PEEL: Police legitimacy 2016

An inspection of Warwickshire Police

Contents

Introduction

As part of our annual inspections of police effectiveness, efficiency, legitimacy and leadership (PEEL), Her Majesty's Inspectorate of Constabulary (HMIC) assesses the legitimacy of police forces across England and Wales.

Police legitimacy – a concept that is well established in the UK as 'policing by consent' – is crucial in a democratic society. The police have powers to act in ways that would be considered illegal by any other member of the public (for example, by using force or depriving people of their liberty). It is therefore vital that they use these powers fairly, and that they treat people with respect in the course of their duties.

Police legitimacy is also required for the police to be effective and efficient: as well as motivating the public to co-operate with the police and respect the law, it encourages them to become more socially responsible. The more the public supports the police by providing information or becoming more involved in policing activities (such as via Neighbourhood Watch or other voluntary activity), the greater the reduction in demand on police forces.

To achieve this support – or 'consent' – the public needs to believe that the police will treat them with respect and make fair decisions (while taking the time to explain those decisions), as well as being friendly and approachable.[1] This is often referred to as 'procedural justice'. Police actions that are perceived to be unfair or disrespectful can have extremely negative results for police legitimacy in the eyes of the public.

Police officers and staff are more likely to treat the public with fairness and respect if they feel that they themselves are being treated fairly and respectfully, particularly by their own police force. It is therefore important that the decisions made by their force about the things that affect them are perceived to be fair.[2] This principle is described as 'organisational justice', and HMIC considers that, alongside the principle of procedural justice, it makes up a vital aspect of any assessment of police legitimacy.

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[1] *It's a fair cop? Police legitimacy, public cooperation, and crime reduction*, National Policing Improvement Agency, September 2011. Available at:
http://whatworks.college.police.uk/Research/Documents/Fair_cop_Full_Report.pdf

[2] *Fair cop 2: Organisational justice, behaviour and ethical policing*, College of Policing, 2015. Available at:
http://whatworks.college.police.uk/Research/Documents/150317_Fair_cop%202_FINAL_REPORT.pdf

One of the most important areas in which internal organisational justice and external procedural justice principles come together is the way in which police forces tackle corruption. How this is done needs to be seen to be fair and legitimate in the eyes of both the police workforce and the general public.

HMIC's legitimacy inspection assessed all of these areas during 2016. More information on how we inspect and grade forces as part of this wide-ranging inspection is available on the HMIC website (www.justiceinspectorates.gov.uk/hmic/peel-assessments/how-we-inspect/). This report sets out our findings for Warwickshire Police.

Reports on Warwickshire Police's efficiency and leadership inspections are available on the HMIC website (www.justiceinspectorates.gov.uk/hmic/peel-assessments/peel-2016/warwickshire/). Our reports on police effectiveness will be published in early 2017.

Force in numbers

Workforce

Total workforce as of 31 March 2016

1,509

Total workforce breakdown as of 31 March 2016

officers	staff	PCSOs
836	**586**	**87**

Ethnic diversity

Percentage of BAME in workforce 31 March 2016

overall workforce

4.7%

officers	staff	PCSOs
4.7%	**4.1%**	**8.0%**

Percentage of BAME in local population, 2011 Census

7.3%

Gender diversity

Percentage of females in overall workforce 31 March 2016

Warwickshire Police	England and Wales population, 2011 Census
42%	**51%**

Percentage of females by role 31 March 2016

Warwickshire Police

officers	staff	PCSOs
30%	**56%**	**60%**

Public complaints

Number of public complaints per 1,000 workforce 12 months to 31 March 2016

	Warwickshire Police	England and Wales force average
Officers	267	268
Staff (including PCSOs)	48	61

Grievances

Number of grievances per 1,000 workforce raised and finalised 12 months to 31 March 2016

	Warwickshire Police	England and Wales force average
Officers	0.0	4.8
Staff (including PCSOs)	1.5	6.8

Victim satisfaction

Victim satisfaction with their overall treatment by the police 12 months to 31 March 2016

	Warwickshire Police	England and Wales force average
	92.6%	93.4%

For further information about the data in this graphic please see annex A

Overview – How legitimate is the force at keeping people safe and reducing crime?

Overall judgment[3]

● ● ● ○   **Good**

Warwickshire Police is good in respect of the legitimacy with which it keeps people safe and reduces crime.

Treating people with fairness and respect is widely understood across the organisation. The force has improved the way it uses stop and search. It regularly clarifies and reinforces acceptable standards of behaviour. It works well with the public and the workforce in managing the outcomes of misconduct and corruption cases. The workforce recognises the force's clear commitment to health and wellbeing.

The overall judgment of good is an improvement from HMIC's inspection of 2015, which found the force to require improvement.

Overall summary

The force has entered into a strategic alliance with West Mercia Police (the alliance), within which all posts below deputy chief constable are shared. Both forces share a single vision and set of values, and work to a harmonised set of policies. As a result, it would be expected that practice and procedures would be the same, or at least similar, in both forces. Indeed, in this inspection HMIC found that to be the case. Therefore, apart from specific localised examples, all references to the force can be read as applying equally to the alliance.

The force is good at treating all of the people it serves with fairness and respect. The force's vision and values, clearly linked to the Code of Ethics, are widely understood across the organisation. The force actively seeks to identify and work with those who may have less trust and confidence in the police.

The force is good at ensuring its workforce behaves ethically and lawfully. It regularly clarifies and reinforces acceptable standards of behaviour and makes it clear when standards fall short of expectations.

The force has not yet installed software that automatically monitors access to sensitive databases to ensure that officers and staff are not misusing computer

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[3] HMIC judgments are: outstanding, good, requires improvement and inadequate.

records. This delay is due to a major upgrade of the force's operating systems and it is actively seeking a solution. The force offers and promotes a range of options for staff to report wrongdoing. The force works well with the public and the workforce regarding the outcomes of misconduct and corruption cases.

The force is good at treating its workforce with fairness and respect. We found a clear commitment to health and wellbeing that is recognised by the workforce. The force has made significant progress in reducing absence levels and time off accrued.

Recommendations

HMIC has not identified any causes of concern and has therefore made no specific recommendations.

Areas for improvement

- The force should ensure that it has the capability and capacity to monitor all its computer systems to identify risks to the force's integrity.

- Annually, the force should produce a local counter-corruption strategic assessment and control strategy, to identify risks to the force's integrity.

- The force should improve how it manages individual performance.

To what extent does the force treat all of the people it serves with fairness and respect?

College of Policing research suggests that, in the eyes of the public, police legitimacy stems primarily from the concept of 'procedural justice': the expectation that officers will treat the public respectfully and make fair decisions (explaining them openly and clearly), while being consistently friendly and approachable.[4]

While HMIC recognises that police legitimacy stems from much broader experiences of the police than direct contact alone, our 2016 inspection focused specifically on public perceptions of fair treatment. Our inspection aims to assess how far the force can demonstrate the importance it places on maintaining procedural justice; and the extent to which it is seeking feedback to enable it to prioritise and act on those areas that have the greatest negative impact on public perceptions of fair and respectful treatment
(e.g. stop and search, surveillance powers or use of force). This should include how the force is approaching those groups that have the least trust and confidence in the police.

To what extent does the force understand the importance of treating the people it serves with fairness and respect?

It is important for the police to understand that it is procedural justice – making fair decisions and treating people with respect – that drives police legitimacy in the eyes of the public, over and above police effectiveness at preventing and detecting crime.[5] HMIC assessed the extent to which the importance of procedural justice was reflected in the force's vision and values, and the workforce understood the extent to which it was it.

Organisational values

As part of the alliance with West Mercia Police, both forces share a single vision and set of values that emphasise the importance of treating people with fairness and respect. The force has promoted these through a series of workshops for all staff entitled "Leading change, living the values". HMIC found that these values were understood across the organisation, and this was reflected in the recent alliance all-staff survey. The vision and values are explicitly linked to the Code of Ethics at the

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[4] *It's a fair cop? Police legitimacy, public cooperation, and crime reduction*, National Policing Improvement Agency, September 2011. Available at:
http://whatworks.college.police.uk/Research/Documents/Fair_cop_Full_Report.pdf

[5] *Ibid.*

workshops. They also appear on internal posters and policies and externally in publications and on the website. The force started a new programme of 'Shaping the Future' workshops in June 2016, which will reinforce this vision and these values.

How well does the force seek feedback and identify those issues and areas that have the greatest impact on people's perceptions of fair and respectful treatment?

HMIC's 2015 legitimacy inspection found a positive picture of how forces were engaging with communities. This year HMIC's assessment focused specifically on the extent to which forces are working to identify and understand the issues that have the greatest impact on people's perceptions of fair and respectful treatment, including how well they seek feedback and challenge from the people they serve.

