

Warwickshire Joint Audit and Standards Committee Report Summary

Meeting Date: 6 July2021

Subject: Analysis and Service Improvement – Assurance and Audit Plan update

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Purpose of the report:

This report provides an overview of progress with the Force Crime Data Integrity and Assurance Audit Schedule.

Findings and recommendation from recent audits that have been presented to the Warwickshire Assurance Board are also outlined.

Recommendation:

That the current progress of the scheduled audits is noted along with the findings of recent audits.

Background:

At the beginning of the financial year the Force Crime and Incident Registrar (FCIR) presents a draft audit schedule to the Warwickshire Assurance Board for approval. The schedule comprises two types of audits:

1. Crime Data Integrity (CDI). These audits follow the methodology detailed in the Home Office Data Quality Assurance Manual (DQAM) and are used to test compliance with Home Office Counting Rules (HOCR). The audit themes are selected by the FCIR based on a risk assessment of CDI vulnerabilities.
2. Assurance audits commissioned by Warwickshire Assurance Board. These are audits of operational records to assess compliance with force policy, procedure and guidance.

The findings from these audits are presented to the Assurance Board with a number of recommendations. If agreed, a senior manager is appointed to provide a management response detailing the proposed activity to be undertaken in response to the recommendation.

The FCIR maintains a tracker of recommendations and agreed management actions to record progress. The FCIR has a standing agenda item at the Assurance Board that enables progress against the recommendations to be reported and issues to be raised.

Executive summary:

Audit Schedule

All scheduled for the period April – June 2021 have been completed or started as planned. Some additional capacity was created following the early completion of the Anti-Social Behaviour Incident audit. This enabled the inclusion of an audit of 100 intelligence reports with crime related headings to establish whether there were disclosures of unrecorded notifiable crimes.

A copy of the audit schedule is attached at Appendix A.

Findings from Recently Completed Audits

The findings from the following audits have been presented to Warwickshire Assurance Board.

Outcome 16

This outcome is applied at the end of an investigation where there is a named suspect but the victim does not support or withdraws support. The purpose of the audit was to examine the reasons for the withdrawal of support and whether safeguarding had been undertaken. This outcome is included in Her Majesties Inspectorate of Constabulary Fire and Rescue Service (HMICFRS) Victim Service Assessment as part of the ongoing Police Efficiency Effectiveness and Legitimacy (PEEL) inspection process.

This audit found that the outcome was correctly applied in many cases and victim safeguarding was generally addressed and well documented. It was found that there is a need to further improve the documenting of victim notification prior to the investigation being filed, and more consistency in clearly documenting the victim's wishes with an explanation as to why they do not support police action, particularly for domestic abuse offences.

Incident to Crime Other Offences

This audit examined incidents recorded on the force command and control system that had been assigned a miscellaneous crime-related opening code at the time of recording. These covered offences such as burglary; theft; vehicle crime and criminal damage etc.

This audit reviewed 300 incidents recorded between 31/1/2021 and 10/2/2021. In 260 of these incidents 1 or more crimes were disclosed.

In total 269 crimes were disclosed and 266 (99%) of these had been recorded at the time of the audit. This provides a high degree of assurance that for these types of offences crime recording and compliance with HOCR is good.

Planned Future Audits

The following audits have either been completed and are awaiting presentation to the Warwickshire Assurance Board or have recently started.

- Anti-Social Behaviour incidents – Completed, to Assurance Board 23 June 2021.
- Outcomes 11 – 18 – Completed, to Assurance Board 23 June 2021.
- Intelligence Reports – Completed to Assurance Board 23 June 2021.
- Non-crime investigations, Child at Risk, Adult at Risk, Hate – commenced.

Appendix A

Warwickshire Audit & Assurance schedule for 2021-2022

Scheduled audits	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
	Planned		In Progress		Complete		Paused					
	Assurance		CDI									
Dedicated Decision Maker (DDM) Out of Court Disposals Referrals												
Requests to review												
Incident to Crime - Violence. (CDI)												
Incident to Crime - Rape and Other Sexual Offences (CDI)												
Incident to Crime - Other Offences (CDI)												
Other Reporting Routes - HAU, Single Online Home (CDI)												
Cancelled Crime (CDI)												
Incidents ASB - Personal (CDI)												
Non - Crime Investigations - Hate, Child at Risk, Adult at Risk												
Outcomes - 11 - 18												
Intelligence Reports												
Assurance - Investigations												
Assurance - Identity Access Management System												
Assurance - National ANPR access management												
Assurance - Other commissioned audit												

Crime Data Integrity Audits

The Home Office Data Quality Assurance Manual (DQAM) has been produced to provide guidance and assistance to Force Crime Registrars who have a responsibility to ensure consistency and accuracy of crime and incident data in support of the policing vision for crime recording - "That all police forces in England and Wales have the best crime recording system in the world: one that is consistently applied; delivers accurate statistics that are trusted by the public and puts the needs of victims at its core".

The purpose of DQAM is to assist Force Crime Registrars to test and assess the quality of their crime and incident data as well as following up areas of weakness identified in previous national or local audits.

The DQAM sets out a series of tests that if used locally will promote the consistent and accurate recording of crime impacting on the quality of both investigation and outcomes in a way that is likely to improve service delivery for Victims of Crime.

Effective Quality Assurance (QA) supports the management of risk, enables effective practice to be identified and promoted and provides transparency in relation to service

delivery outcomes e.g. where the recording of notifiable crime is missed then victims are excluded from the support that they are legally entitled to under the Code of Practice for Victims of Crime and potentially offenders escape justice - all of which have the potential to adversely impact on levels of public trust and confidence in Policing.

The Warwickshire's risk based audit plan enables known areas of risk to be considered and for decisions to be made (and authorised) with regards to how appropriate audit resources might best be used to ensure compliance and drive improvement activity. Each incident to crime audit will be based on a methodology similar to that used by HMICFRS providing a significant sample size equating to approximately 300 records. For other audits, for example outcomes and cancelled crime a dip sample of usually between 60 – 100 records are conducted to provide an indication of compliance and risk. Again, this is similar to the approach taken by HMICFRS.

Assurance Audits

Assurance audits are designed to ensure that Warwickshire Police complies with the General Data Protection Regulations, Management of Police Information (MoPI), Authorised Professional Practice (APP) and its own local Policy & Procedures.

The audits are commissioned by Warwickshire Assurance Board.

Audit progress

The month of the planned audits are shown in blue and were the dates initially proposed when the schedule was presented to the Warwickshire Assurance Board.

Currently the planned audits are slightly ahead of schedule. The Anti-Social Behaviour (ASB) Audit was finalised earlier after a smaller than planned sample size due to some consistent issues emerging. The decision was made to present the findings to the force early to enable some action to be taken.

This has enabled the audit of Outcomes 11 – 18 to be started and completed ahead of schedule.

An additional audit of intelligence reports to assess whether they contain reported notifiable crimes that have not been recorded as a crime on the force investigation system Athena.

The audit of non-crime investigations to include Hate, Child at Risk and Adult at Risk has commenced ahead of schedule. The purpose of this audit is to assess whether reported notifiable crimes have been missed.