



Agenda Item 10

JOINT AUDIT COMMITTEE
6th December 2018

**Anti-Fraud, Bribery and Corruption Policy
Annual Review of Effectiveness**

1. **Purpose of the report**

- 1.1 The purpose of this report is to update the Joint Audit Committee on the effectiveness of the Anti-Fraud, Bribery and Corruption Policy of the PCC and Force.

2. **Background**

- 2.1 A key role of the Joint Audit Committee is to monitor the policies of both the Police and Crime Commissioner and Chief Constable on 'Raising Concerns at Work', and anti-fraud and corruption strategy. This is ensure adequate arrangements are in place to safeguard both organisations, as far as possible, against any form of fraud and corruption activity.
- 2.2 The PCC and Force promote a zero tolerance approach towards fraud, bribery, corruption and other malpractice for personal gain. To that extent, dishonesty, lack of integrity, avoidance of controls and failure to comply with agreed policies will not be tolerated.
- 2.3 The Anti-Fraud, Bribery and Corruption Policy and Fraud Response Plan are key to promoting a strong ethical and counter fraud culture. The Policy was last reviewed in September 2018 and was subsequently considered by Joint Audit Committee at its meeting on 27th September 2018. The Policy will be approved by the Police and Crime Commissioner.
- 2.4 The Anti-fraud, Bribery and Corruption Policy is supported by the Governance Framework and a number of interrelated policies, including:
- Confidential Reporting Policy
 - Gifts and Hospitality Policy
 - Financial Regulations
 - Business Interest Policy
- 2.5 This report provides:
- an update on the counter fraud work undertaken by Internal Audit since the previous report to Joint Audit Committee on Anti-Fraud, Bribery and Corruption in November 2017.

- highlights of the outcomes of work performed within the National Fraud Initiative (NFI) data matching exercise administered by Internal Audit; and
- Provides an investigations update report from the Professional Standards Department summarising the results, including sanctions and redress where appropriate, arising from significant internal fraud investigations carried out by Professional Standards since 2015/16, along with an update on the work by the Professional Standards Department to reduce issues of fraudulent conduct. This report is attached at Appendix 1.

3 Internal Audit contribution to Counter Fraud Work

- 3.1 Internal Audit contribute to the anti-fraud and corruption arrangements by providing assurance that internal controls are effective to maximise the deterrence and prevention of fraud. The internal audit plan includes time to devote to specific counter fraud activities, such as expense payments and the National Fraud Initiative exercise, although fraud risks are considered when planning all audits, particularly those audits of financial systems and processes.
- 3.2 The outcome of Internal Audit's work informs the Head of Internal Audit's annual opinion on risk, governance and the internal control environment, and will help determine areas for future internal audit plans.
- 3.3 A number of internal audits completed over the last 12 months have had a specific emphasis on fraud. Examples include: debtors, creditors, contract management and covert fund management. Whilst the audits to date have not identified any frauds, there were weaknesses identified where the control framework is not as robust as it could be; or, is not being operated effectively to prevent or detect fraud, for example, where appropriate authorisation controls have not been applied or a lack of management reporting exists to identify potential fraudulent activity. Any significant control issues resulting in a 'Limited' or 'Minimal' assurance opinion have been reported to Joint Audit Committee as part of Internal Audit's regular activity update report, and where control weaknesses have been identified, action plans have been agreed with management to address the weakness.
- 3.4 For the remainder of 2018/19, Internal Audit will place further emphasis on auditing financial systems and processes where fraud risks are greater. Full follow-up reviews of debtors and creditors processes are due to commence imminently and an audit of expense payments is currently underway. A review of access and usage of systems in Shared Services, which includes financial systems, is also planned to ensure staff are granted permissions commensurate with their roles and segregation of duties is appropriate to prevent fraudulent activity. A follow-up review of access and usage of intelligence systems is also underway to ensure any weaknesses previously identified and reported to the Committee around inappropriate access have been addressed. The Committee will be updated on significant findings arising from these reviews in due course.
- 3.5 Internal Audit are represented on the Payroll Governance Board. The core purpose of this Board is to discuss overpayments made, the cause, recovery arrangements and identify if any corrective actions are required to any processes to reduce the risk of future overpayments. Whilst not strictly to identify fraud, Internal Audit will make recommendations to improve internal control arrangements to prevent similar overpayments and suggest when a case should be referred to the Professional Standards Department for investigation from an ethics and honesty perspective. This group meets on an ad-hoc basis when complex cases arise or appeals need to be considered.

