



Warwickshire Police and West Mercia Police

Police and Crime Commissioners

Joint Audit Committee 21st January 2019

Assurance Audit Progress Report

Background

The Force Crime & Incident Registrar (FCIR) is working to develop a continuous Improvement function whereby a team of auditors will carry out Audit & Assurance activity. There is one joint audit & assurance schedule which allows for a more cost efficient and effective way of working, balancing the cost of the checking with the areas of greatest risk.

Whilst there will remain dedicated Crime Data Integrity (CDI) audits and Assurance audits, the team also carry out audits which encompasses both crime and assurance work.

Planned Arrangements

There is an annual schedule which in future will be agreed and signed off by the Service Improvement Board. It will require an element of flexibility to enable a response to emerging threat, harm and risk. The FCIR will consider:

- CDI audits, having regard for the modules contained in the Home Office Data Quality Assurance Manual (DQAM) and align to alliance priorities.
- Assurance audits as required by Codes of Connectivity, those commissioned by Chief Officers and have regard for audits carried out by the Internal Audit & Insurance service.

In addition, the team also carry out daily Transactional Validation Monitoring checking staff are accessing force systems for a legitimate policing purpose. Systems include – Automatic Number Plate Recognition (ANPR), Athena, Driver Validation Service (DVS), General Nominal & Intelligence Enquiry (GENIE), Police National Computer (PNC) and the Police National Database (PND).

Head of Analysis & Service Improvement (ASI) and FCIR meet quarterly with the Internal Audit & Insurance Auditors prior to Joint Audit Committee to promote synergies between both organisations.

Governance Arrangements

CDI audit reports are presented to the quarterly Crime Data Integrity Core Group, chaired by the Deputy Chief Constables. Findings and recommendations are discussed in conjunction with the CDI Action Plan. Areas of greatest risk are raised at Service Improvement Board to maintain executive oversight and service delivery. Audit reports and auditors workbooks are

also discussed at the quarterly CDI Tactical Group, chaired by Head of ASI and attended by the FCIR and appointed CDI Single Point of Contacts (SPOC) from each local policing area. The Core Group will task the Tactical Group to undertake pieces of work on its behalf, including that SPOCs ensure key messages from the audit are disseminated to staff and errors identified are subject of a correction process.

Assurance audit reports are shared with the relevant business lead who are required to respond to the audit recommendations proposing timescales and deadlines for completion. Any immediate actions that require correction are subject of a correction process. Following the business leads response, reports, findings and recommendations will be shared with the Service Improvement Board and taken to the Joint Audit Committee, where appropriate.

Combined Audit & Assurance

From time to time the FCIR may feel it appropriate to combine both CDI audits with Assurance Audits where auditors are assessing the same records in line with the same force policy and procedure.

Completion of the audit activity is dependent on a fully functioning audit team being available to the FCIR.

Crime Data Integrity Audits and Assurance audits

- Rape & Other Sexual Offences Audit. An audit to assess how well the strategic alliance understands the recording of rapes and other sexual offences. This includes nominal management in Athena. The audit identified 24 duplicate nominals in West Mercia Police and 5 duplicate nominals in Warwickshire Police.
- The Violent & Sexual Offenders Register (ViSOR) is graded as a high risk system which is subject to an annual audit. The 2018 ViSOR audit was completed in November 2018. Recommendations have been discussed with the business leads and FCIR on 12/12/18 and is awaiting their response. The audit report and recommendations will go to Service Improvement Board and anticipated to be sighted at the Joint Audit Committee in March 2019.
- Supervisor Reviews commencing December 2018 to January 2019. A re-visit audit of Patrol Officer's investigations to assess for evidence of supervision. The previous audit identified that in a significant number of crime investigations, Sergeants' reviews and rationale around closure, risk assessment and victim care was missing. Guidance on Supervisor Reviews was circulated to all Supervisors in September 2018.
- Taser commencing February to March 2019. An audit to assess whether the strategic alliance is compliant with the new Taser Policy and Procedures with regard to Training, Issue, Deployment and Use of Taser. The assessment will have regard for the findings of the Internal Audit & Insurance findings.
- Cautions commencing March to May 2019. An audit to assess whether the strategic alliance is compliant with the Ministry of Justice guidance issued to police officers and Crown Prosecutors in the administering of cautions for adult and youth offenders. The guidance will be read in conjunction with the Director's Guidance on Charging issued by the Director of Public Prosecutions under section 37A of the Police and Criminal Evidence Act 1984. The audit forms part of the FCIRs DQAM.

- There are small ad hoc pieces of work commissioned by Chief Officers to understand whether local policies are being understood and adhered to.

‘High Risk’ Audit & Assurance tabled on the schedule not achieved during 2018-19

- Stop & Search (S&S). An audit to assess whether the IT changes made in June 2018 have improved data capture and data quality supporting the strategic alliance to remain compliant with the Best Use of Stop and Search (BUSS) scheme.
- Fraud – Cyber Enabled. A re-visit audit to assess how well the strategic alliance understands Fraud – Calls for Service and Fraud – National Fraud Intelligence Bureau, identifies and responds to vulnerability and correct crime recording practices.
- Firearms Licensing. A re-visit audit to assess whether the recommendations made in from the Assurance team audit report - Firearms Licensing report dated 19/07/16 had been achieved and sustained.
- There were a small number of CDI audits not completed, these being – Modern Slavery/Human Trafficking; Stalking & Harassment; Outcome 21 and Fraud – Cyber Enabled.

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