The most recent Independent Police Complaints Commission (IPCC) data from forces show that, for April, May and June 2016, the types of complaint most frequently recorded by Warwickshire Police are 'other neglect or failure in duty'.[6] It is important to note, however, an issue identified during our 2014 inspection on police integrity and corruption; [7] complaint allegation categories used by different forces may overlap with each other. For instance, similar allegations might be recorded by one force as 'other neglect or failure in duty', and by another force as 'other irregularity in procedure' or 'lack of fairness and impartiality'. This means there is no definitive way of establishing accurately the number of public complaints about certain behaviours.

Seeking feedback and challenge

The force has a structured approach to seeking feedback and challenge from the people it serves. This should bring a better understanding of the issues that may stand in the way of a providing a fair and respectful service in all communities.

The force has a well-established independent advisory group (IAG) network, which acts as a link with communities. Each IAG includes community representatives who provide a reference point to ensure that force policies and procedures both take account of and reflect, community interests and needs.

IAGs operate alongside the chief officer team to assist with corporate policies and procedures. They also exist in local policing areas to ensure that front line policing is adapted to meet local needs and to assist local officers with any cultural or other barriers which may stand in the way of harmonious working relationships. IAGs are

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[6] Independent Police Complaints Commission data is available at:
www.ipcc.gov.uk/reports/statistics/police-complaints/police-performance-data

[7] *Integrity matters*, HMIC, January 2015. Available from:
www.justiceinspectorates.gov.uk/hmic/publications/integrity-matters/

represented by a range of interest groups including disability, black, Asian and minority ethnic (BAME) and lesbian, gay, bisexual and transgender organisations. The IAGs have been used to inform and implement improvements to corporate policies and address complex policing issues in local communities. For example, the corporate IAG has arranged for observers to work alongside front line officers using stop and search powers. This has resulted in improvements to policies, based on feedback from people who had been subjected to stop and search and were willing to share their experiences. As a direct consequence of IAG intervention, training has been changed to ensure that officers now clearly explain their reasons for stopping and searching to an individual and that these reasons are recorded.

The force also use a variety of other methods to seek feedback and challenge from the people it serves. Safer neighbourhood teams (SNTs) also maintain details of key individual networks (KINs). These are additional locally based networks of volunteers who help develop better relationships between the police and local communities. An example of their value is the support they provide to the corporate hate crime strategy. To help the force gain a better understanding of unreported crime, KINs in local eastern European communities are working with local officers to support women who are believed to be at risk of domestic abuse. This has led to victims coming forward who might otherwise have been reluctant to do so for fear of reprisals from their own communities.

HMIC is also encouraged that the police and crime commissioner (PCC) has played an important role in obtaining feedback and challenge on behalf of the force. Through a series of scrutiny meetings in communities, the development of youth parliaments and social media campaigns, the PCC has an influential following. This has been boosted by live webcasts of scrutiny meetings and has resulted in challenges to the chief constable to invest more resources in certain areas of community concern, for example rural crime.

The force actively works to identify and communicate with those who may have less trust and confidence in the police. Its approach is well structured and HMIC found good examples of this operating both at a corporate and local level.

Identifying and understanding the issues

Each force in England and Wales is required to record the nature of complaint cases and allegations and be able to produce complaints data annually. The numbers and types of complaints are valuable sources of information for forces and can be used to help them identify areas of dissatisfaction with their service provision, and take steps to improve how they treat the public.

Figure 1: Number of public complaint cases recorded against officers (per 1,000 officers) or staff (per 1,000 staff, including police community support officers) in Warwickshire Police compared with England and Wales, in the 12 months to 31 March 2016
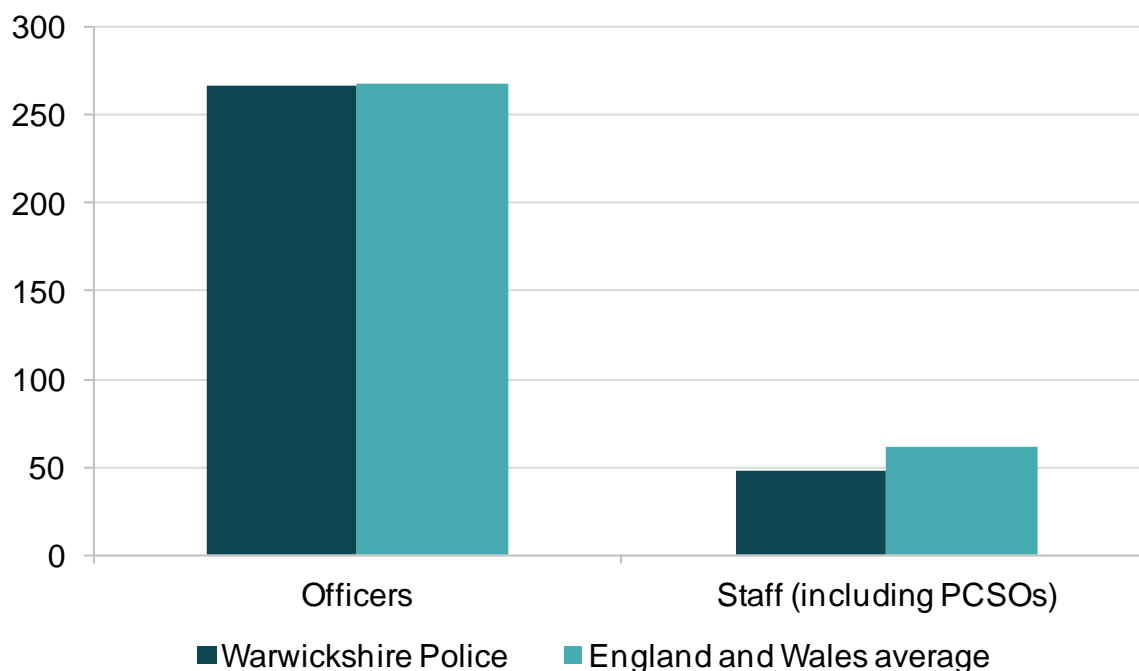
Source: HMIC Legitimacy data collection
For further information about the data in figure 1 please see annex A

In the 12 months to 31 March 2016, Warwickshire Police recorded 267 public complaint cases per 1,000 officers, which was broadly in line with the England and Wales average of 268 cases per 1,000 officers. During this period, the force recorded 48 public complaint cases per 1,000 staff (including PCSOs), which was broadly in line with the England and Wales average of 61 cases per 1,000 staff (including PCSOs).

All forces are required to conduct victim satisfaction surveys with specified victims of crime groups and provide data on a quarterly basis. The surveys take account of victims' experience of the service provided to them by the police and inform forces' improvements to their service provision, including examining how well victims feel they are treated.

Figure 2: Percentage of victims satisfied with overall treatment by Warwickshire Police compared with England and Wales, from the 12 months to 31 March 2011 to the 12 months to 31 March 2016
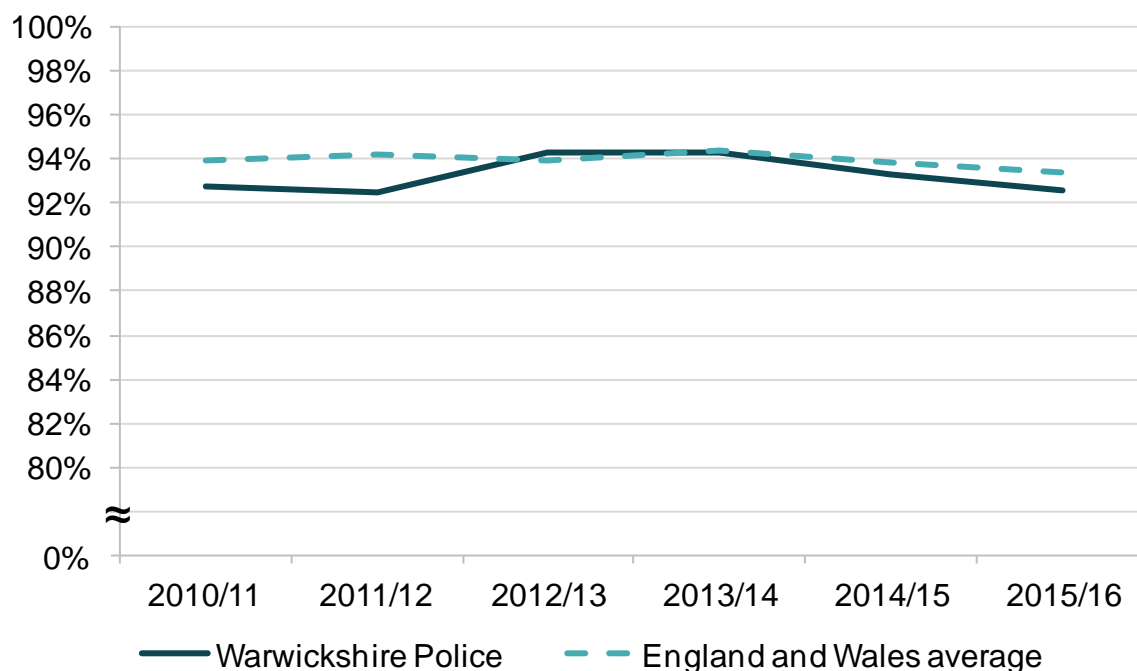
Source: Home Office Annual Data Requirement
For further information about the data in figure 2 please see annex A

In the 12 months to 31 March 2016, 92.6 percent of all victims of crime (excluding hate crime) who responded to the victim satisfaction survey were satisfied with the overall treatment provided by Warwickshire Police, which was broadly in line with the England and Wales average of 93.4 percent; and lower than the 93.3 percent who were satisfied with the overall treatment that the force provided in the 12 months to 31 March 2015, this is not a statistically significant difference.