4 National Fraud Initiative (NFI)

- 4.1 Both the Police and Crime Commissioner and Chief Constable are required to participate in a biennial data matching exercise, facilitated by the Cabinet Office, to assist in the prevention

and detection of fraud. Internal Audit undertake the Key Contact role on behalf of both organisations and as such are responsible for co-ordinating and monitoring the overall exercise and providing feedback on the outcomes of the exercise.

- 4.2 The 2016/17 Data Matching exercise is now coming to an end and the 2018/19 exercise has commenced. Internal Audit identified the data sets for the 2018/19 exercise and have liaised with relevant staff in these data areas to obtain accurate and timely data extractions for secure upload to the Cabinet Office website in October 2018. The data provided includes information extracted from Payroll, Creditor and Pension systems.
- 4.3 Data matches are reported on the NFI website and are primarily investigated by Internal Audit, with some matches related to deceased pensioners being investigated directly by the Pensions Section. Access to data matches on the NFI website is restricted to selected staff within Internal Audit and within the Pensions Section (for pension matches only).
- 4.4 As the overall process is monitored by the Cabinet Office, match investigation results are input onto the NFI website and are categorised appropriately, e.g. Closed - error, Closed – fraud, Closed – already known. If an overpayment due to a fraud or error is established the savings identified are also input on the website. This enables the Cabinet Office to report on the overall results. The Cabinet Office has recently reported that its data matching service has enabled participating organisations to prevent and detect over £300 million fraud and error in the period April 2016 to March 2018. This is a record for the NFI in any reporting period since its creation in 1996.
- 4.5 For the 2016/17 exercise, data was submitted in October 2016 and the results received in January 2017. In addition, the Pension Section undertook an additional Mortality Screening exercise offered by Cabinet office in July 2018. A combined total of 1944 data matches were received across WMP Force and Office of the Police and Crime Commissioner, of which 578 were ‘recommended matches’, i.e. data matched across a number of criteria and were therefore considered strong matches to investigate.
- 4.6 56 of the recommended matches related to deceased persons for whom a pension was still being paid. In most instances these matches appeared due to timing differences between the data being submitted to Cabinet Office and matches being released for investigation and were therefore already known cases with recovery already in progress. For those few not already known, the investigations have currently identified £9,184 of overpayments in pensions relating to deceased pensioners.
- 4.7 The remaining recommended matches relate to payroll and creditors. No frauds have been identified from the investigations completed to date. One duplicate creditor payment of £713 was identified and is being recovered.

5 Professional Standards

- 5.1 The Professional Standards Department undertake investigations into suspected fraud or irregularity. The work of Professional Standards also helps promote an effective anti-fraud culture by raising awareness of misconduct cases, and by publicising sanctions on the Forces intranet. As required within the Anti-Fraud, Bribery and Corruption Policy, the Head of Professional Standards has prepared his update report attached at Appendix 1, outlining a summary of the investigations undertaken and the proactive work of Professional Standards to reduce issues of fraudulent conduct.

6 Conclusion

- 6.1 The Internal Audit Plan includes elements of counter fraud work and work reviewing controls intended to deter and prevent fraud. This work is supplemented by the biennial national fraud initiative exercise.
- 6.2 The Force provides a range of detailed policies and guidance which provide a framework to ensure that employees are aware of what is expected of them. This reduces the risk of inappropriate behaviour/ conduct. However, despite this, isolated incidents of misconduct do occur and the Professional Standards Department has in place robust arrangements to investigate any suspected fraud and irregularity.
- 6.3 In addition to the misconduct investigations undertaken, PSD have embarked on a number of proactive activities during the year, including developing organisational learning, developing a number of training packages that include fraud and honesty related standards and introducing an annual integrity health check.
- 6.3 Members can therefore be assured that prevention and detection of fraud, along with promoting high standards of conduct, are given high priority within the PCC and Forces operations.

7 Recommendations

- 7.1 The Committee is asked to note the contents of this report.

