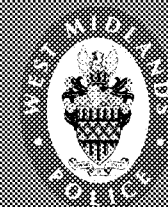


West Midlands Police

**Lynx Auditor
Operator and Originator
Guidance**

Serving our communities, protecting them from harm





Aim

To Provide the Operator/User the knowledge
on how to complete a PNC Transaction
audit

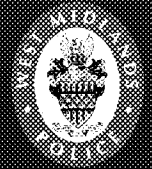
Lynx Auditor

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protecting them from harm



Objectives

1. Identify what Lynx Auditor is
2. Identify what Lynx Auditor means to me
3. Outline how it will work
4. Define what Roles are involved in the process.



Introduction

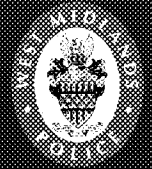
Lynx Auditor was piloted in Force on J1 and K2 in 2009 to establish if it could be effective as a working audit tool as a means of monitoring transaction enquiries.

It has been found that a system which runs 24/7 is a more efficient and cost effective means of monitoring this area of business.

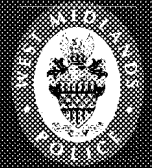
In view of these results, the system will now be rolled out force wide.

What is Lynx Auditor?

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protecting them from harm



- Lynx Auditor is an IT audit tool currently attached to PNC.
- It assists forces in meeting national requirements for the use of PNC, of which Her Majesty's Inspectorate of Constabularies (HMIC) is the compliance body.
- The auditor randomly instigates audits across all PNC transactions.
- PNC Hendon allow forces to access PNC on the proviso that they protect the integrity of the data and demonstrate processes that ensure the accuracy of data.
- PNC Hendon mandate forces to audit transactions, this is audited by HMIC yearly. Failure to comply could ultimately result in the withdrawal of PNC.
- WMP currently undertakes 700,000 PNC enquires a month.



What does Lynx Auditor mean to me?

- It is important to recognise that once a PNC transaction has been entered, no action you take will prevent the transaction being subject to a possible audit. Even if the transaction is aborted or deferred.
- Every PNC transaction will be automatically assessed by the auditor tool. It will ensure that the user (operator) and the originator (requester) are known to the system.
- Every PNC transaction made must have a completed originator line.
- It is **important** to always enter the collar number **first** on the originator line followed by a space as in red below.

```
TCODE #NE ORIG 5729 Oata quality review 20/CV..... REASON 6.
DATA Ripper/J PTR N
```

The majority of aborted audit transactions are caused due to operators failing to insert a space after the collar number using the space bar before completing the reason for the check

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Sample of an inaccurate originator input

Lynx Auditor



- My Tasks
- Audit
- Follow-Up
- Quality Check
- Configuration
- Search
- Reports
- Change Password
- Log Out

Civica :: My Tasks : Audits: View Audit

Welcome Ian, Logged on System: PNC

— Audit: 40661 —

General Notes References Advanced

Print audit

Close audit

Audit Details

Audit ID:	40661	System User ID:	2008914F
Created:	17/10/2011 19:59:26	Originator:	Not known
Last Updated:	21/10/2011 10:45:00	Operator:	[4]
Active Task:	Quality Check		

Transaction Details

Transaction: #NE
 Originator Line: 8719.....OLD OSCOTT HILL SUS
 Data Line: PLUMMER/NATHAN:27051996
 Reason: 5

An inaccurate originator line

Status

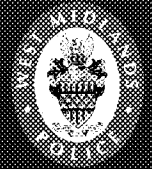
Task	Updated	Status	Owner
AUDIT	17/10/2011 19:59:26	ABORTED	[4]
FOLLOW-UP	21/10/2011 10:45:00	SUBMITTED_WORDSOFADVICE	[11]

Examples of accurate originator lines:
8719 Old Oscott Hill SUS
8719 baker street log reg 234 06/05/11
8719 DNA quality check BS

Version: 3.4.0.0

How will it work?

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- The system is web based, it will notify the user/originator on screen at the time that the transaction is subject to audit.
- If the originator is not the operator an e-mail with a hyperlink to the audit will be sent to the requester for completion.
- The audit questions asked are self explanatory. See next slide for explanation.

Completing a real time audit

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CIVICA PNC Browser - VWD60043 (pncsrn) - Microsoft Internet Explorer

Authority Auditor

The system has determined that an audit is required for this transaction.
 Your response is submitted. Please complete the audit details below or defer until later. If you choose to defer,

1. Select reason from drop down menu

Reason: [STOP CHECK]

2. Select where applicable

Did you request this enquiry or have any dealings with the person/vehicle?

