PEEL: Police legitimacy 2016

An inspection of Derbyshire Constabulary

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 Derbyshire Constabulary.

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

Force in numbers

Workforce

Total workforce as of 31 March 2016

3,099

Total workforce breakdown as of 31 March 2016

officers	staff	PCSOs
1,766	**1,183**	**149**

Ethnic diversity

Percentage of BAME in workforce 31 March 2016

overall workforce

4.1%

officers	staff	PCSOs
3.5%	**4.6%**	**6.5%**

Percentage of BAME in local population, 2011 Census

6.7%

Gender diversity

Percentage of females in overall workforce 31 March 2016

Derbyshire Constabulary	England and Wales population, 2011 Census
44%	**51%**

Percentage of females by role 31 March 2016

Derbyshire Constabulary

officers	staff	PCSOs
29%	**66%**	**49%**

Public complaints

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

	Derbyshire Constabulary	England and Wales force average
Officers	229	268
Staff (including PCSOs)	32	61

Grievances

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

	Derbyshire Constabulary	England and Wales force average
Officers	4.0	4.8
Staff (including PCSOs)	2.3	6.8

Victim satisfaction

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

	Derbyshire Constabulary	England and Wales force average
	92.9%	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]

Outstanding

Derbyshire Constabulary has been assessed as outstanding in respect of the legitimacy with which it keeps people safe and reduces crime. Our findings this year are an improvement on last year's findings, in which we judged the force to be good in respect of the legitimacy.

The force has strong ethical values. It seeks feedback from the public about how they feel they have been treated by the force and it scrutinises performance information in detail to make sure the public are being treated fairly. The force has an outstanding capability to seek out, detect and react to police corruption. The workforce feel well treated and valued by the force, and able to raise concerns with senior officers.

Overall summary

Derbyshire Constabulary is outstanding in the way it treats the people it serves with fairness and respect. It operates using a clear, well-defined set of values that are thoroughly understood by members of the workforce, at all ranks and grades. The force's values are in line with the Code of Ethics,[4] and emphasise the importance of fair and respectful treatment. A genuinely ethical, values-based culture exists within the force.

 The force seeks feedback from all parts of the community it serves, including those people with less trust and confidence in the police. It is increasing the range of methods used to detect issues that have the greatest impact on the public's perceptions of fair and respectful treatment by the police. The force is fully

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

[4] *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/

committed to working with partner agencies to tackle hate crime and improve support to victims. It is continuing to improve its services by reacting to feedback, and now has a digital police community support officer (PCSO) to help promote faster access to police services and safety information online.

We also found that Derbyshire Constabulary is outstanding at ensuring that its workforce behaves ethically and lawfully. It operates thorough vetting processes, in line with the national police vetting policy, and members of the workforce know when to refer changes in their circumstances to the professional standards department (PSD). Post-employment checks are carried out and cases of vetting failure are reviewed to ensure that people with protected characteristics, such as age, disability or gender reassignment, are not affected disproportionately. The force has developed innovative covert techniques to look for and develop intelligence relating to corruption, making early recognition and intervention possible.

The force fully understands the risk of police officers abusing their authority for sexual gain (taking advantage of their position of power to exploit vulnerable victims of crime), having learned from a local case in 2012. It has a programme of awareness training to emphasise the expectations for the whole workforce if unprofessional behaviour towards victims or witnesses occurs.

Members of the workforce we met told us that they feel that they are treated with fairness and respect. They feel that they can give feedback to the force about concerns they might have and that their views will be listened to. The force has a strong commitment to the wellbeing of its workforce and provides a wide range of occupational health services, covering physical, emotional and mental health.

All staff receive an annual appraisal from their supervisor along with regular performance meetings throughout the year. We found that staff consider the assessments to be fair and that compliance is monitored by the force.

Recommendations

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

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.[5]

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.[6] HMIC assessed the extent to which the importance of procedural justice was reflected in the force's vision and values, and the extent to which it was it was understood by the workforce.

Organisational values

Derbyshire Constabulary operates to a clear, well-defined and thoroughly understood set of values. The force values of integrity, respect, performance, responsibility and innovation are separate from, but complementary to, those listed under the police officer standards of professional behaviour, within the Code of Ethics. The Code of Ethics is less well known to the workforce but is available on the

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[5] *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

[6] *Ibid.*

force website and there was no sign of conflict or confusion caused by this situation. The force's values are known as 'Just think', this being the title of a campaign used to promote them.

Throughout our fieldwork we consistently found that officers and staff, at all levels, can relate to Just think and that a genuinely ethical, values-based culture exists within the force. Just think posters are clearly displayed at all the sites we visited, in public and private areas.