CONTACT OFFICER

Name: Mark Kenyon Title: Chief Finance Officer

BACKGROUND DOCUMENTS

None



west midlands
police and crime
commissioner



INVESTIGATIONS UPDATE

1. INTRODUCTION

- 1.1 This report has been developed by the Professional Standards Department (PSD) for the consideration of the Joint Audit Committee (JAC) and explores complaints (externally/public generated) and conduct matters (internally/West Midlands Police generated) relating to fraud as described within the responsibilities of the Head of Professional Standards, within the Anti-Fraud, Bribery and Corruption Policy.
- 1.2 N.B. the allegation criteria as recorded in PSD which are mandated by national guidance, are not directly analogous to the terms of reference provided by the Office of the Police and Crime Commissioner (OPCC). This has necessitated a manual trawl of the system via key word search which has returned several results which are not relevant to the scope of this report, and have therefore been removed. In previous reports this has meant that it is possible that some cases may also have been missed during the data mining process, but during repeated iterations of this process the chances of missing a case are increasingly slim. Further, PSD have included a specific Internal Audit field designed to capture relevant cases to assist in reporting.
- 1.3 Allegations of fraudulent expenses or over time claims are relatively rare and do not form one of the most common complaint types, which are 'Other Neglect or Failure in Duty', followed by 'Incivility, Impoliteness and Intolerance', and then 'Other Assault'. Conduct matters regarding this are also raised relatively infrequently in comparison to other allegation types.
- 1.4 Please note that the data below refers to all cases that have been recorded in a 12 month period between 1st November 2017 and 31st October 2018. There are two cases which were included in last year's appendix, however, as they were recorded in November 2017, they have been included in the below data.
- 1.5 There have been 55 allegations across 20 reported cases involving 29 identified subjects. Of these subjects, 19 are officers, 10 are staff. One of the officers involved a Chief Inspector, and another involved a Sergeant, with the remaining 17 involved constables. There are two additional allegations which are against officers/staff which are at present unidentified. Whilst these figures are a slight increase on last year, this is equivalent to less than 4% of the total individuals subject to a complaint or conduct matter in the last twelve months, and therefore does not constitute a significant proportion of the officers/staff that have been investigated.
- 1.6 The majority of cases of alleged fraud are internally raised (80%), either through colleagues or managers, and PSD have robust procedures in place for receiving these reports whether overtly or confidentially. External allegations of dishonesty usually refer to the alleged theft of items during property searches.

- 1.7 During the reporting period, there have been 20 cases recorded. Of these, 14 have been finalized (the results of these cases are discussed below). There are currently five live cases, two of which are awaiting misconduct or gross misconduct proceedings, whilst the remaining three are currently awaiting the AA's assessment over whether there will be misconduct proceedings. There is also one case currently sub judice.
- 1.8 Individual details of officers are not provided within this report due to WMP only releasing details of misconduct into the public arena at the point of Misconduct Hearing which the amended police regulations now dictate must be held in public, other than in exceptional circumstances.

2. CASES

- 2.1 The most common examples of allegations include thefts from searches (four allegations), misuse of systems (four allegations), fraudulent overtime claims (three allegations), and criminal allegations of fraud/theft (not from searches of property) (three allegations). However, these remain low in number compared to other allegation types.
- 2.2 Most allegations, following investigation, do not meet the criminal threshold and amount solely to conduct matters. Only one case resulted in a criminal conviction, whilst another is currently sub judice as the criminal investigation proceeds.
- 2.3 Five cases remain live, with another currently sub judice.
- 2.4 The sole conviction resulted in immediate dismissal.
- 2.5 Of the 20 cases recorded in the reporting period, 14 have been finalised. Eight were either Not Upheld or No Case to Answer. Not Upheld findings apply to complaints from members of the public, whilst No Case to Answer findings apply to internal conduct matters, however both mean that there was no misconduct found. This could mean that it was found that the officer/staff member did nothing incorrectly, but more frequently represents a performance issue, which is addressed to correct the behaviour. An example of these is failure to use clocking systems correctly, even if the individual has been on-duty at the appropriate times. Another example includes allegations of staff/officers going on holiday or socialising whilst on sick leave from work. Staff/officers who are working often feel disadvantaged by this, however in many cases of sickness, especially mental health issues, such as depression or stress, these activated can be seen as beneficial, and not an abuse of sickness policies.
- 2.6 While little active evidence can be given as to why such allegations are so infrequent many reasons are anecdotally suggested
 - Firstly, it is surmised that local management is sufficiently intrusive that such matters are infrequent due to checks and balances highlighting irregularities prior to issues becoming a conduct matter.
 - Alternatively our procedures are not robust enough to highlight concerns due to managerial understanding of policy being poor, and the convoluted manner in which over time may be claimed from different departments make this onerous to track.
 - Further, a default position of believing in the honesty of colleagues means that such matters are never brought to light.
- 2.7 PSD noted the above report and have used the methodology described in section 3 to assist managers with dealing with these issues as in most cases there is some degree of failure in terms of management scrutiny.
- 2.8 It is the position of PSD that procedures are now sufficiently robust, certainly at the corporate level, and the lack of uniformity previously noted is decreasing. We have seen improvements in supervision since the advent of training packages, with better reporting. Further supervisors are seeking early advice around challenge in order to prevent issues escalating to the conduct/criminal arena.