Are you or the person who requested this transaction currently on duty?

In your own words what was the reason for this enquiry / your dealings with the person /vehicle? Please list below:

Known offender stop checked in the street as acting in a suspicious manner outside No 10 New Street West Bromwich

3. Complete full details and reason for your enquiry

References >

4. Select to add additional references e.g. Crime, custody numbers etc.. See next slide for further details

5. Once complete click send, or enter on your keyboard

CIVICA

CLEAR [CLEAR] [?] [SEND]

This is the screen that appears when a random audit has been selected and you will need to complete this screen as the system will not allow you to continue with the transaction



Completing a real time audit - adding audit references

The screenshot shows a web browser window titled "Auditor" with the following content:

1. Add full Ref Number (Callout 1 points to the Reference Number input field containing "123456")

2. Select Ref Type from drop down menu (Callout 2 points to the Reference Type dropdown menu showing "CBC")

3. Click Add to complete. Repeat process for additional ref numbers (Callout 3 points to the "Add" button)

4. To return to previous screen press back (Callout 4 points to the "< Back" button)

5. Once complete click send, or enter on your keyboard (Callout 5 points to the "SEND" button in the bottom navigation bar)

The interface also includes a "Delete" button and a "To delete a reference, select it in the list above and click Delete" instruction.

This screen is completed if you have a valid reference number for your transaction, once this is completed submit the audit

Completing a deferred audit via The email link

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This email has been automatically generated by Lynx Auditor and serves as a notification for new audit task assigned to you as detailed below.

Task	Audit
Audit ID	421
Status	Deferred
Created	11/03/2009 10:10.18
Deadline	

**1. Click on the hyperlink to
access the Auditor application**

Please click [here](#) to complete this audit task in Lynx Auditor web application

Alternatively, you can log to the web application and open from your Audit Task page.

For guidance on completing an audit please click [here](#).

Note: You can also access Lynx Auditor directly via the following: <http://pncsrq/lynxauditor/>
See following



Completing a deferred audit – from Lynx Auditor Login

Address: <http://srg0002/LynxAuditor/index.aspx?login=1>

Lynx Auditor

CIVICA

Civica :: Login

Login

User Credentials

Unique User ID: 51405

Password:

Login

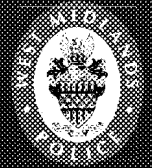
Version: 0.4.0.0

Note: Passwords are case sensitive, always check Caps Lock.

Local intranet

1. Enter your **collar number** and password, note this is not your PNC user ID.

Note: Passwords can be obtained from the following web address: http://prd/pnc_lynx/password.asp?m=3



Completing a deferred audit – The audit screen view

Lynx Auditor



- My Tasks
- Audit
- Change Password
- Log Out

Civica :: My Tasks : Audits: View Audit

Welcome Charlotte, Logged on System: PNC

— Audit: 34867 —

1. Click on the notes tab to complete the audit

General Notes ← References

Audit Details

Audit ID:	34867	System User ID:	20057294
Created:	27/04/2011 11:00:55	Originator:	Charlotte Capener (57294)
Last Updated:	27/04/2011 11:00:55	Operator:	Charlotte Capener (57294)
Active Task:	Audit		

Transaction Details

Transaction: #NE
Originator Line: 57294 DATA QUALITY CLEANSING FOR BAD DOB
Data Line: RIPPER/J...
Reason: 6

Status

Task	Updated	Status	Owner
AUDIT	27/04/2011 11:00:55	DEFERRED	Charlotte Capener (57294)

Version: 3.4.0.0

Note: If you access Lynx Auditor via the e-mail link you will automatically be directed to the above audit screen. If you are accessing Lynx Auditor directly the view will be different, see next slide for details.



Completing a deferred audit – My Tasks View

Lynx Auditor CIVICA

Civica :: My Tasks Welcome Charlotte, Logged on System: PNC

My Tasks
Audit
Change Password
Log Out

Audits

Options: Refresh the tasks list

Filters: Status:

Audit ID	Last Updated	Audit Status
34867	27/04/2011 11:00:55	DEFERRED
34866	27/04/2011 10:42:54	SUBMITTED
34865	27/04/2011 10:38:26	SUBMITTED
34514	13/04/2011 10:32:01	DEFERRED

1. Select your outstanding audit line and click open

Note: When accessing Lynx Auditor directly you will need to select My Tasks to the left of the screen, in order to view the above. Once open you will then see the main audit screen.