In August 2014, following HMIC's 2013 inspection on the effective and fair use of stop and search powers,[8] the Home Office published guidance to police forces on how to implement the Best Use of Stop and Search (BUSS) scheme.[9] The scheme aims to increase transparency and community involvement, and to support a more intelligence-led use of the powers leading to better outcomes. All police forces in England and Wales signed up to participate in the scheme. In 2015, HMIC's legitimacy inspection[10] considered the extent to which the force was complying with

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[8] *Stop and Search Powers – are the police using them effectively and fairly?* HMIC, July 2013. Available from: www.justiceinspectorates.gov.uk/hmic/publications/stop-and-search-powers-20130709/

[9] Best Use of Stop and Search Scheme, Home Office, August 2014 www.gov.uk/government/uploads/system/uploads/attachment_data/file/346922/Best_Use_of_Stop_and_Search_Scheme_v3.0_v2.pdf

[10] *PEEL: Police legitimacy 2015 – A national overview*, HMIC, February 2016. Available at: www.justiceinspectorates.gov.uk/hmic/publications/police-legitimacy-2015/

the scheme and found that it did not comply with three features of the scheme. Consequently, the Home Secretary suspended the force from participation in the scheme. In 2016, we revisited the force to assess its compliance with the scheme and found that it complied with all features of the scheme. Details of our revisit can be found on HMIC's website at www.justiceinspectorates.gov.uk/hmic/publications/best-use-of-stop-and-search-scheme

Another area where the force has changed its procedures in an effort to ensure it provides a fair service relates to out-of-court disposals. These are cases where, as an alternative to a criminal prosecution, an investigation can be concluded without an offender appearing in court. Out-of-court disposals are designed to prevent the unnecessary criminalisation of individuals if there is a low likelihood of them re-offending. Feedback offered to the force from several interested parties including IAGs and PCCs, suggests that a wider use could be made of out-of-court disposals, particularly to support young people whose personal circumstances may have contributed to their breaking the law.

Out-of-court disposals are being used more frequently and a monthly decision making panel decides which cases are suitable for out-of-court resolutions. A scrutiny body oversees the decision-making panel's work to help ensure it can be held to account by local communities and other interested parties. This body has representation from local communities, the Crown Prosecution Service, the probation service and youth offending teams.

The force has not yet made body-worn video cameras (BWV) widely available for frontline staff; the resulting video could be used to improve public perceptions of procedural justice and fair treatment. The force recognises that adequate digital storage capacity is vital for the successful use of BWV, and is working with a national programme to develop a digital repository hub (DRH). The DRH is being developed alongside the new ICT platform, which will shortly be introduced across the force. It will also be able to store CCTV images, police interviews and other digital evidence.

The force does not conduct any systematic analysis of data in respect of its use of force, except when it is relevant to complaints against police. Warwickshire Police has been advised to consider this as an additional means of ensuring that the use of force is not being misused.

The force does however encourage independent scrutiny of information relating to complaints against police, which is shared with the IAG network and the PCC's Trust, Integrity and Ethics Committee. This committee is open to the public and has a remit to quality-assure investigations through dip sampling. It also focuses on police activity that is the most contentious and which could potentially lead to public

complaints (for example stop and search). If areas of concern are identified, the alliance's internal publication, 'The Standard', can be used to increase workforce awareness of areas that are causing disquiet in communities.

How well does the force act on feedback and learning to improve the way it treats all the people it serves, and demonstrate that it is doing so?

It is important that as well as actively seeking feedback from the public, the force also responds to that feedback. HMIC assessed the extent to which this response includes changes to the way the force operates to reduce the likelihood of similar incidents occurring in future, as well as resolving individual incidents or concerns, and how well the force communicates to the public the effectiveness of this action.

Making improvements

HMIC found that information the force has gathered about the reasons for both negative and positive perceptions of police treatment is a principal element of its performance management at all levels across the force. The force has established a victim satisfaction improvement board, with an action plan to increase awareness across the organisation in relation to public perceptions of police treatment. The force has also recently developed a survey to improve the understanding of the service and support it provides to victims of rape.

Findings from the victim satisfaction board are also considered at the service improvement board, which is a forum to coordinate wider organisational learning and is chaired by the deputy chief constable. There are examples where the force has made changes to policy and procedure in response to public feedback, such as streamlining the administrative arrangements for issuing shotgun certificates.

Demonstrating effectiveness

The force uses a range of methods to tell communities how it has responded promptly and effectively to their concerns. These methods include everyday interaction with safer neighbourhood teams and the use of social media, local press and the force website.

We found that the force effectively involves local communities at force-wide and local level. This supports the development of policy and procedures and help the force manage any tensions in localities. The alliance is still working to develop a formal community engagement strategy. It is HMIC's position that once this is complete, it will provide greater direction and lead to improvements in this area.

Summary of findings

Good

The force is good at treating all of the people it serves with fairness and respect. HMIC found that the force's vision and values are clearly linked to the Code of Ethics and widely understood across the organisation. The force has an effective and diverse range of community networks, with direct access to the senior leadership team to provide challenge and accountability. This is has resulted in changes to force procedures.

Local police commanders can also rely on the support of community networks to help resolve tensions in the community. The force actively seeks to identify and work with those who may have less trust and confidence in the police. It has a well-established independent advisory group network that it uses to scrutinise data on issues such as stop and search and complaints against police. The public is invited to attend these scrutiny panels.

The force has established a victim satisfaction improvement board and makes changes in response to public feedback. The force has also amended how it records and monitors its use of stop and search, to improve its record-keeping and supervision.

How well does the force ensure that its workforce behaves ethically and lawfully?

In 2014, HMIC inspected the extent to which the police were acting with integrity and guarding against corruption.[11] Given the continued importance of this topic, we are returning in this question to those national recommendations emerging from the 2014 report from that inspection that our 2015 legitimacy inspection did not cover. Our inspection focus this year also reflects research showing that prevention is better than cure: the best way to ensure that police workforces behave ethically is for the forces to develop an ethical culture and to have systems in place to identify potential risks to the integrity of the organisations, so that forces can intervene early to reduce the likelihood of corruption.[12]

How well does the force develop and maintain an ethical culture?

One of the first things forces can do to develop an ethical culture is to use effective vetting procedures to recruit applicants who are more likely to have a high standard of ethical behaviour and to reject those who may have demonstrated questionable standards of behaviour in the past, or whose identities cannot be confirmed.[13]

Once recruited, one of the best ways to prevent corruption from occurring among the workforce is by establishing an ethical working environment or culture. To achieve this, forces need to clarify and continue to reinforce and exemplify acceptable and unacceptable standards of behaviour, including the Code of Ethics.[14] This year, HMIC focused on assessing progress in those areas highlighted for improvement in our 2015 legitimacy inspection and our 2014 integrity and corruption inspection.

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[11] *Integrity matters*, HMIC, January 2015. Available from:
www.justiceinspectorates.gov.uk/hmic/publications/integrity-matters/

[12] *Promoting ethical behaviour and preventing wrongdoing in organisations*, College of Policing, 2015. Available at:
http://whatworks.college.police.uk/Research/Documents/150317_Integrity_REA_FINAL_REPORT.pdf

[13] *College of Policing: Authorised Professional Practice on vetting.* Available at:
www.app.college.police.uk/app-content/professional-standards/vetting/

[14] *Promoting ethical behaviour and preventing wrongdoing in organisations*, College of Policing, 2015. Available at:
http://whatworks.college.police.uk/Research/Documents/150317_Integrity_REA_FINAL_REPORT.pdf
and *The role of leadership in promoting ethical police behaviour,* College of Policing, 2015. Available at:
http://whatworks.college.police.uk/Research/Documents/150317_Ethical_leadership_FINAL_REPORT.pdf *and Literature review – Police integrity and corruption*, HMIC, January 2015. Available at:
www.justiceinspectorates.gov.uk/hmic/publications/integrity-matters/

Initial vetting

HMIC found that the force's vetting procedure is clear and understood by those who are part of the process. We found the process to be sufficiently flexible in respect of individual personal circumstances, without compromising standards. HMIC examined cases where initial decisions to deny individuals the opportunity to work for the force had been subsequently overturned when further background checks had been made.

