

Warwickshire Police and West Mercia Police

Police and Crime Commissioners

Joint Audit Committee 25th July, 2019

Assurance Audit Progress Report

Background

The Force Crime & Incident Registrar (FCIR) continues to work to provide a continuous improvement function across Warwickshire Police and West Mercia Police, whereby a team of auditors will carry out audit and assurance activity. Each force has its own audit and assurance schedule, both similar in content and each comprising of Crime Data Integrity (CDI) audits and Assurance audits.

Planned Arrangements

Both 2019-20 audit and assurance schedules were presented to Service Improvement Board in March and signed off by each Deputy Chief Constable. Each provides an element of flexibility to enable a response to emerging threat, harm and risk. The FCIR will consider:

- FCIRs Crime Data Integrity audits, having regard for the modules contained in the Home Office Data Quality Assurance Manual (DQAM) and aligning to force priorities.
- FCIRs Assurance audits as commissioned by Chief Officers concerning compliance with force policy and procedures and having regard for audits carried out by the Internal Audit & Insurance service.

The FCIRs team continues to 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.

Her Majesty's Inspectorate of Constabulary and Fire & Rescue Service (HMICFRS) are currently undertaking a 2016 – 2020 rolling programme of Crime Data Integrity inspections of all police forces in England & Wales. On 7th May 2019, Warwickshire Police and West Mercia Police jointly received notification of their CDI inspections. Warwickshire Police CDI commencing Monday 10th June, West Mercia Police CDI commencing Monday 24th June. These are separate inspections running back to back with force level reports estimated to be published autumn of 2019. The FCIR is leading the CDI inspections on behalf of both forces,

and current audit and assurance activity is paused, though some dip sampling and reality testing of force procedures may occur during this time. The Taser assurance audit scheduled to commence in May will be re-scheduled for post HMICFRS CDI inspections.

Governance Arrangements

Terms of Reference (TORs) for the CDI Core Group and CDI Tactical Group have been presented to CDI Core Group in April, signed off by the DCC and circulated to members.

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

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

Assurance Audits

Police forces are required to ensure that data held within Police Information systems are obtained, used and disclosed in accordance with the EU General Data Protection Regulation (GDPR) & UK Data Protection Act 2018, other relevant legislation and both national and local policy and procedure.

Since November 2018, there have been 3 assurance audits. These were presented to the March JAC and an update is provided below.

Violent & Sexual Offenders Register (ViSOR)

July Update: The ViSOR audit and recommendations / actions were presented to the MOSOVO Tactical Group (DIs & DSs) on 05.03.19. The report was well received and the recommendations were accepted. On 06.03.19 the actions from the report were allocated to MOSOVO DSs for completion. This included a directive from the Alliance IOM Scheme and MAPPA Manager on standards, compliance and 'on going' quality assurance. The actions are to be progressed with staff locally and MOSOVO DIs are aware of the requirements in this area. The actions will be recorded on the MOSOVO overarching development plan (ODP) *where* any issues will be raised through the ViSOR CPC in the first instance and brought to the attention of the MOSOVO Tactical Group if necessary. Further on going quality assurance on standards and requirements will be provided by the ViSOR Central Point of Contact (CPC). This is a continuous process that requires regular oversight and scrutiny. There is an expectation that staff will focus on the requirements detailed in the agreed actions to deliver improvements.

The above will be subject of reality testing by the FCIRs audit team later in the year.

Supervisor audit (West Mercia only)

July Update: These recommendations have been assigned to the Local Policing Strategic Board and allocated to the Superintendent, Shropshire. Three top areas being focused on are-

- i) Initial reviews. This will require a change to current practices whereby Supervisors will be required to conduct an initial review of every crime at initial point of allocation. Policy and guidance is under development and anticipated signed off by autumn 2019. A briefing document will be sent to Inspectors and Sergeants outlining what is required.
- ii) Supervisor reviews will need to evidence a THRIVE review along with other investigation considerations as per new policy and guidance.
- iii) Part of the final supervisor review will include ensuring that the appropriate Outcome Code is applied. Rather than simply acknowledging the Outcome Code applied by the investigating officer, the rationale should be reviewed by the supervisor and an additional update provided by the supervisor to confirm the outcome is correct and appropriate on the closure of the crime.