3 WORK BY PSD TO REDUCE ISSUES OF FRAUDULENT CONDUCT.

- 3.1 PSD have been undergoing a period of concept testing, where a new internal build and series of processes are being tested for long term viability. This build and process change is designed to streamline our conduct investigations to allow for things to be dealt with at the appropriate ethical level and for PSD to move into a more preventative space.
- 3.2 As part of this process change PSD are in the process of recruiting a police sergeant to support the PSD analyst. There are also plans to recruit a number of Prevention and Intervention 'outreach' workers, who will go into local departments to share common themes and trends. This, where required, could also include training reminders across a range of topics. These roles form the foundation of the Prevention and Intervention (PIT) branch of PSD and allow PSD to operate more proactively to early indications of impending misconduct. Where previously data has proved difficult to glean from Centurion, due in part to such data mining being conducted by staff who are not trained analysts and who have other roles to fulfil, the analyst is now able to extract meaningful information from the system, which in turn is being used by the PSD Senior Leadership Team to drive improvements across the department and the Force.
- 3.3 The PIT are also responsible for developing organisational learning and arranging for its dissemination across the force. While this element of the PIT remains in its early stages due to ongoing recruitment, it is expected to pay great dividends across the force, with staff fraud being part of the package.
- 3.4 PSD have developed a comprehensive series of training packages and inputs for new staff and front line supervisors that discuss several issues. Fraud and honesty related offences are a central theme in the training, and case studies are presented to challenge the ethical alignment of staff and practitioners. There are also a number of '60 Second Standards' videos which are short cartoon briefings which give staff/officers a brief overview across a range of topics, including Business Interests, Vulnerable Associations and drugs and alcohol misuse. These will be easily accessible by staff/officers, and can be disseminated widely through Message of the Day and Newsbeat, as well as being included in training packages.
- 3.5 In addition to the above, PSD have instituted an annual integrity health check, which touches upon changes of circumstances, vulnerability and other issues. This mandatory annual check provides supervisors an opportunity to discuss matters pertaining to clocking in and out, duties and other issues. Where previously this may have been a difficult conversation for some supervisors to initiate, with a mandatory form driven by the centre, this is an easier conversation to have.
- 3.6 Previously, the confidential reporting line allows staff to raise issues anonymously and without fear of reprisal. However, the old system was only designed for one-way dialog (i.e. investigators could not ask questions to the individual reporting). The launch of The Corruption Line now allows this two-way dialog between the individual alleging misconduct and investigators, whilst remaining anonymous.
- 3.7 The force's Whistleblowing policy has now been published, and is available on the Force's policies page. This policy provides a formal framework for the duty that WMP owes its staff who have the courage to come forward and report matters.

4 RECOMMENDATIONS.

That the committee take note of the details of this report.

5 CONCLUSION

It is essential to note that fraudulent overtime and expenses claims remain rare, with 29 officers/staff receiving allegations against them in the reporting period out of the total WMP workforce of approximately 10,940.

West Midlands police procedures for monitoring expenses and over time are sufficiently robust at a corporate level, but local management occasionally fails in scrutiny, though this appears to be improving due to the above stated measures.

