



THE POLICE AND CRIME COMMISSIONER FOR NORTH YORKSHIRE AND THE CHIEF CONSTABLE OF NORTH YORKSHIRE

Integrated Offender Management

FINAL

Internal Audit Report: 6.17/18

19 December 2017

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CONTENTS

1 Executive summary	2
2 Detailed findings	5
Appendix A: Scope	11
Appendix B: Further information.....	13
For further information contact	14

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Draft report issued	4 December 2017		Angela Ward, Senior Manager
Responses received	19 December 2017		Philip Church, Client Manager
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Final report issued	19 December 2017	Client sponsor	Temporary Assistant Chief Constable
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1 EXECUTIVE SUMMARY

1.1 Background

A review of Integrated Offender Management (IOM) was undertaken as part of the approved internal audit periodic plan for 2017/18.

IOM is a nationally recognised scheme with guidance produced by the Home Office. It seeks to bring a cross agency response to crime and reoffending threats faced by local communities. It helps to improve the quality of life in communities by:

- Reducing the negative impact of crime and reoffending;
- Reducing the number of people who become victims of crime; and
- Helping to improve the public's confidence in the criminal justice system.

Previously IOM schemes nationally focussed on offenders who had committed serious acquisitive crime (SAC) classified as domestic burglary, theft of / from motor vehicle and robbery. The IOM teams had responsibility for managing offenders who were designated Prolific and Other Priority Offenders (PPO) and other statutory and non-statutory offenders. The process for acceptance on to the IOM scheme was generally via a referral from one of the IOM agencies; a matrix scoring exercise would then be completed followed by discussion at a partnership meeting.

In 2012 at the Home Office National IOM conference, schemes were showcased that included offenders who were managed under Multi-Agency Public Protection Arrangements (MAPPA). The inclusion of these offenders has now been mainstreamed with the Home Office advising all offenders can be potentially included in the scheme.

North Yorkshire developed their existing IOM model in June 2016 to include MAPPA level 2 offenders - violent offenders and in October 2017 registered sex offenders. Previously there was a single IOM Sergeant providing first line supervision to the teams, with the addition of MAPPA offenders. This supervision was replaced with area based Sergeants with IOM / MAPPA responsibilities. There are IOM officers across the Force area based in Northallerton, Harrogate, York and Scarborough managing c.242 offenders. Overall management of this scheme is aligned to Protecting Vulnerable People (PVP) portfolio and this comes under the remit of a Detective Superintendent.

IOM can be an effective partnership tool to help protect the public from some of the most dangerous offenders in an area. This review seeks to understand how the Force approach IOM at a strategic and operational level.

1.2 Conclusion

The key findings from this review are as follows:

- The Force can take assurance at a local level trained operational officers continue to work with partners (with varying partnership engagement levels) to manage offenders and protect the community.
- At a strategic level, there is a requirement to clarify and set the direction for IOM whether in a partnership setting or police setting.

Several partner agency staff were contacted to take part in this review, three agencies responded. One agency felt that they were unable to add anything to the review. P3, a charity that works intensely with offenders, were very happy with the scheme at an operational level but were unable to comment at a strategic level. The NPS contact agreed with the recommendations of this report across both the strategic and local levels. They were keen to be involved in the development of the scheme in the future.

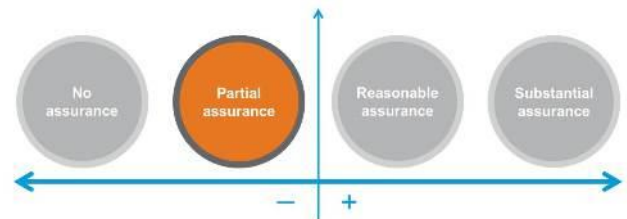
Our review has identified the following areas for improvement which have resulted in **one high** and **two medium** priority management actions:

- With partners revisit IOM at a strategic level, if there is an appetite for a continued “integrated” offender management scheme, reinvigorate and where required redesign the scheme. If the strategic partnerships do not have an appetite or the resources to support a scheme (i.e. not integrated) consider the role that the police team will have within a wider offender management agenda. **(High)**
- Following strategic decisions, local schemes should be revisited to ensure they are supporting the IOM strategy and that operating guidelines and partnership involvement required are clear. There should be robust channels of communication to escalate challenge and share best practice to improve the local schemes across North Yorkshire. **(Medium)**
- Following the strategy work, the IOM performance framework requires redesign to identify appropriate performance indicators, measurements and reporting requirements. **(Medium)**

Internal audit opinion:

Taking account of the issues identified, **the Police and Crime Commissioner for North Yorkshire and the Chief Constable of North Yorkshire** can take **partial assurance** that the controls to manage this area are suitably designed and consistently applied.

Action is needed to strengthen the control framework to manage the identified area.



1.3 Additional information to support our conclusion

The following table highlights the number and categories of management actions made. The detailed findings section lists the specific actions agreed with management to implement.

Area	Control design not effective*	Non-Compliance with controls*	Agreed actions		
			Low	Medium	High
<p>There is a robust and measurable framework in place for dealing with different types of offenders and offences through a coherent multi-agency approach to deliver a response to local crime.</p> <p>Police and Crime Plan</p> <p>Objective 2: Work more closely with criminal justice partners and local authorities to deliver a more joined up service.</p>	0 (8)	3 (8)	0	2	1
Total			0	2	1

* Shows the number of controls not adequately designed or not complied with. The number in brackets represents the total number of controls reviewed in this area.

2 DETAILED FINDINGS

Categorisation of internal audit findings

Priority	Definition
Low	There is scope for enhancing control or improving efficiency and quality.
Medium	Timely management attention is necessary. This is an internal control risk management issue that could lead to: Financial losses which could affect the effective function of a department, loss of controls or process being audited or possible regulatory scrutiny/reputational damage, negative publicity in local or regional media.
High	Immediate management attention is necessary. This is a serious internal control or risk management issue that may lead to: Substantial losses, violation of corporate strategies, policies or values, regulatory scrutiny, reputational damage, negative publicity in national or international media or adverse regulatory impact, such as loss of operating licences or material fines.

This report has been prepared by exception. Therefore, we have included in this section, only those risks of weakness in control or examples of lapses in control identified from our testing and not the outcome of all internal audit testing undertaken.

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management
Area: Integrated Offender Management						
1	There is an effective strategic IOM partnership supporting local delivery to reduce the reoffending of the cohort: <ul style="list-style-type: none"> IOM partnership strategy; IOM multi-agency agreement; 	Yes	No	<p>The IOM scheme in North Yorkshire is functioning at an operational level despite an apparent lack of high-level partnership strategic buy-in and reported reduced partnership involvement at a local level.</p> <p>There is no current IOM partnership agreement and there is not a current agreed cross agency strategy. This change in partnership engagement at a strategic level could be as a consequence of transforming rehabilitation, confusion in the partnership following the refocused cohort (inclusion of MAPPA) and within the police, the changing IOM portfolio alignment or simply a lack of resource.</p> <p>The Force has produced draft guidance that reflects the recent inclusion of the MAPPA level 2 cohort, however this is not a document that has been consulted upon in the partnership. Additionally, there is not a considered vision</p>	High	<p>Work with partners at a strategic level to understand the appetite for a continued IOM scheme.</p> <p>Agree the focus of IOM either at Chief Officer / senior partnership level or (if no partnership buy in) at Police Chief Officer / Senior level including the consideration of whether IOM focus should be e.g. SAC and MAPPA level 2 / 3 offenders / offenders who are highest risk of reoffending / highest risk of causing harm to</p>