When interviewed, staff could give examples of using the values to challenge others or to judge their own behaviour. Just think has been adopted fully by frontline staff who frequently described to us that they think carefully about what they say, how they look and how they act at all times.

The staff we spoke to feel that the values have promoted an inclusive and honest working environment, like being in a family. Many said how they aim to continue using these values when in contact with the public.

Derbyshire Constabulary's values are in line with the Code of Ethics, emphasising the importance of fair and respectful treatment. The principles are evident throughout the force's policies and operating protocols. Awareness of the values is maintained in several ways: they appear on official documents and are the focal point of the appraisal and selection processes, while messages from the chief constable routinely include interpretation of high-profile or significant events based on the 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 Derbyshire Constabulary were 'other neglect or failure in duty' and 'oppressive conduct or harassment'.[7] It is important to note, however, an issue

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

identified during our 2014 inspection on police integrity and corruption:[8] 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 that there is no definitive way of establishing accurately the number of public complaints about certain behaviours.

Seeking feedback and challenge

The force seeks feedback from across the communities it serves. It is also developing an increasing range of methods to detect issues that have the greatest impact on perceptions of fair and respectful treatment. There is a detailed equality and diversity strategy with associated action plan for the period 2016-20. The plan demonstrates a desire to reach as many people as possible across the community, with early activity under way to seek the views of, and challenge from, protected characteristic groups about how they are treated by the force. To reach across all parts of the community, external reference groups have been established for people with disabilities or people with a hearing impairment to be supplemented by more informal contact with young people and university students. The force will work with and seek advice from staff with protected characteristics and representative networks to refine activity targeted at each group. Progress against the action plan is monitored by the confidence and ethics board.

At the local level, safer neighbourhood teams (SNTs) work closely with local authorities to develop and maintain local community profiles specifically to help identify new and emerging communities. We saw progressive activity in Derby and Shirebrook by SNT staff recognising and establishing links with emerging and minority communities. In Shirebrook, Polish volunteers have been used in an intermediary role to promote communication between the minority group and the police, whether reporting incidents or feeding back compliments or dissatisfaction about service.

Frontline officers complete a form called the 'incident/crime contract' to leave with members of the public after police contact. The form provides comprehensive information about what action to expect from the police, their nominated point of contact and how to reach them, sources of further advice and how to report other information. The form specifically asks for feedback about the quality of service and is printed with a 'Rate My Service' QR code[9] that links directly to an online survey.

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

[9] QR code (abbreviated from Quick Response Code) is a type of matrix barcode that is readable by mobile devices, such as smartphones.

The force continues to send a tailored letter to people who have identified themselves as being from a black, Asian and minority ethnic (BAME) background, who have made contact with the force for seeking assistance. The letter asks if the service they received was satisfactory and for suggestions about what could be done better. In addition to these routes, people can use the force's website to supply feedback and also to register a complaint.

Identifying and understanding the issues

Information about police contact with the public is drawn from a wide range of sources and regularly analysed to identify issues that have greatest impact on the public's perceptions of the police. The confidence and ethics board, chaired by the deputy chief constable and attended by senior leaders, the office for the police and crime commissioner (OPCC) and the independent advisory group (IAG) scrutinises a comprehensive suite of performance information about public confidence and satisfaction. There is particular focus on hate crime and any variances in the confidence or satisfaction rates reported by minority groups.