We also found that applicants who were denied the opportunity to work for the force on the grounds of vetting, were given access to an appeals procedure, and could contest the decision. HMIC examined several appeals and found that each applicant had been able to put forward their case, and that the force had made its decisions properly.

The force complies with the national police vetting policy[15] and understands the extent to which vetting may affect the recruitment of a diverse workforce. It pays particular attention to applicants with 'protected characteristics'. Through the definition of the term protected characteristics in the Equality Act 2010, employers have a duty to ensure that the recruitment, retention of and progression of employees with certain characteristics are free from discrimination. These include age; disability; sexual orientation; religion and belief; marital status; pregnancy and maternity, gender and race.

The force has developed a 'second stage' process for applicants with protected characteristics who are unsuccessful at the initial recruitment stage. This is both to double-check the initial decision and to identify and trends or patterns indicating why applicants are unsuccessful.

The force has been particularly successful at using targeted recruitment to increase the numbers of applicants with protected characteristics.

The College of Policing's 'disapproved register' contains details of those officers who have been dismissed from the service or who either resigned or retired while subject to a gross misconduct investigation where it had been determined there would have been a case to answer. The force complies with its obligations to provide the College of Policing with details of those officers and staff who have been dismissed from the service for inclusion on the current disapproved register.

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[15] *ACPO / ACPOS National Vetting Policy for the Police Community*, Association of Chief Police Officers, 2012. Available from: www.app.college.police.uk/app-content/information-management/linked-reference-material/ ACPO is now the National Police Chiefs' Council.

Clarifying and reinforcing standards of behaviour

In 2014 HMIC recommended that the force should ensure that it has communicated to all staff the requirements for complying with policies relating to notifiable associations,[16] secondary employment, declaring any business interests, and gifts and hospitality. The force has since taken steps to reinforce these issues, as well as clarifying acceptable and unacceptable standards of behaviour more generally. This includes the 'leading change, living the values' workshops for staff across the organisation, a regular publication (The Standard) issued by the head of the Professional Standards Department (PSD), and the use of ethical dilemma surveys; over 2,000 staff responded to one of the most recent surveys.

During this inspection, HMIC found that staff and officers we spoke with across the organisation understood the standards expected of them as well as the Code of Ethics. HMIC also found a broad understanding in relation to declaring any business interests, notifiable associations and recording of gifts and hospitality.

How well does the force identify, understand and manage risks to the integrity of the organisation?

HMIC's 2014 police integrity and corruption inspection emphasised the need for forces to make arrangements for continuous monitoring of their ethical health, through active monitoring of force systems and processes to spot risks to their integrity, including – but not limited to – business interests, gifts and hospitality, and public complaints.[17] These findings reflect the research commissioned by the College of Policing, which highlights the importance of taking a problem-solving approach to preventing wrongdoing, by scanning and analysing police data to identify particular officers or hotspots for targeting prevention activity.

This year HMIC was particularly interested in how well forces – from dedicated anti-corruption units to individual supervisors – are identifying and intervening early to reduce individual and organisational vulnerabilities (i.e. those individuals, groups or locations that may be susceptible to corruption). We also assessed how well forces are seeking and assessing intelligence on potential corruption, with a focus on those areas for improvement identified in our previous inspections.

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[16] A notifiable association policy is designed to identify those individuals who could pose a risk to the integrity of an individual employee or the force itself. It requires the officer or staff member to report such associations which then allows a full evaluation of the risk posed to both the individual and the force to be undertaken.

[17] *Integrity matters*, HMIC, January 2015. Available from: www.justiceinspectorates.gov.uk/hmic/publications/integrity-matters/

Identifying and understanding risks to integrity

Some forces that HMIC has visited have completed an assessment of corruption risks in conjunction with the National Crime Agency's (NCA) counter-corruption strategic assessment. Despite the fact the force has not completed a formal assessment, the professional standards department (PSD) has completed in-depth analysis of the areas most likely to undermine the integrity and reputation of the organisation.

These areas of vulnerability are prominent in the force's overall plans, meaning that chief officers directly oversee efforts to maintain organisational standards and that the right level of resources is available to support them.

In 2014 HMIC recommended that the force should ensure it regularly audits integrity-related registers including those for gifts and hospitality, workforce declarations of business interests, and notifiable associations. The force has introduced an effective process to record, monitor and review these issues. This process involves better line management intervention from the outset and ensures ongoing review of these risks. The force also operates an appeals process. We were shown one case where a member of the workforce who wished to work in a public house in their spare time, had challenged a decision by the force to refuse the access to this type of employment. The force, quite properly, upheld its original decision.

The force publishes on its website a summary of the data collected in relation to workforce declarations of business interests and gifts and hospitality (including those relating to chief officers). Each month, the anti-corruption unit (ACU) uses information from the gifts and hospitality and business interest registers, sickness data and procurement signatories to check that there has been no malpractice. The joint audit committee (JAC), which includes PCC representation, also carries out independent scrutiny of information and examines high-risk area such as expense claims and procurement activity.

In 2015 HMIC recommended that the force should ensure its governance arrangements for complaints and misconduct provide are overseen sufficiently to ensure that processes are consistent and free from any bias. The force has since created a single professional standards department (PSD) with West Mercia Police, working to a single set of harmonised policies and procedures across both forces.

In 2014 HMIC recommended that the force should develop the capability to view and record information that officers and staff obtain from the force computer systems to ensure that officers and staff are not accessing sensitive databases for improper or unlawful purposes. The force still intends to procure commercially available software to provide this capability. However, it is about to upgrade its mainstream computer operating systems and is conducting research to find an affordable solution which is compatible with the force's ICT upgrades. As an interim solution, several other

measures have been put in place, which trigger alerts indicating the potential misuse of force computer systems. The force has also developed the capability to investigate officers and staff members suspected of this type of activity.

Intervening early to manage risks to integrity

The development of a single PSD for the alliance was supported by additional staff, which has improved its capacity and capability to identify individual and organisational risks. This included a greater use of analysis, research and financial investigative support.

The force's monthly people intelligence board is attended by a wide representation from the senior leadership team, legal services and the head of PSD. It identifies risk factors relating to individuals such as excessive absence or any other out-of-character behaviour that may mean they are susceptible to corrupt practice. This gives the force a firm basis from which to address any concerns at an early stage. Senior representation at this board enables it to develop well considered intervention plans to address any concerns.

Looking for, reporting and assessing intelligence on potential corruption

The force assesses, develops and responds to corruption-related intelligence in a timely and professional manner. We saw one example of the force dealing with enquiries over a weekend following information it received about the use of social media by a member of the workforce. This involved fast-tracking forensic analysis of their telephone and resulted in an arrest by the Monday morning.

The force offers and promotes several options for the workforce to report wrongdoing, including an independent integrity line. HMIC found the majority of staff it spoke with understood and had confidence in the reporting mechanisms. 24 confidential reports were submitted between 1 April 2015 and 31 March 2016. The force publishes guidance detailing how staff can report potential corruption and the support they can expect. HMIC heard from staff who had made reports. They spoke positively about the experience, and their responses were supported by the local police federation representative.

In 2014 HMIC recommended that the force should ensure it has a policy on substance misuse and drug testing to identify and deter substance misuse, and communicates this to all staff. During this inspection, HMIC found that the force now has the capability to test for use of drugs including steroids and alcohol. The force employs a private contractor to carry out the tests, which can respond flexibly and rapidly to any concerns about integrity. The workforce understands and supports this policy.

How well is the force tackling the problem of officers and staff abusing their authority for sexual gain?

In 2012 the Independent Police Complaints Commission (IPCC) and Association of Chief Police Officers (ACPO) published *The abuse of police powers to perpetrate sexual violence*.[18] This report states that "the abuse of police powers for purposes of sexual exploitation, or even violence, is something that fundamentally betrays the trust that communities and individuals place in the police. It therefore has a serious impact on the public's confidence in individual officers and the service in general." The report identified this behaviour as a form of serious corruption that forces should refer to the IPCC for its consideration of how it should be investigated.

The *Code of Ethics*[19] – which sets out the standards of professional behaviour expected of all policing professionals – explicitly states that they must "not establish or pursue an improper sexual or emotional relationship with a person with whom [they] come into contact in the course of [their] work who may be vulnerable to an abuse of trust or power".

The most recent national counter-corruption assessment, in 2013, highlighted corruption for the purposes of sexual gratification as a major threat to law enforcement.[20] HMIC's 2015 report *Integrity matters*[21] identified police sexual misconduct as an area of great concern to the public. We share the public's disquiet and so we looked at this issue specifically as part of our 2016 inspection. Our work was given additional emphasis in May 2016 by a request from the Home Secretary that we inspect forces' response to the issue of officers and staff developing inappropriate relationships with victims of domestic abuse and abusing their position of power to exploit victims.

