



PFCC Cumbria & Cumbria Constabulary

Assurance Review of Wanted People

October 2024

Final



Executive Summary

OVERALL ASSESSMENT

ASSURANCE OVER KEY STRATEGIC RISK / OBJECTIVE

Reduced likelihood of wanted persons being incorrectly logged or categorised on the Police National Computer.

SCOPE

The review assessed the arrangements for wanted people including outstanding named suspects, individuals wanted on warrant and those wanted for licence recall. The review considered policies and procedures; arrangements for recording details of wanted people on internal databases and the Police National Computer (PNC); arrangements for reviewing and updating records of wanted people; categorisation of wanted people based on crime and risk; recording of risk management plans based on risk posed by suspect, ongoing risk to victim, risk to the wider community and risk of reoffending; communication internally within the constabulary; communication with other forces and agencies; public engagement and appeals; and monitoring arrangements including progress of action taken for purposes of trace and arrest.

KEY STRATEGIC FINDINGS

- The Constabulary has a robust policy on the handling of wanted persons and clear procedures that detail what is expected from staff.
- Testing identified that the risk assessments were limited to one-word descriptors and provided little context to officers or reviewers.
- Monitoring and performance reporting for wanted persons is not established within the Cumbria Constabulary Named Suspect and Wanted Persons Policy and Procedure.

GOOD PRACTICE IDENTIFIED

- Testing confirmed that wanted persons were being entered onto the Police National Computer accurately and the process is digital, allowing for efficient communication between the officers, supervisors, Warrants Team and other constabularies and external partners.

ACTION POINTS

Urgent	Important	Routine	Operational
0	1	3	0

Assurance - Key Findings and Management Action Plan (MAP)

Rec.	Risk Area	Finding	Recommendation	Priority	Management Comments	Implementation Timetable (dd/mm/yy)	Responsible Officer (Job Title)
2	Directed	<p>A sample of thirty cases was selected for testing to confirm that wanted persons were being risk assessed in accordance with internal procedure. None of the thirty sampled had a formal risk assessment completed. Each case did have comments made on Red Sigma detailing potential risks the person may pose but was limited to one-word notes (for example, "weapons", "violent", "drugs"). Seven of the cases did contain some minor risk context within the Recall to Court forms but again this detail was limited.</p> <p>The Named Suspect & Wanted Persons Policy & Procedure does outline that risk assessments should be conducted, and this expectation was confirmed in an interview with the Detective Chief Inspector.</p> <p>The wanted person's risk assessment should consider specific steps to prevent further offending, protect victims through safeguarding actions, and mitigate risks to the wider public. Additionally, it should incorporate measures to protect officers, especially when dealing with violent individuals or those with access to weapons and also consider any other concerns about the individual.</p>	A wanted people risk assessment form be created for use to ensure consistency across the Constabulary.	2	<p><i>S- Wanted person risk assessment already exists, and this will be enhanced to incorporate measures to protect officers. This 'form' will be a direct entry on to the associated crime.</i></p> <p><i>M- The use and effectiveness of the risk assessment will be measured via the monthly wanted persons tactical meeting and BIU audits supported by BCU 'wanted' SPOCs.</i></p> <p><i>A - The use of this risk assessment is mandatory and is achievable by all officers following the guidance.</i></p> <p><i>R - This will be relevant to all crimes with an outstanding named suspect and;</i></p> <p><i>T - requires immediate implementation and monitoring on a monthly basis.</i></p>	01/11/2024	DCI Yallop

PRIORITY GRADINGS

1 **URGENT** Fundamental control issue on which action should be taken immediately.

2 **IMPORTANT** Control issue on which action should be taken at the earliest opportunity.

3 **ROUTINE** Control issue on which action should be taken.