Completing a deferred audit – Notes tab

1. Click on the notes tab

[My Tasks](#)
[Audit](#)
[Change Password](#)
[Log Out](#)

Civica :: My Tasks : Audits: View Audit

Welcome Charlotte, Logged on System: PNC

— Audit: 34867 —

General
Notes
References

[Print audit](#)

[Close audit](#)

Audit Details

Audit ID:	34867	System User ID:	20057294
Created:	27/04/2011 11:00:55	Originator:	Charlotte Capener (57294)
Last Updated:	27/04/2011 11:00:55	Operator:	Charlotte Capener (57294)
Active Task:	Audit		

Transaction Details

Transaction:	#NE
Originator Line:	57294 DATA QUALITY CLEANSING FOR BAD DOB
Data Line:	RIPPER/J:::
Reason:	6

Status

Task	Updated	Status	Owner
AUDIT	27/04/2011 11:00:55	DEFERRED	Charlotte Capener (57294)

Version: 3.4.0.0

This is the screen shot after you have selected an audit, click the notes tab to start completing the audit



Completing a deferred audit – Complete task

Lynx Auditor



My Tasks

Audit

Change Password

Log Out

Civica :: My Tasks : Audits: View Audit

Welcome Charlotte, Logged on System: PNC

Audit: 34867

General Notes References

Print audit

Close audit

Action Reason: Not Set

Notes

Owner	Added	Status Before	Status After
Charlotte Capener (57294)	27-04-2011 11:00:55	INITIATED	DEFERRED
<div style="border: 1px solid black; padding: 2px; display: inline-block;">Complete Task</div> <div style="border: 1px solid black; padding: 2px; display: inline-block; margin-left: 10px;">1. Select Complete Task</div>			

Audit Auto Note : 27-04-2011 11:00:55

[Charlotte Capener \(57294\)](#)

The user has deferred the audit.

To view the questions to be answered for the audit click complete tasks



Completing a deferred audit – Audit reason

Lynx Auditor



- My Tasks
- Audit
- Change Password
- Log Out

Civica :: My Tasks : Audits: View Audit

Welcome Charlotte, Logged on System: PNC

— Audit: 34867

General Notes References

Print audit

Close audit

Audit

Please specify your reason for performing the transaction being audited, providing supporting text in the fields provided

Action Reason:

1. Select activity reason from the drop down list

Did you request this enquiry or have any dealings with the person/vehicle?

2. Answer both questions

Were you on duty at the recorded time of the pnc transaction?

In your own words what was the reason for this enquiry / your dealings with the person /vehicle? Please list below:

Known offender stop checked in the street as acting suspiciously outside No 10 New Street, West Bromwich

3. Complete full details and reason for your enquiry

4. Once complete click submit

Submit Cancel

Note: It is important to key any reference numbers that relate to the transaction reason
See next slide



Completing a deferred audit- Reference details

Lynx Auditor



My Tasks

Change Password

Log Out

Civica :: My Tasks : Audits: View Audit

Welcome Charlotte, Logged on System: PNC

Audit: 34867

General Notes **References**

1. Click on the references tab

Close audit

References

Added	Owner	Stage	Ref Number	Ref Type
New				

2. Press New

New

New Reference

To add a new reference to this audit, complete the fields below and click Add.

Reference Number: 1957 26/04/2011

Reference Type: C&C

Add

Cancel

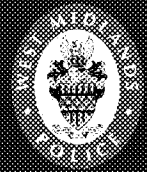
3. Complete the reference number / type

4. Click to Add. Repeat this process for additional references

Once all references are added, return to the notes tab and click complete task

Process so far...

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So far we have gone through the process of completing an audit and the various areas that needs to be completed.

The following section looks at the roles & responsibilities within the process.

Roles and responsibilities

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All users effectively can request or process PNC transactions.

A user can process transactions on behalf of others or for themselves.

User = PNC Operator Originator = Requester of enquiry

Users will follow standard procedures of ensuring they are fully aware of the identity of the requester and be satisfied that the transaction is for a policing purpose.



Roles and Responsibilities C'td..

Audits submitted by users will be validated by their supervisors (i.e. Sergeant / Supervisor).

To ensure the validity of user and supervisor audits a sample of these will be submitted to the super supervisor (i.e. Inspector / Line Manager).