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[18] *The abuse of police powers to perpetrate sexual violence*, jointly published by IPCC and ACPO (now the National Police Chiefs' Council), September 2012. Available at: www.ipcc.gov.uk/sites/default/files/Documents/research_stats/abuse_of_police_powers_to_perpetrate_sexual_violence.PDF

[19] *Code of Ethics – A Code of Practice for the Principles and Standards of Professional Behaviour for the Policing Profession of England and Wales*, College of Policing, London, July 2014. Available at: www.college.police.uk/What-we-do/Ethics/Documents/Code_of_Ethics.pdf

[20] Every three years, the National Counter-Corruption Advisory Group commissions a strategic assessment of the threat to law enforcement from corruption. The most recent assessment was completed in June 2013 by the Serious Organised Crime Agency. The assessment was based upon three years of intelligence reports on possible corruption gathered by forces in England and Wales, supplemented by information from other forces and national agencies.

[21] *Integrity matters*, HMIC, January 2015. Available from: www.justiceinspectorates.gov.uk/hmic/publications/integrity-matters/

Recognising abuse of authority for sexual gain as serious corruption

The force recognises abuse of authority for sexual gain as one of the most serious forms of corruption. Efforts to eliminate this threat through the early identification of sexual predators and by putting measures in place to prevent this sort of activity are led by a chief officer. A comprehensive action plan has been put in place and principal themes include searching for patterns of behaviour that suggest individuals may be abusing their position, and taking prompt action against them.

Should the head of PSD have integrity concerns about any particular individuals, he can draw on specialist detectives and crime analysts to develop intelligence in relation to each person. A good example was the identification of an officer who had used the force email system to make inappropriate comments to a woman whom he had met in the course of his duties. The matter was promptly resolved.

HMIC found that the officers and staff understood that exploiting their position in pursuit of sexual gain constitutes a gross abuse of trust. The workforce also demonstrated a commitment to reporting colleagues who participate in this form of misconduct. Expectations and standards of behaviour are set out in staff circulars; these include details of misconduct sanctions imposed against officers and members of staff who have abused their authority in this way.

Looking for and receiving intelligence on potential abuse of authority for sexual gain

The force has measures in place routinely to seek out intelligence relating to potential corrupt practice involving sexual gain. This includes monitoring internal computer systems and asking organisations the force works with to pass on any concerns that they may have about officers or staff. The force has made it clear how these organisations can report concerns, including confidential channels where necessary.

The force also monitors any officer or member of staff who may have a tendency to abuse their position for sexual impropriety. In some cases, information that could be detrimental to an officer or member of staff may not always justify a misconduct or criminal investigation. Nonetheless, effective monitoring is necessary to ensure that the force takes prompt action, should an investigation be necessary. The force has put a system in place to address this. Individuals deemed to be at risk of offending are transferred to another area of the force and supervisors are made aware of the concern to ensure that intrusive supervision is in place.

Taking action to prevent abuse of authority for sexual gain

The alliance has recently improved its understanding of the risks presented by this type of misconduct and has developed a profile based on the types of activity it has assessed as being the most likely to undermine public confidence in West Mercia and Warwickshire; sexual impropriety, drug abuse and the misuse of sensitive data.

Earlier this year, the force presented an assessment of the effects of the abuse of authority for sexual gain to senior leaders at the chief constable's forum. The presentation clarified the chief constable's expectation that the force will eradicate this type of behaviour and reminded senior managers of their obligations to support the force.

To reaffirm the firm line the force is taking to address this type of behaviour, the consequences of abusing police authority is now a recurring theme in the training curriculum and forms part of recruit induction training. It is also included in specialist detective training and is particularly relevant where officers are working with vulnerable victims, for example domestic abuse. It also includes other areas of work where officers could be tempted to develop inappropriate relationships with vulnerable people.

Building public trust

Restoring public trust and confidence is a major reason for the force's determined efforts to address this form of misconduct. When officers or members of staff have been found to have abused their authority for sexual gain, the force enlists the support of IAGs. The scrutiny that IAGs provide helps the force manage the consequences of this type of misconduct. They can also help the force promote its zero tolerance approach to this type of behaviour.

The force has also worked with local journalists to publicise the tough stance it takes on breaches of professional standards. Extensive reporting in the national and local newspapers has followed occasions when officers and staff have been sentenced by courts for sexual offences associated with abuse of authority.

How well does the force engage with the public and its workforce about the outcomes of misconduct and corruption cases?

HMIC's 2014 literature review on police integrity and corruption emphasised the importance of collection and dissemination of information about misconduct to the public, on the basis that it shows police forces are taking the problem seriously, and detecting and punishing wrongdoing.[22] This information also forms the basis for deterring misconduct and enhancing integrity within police forces themselves. This year, HMIC looked at how well forces engage with the public online and through police officer misconduct hearings in public, and also more widely following high profile incidents with the potential to undermine public perceptions of police integrity. We also looked at how aware the workforce is of these outcomes.

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[22] *Literature review – Police integrity and corruption*, HMIC, January 2015. Available at: www.justiceinspectorates.gov.uk/hmic/publications/integrity-matters/

Working with the public

The force works with the public to publicise outcomes of misconduct and corruption cases. The force's website contains findings from cases that have been concluded and publicises pending misconduct hearings. Further details are provided to members of the public should they wish to attend. A member of the corporate communications team is also available to deal with press enquiries. An example provided to HMIC was the public hearing of a detective sergeant involved in the so-called Plebgate incident. A small number of the media and public attended the hearing which was live-streamed to an anteroom. At the end of the hearing the force published a media release on its website and made a senior officer available to journalists and reporters for interview.

The force also recognises the impact of high-profile misconduct on public trust and confidence. One such case involved the force's dealings with member of staff who subsequently committed murder. Following a review of the case, the force implemented changes to its training and how it communicates with other agencies. It now publishes case details more openly on its website.

Working with the workforce

The force works extensively with its workforce about the outcomes of misconduct and corruption cases. It makes frequent use of Postmaster (an all-staff email), and 'The Standard' publication to publicise findings. In addition, the force reviews all misconduct investigations to identify lessons learned and improvements required. For example, a complaint in a custody centre in relation to the use of emergency response belts resulted in the force changing its training and updating its custody operations manual.

Summary of findings

Good

The force is good at ensuring its workforce behaves ethically and lawfully. It regularly clarifies and reinforces acceptable standards of behaviour and makes it clear when those standards fall short of expectations. The force identifies and responds to individual and organisational risks. It also has the capability to test staff for drugs and alcohol. It does not use software routinely to monitor unauthorised access to force databases because it is changing to a new ICT operating system. While this is in progress, the force has introduced interim measures to monitor unauthorised access to force systems.

The force does not have a formal anti-corruption strategic assessment to identify risk and threats from corruption. However, the force has developed profiles of vulnerable areas, including abuse of authority for sexual gain and unauthorised use of sensitive

data. There are robust plans to control these risks. The majority of staff understand how to report wrongdoing and are confident that the force would support them if they did.

The force communicates well with the public about the outcomes of misconduct and corruption cases; the force's website and media outlets are used frequently. Any lessons learnt from misconduct cases or improvements required are widely circulated among the workforce.

Areas for improvement

- The force should ensure that it has the capability and capacity to monitor all its computer systems to identify risks to the force's integrity.

- Annually, the force should produce a local counter-corruption strategic assessment and control strategy, to identify risks to the force's integrity.

To what extent does the force treat its workforce with fairness and respect?

A workforce that feels it is treated fairly and with respect by its employers is more likely to identify with the organisation, and treat the public in a similarly fair and respectful way. Conversely, perceived unfairness within police organisations can have a detrimental effect on officer and staff attitudes and behaviours.[23] As such, this concept of 'organisational justice' and its potential impact on 'procedural justice' forms an important part of HMIC's assessment of police legitimacy. As there is no comparative data on how fairly officers and staff perceive forces to have treated them, we focused our assessment on how well forces identify these perceptions within their workforces and act on these findings. In particular, we looked at the extent to which organisational 'fairness' is reflected through the way individual performance is managed, and how 'organisational respect' is reflected through how forces provide for the wellbeing of their workforces, particularly through preventative and early action.

How well does the force identify and act to improve the workforce's perceptions of fair and respectful treatment?

Research suggests that forces that involve officers and staff in decision-making processes, listen to their concerns, act on them, and are open about how and why decisions were reached, may improve workforce perceptions of fair and respectful treatment.[24] On this basis, HMIC assessed how well the force engages with its staff to identify and understand the issues that affect them, and how well it acts on these issues and demonstrates it has done so.