Each force in England and Wales is required to record the nature of complaint cases and allegations, and to 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 Derbyshire Constabulary compared with England and Wales, in the 12 months to 31 March 2016
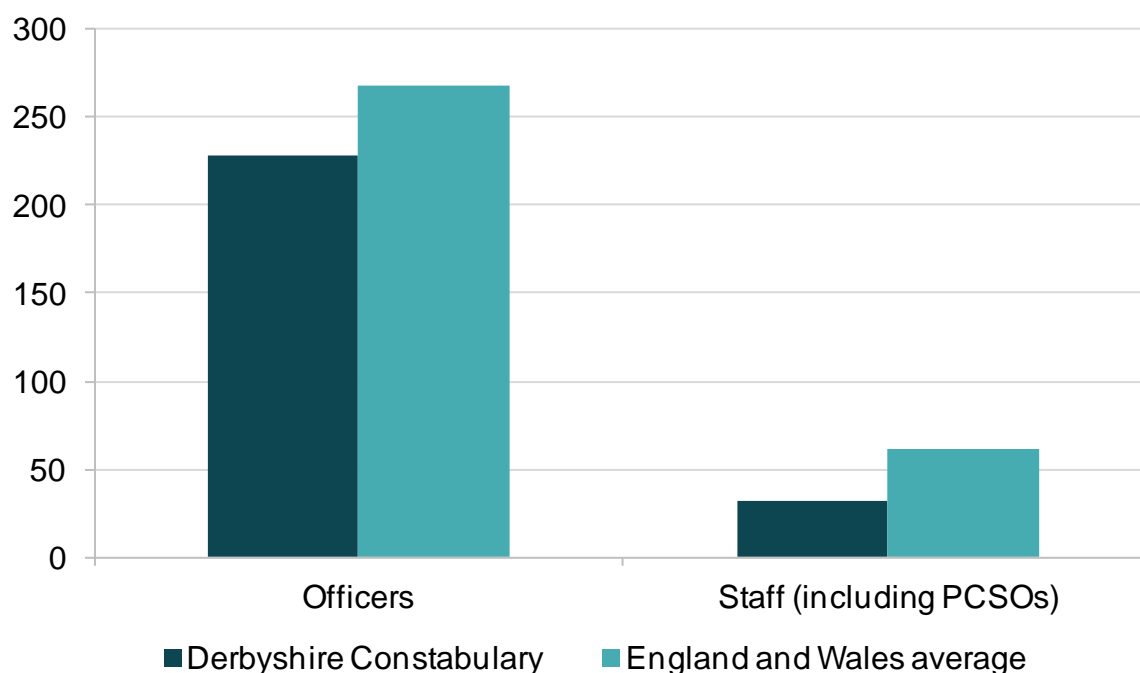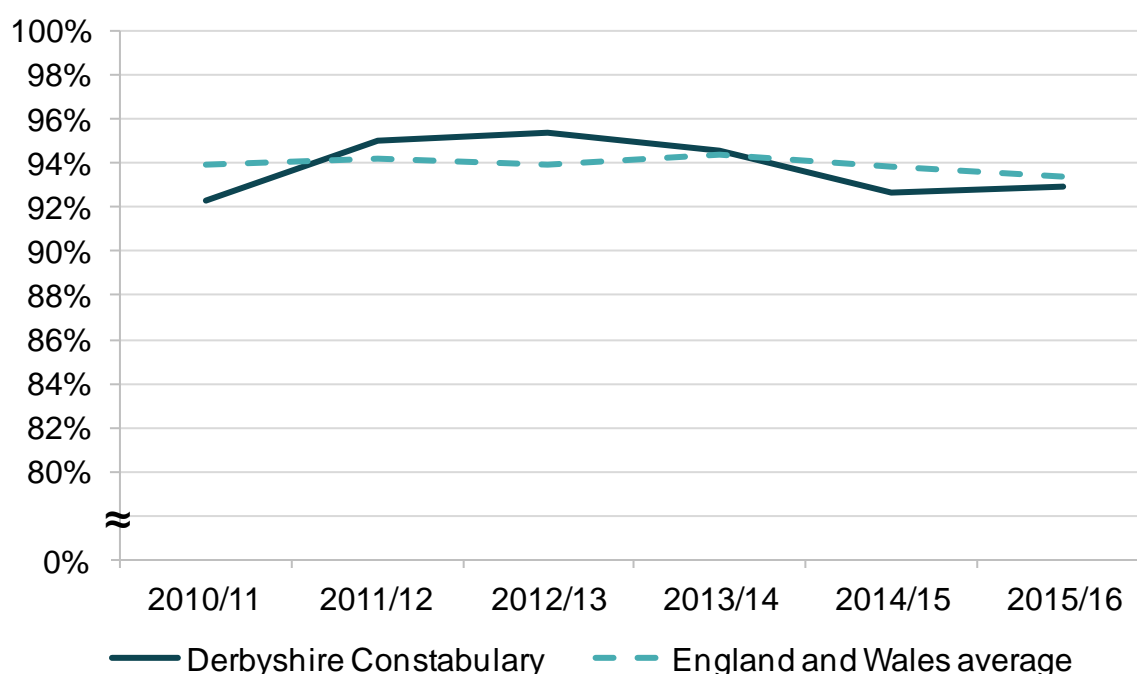

Source: HMIC Legitimacy data collection
For further information about the data in figure 1 please see annex A

In the 12 months to 31 March 2016, Derbyshire Constabulary recorded 229 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 32 public complaint cases per 1,000 staff (including PCSOs), which was lower than 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 Derbyshire Constabulary 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, 92.9 percent of all victims of crime (excluding hate crime) who responded to the victim satisfaction survey were satisfied with the overall treatment provided by Derbyshire Constabulary, which was broadly in line with the England and Wales average of 93.4 percent and higher than the 92.6 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.