Checks will be made to verify the references/tour of duty/VRM etc.. used in the audit are valid.

Every user of PNC, which includes persons requiring a check, must be registered on Lynx Auditor.



Roles and Responsibilities C'td...

- Once an audit is complete, an e-mail is sent to the staff member's supervisor who completes their section of the audit.
- Your supervisor will automatically be notified if an audit is not completed.
- Lynx Auditor works on hierarchy basis for transparency, so a proportion of further checks are carried out to a higher level. This is actioned by a super supervisor who is usually determined by the LPU.



Roles and Responsibilities C'td...

- The operator receives real time audits. i.e. the audit occurs at the time of transaction.
- The Supervisor is notified of all audits completed by members of their staff.
- Requester/Originator receives email notification of an audit, when not able to complete the transaction themselves.



Civica Lynx Auditor

We have now looked at the Roles /
Responsibilities with the Lynx Audit Process

The following slides include Lynx Auditor
guidance on how to return a Disputed / Rejected
Audit.

Disputed / Rejected audit screen

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Lynx Auditor



- My Tasks**
- Change Password**
- Log Out**

Civica :: My Tasks :: Audits :: View Audit

Welcome Jeremy, Logged on System: PNC

Audit: 35076

- General**
- Notes**
- References**

Audit Details

Audit ID:	35076	System User ID:	2057325V
Created:	17/05/2011 10:01:48	Originator:	Jeremy Edwards (57325)
Last Updated:	18/05/2011 10:17:08	Operator:	Jeremy Edwards (57325)
Active Task:	Audit		

Transaction Details

Transaction:	#NE
Originator Line:	57325 AQUA HOUSE DATA QUALITY VISOR SUBJECTS
Data Line:	OAKES/ROBERT:19021994::
Reason:	

Status

Task	Updated	Status	Owner
AUDIT	18/05/2011 10:17:08	DISPUTED	Jeremy Edwards (57325)

**1. Click on the notes tab this will indicate why it has been Disputed/Rejected
You will be able to complete the transaction from here**

Note: To add references select the References tab and follow the instructions shown previously ('Completing a deferred audit-Reference details')

Disputed / Rejected audit Completion of notes

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Lynx Auditor



My Tasks

Change Password

Log Out

Civica :: My Tasks : Audits: View Audit

Welcome Jeremy, Logged on System: PNC

Audit: 35076

Print audit

Close audit

General Notes References

Action Reason: ADMINISTRATION

Notes

Owner	Added	Status Before	Status After	
Christopher Edwards (51405)	18/05/2011 10:17:08	SUBMITTED	DISPUTED	
Jeremy Edwards (57325)	17/05/2011 10:01:49			
Jeremy Edwards (57325)	17/05/2011 10:01:49	INITIATED	SUBMITTED	

1. Click on
complete task

Complete Task

Follow-Up Note: 18/05/2011 10:17:08

Christopher Edwards (51405)

Please specify the reason for rejection.

You have failed to tick the boxes

The box above indicates the reason for the return of the audit and what actions are required of you. Click on complete task and complete audit



Disputed / Rejected audit

Completion of notes continued

Lynx Auditor



My Tasks

Change Password

Log Out

Civica :: My Tasks : Audits: View Audit

Welcome Jeremy, Logged on System: PNC

Audit: 35876

General Notes References

Print audit

Close audit

Follow Up Note : 18/05/2011 10:17:08

Christopher Edwards (51405)

Please specify the reason for rejection.

You have failed to tick the boxes

Audit

Please specify your reason for performing the transaction being audited, providing supporting text in the fields provided.

Action Reason: ADMINISTRATION

Did you request this enquiry or have any dealings with the person/vehicle?

Were you on duty at the recorded time of the pnc transaction?

In your own words what was the reason for this enquiry / your dealings with the person /vehicle? Please list below :

I HAVE COMPLETED YOUR REQUEST AS SHOWN ABOVE BY TICKING THE TWO REQUIRED BOXES.]

Submit

Cancel

1. Complete the additional details field

2. Click submit and close audit using the red button

Complete the task as specified in the 'reason for rejection' box

Finding an existing user / external user

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Civica PNC Browser - YWD60043 (printing) - Microsoft Internet Explorer

AUTHORITY Auditor

The system has failed to find the originator user record.
Please provide the details of the originator (requesting user) using the form below.

1. Select Find an existing user, or Enter a new user.

Originator Details

Find an existing user Enter a new user
 External user - Check this box if the Originator user is from an external organisation.

