No

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8	Warks WM	Nov-15	Assurance Team	Crime Suspects	(2) Reminder to OIC that personal details gained from parties via PNB, MG11 statements etc, need to be relayed to Crime Bureau to reduce the possibility of duplication of records on CRIMES and to ensure all details known about a subject are available for future investigations.	Ch Insp Steve Owens	Apr-16	Yes	High	Reminder circulated to staff and force orders 19/3/2016 Ch insp Owen.  Recommendation completed.	Green	Completed	19/03/2016	No
9	Warks WM	Nov-15	Assurance Team	Crime Suspects	(3) Reminder to Supervisors (PS/DS) of the criteria for selecting the correct Outcome.  Supervisors must not use the DE action type if making a request to CDM. Also requests to CDM after the DE action has been used will not arrive in the CDM CRIMES basket,  as the DE Action has electronically filed the crime report	Ch Insp Steve Owens	Apr-16	Yes	High	Reminder circulated to staff and force orders 19/3/2016 Ch insp Owen.  Recommendation completed.	Green	Completed	19/03/2016	No
10	Warks WM	Feb-16	Assurance Team	Custody	(1) Insp are not conducting all the internal monitoring and audit activity set for them.  It is recommended that dedicated time away from the custody environment is set aside each month to allow Insp to concentrate solely on the audit activity. PACE issues would need to be covered by the Duty Inspector for these periods.	Supt Alex Franklin-Smith	Feb-16	Yes	High	This is already being addressed. Inspectors have voiced concerns that the audit process as designed, takes too much time. This is a new process and is under constant review. Some elements of the audit process have been reallocated to Detention Officer managers to include in their own audits. Inspectors will also spend some time away from PACE duties to prioritise this work. All audits are now up to date.	Green	Completed	11/05/2016	No

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11	Warks WM	Feb-16	Assurance Team	Custody	<p>(2) The duty log must include the following information to enable Insp to conduct their monitoring accurately: 1. Were handcuffs removed? 2. Were a shower and reading material offered? 3. Was the DP reminded of their rights on review?</p> <p>The duty log should include the information where relevant to ensure there is documented evidence which is auditable</p>	Supt Alex Franklin-Smith	May-16	No	High	<p>Handcuffs/Shower / reading material - Debbie Trotman is adding this to the list of items to be audited by DO managers. DO audits will now be available for Insps to review, to monitor progress. These will be on the resource portal shortly. Performance to be monitored through the monthly contract meetings.</p> <p>11/5/2016 Recommendations now completed (Custody Ch Insp Mike Smith) Will be re-checked in the next custody audit.</p>	Green	Completed	11/05/2016	No
12	Warks WM	Feb-16	Assurance Team	Custody	<p>(3) Officers in case/staff must be reminded via force order entry, or email that a reference number is required on completed use of force forms. Ideally this should be the custody number. OIS/STORM number is acceptable as Insp can cross reference.</p> <p>If Insp have requested more information from the submitting officer, this should be documented on their audit spreadsheet to provide an audit trail which can be monitored.</p>	Supt Alex Franklin-Smith	May-16	No	High	<p>Reminders to be sent to officers. (March 2016)</p> <p>Options being explored through Athena which may allow a better way of obtaining use of force management information, through custody system. (May 2016)</p> <p>Force orders entry created reminding all officers to provide a reference number.</p> <p>11/5/2016 Recommendations now completed (Custody Ch Insp Mike Smith) Will be re-checked in the next custody audit.</p>	Green	Completed	11/05/2016	No

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13	Warks WM	Feb-16	Assurance Team	Custody	(4) Photos are not taken during first period in custody. Then bail cancelled, resulting in no photograph of the DP.  Photographs should be taken as early as is practical to ensure this is not overlooked.	Supt Alex Franklin-Smith	May-16	No	High	* Reminder to be sent to custody staff (March 2016)  * To be covered in DO and Sgt training days / initial training (May 2016)  * 11/5/2016 Further reminder sent. Initial DO training reviewed by L & D to emphasise this. Athena will require officers to record why they haven't taken photo, so the future post Athena should see this completely resolved.  Recommendations now completed (Custody Ch Insp Mike Smith) Will be re-checked in the next custody audit.	Green	Completed	11/05/2016	No
14	Warks WM	Jan-16	Assurance Team	PNC Warning Signals	(1) The five year review of all warnings to be carried out in a timely manner.  Review all warnings over the 5 year review period and ensure the established review process is effective.	Supt Steve Quinn Head of Intelligence	May-16	No	High	18/5/2016 Following delivery of training to all PNSB staff on 16/2/16, PNSB Supervisor has carried out periodic dip sampling of warning signals that have gone through the five year review process, to check for compliance and understanding, and has found no errors. Further dip sampling will be carried out periodically by the Supervisor but early indications are positive. (Susan Buchta)  Recommendation completed	Green	Completed	18/05/2016	No