Rec.	Risk Area	Finding	Recommendation	Priority	Management Comments	Implementation Timetable (dd/mm/yy)	Responsible Officer (Job Title)
1	Directed	<p>Discussions with the Warrants Team Leader confirmed that officers are responsible for completing a Power Apps form that captures the details of wanted individuals. These forms are then passed to their supervisor for review. Following approval, the information is manually entered into the national system by the Police National Computer (PNC) department. The data is also entered on the warrant management system and Red Sigma system by the Warrants Team, which the force can access to allocate resources. There is no automatic link between the internal databases and the PNC, meaning updates must be done manually.</p> <p>There is no formal escalation if delays occur, but the Warrants Team do run a report on outstanding Power App Forms and contact both the supervisor and officer who raised the form. It was confirmed there is no automated reminder system for pending forms, which could result in overlooked tasks by supervisors and puts reliance on another department as part of a manual follow up process.</p>	Explore the possibility of automatically sending reminders to officers and their supervisors if a Power Apps form is incomplete or awaiting approval to identify and reduce delays.	3	<p>CREATE AN AUTOMATIC REMINDER TO THE SUPERVISOR. DEPENDANT ON THIRD PARTY. ICT DEPARTMENT.</p> <p>S - Create automatic function in PowerApps to reduce risk and reliance on other depts.</p> <p>M - That It provide a function in the Power app.</p> <p>A - Laise with ICT second line.</p> <p>R - Yes, to reduce risk and demand.</p> <p>T - 6 months.</p>	31/03/2025	WARRANTS TEAM LEADER

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Rec.	Risk Area	Finding	Recommendation	Priority	Management Comments	Implementation Timetable (dd/mm/yy)	Responsible Officer (Job Title)
3	Delivery	There is no established monitoring arrangements defined within the Cumbria Constabulary Named Suspect and Wanted Persons Policy and Procedure document for tracking the progress of actions taken to trace and arrest suspects. This omission can lead to inconsistent practices, accountability gaps, and difficulties in measuring performance, potentially resulting in delays, non-compliance, and missed opportunities for timely intervention. Discussions with the Warrants Team confirmed there is monitoring in place for this team, but that process is not currently documented as referenced in Recommendation 4.	Update the policy to include clear monitoring guidelines, defining roles and responsibilities, establishing regular reporting mechanisms, and implementing escalation processes.	3	<p>UPDATE CUMBRIA WANTED PERSON POLICY – LAST UPDATED 2023. TO INCLUDE THE POWERAPPS MONITORING OF SUPERVISION APPROVALS.</p> <p>S - Updated policy. M - Rewritten and in line with audit requirements. A - Link in DCI Yallop. R - Yes as policy is incorrect. T - 6 month.</p>	31/03/2025	DCI YALLOP
4	Delivery	Statistics are taken from the warrant management system and are reconciled against court reports to confirm who has outstanding warrants or summons. The Warrants Team Leader also completes a monthly reconciliation that confirms issued arrests, arrests executed and those outstanding. This information is also used to confirm who is the arresting officer and category. However, this process is not documented which was confirmed by the Warrants Team Leader.	The process for reconciling court reports and wanted persons data be documented to ensure other members of staff can understand and carry out the procedure in the absence of the Warrants Team Leader.	3	<p>CREATE PROCESS MAP FOR MONTHLY RECONILIATION OF COURT WARRANTS, WANTED PERSONS, BREACH OF EMS AND RECALLS (QUARTERLY).</p> <p>S - Provide a process map for warrants reconciliation, court warrants, wanted and breach of EMS. M - Completed and covers all aspects for any scrutiny. A - Written by AW. R - Yes, to reduce risk and demand and highlight resource deficiencies. T - 6 months.</p>	31/03/2025	WARRANTS TEAM LEADER

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Operational - Effectiveness Matter (OEM) Action Plan

Ref	Risk Area	Finding	Suggested Action	Management Comments
No Operational Effectiveness Matters were identified.				

ADVISORY NOTE

Operational Effectiveness Matters need to be considered as part of management review of procedures.