PSD REFERRALS

2015/16							
Date Internal Audit informed	Allegations Against	Summary	Case Type	Action Taken	Investigated By	Update / Progress	Conclusion
02/02/2015	Staff	Allegation that Special Inspector, also DEO, has been claiming travel expenses via her special's role for her DEO position.	Conduct	Investigation by PSD	PSD	From meeting with PSD and Special Constables Chief Officer it was agreed that management advice would be given to the officer and Internal Audit have made a recommendation in the Special Constables audit report that the policy needs to be revised upon and the claiming of expenses should be via a WA1 / WA20.	CLOSED Management advice
26/03/2015	Officer	Intelligence Officer - Allegations around the large amounts of overtime paid to Officer	Conduct	Enquiries to be undertaken by DCI 7896 Brennan - Senior Intel Manager	Local	There are 27 instances of overtime with queries totalling £3k. The officer earned approx. £20k more overtime than their colleagues. - Misconduct allegation not upheld. Officer is now gone to an employment tribunal based on him being adversely affected by the investigation. From PSD perspective the case is closed.	CLOSED Not upheld
15/05/2015	Staff	Allegation that staff member has taken cash from the safe totalling over £5k and received overtime they are not entitled to. Also possibility that they are abusing the cycle to work scheme.	Conduct	Investigation by PSD	PSD	Sentenced to 15 months suspended for 12 months. They were also found guilty of misusing FLINTS and were sentenced to 1 month suspended for 12 months. Under POCA they have been instructed to repay the money when they can but there has been no agreed repayment terms agreed. Discussed with PSD Officer Mark Turner and the weaknesses in the system needs to be addressed and advice line managers that they should not sign overtime cards not relevant to their Dept / LPU and that they have no knowledge of. Stated that Internal Audit were undertaking an overtime review and the issues identified during this investigation would be incorporated into the report	CLOSED / Convicted System issues being addressed by Internal Audit as part of overtime audit
14/10/2015	Staff	Off sick while conducting business interest (not approved by WMP)		They are only at assessment stage and have not been investigated/allocated as yet.	PSD	Staff member was running a coffee business from the back of their car whilst they were off sick. Research has been undertaken by PSD. They have been moved to an alternative role on 05/11/15 while the investigation continues. - Failed to disclose business interest. Management advice. The officer has now resigned and when she was informed to declare it as a business interest she stated that the business has been sold. Officer is now going to employment tribunal stating she has been victimised.	CLOSED /Resigned

Date Internal Audit informed	Allegations Against	Summary	Case Type	Action Taken	Investigated By	Update / Progress	Conclusion
14/10/2015	Officers	Officers misusing clocking in/out machine to claim extra overtime		Investigated by PSD	PSD	Failing to clock in and out. PSD undertook and audit gateway and overtime cards. Didn't support allegation. Email issued to appropriate authority to remind officers to clock in and out. Reminder issued to officers to use clocking machine. Officers weren't aware of allegation. Matter investigated, no case to answer. Local management issue.	CLOSED No case to answer
10/11/2015	Officer	Conspiracy to defraud benefits agency	Criminal	Full investigation along with Sandwell MBC	PSD	Officer deliberately misled HMRC, took paternity leave he was not entitled to, claimed childcare vouchers for tax relief, misled line managers in order to take leave and provided a sick note that had been altered. Criminal proceedings on-going - subjudice.	Convicted and dismissed 2017
10/11/2015	Staff	Fraudulent application	Criminal	Currently being investigated by PSD and West Mercia also informed.	PSD	Fraudulent credentials claimed during recruitment. Staff member was suspended and resigned. Conviction on PNC. Was found guilty and fined with a 12month community order and was given 60 hours community service.	CLOSED/ Convicted
28/01/2016	Officer	Allegation that Officer has been receiving sick pay in relation to a shoulder injury which has been subject of surgery. Officer directed medically not to drive however Officer has been observed driving and when challenged lied to supervisor about driving. Alleged that Officer attempted to conceal from his supervision that he had been driving by requesting colleague who witnessed him driving not to tell anyone.	Conduct	Investigation by PSD	PSD	Management action.	Management action
12/02/2016	Officer	Allegation that officer who is on sick leave due to being hit with an object whilst on duty at a football match, is running his private business with a substantial turnover.	Conduct / criminal	PSD have contacted CMPG to review sickness management	CMPG	Explored by CMPG unsubstantiated at this time.	CLOSED