Existing User
Please locate the correct user record by entering the user's Unique ID or email address in the corresponding field below and clicking 'Find'.

Unique ID: 51405

Email:

Find

2. For existing users enter the **collar number** and select find to check. Then confirm if correct.

CIVICA

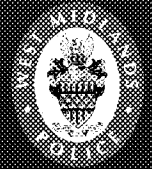
Civica PNC Browser - YWD60043

Local intranet

Note: This screen appears when a collar number cannot be verified on the originator line of PNC. It is important to always enter the **collar number** first on the originator line. Always check to see if a user exists before creating a new one.

Finding an existing external user

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Authority Auditor

The system has failed to find the originator user record.
Please

1. Select Find an existing external user.

Originator Details

Find an existing user Enter a new user

External user - Check this box if the Originator user is from a

Existing User
Please locate the correct user record by entering the user's email address in the field below and clicking 'Find'.

Email

Find

2. Ensure external user box is ticked.

3. Enter the existing users e-mail address and click Find

civica

Civica PNC Browser - VWD60036 Search Results: auditor - Microsoft Internet Explorer Local intranet

CLEAR SEND

There will not often be external users requesting searches so this will rarely be needed

Creating a user

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Civica PNC Browser - YW0600/5 (pncsig) - Microsoft Internet Explorer

AUTHORITY Auditor

The system has failed to find the originator user record.
Please provide the details of the originator (requesting user) using the form below.

1. Select Enter a new user

Originator Details

Find an existing user Enter a new user

External user - Check this box if the Originator user is from an external organisation.

New User
Please enter the details of the originator below.
Note: You should only enter a new user if you cannot locate the correct user record.

System User ID	2051405b
Unique ID	51405
First Name	christopher
Last Name	edwards
Work Email	chris.edwards@west-mid
Work Telephone	7630 6558

2. Complete all the required fields. Full details can be obtained from blue pages

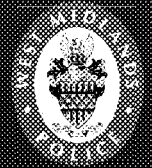
CIVICA

SEARCH CLEAR

To create a user you will need to have blue pages open to obtain the above details, the systems user ID is their PNC ID. If they are not a PNC operator this box will be left empty

Creating an external user

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AUTHORITY
Auditor

The system has failed to find the originator user record.
Please provide the details of the originator (requesting user) using the form below.

1. To find an existing external user select as shown.

Originator Details

Find an existing user
 Enter a new user

External user - Check this box if the Originator user is from an external organisation.

New User

Please enter the details of the originator below.
Note: You should only enter a new user if you cannot locate the correct user record.

System User ID	<input type="text"/>
First Name	<input type="text"/>
Last Name	<input type="text"/>
Work Email	<input type="text"/>
Work Telephone	<input type="text"/>

External Details

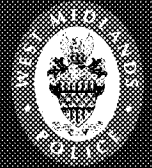
External ID	<input type="text"/>
Organisation	<input type="text" value="External1"/>

2. Complete all the required fields.

Note: In normal circumstances the creation of external users should only be carried out by the PNC Bureau.

FAQ,s

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- **Question 1.** - **Why have I been asked to find or enter a user?**

Answer - Either you have not entered the originator collar number first on the originator line of PNC, or the originator is not recognised. Both the user/originator need to be registered on Lynx Auditor.
- **Question 2.** - **Why have I been told that the audit has been automatically deferred?**

Answer - The system has identified that you are not the originator of the transaction and has sent the originator an email requesting that they complete it. No further action is required from you.
- **Question 3.** - **How do I complete an audit for my transaction at the time of the transaction?**

Answer - The PNC SRG application will provide an audit page if an audit is required and the system has identified that you are the user and originator of the transaction.

Continued

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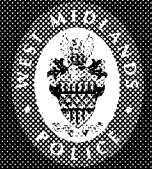


- **Question 4.** - **How do I submit additional information when my audit has been rejected by my supervisor?**

Answer - You will be notified by e-mail if your supervisor has rejected your audit. Your supervisor will provide further information as part of the rejection with the additional information required.

- **Question 5.** - **How do I get my personal details updated in Lynx Auditor?**

Answer Your nominated Supervisor with additional levels of access will be able to update this information. If you are unsure who this is, contact details are given at the end.