The above will be subject of dip sampling by the FCIRs audit team early 2020.

Threat, Harm, Risk, Investigation, Vulnerability & Engagement (THRIVE)

July update: By March 2019, all OCC staff had received THRIVE inputs as per the improvement plan. Audits showed increased compliance with of 89% for West Mercia Police and 91% for Warwickshire Police. On-going monitoring of performance in OCC has shown a consistent high compliance with Warwickshire Police 93% and West Mercia Police 95%.

Proposal is to sign off this audit update from the quarterly JASC report.

Joy Preece
Force Crime & Incident Registrar
Analysis & Service Improvement

Glossary

ANPR	Automatic Number Plate Recognition. As a vehicle passes an ANPR camera, its registration number is read and instantly checked against database records of vehicles of interest. Police officers can intercept and stop a vehicle, check it for evidence and, where necessary, make arrests
Athena	This is the programme used by the forces to record and manage investigations, intelligence, custody and case preparation.
CDI	Crime data Integrity is a term used by Her Majesty's Inspectorate of Constabulary and Fire & Rescue Services (HMICFRS) about the inspection programme to ensure that forces are recording reported crime correctly in accordance with the Home Office Counting Rules for Recorded crime. (HOCR)
DQAM	Data Quality Assurance Manual is a guidance document produced by the Home Office to advise forces on how to audit their systems and processes to ensure crimes are being properly recorded in accordance with the Home Office Counting Rules for Recorded crime. (HOCR)
DVS	Driver Validation Service is a Driver vehicle Licensing Authority (DVLA) system that officers can access for road traffic matters.
GENIE	General Nominal and Intelligence Enquiry is an in force developed software tool that brings together information from a number of force systems to enable officers/staff to easily search for information to support their operational decision making.
IOM	Integrated Offender Management (IOM) brings a cross-agency response to the crime and reoffending threats faced by local communities. The most persistent and problematic offenders are identified and managed jointly by partner agencies working together.
MAPPA	Multi-agency public protection arrangements (MAPPA) is the process through which various agencies such as the police, the Prison Service and Probation work together to protect the public by managing the risks posed by violent and sexual offenders living in the community.
MOSOVO	Management of Sexual and Violent Offenders (MOSOVO) is the police team that manages registered sex and violent offenders.
OCC	Operational Communications Centre is where calls for service are taken and the incidents are managed.
Outcome Code	Outcome Codes form part of the Home Office Counting Rules (HOCR) and are used to finalise investigations into notifiable crimes. There are 22 codes that capture the result of the investigation. They range from criminal justice outcomes such as charging the suspect to cases where the victim has decided that they do not support a prosecution
PNC	Police National Computer is a national computer systems that contains the records of arrests, convictions and disposals of persons, vehicle information and other data to assist operational policing.
PND	Police National Database (PND) is a national information management system that improves the ability of the Police Service to manage and share intelligence and other operational information, to prevent and detect crime and make communities safer. The PND offers a capability for the Police Service to share, access and search local information electronically,
THRIVE	THRIVE is a risk assessment process used by police to assess reports to police and to inform the policing response. Threat, Harm, Risk, Investigation, Vulnerability, Engagement.
Transaction Validation	This is an audit process undertaken by the forces to ensure that officers and staff who are checking records on force systems are doing so for a

Monitoring	policing purpose in accordance with the General Data Protection Regulation. This entails the audit team sending back records that have been searched by officers across a number of force and national systems to self audit. If the auditors have concerns about the legitimacy of the transaction they refer it to the professional Standards Department.
ViSOR	Violent and Sexual Offenders Register is used as a Management Tool by UK Law Enforcement, National Offender Management Service (including the Prison Service) along with a wide range of other agencies, to manage, Registerable Sexual Offenders, Other Sexual Offenders, Violent Offenders, Dangerous Offenders, Registerable Terrorist Offenders, Registerable Violent Offenders and Potentially Dangerous Persons as part of MAPPA (Multi-Agency Public Protection Arrangements). It allows each agency to share information with relevant partner agencies and contribute to the risk management of offenders at the click of a button.
ViSOR CPC	The ViSOR Central Point of Contact is a member of staff in force who oversees the recording of information on the system.