2016/17

Date Internal Audit informed	Allegations Against	Summary	Case Type	Action Taken	Investigated By	Update / Progress	Conclusion
08/04/2016	Officer	It is alleged that while officer is on long term sick they have posted pictures on social media on holiday abroad.	Conduct	Being passed to Investigation Team	PSD	NFA - Oracle records long term sick based on stress. Holiday would help recover with stress.	NFA
12/09/2016	Officer	It is alleged that an officer is not completing their tour of duty	Conduct	Investigation on LPU	Local	NFA - matter investigated and no case to answer.	NFA
12/09/2016	UK	Officer of SW LPT is misusing the clocking system	Conduct	Investigation on LPU	Local	Live - no update available at this time. This is due to data issues.	Live
12/09/2016	Staff	Unauthorised absence	Conduct	Investigation by PSD LMA	LMA	Matter found as case to answer. Hearing held in November 2015 Received management advice	Closed Management Advice following Hearing
12/09/2016	Officer	Unauthorised business interest while on career break	Conduct	Investigation by PSD	PSD	Investigation found that officer was conducting work while on a career break in contravention of policy. Officer declares all revenue through HMRC as self-employed and this was deemed a policy breach for which management action was sufficient and was promptly issued by LPU management.	Management action
12/09/2016	Officer	6 allegations regarding misuse of clocking systems, business interests conducted in the work place, failing to disclose secondary income to inland revenue and failing to complete tours of duty	Conduct	Investigation on LPU	Local	Matter finalised with 3 elements of the case to answer. Failing to complete tours of duty, misusing clocking systems and utilising police equipment for business interest purposes. Officer resigned his warrant, but the matter would have been dealt with as Management Action from the Investigating Officer.	Resignation
20/11/2017	Staff	The Force believe a member of police staff has amended their contract to state they are eligible for a 33.3% shift allowance, which would not normally be included in the contract of a Band B.	Conduct	Investigated within PSD (LMA)	PSD	Matter finalised with no action following investigation	NFA
20/01/2017	Staff	Allegation that a police staff member has fraudulently made articles which purport to come from West Midlands Police in order to further a personal civil claim.	Criminal	Investigated within PSD (LMA)	PSD	NFA - Matter investigated and no misconduct identified.	Finalised - NFA
20/11/2017	Officer	Misuse of a hire vehicle for personal use	Conduct	Local	Local	Meeting held. Misconduct proven, but no further action deemed necessary.	Meeting - NFA

Date Internal Audit informed	Allegations Against	Summary	Case Type	Action Taken	Investigated By	Update / Progress	Conclusion
20/11/2017	Staff	Has pursued an undeclared business interest and committed offences	Criminal	PSD	PSD	Staff member retired/resigned under investigation.	Retired/resigned during proceedings
20/11/2017	Staff	Staff member is taking unauthorised smoking breaks and annual leave without permission	Conduct	Local	Local	Treated as performance matter. No misconduct identified.	NFA - Performance
20/11/2017	Officer	Holding secondary employment without a registered business interest, despite a similar issue previously. Further working in the secondary employment whilst off sick.	Conduct	Local	Local	Management Action delivered	Finalised
20/11/2017	Officer	Officer has taken annual leave, without any authorisation, but dishonestly claiming that such authorisation had been given	Conduct	PSD	PSD	Officer retired/resigned under investigation.	Retired/resigned during proceedings
20/11/2017	Officer	Externally focused fraud. It is alleged that an officer and family have acted together to defraud an insurance company regarding the circumstances of a burglary that is alleged to have taken place.	Criminal	PSD	PSD	No case to answer for criminality or conduct	NFA
20/11/2017	Officer	Externally focused fraud. An officer is alleged to have defrauded a vulnerable female of a significant sum.	Criminal	PSD	PSD	NFA - Matter investigated and no misconduct identified. Performance advice was given.	NFA - Performance