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management
	<ul style="list-style-type: none"> Strategic and operational meetings are held to develop practice and assess performance; and Cohort is agreed by multiple agencies. 			<p>for the development of the scheme following widening of the cohort, changes to the probation landscape and the introduction of new partnership organisations.</p> <p>Whilst the Force has made a determined effort to begin this transformational process, there are no dedicated IOM resources at a strategic level across the partnership and those senior police officers who have attempted to reinvigorate this work have responsibility for multiple areas including MAPPA.</p> <p>The Detective Superintendent has senior police responsibility for IOM and has 'bid' for support from the police central resources to assist with the reinvigoration of IOM. The Detective Inspector has arranged a strategic meeting with some partners to renew the interest due to take place in December 2017.</p> <p>Whilst strategic IOM meetings had ceased, operational meetings at a local area level are still scheduled. There are varying levels of attendance, CRC, NPS, housing and drugs and alcohol services were reported as core IOM members. Anecdotally there are difficulties with the attendance of NPS and CRC in a number of areas due to high caseloads and the movement away from designated 'IOM SPoCs' which were standard prior to transforming rehabilitation.</p> <p>The cohort is agreed via the partnership however there are two distinct channels: via the "traditional" IOM route, which consists of nomination, scoring against the matrix and partnership agreement. The second route is MAPPA level 2. Currently the managed cohort is IOM plus MAPPA level 2 nominals rather than the IOM scheme consisting of a cohort of individuals being managed on area who may also be subject to various statutory monitoring requirements e.g. MAPPA.</p> <p>The 'traditional' IOM matrix scoring document is still weighted towards SAC offenders whilst national best practice suggests focus should be on those</p>		<p>the community / prolific / statutorily managed etc.</p> <p>Develop an agreement, vision, strategy, plan, operating model (including refocused matrix) and performance measurements to support the clarification, reinvigoration and development of the IOM scheme either under the banner of offender management (developed and managed by the police if partners do not have an appetite for IOM) or integrated offender management (shared responsibility with partners).</p> <p>Responsible officer:</p> <p>Detective Superintendent</p> <p>Implementation date:</p> <p>April 2018</p>

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				<p>offenders who are the riskiest or cause the most harm to the community. MAPPA level 2 offenders are assigned to the IOM officers to provide resilience to the Offender Management Unit (OMU) assisting with the management of low risk sex offenders and level two violent offenders.</p> <table border="1"> <thead> <tr> <th colspan="3">Risk Exposure</th> <th colspan="3">Root causes</th> </tr> </thead> <tbody> <tr> <td colspan="3">Risk that an ineffective partnership arrangement may lead to difficulty in managing the cohort which could impact on community safety.</td> <td colspan="3">Lack of senior level 'buy in'.</td> </tr> <tr> <td colspan="3"></td> <td colspan="3">Lack of partnership strategy.</td> </tr> <tr> <th>Probability</th> <th>Financial</th> <th>Reputational</th> <th>Operational</th> <th>Legal</th> <th>Rating</th> </tr> <tr> <td>Probable</td> <td>Negligible</td> <td>Significant</td> <td>Significant</td> <td>Negligible</td> <td>3:13</td> </tr> </tbody> </table>	Risk Exposure			Root causes			Risk that an ineffective partnership arrangement may lead to difficulty in managing the cohort which could impact on community safety.			Lack of senior level 'buy in'.						Lack of partnership strategy.			Probability	Financial	Reputational	Operational	Legal	Rating	Probable	Negligible	Significant	Significant	Negligible	3:13		
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2	<p>The local IOM scheme has developed in line with national best practice, including the following:</p> <ul style="list-style-type: none"> Cohort reflects the offending profile of the force rather than purely SAC offenders; Training given to staff is relevant to the cohort managed; Co-location of IOM staff and co- 	Yes	No	<p>As detailed above, the IOM scheme whilst moving towards a risk / harm based focus driven by the Police through the inclusion of MAPPA has not yet fully revisited and agreed what offenders an IOM cohort should consist of and focus is still weighted towards SAC offenders plus MAPPA level 2.</p> <p>The Detective Superintendent and Detective Inspector (MAPPA) have both taken added responsibility for IOM. They have sought to understand the challenges and blockers and are keen to develop the scheme however the resources needed to consult, reinvigorate, plan and implement are not currently available with the current team.</p> <p>The operational officers on area appear to continue to undertake their roles with determination despite challenges including, changing cohort, changing probation environment, changing first line supervision and senior supervision. They are co-located some with CRC and some with the NPS with varying levels of partner engagement reported. Housing appears to consistently be a strong partner but all agree that there has been less of a focus on IOM in general particularly since the transforming rehabilitation changes. One IOM team reported the high CRC workloads have resulted in the IOM officers facilitating all rehabilitative work with the offender a role that should be mainly</p>	Medium	<p>Actions as above at a strategic level.</p> <p>Following strategic decision making, reinvigorate with or without partners (depending on appetite) at a local level including improving channels for sharing best practice and escalating issues to a strategic level.</p> <p>Responsible officer:</p> <p>Detective Inspector</p> <p>Implementation date:</p> <p>April 2018</p>																														

