



# **Analysis and Service Improvement Force Crime and Incident Registrar Audit Plan 2020-2023**

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Date:	17 December 2019
Version:	1
GPMS marking:	Official

## Background

This report provides proposals for an audit schedule for the next three financial years. The schedule is risk based informed by the known risks to Home Office Counting Rules (HOCR) compliance from previous internal audits and those undertaken externally by bodies such as Her Majesty's Inspectorate of Constabulary Fire and Rescue Service (HMICFRS.) This will be the first audit schedule produced since the separation of Warwickshire Police from the Alliance, there will be a number of new systems and processes introduced into the force that will may impact on crime recording and risk of compliance with HOCR.

The Force Crime and Incident Registrar (FCIR) has two full time audit officers who conduct audits to test compliance with HOCR. The audit officers also have the skills to conduct assurance audits to assess compliance with Authorised Professional Practice (APP), force policy, procedures and guidance through the sampling of record level data.

A typical audit includes the following process:

- Design methodology
- Identify and obtain data
- Audit records
- Correction process
- Peer review
- Write report

Also, a core aspect of the FCIR team is the delivery of training to officers and staff involved in crime recording. This currently utilises approximately 10-15% of their capacity due to the current growth in recruitment.

The team also receive requests to provide interpretation and direction on the application of HOCR. Approximately 180 requests are received each year.

## Risk Identification

### Crime Data Integrity (CDI)

The force received its HMICFRS Crime Data Integrity inspection report in October 2019 receiving a Good grade. The inspection report has identified the following areas for improvement (AFI)

- Improve how it uses and supervises out-of-court disposals.
- Make sure it informs all victims if their crime is transferred to another force for investigation or is cancelled.
- Increase how many crimes it records within 24 hours as required by the national crime recording standards.
- Arrange to provide training in the Home Office Counting Rules for all officers and staff in crime recording roles.
- Improve how it collects and analyses equality data through its crime reporting and recording systems.

For those AFIs that require the audit of incidents from command and control or investigations the Home Office Data Quality Audit Manual (DQAM) provides the suggested methodology and audit standards. HMICFRS currently focus their CDI audits on the recording of notifiable crimes from incidents with a focus on rape, other sexual offences, violence and other offences.

The HMICFRS CDI inspection assessed the crime recording rate as follows through statistically significant sampling of incidents:

Overall crime recording – 93.1%

Violent crime – 89.6%

Sexual offences – 96.4%

To achieve an excellent grade the force would need to achieve over 95% compliance across all three areas audited.

HMICFRS also assessed other areas of HOCR through a smaller sample size review:

- Reports of crime recorded in the Harm Assessment Unit
- Modern Slavery
- Reported incidents of rape (N100s)
- Cancellation of notifiable crimes

### Assurance

The process of commissioning assurance audits has yet to be fully established within the Warwickshire governance framework.

The Assurance Board has requested an investigation audit once the current supervisor training and planned improvements to investigation have been implemented.

Every audit that includes a review of an investigation incorporates a check of the nominals to identify potential duplicates in Athena or GENIE. Recent audits identify approximately 10% duplicate nominal records, these are referred back to Data and Records Management for merging.

## **Proposed Schedule**

### Incident to Crime

It is recommended that each year a baseline is established to fully assess CDI compliance in force. This can be achieved through 3 separate audits undertaken with statistically significant sample sizes of approximately 250 – 320 records:

- Rape and other sexual offences
- Violence
- Other notifiable crimes including hate incidents

Incorporated into these audits will be a sample of the initial call for service incident recording.

### Cancelled Crime

A dip sample of a range of notifiable crimes cancelled by Designated Decision Makers (DDMs) in the Crime Bureau. HOCR requires the FCIR to maintain an oversight and accreditation of DDMs.

### Out of Court Disposals

This is an area subject to an AFI in the 2019 HMICFRS CDI inspection. Community Resolutions have been identified as an area of risk through recent audits and at the Magistrates Scrutiny Panel. Currently the FCIR reviews weekly community resolutions for hate and domestic abuse offences and DDMs are encouraged to refer investigations to the FCIR that they assess as not complying with force procedure and HOCR.

Due to the ongoing risk around use of the disposal a separate dip sample audit will be undertaken annually.

Adult and Youth Cautions have not previously been subject to formal audit by the FCIR. It is intended to complete a baseline audit during the first year to assess force compliance with HOCR.

Cannabis and KHAT warnings have recently been audited, while there were errors the risk associated with this disposal are relatively low.

### Outcomes

During the incident to crime audits if a record has been finalised with an outcome this will be subject to review.

Each quarter the Home Office provide forces with details of notifiable offences finalised by Outcome 17 – Prosecution Time Limit Expired where the classification of the crime is not summary only and should not therefore be subject to limitation of proceedings. All triable either way and indictable only offences are reviewed by the FCIR and a dip sample of Assault Occasioning Actual Bodily Harm as due to Crown Prosecution Service (CPS) charging standards.

There has been a focus in force around the use outcomes 15, 16, 20, 21 and 22 and an audit to monitor their use will be built into the schedule.

### Classification Audit

There are certain notifiable offences where there are recognised risks relating to the correct classification of the crime or thematic inspections where the policing response has resulted in concerns being raised.

Currently Modern Slavery, Stalking and Harassment, Controlling and Coercive Behaviour are offence categories where either the HMICFRS CDI or thematic inspections have identified risk.

### Assurance

As mentioned above the process to commission assurance audits to assess compliance with force policy and APP is in the process of being developed.

The Assurance Board have requested an audit of investigations that will be undertaken during 2020.

Identity Access Management (IAMs). As part of the force access to systems such as the Police National Database and Athena the IAMs platform maintained by the Home Office provides governance around access authorisation. In the published standards for IAMs forces are expected to audit the records of users to ensure those leaving the force or changing roles so access to the systems are no longer required have their permissions updated or removed. The Home Office will inspect the force and expects some form of internal audit process.

National Automatic Number Plate Recognition System (NAS). The Home Office is due to deliver a national ANPR system late 2019 early 2020. In the Home Office document National Standards for Compliance and Audit of Law Enforcement ANPR there is a requirement for forces to undertake an audit of the provisions for data access. This is a similar requirements to IAMS.

Previously the FCIR team have undertaken an audit of the Violent and Sex Offender Register (ViSOR) system that is used nationally to record the management of sex offender and certain managed violent offenders. The aim of the audit is to assess whether working practices for recording information surrounding Sex Offenders are being applied. The audit also seeks to confirm if national procedures are being adhered to in relation to the updating of both ViSOR and PNC and also to offer guidance on best practice in applying a corporate approach to recording data on systems.

The FCIR will liaise with the business lead to determine if there is still a need to undertake the audit.

### Training

The demand for training has increased as the force has increased its recruitment of officers, HMICFRS have also given the force an AFI to provide training for all officers and staff involved in crime recording roles. Due to the specialist knowledge required of HOCR currently training is delivered by the FCIR team.

From April – December 2019 25 training inputs have been delivered to over 400 officers and staff.

Currently the FCIR provides training to the following roles/functions:

- Student officers
- OCC staff
- DDMs

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During this audit period it is proposed to extend training to the following roles:

- Sergeants
- HAU
- Intelligence Processing Unit
- Police Now detectives.

The above provides a broad proposal for audit activity and will address the key areas of risk around compliance with HOCR and currently required assurance audits.

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