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15	Warks WM	Jan-16	Assurance Team	PNC Warning Signals	(2) Warning signals are being updated under the wrong warning signal type.  The warning signal selected must be relevant to the text/reasons and it must conform to PNC guidance	Supt Steve Quinn Head of Intelligence	Jun-16	No	High	18/5/2016 Custody refresher training days were delivered to all Custody Sgts between 3rd and 7th May 2016 which included the warning signals issues highlighted. Guidance has gone out to all staff. Reviews are being carried out by DO managers. An exercise to highlight the issue (again using allergies / alleges as an example). DO managers are also reviewing handovers.  Following training of all PNSB staff in February, PNSB Supervisor has carried out dip sampling of the quality assurance carried out by PNSB staff on new warning signals added by Custody staff. The dip sampling found no errors or further issues. (Susan Buchta)	Green	Completed	18/05/2016	No
16	Warks WM	Jan-16	Assurance Team	PNC Warning Signals	(3) Update relevant warning signals from custody.  Inaccurate information could prompt an incorrect police response or actions, endangering the police and the individual.  Staff to be aware to submit all relevant warnings to PNC.	Supt Steve Quinn Head of Intelligence	Jun-16	No	High	18/5/2016 Detention officers briefed and process reviewed by Contract manager to ensure that warning signals identified by Detention officers (DO) are captured on PNC via the NSPIS Custody system (A/S report screens). Refresher Custody training days delivered to Custody Sgts 3rd - 7th May that included Warning signals issues. Guidance has gone out to all staff. Reviews are being carried out by DO managers. The specific issue of allergies / alleges has been raised with all DOs. Initial training has been amended and now includes an exercise to highlight the issue (again using allergies / alleges as an example). DO managers are also reviewing handovers. (Susan Buchta)	Green	Completed	18/05/2016	No

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17	Warks WM	Mar-15	Assurance Team	ViSOR Audit	(14) Take away the responsibility of creating new ViSOR records and RSO related updates on PNC from PNSB and develop a small dedicated team, with specialist knowledge for the business area. The whole ownership of RSOs' could be managed by this team who may be better placed to ensure data accuracy and amend the records accordingly, which would then assist with correct management information.	Supt Steve Eccleston Head of PVP (Protective Services)	Dec-15 <b>Aug-16</b>	Yes	Medium	03.05.16 As per above pending outcome from a paper submitted to StraDa. 10.05.16 Recommendation completed by the PVP team. Now with StraDa awaiting a decision. 18.05.16 Paper returned with a request for different format and additional information. Process mapping requested by Di Williams to assist with a resubmission of a fully informed paper.	Green	Completed	03/05/2016	Yes
18	Warks WM	Jul-15	Assurance Team	Mental Health Detention Audit	(2) OIC must ensure that all instances of S.136 Detention result in an AMHA, or CMHA role being created on CRIMES.  Without the Incident, or role being added to CRIMES, we do not have this information recorded, which could cause potential risk to both the officer and the subject in any future police involvement with the individual.  Information surrounding the S.136 Detention will also not be retrievable for analytical and statistical purposes.  Send out reminder to Officers regards what is required for inputting onto CRIMES. Via either daily briefings or a force order entry.	Supt Steve Eccleston Head of PVP (Protective Services)	Oct-15	Yes	Medium	03.05.16 - Update form DI Walters. There was an actual plan following the last audit conducted by SSI which was completed. It appears that the same audit has run again still showing deficiencies in recording. This can be taken forward to the MH tactical group to be further addressed. This action relates to OIS logs where a S136 marker has been added but there is no corresponding CO1 for S136. Figures are now run every month and reviewed by LPA SPOCS where deficiencies are noted and crimes updated where necessary. 10.05.16 recommendation completed by PVP will be subject to ongoing monthly review process.	Green	Completed	10/05/2016	No
19	Warks WM	Nov-15	Assurance Team	Crime Suspects	(4) Cascade to all officers and staff the importance of selecting all relevant entries, to ensure accuracy of data.	Ch Insp Steve Owens	Apr-16	Yes	Medium	FO's & Crime Bureau circulation.  Reminder circulated to staff and force orders 19/3/2015 Ch Insp Owen  Recommendation completed	Green	Completed	19/03/2016	No



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20	Warks WM	Nov-15	Assurance Team	Crime Suspects	(1) OIC and Supervisors must know what constitutes a Cancelled Crime and the criteria for AV.  Send a reminder to all staff in a position to request a Cancelled Crime of what constitutes a cancelled crime and AVI. E.g Victim retraction on its own is not AVI.	Ch Insp Steve Owens	Apr-16	Yes	Low	FO's & Crime Bureau circulation is required.  Reminder circulated to staff and force orders 19/3/2016 Ch Insp Owen  Recommendation completed	Green	Completed	19/03/2016	No