

Warwickshire Joint Audit and Standards Committee Report Summary

Meeting Date 15 March 2023

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

Contact details: Steven Russell, Director of Data, Strategy and Technology

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 audit schedule 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:

- 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.
- 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.

Executive summary:

The FCIR now produces a summary report of audit findings and risk to each Warwickshire Assurance Board together with the detailed audit reports.

The report presented and accepted at Warwickshire Assurance Board in December 2022 is attached at Appendix A.

Appendix A

Audit Schedule Progress

The current 2022 – 2023 audit schedule has progressed with the planned audits completed.

At the request of ACC Gardner the audit of the handling of covert product has been moved to later in 2023.

Additional Audits

An audit of stop and search records was requested by Supt Kemp and agreed at Assurance Board in September. This audit has been completed and the findings are detailed below.

A request has been made by D/Chief Supt Baker to undertake the Op Soteria Phase 2, Rape and Serious Sexual Offences Case Reviews that are due by the end of January 2023.

Audits Completed

The following audits have been completed since the last Assurance Board.

Child Protection Investigations Audit – A monthly review of a small sample of investigations has continued supported by a feedback process.

Indecent Images of Children (IIOC) Investigations Audit – A sample of 5 investigations is reviewed each month with the findings discussed at a monthly Online Child Sexual Exploitation Team (OCSET) meeting chaired by D/Supt Middleton.

Audit of Referrals to Central Referral and Safeguarding Unit (CRSU) – The CRSU are one of the other main reporting routes for crime and this audit examined emails that contain referrals to assess compliance with HOCR.

Overall, the findings were positive. A total of 60 emails were reviewed for any disclosures of offences. Sixteen crimes were disclosed to the CRSU and all 16 had been recorded at the time of audit. Auditors found evidence of well documented investigations and further questioning of information received to determine the crime recording decision making process

The Resolution Centre play an important role in overseeing investigations, their contribution ensured that crimes were recorded correctly with appropriate outcomes applied. Without this oversight there is a risk of crimes being missed or recorded with an incorrect crime classification.

One of the requirements of HOCR is that crimes are recorded within 24 hours of being reported. Of the 16 crimes reported, half were recorded within 24 hours. Auditors found evidence of workload and staffing levels contributing to late recording.

Most of the investigations concerned were single agency led and safeguarding measures were already in place prior to recording the offence.

The audit also included reports from the Sexual Assault Referral Centre (SARC) to the CRSU, there are a relatively small number of reports, the 4 examined highlighted some gaps in HOCR knowledge and some processing issues.

The audit report has been circulated to D/Chief Supt Baker, Det Supt Hill and DCI Waite. D/Supt Hill has provided a management response and the FCR Team have revised a working practice around the recording of Reported Incidents of Rape (N100s) that has been shared with the CRSU.

ASB Personal Incidents – This audit was the latest in a series reviewing incidents recorded as non-crime anti-social behaviour (ASB). Previous audits identified notifiable crimes disclosed within ASB incidents not being recognised/recorded. This audit of 60 incidents also found that 14 of the 29 crimes disclosed within the incidents reviewed had not been recorded at the time of the audit.

The audit found inconsistencies in respect of the following;

- recognition/recording of crimes by all staff
- response to incidents by members of Safer Neighbourhood Teams (SNT)
- application of appropriate closing codes to incident logs

Chief Supt Bastone has overseen a review of the findings and has provided a detailed management response to the recommendations that is detailed in the audit report.

Audit of Stop and Search - This audit examined 70 stop and search records that had been recorded using the Force Power APP, the searches were conducted by Warwickshire Police officers between 16/7/22 and 20/9/22.

The sample included 18 records where the person searched self-defined ethnicity was recorded as black or mixed black. Where available, related Body Worn Video (BWV) was viewed and if applicable, Storm incident logs; Use of Force records; Athena investigations and risk assessment records were also reviewed.

The audit found:

- reasonable grounds were recorded in almost all cases although, in a small number of instances, auditors felt the recording could be improved by the inclusion of more detail
- a positive outcome, linked to the grounds for the search, was evident in 12 (17%) of the searches reviewed
- 52 of the searches were recorded on BWV and footage was correctly tagged on 12 of these, thus ensuring appropriate retention
- auditors were able to review BWV of 34 searches, and subjects were provided with all of the information Grounds, Objective, Warrant Card, Identity, Station, Entitlement, Legal Authority, You are not detained (GOWISELY) required by the Police and Criminal Evidence Act 1984 (PACE) in 20 of those
- Code A requires that all stop and search subjects should be asked their self-defined ethnicity (SDE), but this was evident in only 2 of the 34 BWV reviewed

- use of force was evident in 43 of the 70 searches reviewed, but this was recorded correctly in only 16 records
- all BWV reviewed showed officers interacting with subjects in a professional manner
- the audit found no evidence of persons being treated differently/ less favourably, based on ethnicity or other personal factors

Audits in progress

The incident to crime audit as part of the replication of the HMICFRS Crime Data Integrity (CDI) / Victim Service Assessment (VSA) methodology has commenced.

A large sample of incidents opened with violence, sexual or other crime opening codes are being reviewed and from each of those crime categories a smaller sample of recorded investigations will be assessed utilising the HMICFRS crime file review questions.

At the time of completing this report the sample of reported incidents of violence was nearing completion and a verbal update on initial findings of the CDI compliance will be presented to the meeting.

It is anticipated that this audit will be completed mid January 2023.

Audit Schedule February 2023

Warwickshire Audit & Assurance schedule
for 2022-2023

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)												
Cancelled Crime (CDI)												
Classification -Modern Slavery - Audit recorded offences, intelligence logs. (CDI)												
Out of Court Disposals - Community Resolution, Cautions, Cannabis/Khat Warnings, PND (CDI)												
Outcomes 1- 18 (CDI)												
Classification - Harassment, Malicious Communications, Breach of Orders - Audit recorded offences (CDI)												
Outcomes 20 - 22 (CDI)												
Other Recording Routes - CRSU, SOH, Contact Us (CDI)												
ASB Personal - (CDI)												
Reported Incidents of Rape Filed (N100s)												
VSA Audit												
Assurance - Child Protection Investigations												
Assurance - Indecent Image of Children Investigations												
Assurance - Bail and RUI Audit CID Investigations												
Assurance - OP Zakynthos reiew.												
Assurance - Handling of Covert Product												
Assurance - THRIVE audit												
Stop and Search												
Op Soteria Rape Case File Review												