Assignment Engagement Details

TIAA Auditors	Title	Contact Email	Telephone
James Back	Senior Auditor	James.Back@tiaa.co.uk	07814581890
Martin Ritchie	Director of Audit	Martin.Ritchie@tiaa.co.uk	07717746714
Constabulary Staff	Title		
James Yallop	Detective Chief Inspector		
Allyson Woodend	Warrants Team Leader		

Exit Meeting Date	6 th September 2024
Attendees	James Yallop

Director/Commander Comment	<p>The findings of the audit are accepted. I have reviewed next steps with DCI James Yallop. The monthly tactical reviews now agreed will address the findings and in particular, the improvements required in effective risk assessment (assessing risk to victims, to the public, of further offending and to officers/staff). They will also ensure prioritisation of the most harmful cases.</p> <p>DCS 3580 David Ashton 08/10/2024</p>
Deputy Chief Constable's Comment	<p>I have read and note the 4 action points (1 x important and 3 x routine) and support the action taken.</p> <p>I note the comments with regards to performance reporting / progress updates and concerns that monitoring and performance reporting is not established within the Cumbria Constabulary Named Suspect and Wanted Persons Policy and Procedure. However, I can provide an absolute assurance that monitoring of Wanted People takes place in BCU's and Forcewide (SPB). The non-recording of appropriate Risk Assessment (mitigating actions) is a concern, which will be addressed immediately. Whilst the Implementation Timetable indicates by 31.3.2025, the above actions will be addressed immediately.</p> <p>Darren Martland (DCC). 22/10/2024</p>
Considered for Risk Escalation	-

Findings





Directed Risk:


Failure to properly direct the service to ensure compliance with the requirements of the organisation.


Ref	Expected Key Risk Mitigation	Effectiveness of arrangements	Cross Reference to MAP	Cross Reference to OEM
GF	Governance Framework There is a documented process instruction which accords with the relevant regulatory guidance, Financial Instructions and Scheme of Delegation.	Partially in place	1	-
RM	Risk Mitigation The documented process aligns with the mitigating arrangements set out in the corporate risk register.	In place	-	-
C	Compliance Compliance with statutory, regulatory and policy requirements is demonstrated, with action taken in cases of identified non-compliance.	Partially in place	2	-

Other Findings

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The Constabulary maintains a Named Suspect and Wanted Persons Policy and Procedure which is reviewed by the Operational Scrutiny & Oversight Board on a three-yearly basis. The Policy was most recently reviewed in January 2024.
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The Policy includes process flows for a variety of procedures including but not limited to PNC Wanted Process, Cancelling from PNC, Detained Person and Failed to Appear. These process flows are detailed and clear which direct compliance with the policy. Roles and responsibilities are highlighted throughout the policy which also confirms there is existing segregation of duties in place for certain procedures.
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The Warrants department conduct a thirty-day review which is run from the Wanted Review Spreadsheet which tracks any wanted persons open for thirty days or more. After thirty days the team emails the officer/supervisor to confirm if the individual is still wanted and also check the PNC for records and check the prison records to confirm if there have been any changes logged. Credit checks and DWP checks for address changes are also conducted and if any changes are confirmed, those details are provided to officers for their information.
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Offences and named suspects are categorised into Category A, B, or C based on several factors including the seriousness of the offence, the individual's status as a Prolific or Priority Offender, and the vulnerabilities of the victim. Once categorised, the Officer in Charge must follow the appropriate process to place the suspect as wanted on the Police National Computer. The process is similar for all categories, with two key differences: Category A suspects are listed on the PNC National, while Category B/C suspects can be listed on either PNC National or Local. Additionally, Category A suspects are marked as main sector targets on Red Sigma and must be discussed in Daily Management Meetings when actionable intelligence is available, whereas Category B/C suspects are managed through a target profile.

Other Findings



The roles and responsibilities of the Area Intelligence Unit (AIU) and Force Intelligence Bureau (FIB) direct communication both internally with the constabulary and externally with other forces and UK agencies. The AIU facilitates internal communication by ensuring that Category A named suspects are discussed during the Daily Management Meetings and by supporting investigative inquiries with specialised resources. Additionally, the FIB manages external communication by assisting with cases involving suspects outside the force area or overseas, directing effective coordination with other forces and agencies. The Tactical Response Group work with the Warrants team when not booked out on calls to identify and work to try and bring in wanted persons.