The force is developing its survey processes to become social media-based and is working with a company to conduct improved analysis of the information that is returned. Two new posts have been created within corporate communications to

improve understanding of community perceptions about the force. Responsibilities for these posts will include developing the force's website, making it more accessible to a wider range of communities, and identifying opportunities to improve community perception and experiences of police treatment by evaluating online feedback from minority groups.

The force demonstrates a strong commitment to understanding community needs and building confidence in the police. Shirebrook is a small town that experienced a rapid growth of migrant workers from Eastern Europe. The pace and scale of this change strained the local infrastructure and caused the established community to feel overwhelmed. Tensions grew between communities causing increased incidents of crime and anti-social behaviour, protest activity and the advent of unreported violent crimes taking place without the police being called. Local officers listened to the concerns of different elements within the community, each of whom had reduced confidence in the police and a feeling that there was inequity in treatment of different groups by the police. The SNT reacted to this perception of unfairness by actively encouraging people to report all crimes, fully investigating each report and treating suspects, victims and witnesses in a fair and respectful manner. By demonstrating an objective and consistent approach towards everyone involved, trust in the police was rebuilt. The SNT also recruited a police support volunteer to bridge cultural and language gaps, and arranged for engagement events to be held at the factory where many of the migrant community worked.

PSD routinely monitors and analyses data relating to the treatment of people by the force. Trends in complaints, based on demographic and personal characteristic information, are identified and reported to both the confidence and ethics board and the IAG.

There is increased scrutiny of stop and search activity and a subsidiary of the stop search advisory group – the scrutiny panel – looks in detail at records and other data held by the force relating to stop and searches to identify and understand issues and trends. For example, the force has commissioned research to understand better why the disproportionately high number of stop searches involving young Pakistani males – compared with other demographic groups – yield no complaints.

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

The force does seek to learn and improve the way it treats people based on its wide range of feedback and information sources. Force performance in terms of satisfaction is compared with national trends and the cause of any local fluctuation is explored. An example of this is the slight fall in 'ease of contact' coinciding with the introduction of THRIVE [10] in November 2015 through to March 2016. Calls assessed using THRIVE take more time to handle, compared with the previous approach, causing callers to wait longer. Consequently, the force reallocated call-handling staff, and performance, in terms of ease of contact for the public, is improving as a result.

In August 2014, following HMIC's 2013 inspection on the effective and fair use of stop and search powers,[11] the Home Office published guidance to police forces on how to implement the Best Use of Stop and Search scheme.[12] 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[13] considered the extent to which Derbyshire Constabulary was complying with the scheme and found that it did not comply with all features of the scheme. In autumn 2016, HMIC will re-assess the force's compliance with those features of the scheme that it was not complying with in 2015. We will publish our findings in early 2017.

A detailed approach to scrutiny of records by the stop search advisory group has been introduced by the police and crime commissioner. The chief constable has published a detailed action plan for how the force aims to sustain, or improve where necessary, the transparency, accountability and community involvement in use of these powers.

The force has found it difficult to engage with people involved in stop search encounters after the event to understand their perceptions of how they were treated.

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[10] THRIVE – is a structured risk assessment tool used by police forces to inform decisions on the most appropriate response needed. Based on the: threat, harm, investigative opportunities, vulnerability of those involved, and opportunities to engage.

[11] *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/

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

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

To overcome this, the University of Derby has been commissioned to carry out detailed research and analysis into the impact and use of stop and search powers, the results of which are expected in late 2016.

The HMIC legitimacy inspection in 2015 also scrutinised use of Taser and found that not all officers were properly recording their decisions using the National Decision Model in accordance with the College of Policing training. This situation has since been corrected: scrutiny of all Taser use has been increased to beyond the proper recording of decision making and now includes information relating to age, gender and ethnicity for each authorisation or 'use' of Taser, which will be shared with the IAG.

The force benefits from independent custody visitors (ICVs), managed via the OPCC. Findings from their frequent and unannounced visits to police custody centres are presented by the OPCC to the chief constable at the strategic governance board and also published online as part of the meeting minutes. The overwhelming majority of visits to detainees reflect fair and respectful treatment by police staff and officers. In the event of adverse findings, there is a direct line of communication with senior officers responsible for custody facilities and all matters raised are tracked until a satisfactory conclusion is reached. ICVs provide feedback to the officers and staff at the end of each visit and any examples of notable or good practice are shared with senior officers.

