

Audit & Assurance Report

An outline of the merging of the Crime & Incident Audit team & the Assurance team within Analysis & Service Improvement

On 1st August 2017, the Crime & Incident team and Assurance team merged into one team within the Analysis & Service Improvement (ASI) department under the direct line management of the Force Crime & Incident Registrar (FCIR) for Warwickshire Police & West Mercia Police.

The re-structuring of the teams allowed for some cost efficiency savings as both teams were carrying out similar audit on the same systems. It was also an opportunity to re-write role profiles and include areas for audit which had previously not been looked at by an independent audit team, e.g. quality of investigations.

Both teams had an agreed 2017-18 annual audit schedule which has been subject of review with the remit to merge the two schedules into one Audit & Assurance schedule.

The Assurance work programme has been designed to ensure that the organisation complies with the Data Protection Act, Management of Police Information, its own Policies, Procedures and Approved Professional Practice (APP). Findings from the audits, including recommendations, are reported to the Service Improvement Board and the Joint Audit Committee.

The Crime & Incident work programme is the responsibility of the FCIR to develop audit programmes having regard for the Data Quality Audit Manual (DQAM) to ensure high standards of data integrity and the achievement of a consistent and accurate response to crime recording in line with Home Office Counting Rules and the National Crime Recording Standard.

Having brought the two teams together, both audit schedules have been subject of review in consultation with Assurance Officers and Business Leads with the remit that future audits will be scored High, Medium & Low based on risk and statutory obligations. This will allow for a more effective & cost efficient schedule balancing the cost of the checking with areas of greatest risk and alliance priorities.

Planned Audit & Assurance Schedule 2018

Subject	Rating	Comments
Transactional Validation Audit	High	Daily audit of force systems. Mandatory Code of Connection
Incident to Crime	High	Bespoke or forms part of a Thematic audit
Quality Investigations –	High	Completed November

v- Demand		2017. Subject of re-visit 2018
Hate Crime	High	2017 Hate Crime Strategy
Community Resolutions / Restorative Justice	High	Monitor new CR/RJ Policy.
ViSOR (Violent & Sex Offender Register)	High	Mandatory Code of Connection
Fraud – Cyber Enabled	High	Dip sampling shows poor service delivery
Vulnerability	High	Includes Quality of DASH, Child Incidents, Domestic Incidents & Adult at Risk Incidents
Stop Search & Powers of Arrest	High	Previous poor HMIC Inspection
Cautions	High	Identified poor practices in MSP Mtgs
Modern Slavery	High	Government / Force Priority
Rape / Serious Sexual Offences	High	Crime & Incidents
Firearms Licensing	Medium	Review of re-structuring & new processes
Cancelled / Transferred Crime	Medium	Module within DQAM
Professional Standards	Medium	Module within DQAM
ASB/ Public Safety and Welfare	Medium	Module within DQAM
ECINs	Medium	Warks ASB Case Management. Module within DQAM
NIRs (Intelligence Logs)	Medium	Module within DQAM
Crimes in Prisons	Medium	Module within DQAM
Lost & Detained Property	Medium	Module within DQAM & part of Assurance Schedule
Police National Database	Low	Subject of DDM scrutiny & feeds into DQ Panel
Cannabis/Khat Warnings	Low	Subject of DDM scrutiny & feeds into DQ Panel
Charge & TICs (Taken into Consideration)	Low	Subject of DDM scrutiny & feeds into DQ Panel

2017 – 18 Assurance Audits completed

- Effectiveness of CSE Teams
- Compact
- Children & Young Persons in Custody
- Fingerprint / DNA
- OCC Responses

2017 – 18 Assurance Audits merged

- Child Protection Records
- Domestic Abuse involving Minors
- Crime Recording & Knife Crime

2017 – 18 Assurance Audits removed

- *Method of Entry Kits*. A new approach has been implemented and adopted via the Uniform & Equipment Group. This will make some savings and give better access to equipment. Consideration for further audit if required.
- *Vehicle Recovery*. Vehicle Recovery is audited by the County Council on a regular basis because of the financial transactions & therefore this audit will be removed from the assurance team.
- *Minor Operations Risk Assessment*. This was a one off commission audit in 2016 to understand the problem and put improvement plans in place which has been completed. Findings were fed into the Alliance Health & Safety Committee.
- *Detained Property*. Work is on-going to develop systems and processes which will be implanted in due course. Potential for re-visit as part of the audit schedule in future.

2017-18 Crime & Incident Audits completed

- Incident to Crime – all crime types
- Incident to Crime – Rape
- Incident to Crime – Other Sexual
- Incident to Crime – Violence
- Incident to Crime- Robbery
- Modern Slavery
- Stalking/Harassment
- Community Resolutions

2017 – 18 Crime & Incident Audits removed

- Out of Court Disposals, Reclassifications & Discontinued Cases. 100% scrutiny by DDMs (Decision Maker) in Crime Bureau. Inappropriate cases are forwarded to Data Quality Panel for review.
- Discontinued & Reclassifications – 100% scrutiny by DDMs
- Contact Us – under review by FCIR. Potential for audit in future.
- Webchat – removed by OCC

Commissioning of audits will be structured with a robust gateway at the front end of the business and initially discussed with the Head of ASI and the FCIR and prioritised accordingly. Findings will continue to be reported to Chief Officers and Business Leads at strategic forums to promote continuous improvement. Audits will also align to HMICFRS planned programme, the County Councils audit schedule and work commissioned for the Trust, Integrity & Ethics group who report into the Office of the Police and Crime Commissioner.

Supt Ben Smith
Head of Analysis & Service Improvement