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[23] *Fair cop 2: Organisational justice, behaviour and ethical policing*, College of Policing, 2015. Available at:
http://whatworks.college.police.uk/Research/Documents/150317_Fair_cop%202_FINAL_REPORT.pdf

Organisational justice: Implications for police and emergency service leadership, Herrington C and Roberts K, AIPM Research Focus, Issue 2, 2013. Available at: www.aipm.gov.au/wp-content/uploads/2013/08/Org-Justice-Final.pdf

[24] *Fair cop 2: Organisational justice, behaviour and ethical policing*, College of Policing, 2015, page 11. Available at:
http://whatworks.college.police.uk/Research/Documents/150317_Fair_cop%202_FINAL_REPORT.pdf

Identifying and understanding the issues

The force uses a range of methods to identify the areas that have the greatest impact on workforce perceptions of fair and respectful treatment. The strategic diversity board provides direct access to the chief constable for a range of staff support groups. Representation on the board includes the women's network, the minority support network and the disability network. The force conducted an all-staff survey in 2015 with West Mercia Police, to which the force told us that 55 percent of the workforce responded. It intends to repeat the survey in 2016. Staff can also raise issues through intranet question and answer forums, although HMIC found varying levels of awareness of this facility among the staff we spoke to.

Grievances are concerns, problems or complaints raised formally to employers by officers or staff. Data on numbers and types of grievances provide forces with a useful source of information about the sorts of issues that staff and officers are concerned about.

Figure 3: Number of grievances raised by officers (per 1,000 officers) or staff (per 1,000 staff, including police community support officers) that Warwickshire Police finalised compared with England and Wales, in the 12 months to 31 March 2016
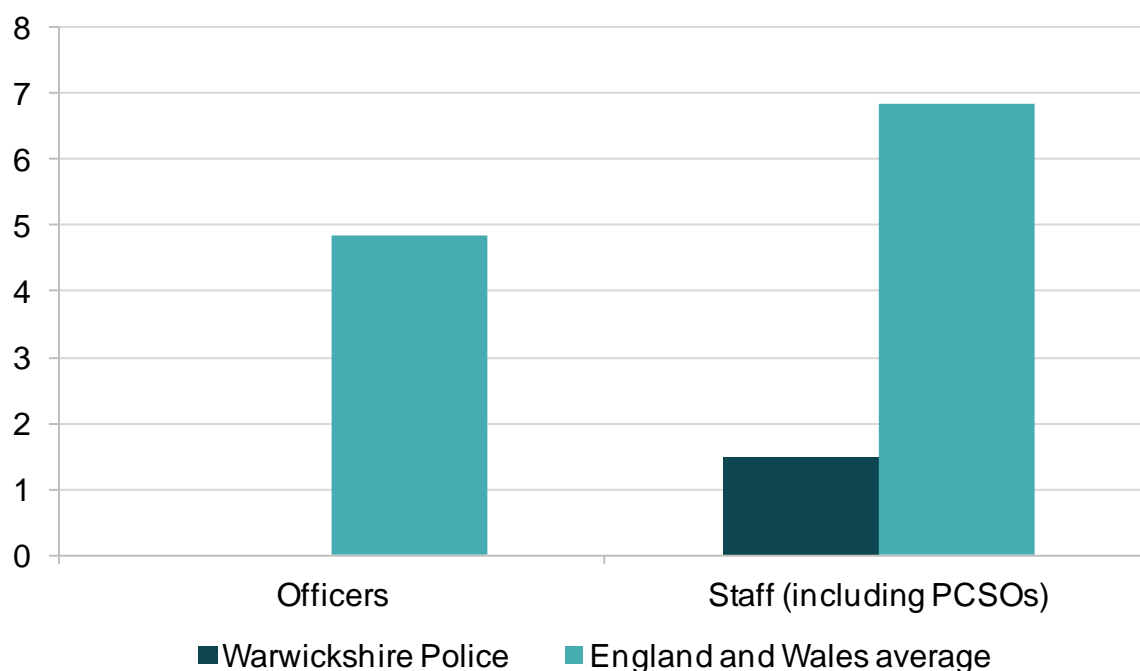
Source: HMIC Legitimacy data collection
For further information about the data in figure 3 please see annex A

In the 12 months to 31 March 2016, Warwickshire Police finalised no formal grievances raised by officers per 1,000 officers, which was lower than the England and Wales average of 4.8 per 1,000 officers. During this period, the force finalised 1.5 formal grievances raised by staff per 1,000 staff (including PCSOs), which was lower than the England and Wales average of 6.8 per 1,000 staff (including PCSOs).

Officers and staff also spoke positively of the chief constable's briefing days and felt comfortable about raising any issues which they thought were unfair. We were told that all officers were guaranteed an answer to any queries, even if the chief constable was not in a position to respond immediately. HMIC had the opportunity to attend one of these briefings, where the guarantee of an answer was reaffirmed by the chief constable, a federation representative and union official, all of whom appeared on the stage together. They gave a comprehensive explanation in response to a previous query about proposed changes to promotion processes. During the briefing, they also made a further adjustment to policy, in response to concerns about the management of those absent from work through sickness.

Making improvements and demonstrating effectiveness

The force has also taken demonstrable action in response to the findings of the staff survey. This includes making changes to its performance appraisal process, adjusting minimum staffing levels and establishing working groups to explore and address issues such as perceptions of discrimination in the workplace. The force communicated this progress to the workforce through a variety of media including the force intranet and the chief constable's briefings. HMIC found varying degrees of confidence in the grievance procedure, including comments about the length of time taken to resolve issues. The force has already identified this and has recently made changes to improve timeliness and accountability. Monitoring arrangements are also in place at the monthly workforce management group meeting.

How well does the force support the wellbeing of its workforce?

Police forces need to understand the benefits of having a healthier workforce – a happy and healthy workforce is likely to be a more productive one, as a result of people taking fewer sick days and being more invested in what they do. Last year our inspection was concerned with what efforts forces were making to consider, and provide for, the wellbeing needs of their workforce. This year we looked at the progress the force had made since the last inspection, with a particular focus on preventative activity to encourage wellbeing.

Understanding and valuing the benefits

In 2015 HMIC found an inconsistent understanding of wellbeing provision across the alliance. We found that the force needed to ensure that staff, at all levels of the organisation, understood what welfare facilities were available and how they could be accessed[25]. In 2016 HMIC found a clear commitment to health and wellbeing across the force, which was also widely acknowledged by staff. The health and

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[25] *PEEL: Police legitimacy 2015 – Warwickshire*, HMIC, February 2016. Available at: www.justiceinspectorates.gov.uk/hmic/publications/police-legitimacy-2015-warwickshire/

wellbeing board, chaired by the Warwickshire chief constable on behalf of both the West Mercia and Warwickshire forces, oversees progress towards achieving this commitment. The board meets bi-monthly, tracking progress through a comprehensive action plan. Staff are made aware of developments through emails to the whole force and a microsite on the force intranet.

Identifying and understanding the workforce's wellbeing needs

In previous inspections HMIC found the force's understanding of the wellbeing needs of its workforce to be underdeveloped. Staff surveys, better use of the force intranet and the chief constable's briefing days now provide more direct access for concerns to be raised. The health and wellbeing board provides an effective platform for these concerns to be considered and for improvements to be made.

The force identifies the wellbeing needs of its workforce through several staff support networks. Following the staff survey, the force carried out extensive analysis to identify the factors most likely to influence health and wellbeing. This has led to better guidance being given to supervisors, who have been provided with information packs to address all areas of health and wellbeing, including individual workloads and work life balance.

Rest days in lieu (RDIL) are leave days owed to officers or police community support officers when they have been required to work on their scheduled rest day due to operational reasons. Long working hours can have a detrimental impact on the health and wellbeing of the workforce, so it serves as a useful point of comparison for assessing the extent to which the force is managing the wellbeing of its workforce. Analysis of the numbers of RDIL accrued, but not yet taken, can be useful tools for forces to identify and understand potential wellbeing concerns for individuals and teams.