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	<p>management of cohort at an operational level; and</p> <ul style="list-style-type: none"> • Clear links between IOM staff intelligence and neighbourhood policing. 			<p>fulfilled by the CRC. Some teams reported difficulties with the CRC issuing breaches / recalls – there were concerns that one of these drivers could be the “payment by results” nature of the CRC contract.</p> <p>All operational staff members had received MOSOVO and VISOR training or were scheduled to undertake it. For some the training had happened virtually twelve months prior to them managing the MAPPA offenders and they suggested the training should have happened closer to the ‘go live’ date. Interestingly a new IOM officer described whilst they had received (or were due to receive) the MAPPA focussed training, they had received no training or handover for the “traditional” IOM element of the role.</p> <p>One Neighbourhood Sergeant was clear on the current role of IOM. He had excellent links with his area IOM team who had desks in the neighbourhood office. The cohort was displayed on the office wall which assisted with targeted IOM / NPT actions. This area also had utilised special constables, led by the Neighbourhood Team and IOM staff, to target individuals causing harm to the communities. This Sergeant suggested that there are offenders who cause more harm to communities than the current IOM cohort including CSE perpetrators and those exploiting children in county line activities. A new Neighbourhood Sergeant had only been in post for a brief time moving into neighbourhoods from another policing operational area, she was not aware of what IOM was and she had not seen any information regarding the cohort in her neighbourhood office.</p> <p>There was a varying picture regarding the relationship between IOM and the intelligence function. Some IOM officers reported the intelligence links were strong however this appeared to have been fostered by personal relationships rather than a considered strategy.</p>		

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In summary, it was clear that operational officers were passionate about the management of their cohort and were undertaking their roles with determination despite the challenges presented.

They used innovative techniques including the creation of a boxing club and the utilisation of special constables for targeted operations. Whilst there were good personal relationships between the IOM officers and CRC staff, several times the phrase “we have a carrot but no stick” referencing frustrations with the enforcement element of licence conditions by the CRC which could leave the IOM scheme open to scrutiny. Greater ownership at a strategic level would provide an opportunity to explore and if necessary provide escalation of some of the shared and share best practice across the local schemes.

Risk Exposure			Root causes		
Risk of inconsistent practice undertaken by area IOM schemes to reduce reoffending, influenced by factors other than agreed IOM operating practice and national best practice.			Lack of high-level buy at a strategic level.		
			Inconsistent local partnership environment / buy in / agreement of roles and responsibilities.		
			Lack of clear police operating guidelines, consulted on across policing teams i.e. neighbourhood policing.		
Probability	Financial	Reputational	Operational	Legal	Rating
Probable	Negligible	Significant	Negligible	Negligible	3:13