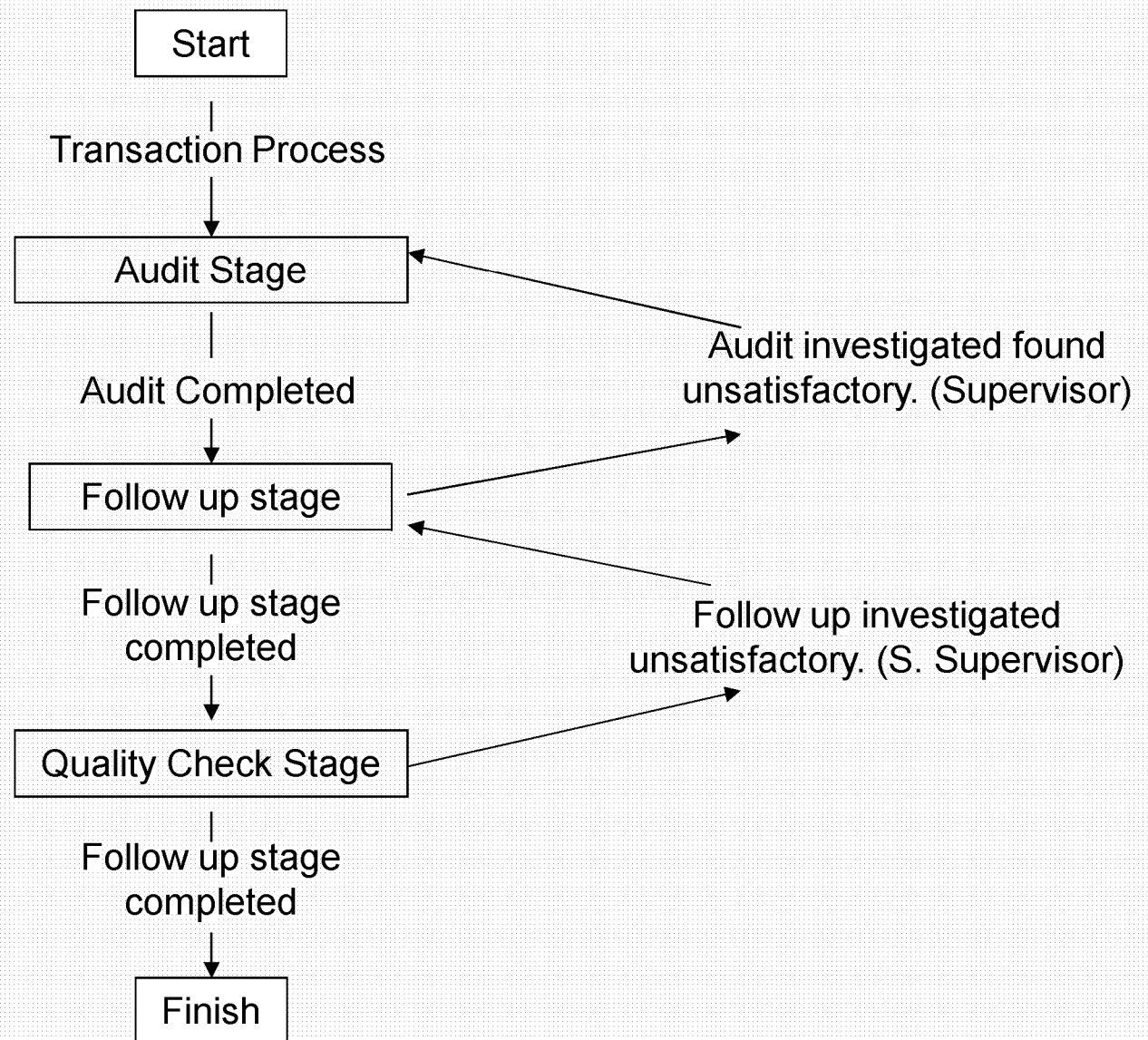


Flow Chart of audit process

Note

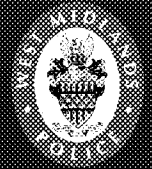
'Users/Originators your transactions are randomly selected and are subject to the following process.

Once you have completed and submitted your transaction it is sent by email to your supervisor to verify, he/she may cross reference/check any of the details you may have entered in the transaction if it fails at this point it will be returned to you with guidance of what you need to do. Once completed re-submit the transaction'



Contact Us

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- For any further information regarding Lynx Auditor, including password re-sets or training queries contact:
 - Chris Edwards - 51405 PNC Auditor
 - Ian Robinson - 50211 PNC Auditor
 - E-mail:
 - E-mail:
 - Ext 7630 6558