Figure 4: Number of rest days in lieu outstanding per officer or police community support officer (PCSO) and the percentage of officers or PCSOs with more than 10 rest days in lieu owed to them in Warwickshire Police compared with England and Wales, as at 31 March 2016
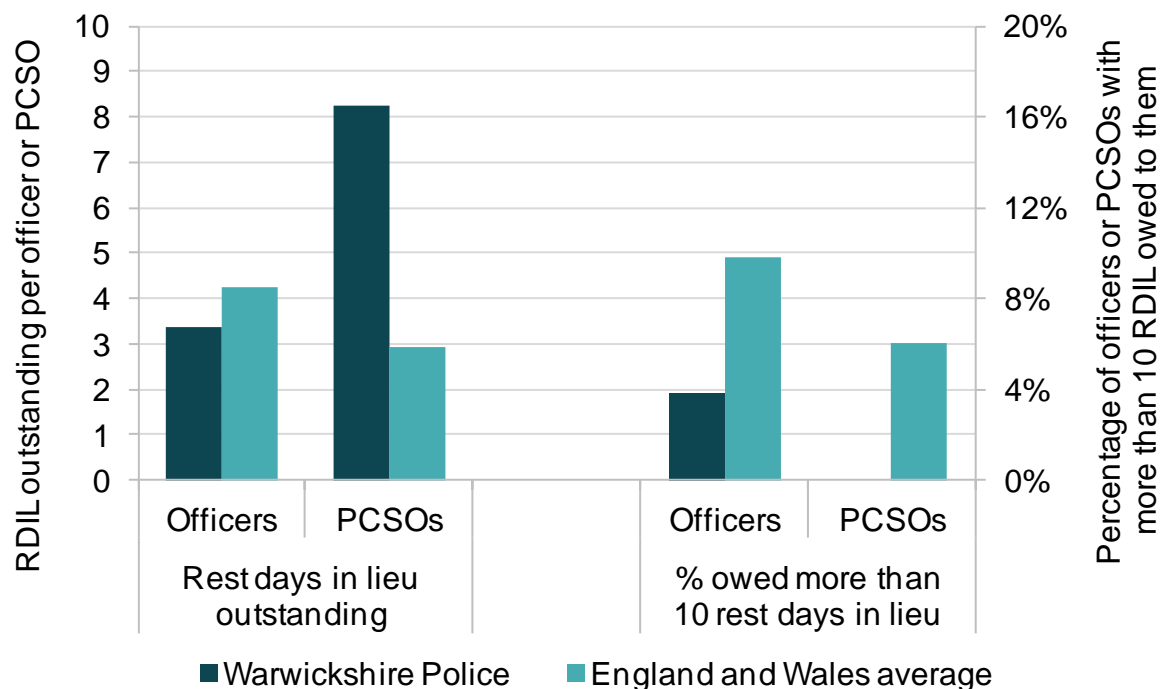

Source: HMIC Legitimacy data collection
Note: For some police forces data about the number of rest days in lieu outstanding are estimated from data on hours owed. For further information about the data in figure 4 please see annex A.

As at 31 March 2016, there were 3.4 rest days in lieu outstanding per officer in Warwickshire Police, which was broadly in line with the England and Wales average of 4.2 days per officer. On the same date, there were 8.2 rest days in lieu outstanding per PCSO in the force, which was higher than the England and Wales average of 2.9 days per PCSO. As at 31 March 2016, 3.8 percent of officers in Warwickshire Police had more than 10 rest days in lieu owed to them, which was broadly in line with the England and Wales average of 9.8 percent. Warwickshire Police could not provide data for the percentage of PCSOs owed more than 10 rest days in lieu as at 31 March 2016. The England and Wales average was 6.0 percent of PCSOs.

Sickness data can provide a useful point of comparison for assessing the wellbeing of police workforces. Analysis of this data can also help forces to identify and understand the nature and causes of sickness at individual and organisational levels, and inform targeted activity to prevent and manage sickness.

Figure 5: Percentage of officers, police community support officers and staff on long-term and short/medium-term sick leave in Warwickshire Police compared with England and Wales, as at 31 March 2016
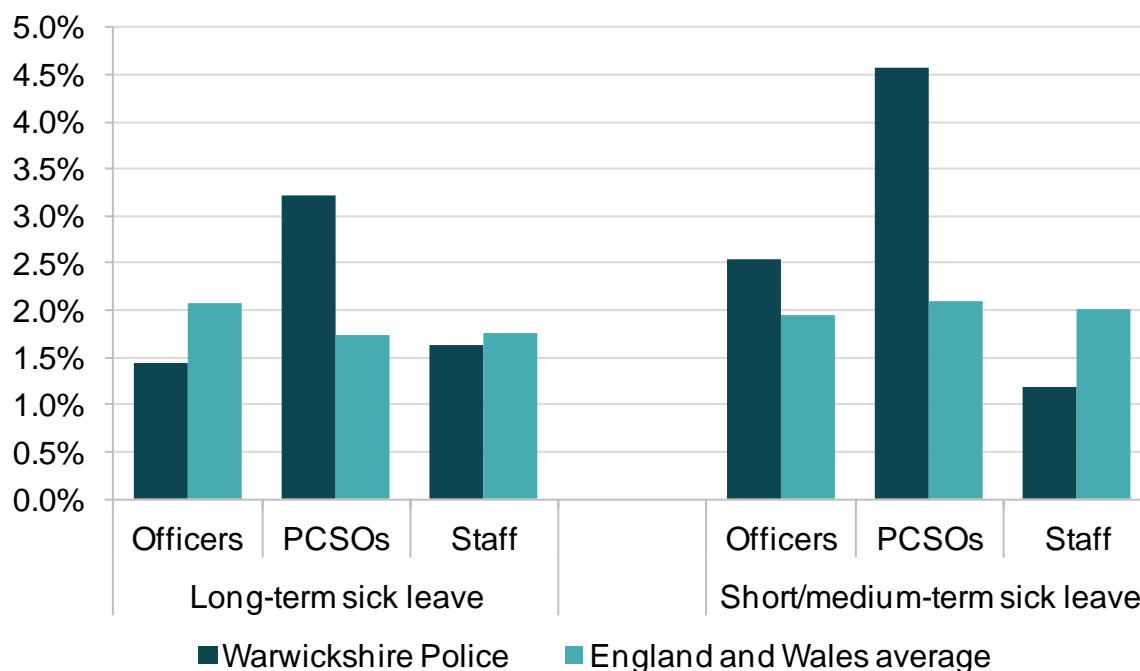
Source: Home Office Annual Data Requirement
Note: Long-term sickness is defined as an absence due to sickness that has lasted for more than 28 days as at 31 March 2016. Due to the total number of PCSOs being small in Warwickshire Police as at 31 March 2016, the percentage of PCSOs on sick leave should be interpreted with caution. For further information about the data in figure 5 please see annex A.

Figure 5 provides data on the proportion of officers, PCSOs and staff who were absent due to sickness on 31 March 2016.

- 1.4 percent of officers were on long-term sick leave, which is lower than the England and Wales average of 2.1 percent.

- 2.5 percent of officers were on short or medium-term sick leave, which is higher than the England and Wales average of 2.0 percent.

- 3.2 percent of PCSOs were on long-term sick leave, which is higher than the England and Wales average of 1.7 percent.

- 4.6 percent of PCSOs were on short or medium-term sick leave, which is higher than the England and Wales average of 2.1 percent.

- 1.6 percent of staff were on long-term sick leave, which is broadly in line with the England and Wales average of 1.7 percent.

- 1.2 percent of staff were on short or medium-term sick leave, which is lower than the England and Wales average of 2.0 percent.

Data in relation to health and wellbeing is monitored at the workforce management group and performance management forum. The force regularly communicates activity to promote health and wellbeing with the workforce. A health and wellbeing microsite has also been developed on the force intranet to provide further information.

Taking preventative and early action to improve workforce wellbeing

The force takes preventative early action to improve workforce wellbeing. Examples include the provision of over 500 health checks in the past 12 months, and the allocation of funding for staff to participate in the Global Corporate Challenge in May 2016. Further examples include its establishment of a peer support network, the provision of mental health master classes and participation in the 'Blue-light' pledge, which is a national drive led by the well known mental health charity on behalf of emergency services to challenge the stigma of mental health and promote well-being. The force has also introduced a stress management policy and has recently reviewed procedures that are put in place when members of staff report sick. Supervisors are now encouraged to demonstrate greater flexibility to accommodate individual circumstances. The force has made significant progress in the past 12 months in reducing absence levels[26] and time off accrued.

How fairly and effectively does the force manage the individual performance of its officers and staff?

College of Policing research on organisational justice suggests that lack of promotion opportunities and not dealing with poor performance may adversely affect workforce perceptions of fairness, which in turn may lead to negative attitudes and behaviours in the workplace.[27] HMIC assessed how fairly and effectively the force manages the individual performance of its officers and staff, including the extent to which the process aligns with guidance produced by the College of Policing.[28]

The performance assessment process

In response to feedback from the workforce in its 2015 staff survey, the force introduced a significant change in the annual 'individual performance assessment' process (PDR), offering staff the opportunity to opt-out. This change was intended to remove unnecessary bureaucracy while ensuring that appropriate checks and

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[26] www.bbc.co.uk/news/uk-35965223

[27] *Fair cop 2: Organisational justice, behaviour and ethical policing*, College of Policing, 2015. Available at:
http://whatworks.college.police.uk/Research/Documents/150317_Fair_cop%202_FINAL_REPORT.pdf

[28] College of Policing guidance on the police performance development review process is available at:
www.college.police.uk/What-we-do/Support/Reviewing-performance/Pages/PDR.aspx

balances were in place to ensure that the development of individual staff members was not overlooked. The chief constable has emphasised that this does not remove the responsibility of supervisors to monitor and review the performance of their staff and agree objectives, or to have regular dialogue regarding their wellbeing and development. However, HMIC found that many of those it spoke with, including some supervisors and managers, believed that the PDR system had been completely removed. The force has now clarified its position in staff circulars.