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3	IOM performance management is effective.	Yes	No	<p>IOM performance management is currently unfocussed with the Intelligence and Research Officer trying to design information that may be helpful at both a strategic and operation level. The Intelligence and Research Officer produces a number of products including daily briefing, a six-weekly report and an annual evaluation of the performance of the scheme.</p> <p>The daily briefing has been developed by the officer and provides a snap shot of the previous day / overnight picture including intel and arrest information. This product was deemed extremely useful by operational staff.</p> <p>The management reports produced contained a lot of information in excel format, there were no indications of trends nor suggested actions as a result of the data. This data has been forwarded to the Business Development and Innovation Board (BDI) to date, no actions have been received following these updates.</p> <p>There is no performance scrutiny at a partnership board level i.e. reducing reoffending board, protecting vulnerable people board, or victims and witnesses board. Those with senior responsibility interviewed did not find the reports useful nor did those at an operational level.</p> <table border="1"> <thead> <tr> <th colspan="3">Risk Exposure</th> <th colspan="3">Root causes</th> </tr> </thead> <tbody> <tr> <td colspan="3">Risk of not understanding how the scheme is performing against identified performance indicators.</td> <td colspan="3">Lack of clear performance indicators.</td> </tr> <tr> <th>Probability</th> <th>Financial</th> <th>Reputational</th> <th>Operational</th> <th>Legal</th> <th>Rating</th> </tr> <tr> <td>Probable</td> <td>Negligible</td> <td>Minor</td> <td>Minor</td> <td>Minor</td> <td>5:8</td> </tr> </tbody> </table>	Risk Exposure			Root causes			Risk of not understanding how the scheme is performing against identified performance indicators.			Lack of clear performance indicators.			Probability	Financial	Reputational	Operational	Legal	Rating	Probable	Negligible	Minor	Minor	Minor	5:8	Medium	<p>As part of the strategic work design a new performance framework and template which informs best practice and gives senior leaders / managers a clear assessment of the performance of the scheme.</p> <p>(Suggest the monthly report is suspended prior to redevelopment of the framework as it appears to be of little value).</p> <p>Responsible officer:</p> <p>Detective Superintendent</p> <p>Implementation date:</p> <p>April 2018</p>
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Probable	Negligible	Minor	Minor	Minor	5:8																									

APPENDIX A: SCOPE

The scope below is a copy of the original document issued.

Scope of the review

The internal audit assignment has been scoped to provide assurance on how the organisation manage the following area.

Objective of the area under review

There is a robust and measurable framework in place for dealing with different types of offenders and offences through a coherent multi-agency approach to deliver a response to local crime.

Police and Crime Plan

Objective 2: Work more closely with criminal justice partners and local authorities to deliver a more joined up service.

When planning the audit, the following areas for consideration and limitations were agreed:

Areas for consideration:

Integrated Offender Management (IOM) involves the Force and partners working together to deliver a local response to crime, targeting those offenders most at risk of reoffending and reducing the risk they pose to members of the community. In particular our review will consider the following:

- Review of how offenders are identified taking in to account multi-agency relationships to ensure a holistic view is provided.
- How the Force has developed from its previous position in which a significant majority of offenders were of acquisitive crimes to reflect the offending profile of the Force.
- Review of how individuals that fall below the IOM scoring requirements are identified and supported.
- Review of how staff training has changed to reflect the offenders dealt with by the Force.
- An assessment of the performance framework in place to determine the effectiveness of the IOM approach, how this has been reassessed if required and reported through the Force's governance structure.
- Establishment of strategic and operational groups to drive and co-ordinate IOM.
- The effectiveness of the links between IOM and front line operational policing / intelligence functions.
- How the Force links with partners, both statutory and non-statutory, to reduce the reoffending of the cohort.

The following limitations apply to the scope of our work:

- We will not comment on the assessment performed on offenders or validate the scoring as accurate.
- This will not replace or guarantee an assessment performed by the HMIC.
- We will not confirm the interventions that have been put in place will reduce reoffending or the most appropriate interventions have been put in place.
- Testing will be completed on a sample basis.
- Our work does not provide absolute assurance that material errors, loss or fraud do not exist.

APPENDIX B: FURTHER INFORMATION

Persons interviewed during the audit:

- Intelligence and Research Briefing Officer IOM
- IOM Officer
- IOM Officer
- P3 Charity
- National Probation Service

Documentation reviewed during the audit:

- IOM matrix document
- IOM Operating Guidance
- Quarterly performance report

FOR FURTHER INFORMATION CONTACT

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