The Force makes use of their own website to launch appeals for information as well as updates on legislation such as the recent amnesty for "zombie knives". The appeals provide a summary of information about the incident and also advise the public how they can report any information. Additionally, the Force uses social media sites such as Facebook to alert the public to wanted persons, including photographs, reason for warrant and further advice on action to take if the person in question is identified.



The Cumbria Constabulary Named Suspect and Wanted Persons Policy and Procedure outlines the process of risk management. The responsibility of any associate risk will be under the Inspector of the respective Officer in the Case (OIC) and supervisor or Sergeant, and responsibilities of each role is referenced. The following areas must be documented: Steps taken to prevent the risk of further offending, steps taken to prevent the risk to victims including what safeguarding actions have taken place and steps taken to prevent wider risk to the public.



Delivery Risk:

Failure to deliver the service in an effective manner which meets the requirements of the organisation.

Ref	Expected Key Risk Mitigation	Effectiveness of arrangements	Cross Reference to MAP	Cross Reference to OEM
PM	Performance Monitoring There are agreed KPIs for the process which align with the business plan requirements and are independently monitored, with corrective action taken in a timely manner.	Partially in place	3, & 4	-
S	Sustainability The impact on the organisation's sustainability agenda has been considered.	Out of scope	-	-
R	Resilience Good practice to respond to business interruption events and to enhance the economic, effective and efficient delivery is adopted.	Out of scope	-	-

Other Findings



All thirty wanted persons sampled had evidence of a Power Apps forms and that details were accurately updated onto the Police National Computer. In addition to the PNC being updated which can be seen by all other forces within the country, Red Sigma was also updated with details of the offence, the wanted person and any other relevant information which officers can access at any time and update with any additional findings.



When a wanted person is logged on the Police National Computer, they can be either logged as a PNC National or a PNC Local. Category A persons must be logged as a PNC National whereas Category B and C can be either. Testing of thirty cases confirmed that each had been assigned a PNC National or Local level with appropriate rationale, facilitating effective information sharing between internal and external stakeholders within Cumbria and across wider UK police forces and enforcement agencies.

Scope and Limitations of the Review

- The definition of the type of review, the limitations and the responsibilities of management in regard to this review are set out in the Annual Plan. As set out in the Audit Charter, substantive testing is only carried out where this has been agreed with management and unless explicitly shown in the scope no such work has been performed.

Disclaimer

- The matters raised in this report are only those that came to the attention of the auditor during the course of the review and are not necessarily a comprehensive statement of all the weaknesses that exist or all the improvements that might be made. This report has been prepared solely for management's use and must not be recited or referred to in whole or in part to third parties without our prior written consent. No responsibility to any third party is accepted as the report has not been prepared, and is not intended, for any other purpose. TIAA neither owes nor accepts any duty of care to any other party who may receive this report and specifically disclaims any liability for loss, damage or expense of whatsoever nature, which is caused by their reliance on our report.

Effectiveness of Arrangements

- The definitions of the effectiveness of arrangements are set out below. These are based solely upon the audit work performed, assume business as usual, and do not necessarily cover management override or exceptional circumstances.

In place	The control arrangements in place mitigate the risk from arising.
Partially in place	The control arrangements in place only partially mitigate the risk from arising.
Not in place	The control arrangements in place do not effectively mitigate the risk from arising.

Assurance Assessment

- The definitions of the assurance assessments are:

Substantial Assurance	There is a robust system of internal controls operating effectively to ensure that risks are managed and process objectives achieved.
Reasonable Assurance	The system of internal controls is generally adequate and operating effectively but some improvements are required to ensure that risks are managed and process objectives achieved.
Limited Assurance	The system of internal controls is generally inadequate or not operating effectively and significant improvements are required to ensure that risks are managed and process objectives achieved.
No Assurance	There is a fundamental breakdown or absence of core internal controls requiring immediate action.

Acknowledgement

- We would like to thank staff for their co-operation and assistance during the course of our work.

Release of Report

- The table below sets out the history of this report.

Stage	Issued	Response Received
Audit Planning Memorandum:	14 th August 2024	14 th August 2024
Draft Report:	19 th September 2024	22 nd October 2024
Final Report:	23 rd October 2024	