Despite some uncertainty in the transition to the new PDR system, officers and staff spoke positively about the frequency of discussions with their supervisors about performance matters. HMIC would however, caution against removal of a process that provides the framework for formally recording information regarding workforce health, wellbeing and development.

The results of performance assessment

As the force introduced its revised PDR process in March 2016, it has not yet had the opportunity to evaluate the effectiveness and fairness of these changes. During our inspection we heard from several staff in various roles, ranks and grades who indicated their intention to opt out of the process. The force's approach to continuous professional development (CPD) is currently inconsistent. HMIC found excellent examples of well-motivated supervisors developing the careers of individuals under their charge but this is not the case across the force. The recently appointed head of learning and development is preparing a behavioural framework for promotion and selection processes and will introduce a corporate programme for CPD.

Summary of findings

Good

The force is good at treating its workforce with fairness and respect. It uses several methods to identify the areas that have the greatest impact on workforce perceptions of fair and respectful treatment. In response to concerns raised by staff in a recent survey, the force has made changes that include greater flexibility in minimum staffing levels and fewer alterations to duty rosters.

The workforce recognises the force's commitment to health and wellbeing. The chief constable takes personal responsibility for health and wellbeing and has introduced measures to support healthy lifestyles, including preventative health screening and the refurbishment of gyms. We found a significant focus on mental health, including a peer support network and wellness action plans promoted by the mental health charity, MIND. The force has made good progress in reducing absence levels and time off accrued.

The force recently changed its performance development review (PDR) process to allow staff to opt-out in certain circumstances. Some resulting confusion left some staff believing the PDR had been removed completely. Frontline staff spoke positively of their frequent and productive dialogue with supervisors on performance related matters. However, there is no framework for ensuring that these positive examples are consistently applied across the force.

Area for improvement

- The force should improve how it manages individual performance.

Next steps

HMIC assesses progress on causes of concern and areas for improvement identified within its reports in a number of ways. We receive updates through our regular conversations with forces, re-assess as part of our annual PEEL programme, and, in the most serious cases, revisit forces.

HMIC highlights recurring themes emerging from our PEEL inspections of police forces within our national reports on police effectiveness, efficiency, legitimacy and also leadership. These reports identify those issues that are reflected across England and Wales and may contain additional recommendations directed at national policing organisations, including the Home Office, where we believe improvements can be made at a national level.

Findings and judgments from this year's PEEL legitimacy inspection will be used to direct the design of the next cycle of PEEL legitimacy assessments. The specific areas for assessment are yet to be confirmed, based on further consultation, but we will continue to assess procedural and organisational justice aspects of police legitimacy to ensure our findings are comparable year on year.

Annex A – About the data

Please note the following for the data presented throughout the report.

The source of the data is presented with each figure in the report, and is listed in more detail in this annex. For the source of force in numbers data, please see the relevant section below.

Methodology

Please note the following for the methodology applied to the data.

Comparisons with England and Wales average figures

For some data sets, the report states whether the force's value is 'lower', 'higher' or 'broadly in line with' the England and Wales average. To calculate this, the difference to the mean average, as a proportion, is calculated for all forces. After standardising this distribution, forces that are more than 0.675 standard deviations from the mean average are determined to be above or below the average, with all other forces being broadly in line.

In practice this means that approximately a quarter of forces are lower, a quarter are higher, and the remaining half are in line with the England and Wales average for each measure. For this reason, the distance from the average required to make a force's value above or below the average is different for each measure so may not appear to be consistent.

Statistical significance

When commenting on statistical differences, a significance level of 5 percent is used.

For some forces, numbers described in the text may be identical to the England and Wales average due to decimal place rounding, but the bars in the chart will appear different as they use the full unrounded value.

Where we have referred to the England and Wales average, this is the rate or proportion calculated from the England and Wales totals.

Population

For all uses of population as a denominator, unless otherwise noted, we use the ONS mid-2015 population estimates.

Force in numbers

Workforce figures (based on full-time equivalents) for 31 March 2016

These data are obtained from the Home Office annual data return 502. The data are available from the Home Office's published Police workforce England and Wales statistics, www.gov.uk/government/collections/police-workforce-england-and-wales, or the Home Office police workforce open data tables, www.gov.uk/government/statistics/police-workforce-open-data-tables. Figures may have been updated since the publication.

Projections for March 2020 are budget-based projections and therefore are likely to take into account a vacancy rate depending on a force's planning strategy. In some instances an increase in budgeted posts may not actually indicate the force is planning to increase its workforce. In other cases, forces may be planning to reduce their workforce but have a current high vacancy rate which masks this change.

Police staff includes section 38 designated officers (investigation, detention and escort).

Data from the Office for National Statistics 2011 Census were used for the number and proportion of black, Asian and minority ethnic people within each force area. While the numbers may have since changed, more recent figures are based only on estimates from surveys or projections.

Figures throughout the report

Figure 1: Number of public complaint cases recorded against officers (per 1,000 officers) or staff (per 1,000 staff, including police community support officers) compared with England and Wales, in the 12 months to 31 March 2016

The Independent Police Complaints Commission (IPCC) defines a complaint for the purposes of recording as "an expression of dissatisfaction by a member of the public with the service they have received from a police force. It may be about the conduct of one or more persons serving with the police and/or about the direction and control of a police force". A police complaint can be about more than one officer or member of staff and can refer to one or more allegations.[29]

Data used in figure 1 are data extracted from the Centurion case recording and management system for Police Professional Standards data. We were able to collect the majority of this data through an automated database query, written for us by the creators of the software, Centurion (FIS Ltd). Forces ran this query on their systems

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[29] Guidance on the recording of complaints under the Police Reform Act 2002, Independent Police Complaints Commission. Available at: www.ipcc.gov.uk/sites/default/files/Documents/statutoryguidance/guidance_on_recording_of_complaints_under_PRA_2002.pdf

and returned the outputs to us. This system is used in 41 of the 43 forces inspected. In order to collect the appropriate data from the two forces not using Centurion (Greater Manchester Police and Lancashire Constabulary), they were provided with a bespoke data collection template designed to correspond to information extracted from the Centurion database.

Although the IPCC categories used to record the type of public complaint and the accompanying guidance are the same in all police forces, differences in the way they are used still may occur. For example, one force may classify a case in one category while another force would classify the same case in a different category. This means that data on the types of public complaint should be treated with caution.

Figure 2: Percentage of victims satisfied with overall treatment compared with England and Wales, from the 12 months to 31 March 2011 to the 12 months to 31 March 2016

Forces are required by the Home Office to conduct satisfaction surveys with specific victim groups. Victim satisfaction surveys are structured around core questions exploring satisfaction with police responses across four stages of interactions: initial contact, actions, follow up, treatment plus the whole experience. The data in figure 2 use the results to the question on treatment, which specifically asks "Are you satisfied, dissatisfied or neither, with the way you were treated by the police officer and staff who dealt with you?"

When comparing with the England and Wales average, the standard methodology described above has been used. When testing whether the change in percentage of respondents who were satisfied between the 12 months to 31 March 2015 and the 12 months to 31 March 2016 is statistically significant, a chi square hypothesis test for independence has been applied.

Figure 3: Number of grievances raised by officers (per 1,000 officers) or staff (per 1,000 staff, including police community support officers) finalised compared with England and Wales, in the 12 months to 31 March 2016

The data refer to those grievances that were subject to a formal process (not including issues informally resolved with a line manager). Some of the grievances finalised in this period may have been raised in a previous year. Finalised refers to grievances where a resolution has been reached, after any appeals have been completed. Differences between forces in the number of finalised grievances may be due to different handling and recording policies. Data used in figure 3 were provided to HMIC by individual forces via a bespoke data collection in April 2016 prior to inspection.

Figure 4: Number of rest days in lieu outstanding per officer or police community support officer (PCSO) and the percentage of officers or PCSOs with more than 10 rest days in lieu owed to them compared with England and Wales, as at 31 March 2016

Rest days in lieu are leave days owed to officers or police community support officers when they have been required to work on their scheduled rest day due to operational reasons. Data used in figure 4 were provided to HMIC by individual forces via a bespoke data collection in April 2016 prior to inspection.

Figure 5: Percentage of officers, police community support officers and staff on long-term and short/medium-term sick leave compared with England and Wales, as at 31 March 2016

Long-term sickness is defined as an absence due to sickness that has lasted for more than 28 days as at 31 March 2016. Data used in figure 5 were obtained from Home Office annual data returns 501 and 551. Data on long-term absences can be found in the Home Office police workforce open data tables: www.gov.uk/government/statistics/police-workforce-open-data-tables