2017/18

Date Internal Audit informed	Allegations Against	Summary	Case Type	Action Taken	Investigated By	Update / Progress	Conclusion
27/11/2018	Officer	Allegation that an officer has claimed overtime on a Rest Day for hours he has not in fact worked.	Conduct	PSD	PSD	Officer received Final Written Warning at a misconduct meeting.	Awaiting Finalisation
27/11/2018	Officer	Allegation an officer has failed to report for duty on 13 separate occasions and not had the leave authorised	Conduct	PSD	PSD	Management action to be delivered to officer via learning.	Management action
27/11/2018	Officer	Allegation that an officer has failed to accurately record expenses and has claimed expenses for the purchase of alcohol from the public purse	Conduct	PSD	PSD	Management action given around duties and responsibilities in relation to claiming expenses. His supervisor will monitor and undertake general housekeeping around these issues.	Management action
27/11/2018	Staff	Allegation that a member of police staff has undertaken a business interest whilst off sick and without authorisation.	Conduct	PSD	PSD	Staff member retired/resigned during misconduct proceedings	Retired/Resigned during Proceedings
27/11/2018	Officer	Allegation that an officer has enrolled on to a fulltime course at university without authority to do so and is attending whilst sick.	Conduct	PSD	PSD	After investigation, there was no misconduct identified as the university course was not attended.	No Further Action
27/11/2018	Officer	Allegation that officer was arrested whilst on duty for the criminal offence of theft.	Criminal	PSD	PSD	Officer found guilty of theft at court, and was given a caution. Special Case Hearing held, and officer was dismissed.	Dismissed
27/11/2018	Officer	Allegation that an officer used a police vehicle at public expense to drive from Harborne Police Station to a licensed premises for a non-police purpose.	Conduct	PSD	PSD	Gross misconduct hearing to be arranged.	Awaiting Hearing
27/11/2018	Officer	Allegation that an officer has submitted claims for overtime at the incorrect rate.	Conduct	PSD	PSD	Management action to be delivered to officer via learning.	Management action
27/11/2018	Officer	Allegation that an officer has accessed police systems without authorisation in relation to a stolen motorbike belonging to a family member.	Conduct	PSD	PSD	Currently with AA to decide course of action.	Ongoing
27/11/2018	Officer	Allegation officer has misused police systems namely by accessing logs for a non policing purpose.	Conduct	PSD	PSD	Management action to be delivered to officer via learning.	Management action

Date Internal Audit informed	Allegations Against	Summary	Case Type	Action Taken	Investigated By	Update / Progress	Conclusion
27/11/2018	Staff	Allegation that a member of police staff is a suspect in an off-duty criminal allegation of fraud.	Criminal	PSD	PSD	Officer has been suspended pending criminal investigation.	Ongoing
27/11/2018	Staff	Allegation that a member of Police staff has taken a period of unauthorised leave, against supervisors instructions, by booking off sick and then going on holiday	Conduct	PSD	PSD	Dealt with locally by performance. No misconduct identified.	NFA - Performance
27/11/2018	Staff x6	Allegation that a team of police staff have not worked allocated shifts and claimed overtime at a rate they were not entitled to.	Conduct	PSD	PSD	Investigation highlighted organisational failings, but no individual misconduct.	Finalised - NFA
27/11/2018	PCSO	Allegation that PCSO has used her position in the police service to gain access to information and a property for a non-policing purpose.	Conduct	PSD	PSD	Management action to be delivered to officer via learning.	Management action
27/11/2018	Officer	Allegation an officer has been taking items from the police station tuck shop and failing to pay for them.	Conduct	Local	PSD	No evidence found, but reminder given to officer by management.	No Further Action
27/11/2018	Officer	Allegation that officer failed to work full tour of duty, failed to book leave, and claimed overtime for hours not worked.	Conduct	PSD	PSD	Management action to be delivered to officer via learning.	Management action
27/11/2018	Officer	Allegation the complainant's home was ransacked by police and had property stolen from him.	Conduct	PSD	PSD	Complainant has withdrawn complaint.	Withdrawn
27/11/2018	Officer	Historic allegation that 12 years ago an officer stole tens of thousands of pounds from the complainant	Conduct	PSD	PSD	No evidence found, and complaint is made over 12 months after the incident, with no valid reason given.	Disapplied
27/11/2018	Officer	Allegation an officer has entered the complainant's room and stolen an item.	Conduct	PSD	PSD	No evidence that officers removed property from the house.	No Further Action
27/11/2018	Officer	Allegation that officers have stolen money during a house search.	Conduct	PSD	PSD	No evidence that money was stolen from the property.	No Further Action