The force audits the use of 'other outcome disposals'[14] for crime investigations that result in perpetrators receiving a sanction but not being placed before the court. If the audit process shows that the outcome was not the most appropriate, the case is referred back to the responsible officer's supervisor for management action to be taken.

Satisfaction surveys are also carried out among victims following the use of restorative justice – which is a process managed by the police and involves the perpetrator meeting the victim to explain the full impact of the crime. While satisfaction has been consistently high, the force has found that the levels of satisfaction vary across the county and is taking action to understand the reasons why.

The force participates in a hate crime steering group comprised of multiple public and voluntary agencies that is following a two-year action plan to reduce incidents of hate crime and improve support for victims. The force also operates hate crime scrutiny panels on each division that are chaired by a member of the IAG and meet four times per year. The panels review performance information for hate crime such

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[14] Other outcome disposals, also known as 'out-of-court disposals', allow the police to deal quickly and proportionately with less serious, often first-time offending that could more appropriately be resolved without a prosecution at court. Examples include community resolutions, cannabis warnings, and penalty notices for disorder.

as victim satisfaction and investigation outcomes. This co-ordinated and structured approach means that there is effective co-operation with partner organisations to reach and support people affected by hate crime, who are often vulnerable as well as likely to have less trust and confidence in the police.

Demonstrating effectiveness

The force has demonstrated increased effectiveness after making changes following feedback from minority groups, notably in support of detainees who have hearing impairments and callers who have autism.

Custody processes were improved and a deaf liaison group launched following feedback from a deaf person who had been detained. The person made contact with PSD to complain about their experience in custody and while no discipline matters were found, better provisions for people with hearing impairments were quickly put into place.

A scheme is now in place for autistic people to refer to a specific operational name, which they carry on a police-supplied card, when calling for assistance. Using the operational name alerts call-handlers to the caller's condition and they then take a tailored approach towards the caller.

In October 2015, a hate crime summit was organised and pledges from partner agencies to join with the police in tackling hate crime were obtained. A hate crime community development officer has been appointed and a comprehensive webpage has been added to the force website. The page includes information in other languages, videos and instructions for 'safe use' of the site, which are steps a user of the website can take to prevent other people finding out that they have accessed it.

Increasingly, social media such as Twitter and Facebook are being used by the force to share information in advance of, and in response to, incidents. The force has introduced a digital PCSO role under the 'protect yourself online' initiative. The role makes available a wide range of police services and information in the virtual environment. It is primarily intended to promote safety and crime prevention messages among sections of the community that predominantly use social media rather than traditional forms of media, like radio and newspapers. Activity within this role beyond social media updates includes virtual surgeries, online question and answer events, blogs and sharing video content relating to cyber-crime and online safety, as well as physical presentations to vulnerable and isolated groups in urban and remote locations. As this role matures, the force will gather and analyse data about those using the service, whether by preference or necessity because other forms of contacting the police are beyond reach. Those data will guide the force as to what changes should be made to improve access to police services and how well those services are provided in the opinion of the public, thus improving the force's understanding of the needs of the local community. Following a successful trial period, as judged by the force using figures of 'people reached', which grew from

15,500 in October 2015 to 17,400 by January 2016, a second post has been added to the role so that the service can operate every day and more engagement events can be held.

Summary of findings

Outstanding

Derbyshire Constabulary is outstanding at treating all the people it serves with fairness and respect. It operates to a clear and thoroughly understood set of values that are in line with the Code of Ethics, emphasising the importance of fair and respectful treatment. We found that officers and staff, at all levels, can relate to its values and that a genuinely ethical, values-based culture exists within the force.

The force seeks feedback and challenge from communities across the force area, including those with less trust and confidence in the police. It is also developing an increasing range of methods to detect issues having the greatest impact on perceptions of fair and respectful treatment.

The confidence and ethics board, chaired by the deputy chief constable and attended by senior leaders, the OPCC and the IAG, scrutinises a comprehensive range of performance information covering a wide range of public confidence and satisfaction data. There is a focus towards hate crime and any variances in the confidence or satisfaction rates reported by minority groups. Two new posts have been created within corporate communications to improve understanding of community perceptions about the force.

The force has demonstrated a strong commitment to understanding community perceptions through the long-term engagement and cohesion activity in Shirebrook. Similarly, to reflect changes in how information is accessed by the public across the county, the Digital PCSO allows the force to promote police services and safety information more quickly and to more sections of the local community.

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.[15] 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.[16]

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.[17]

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.[18] 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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[15] *Integrity matters*, HMIC, January 2015. Available from:
www.justiceinspectorates.gov.uk/hmic/publications/integrity-matters/

[16] *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

[17] *College of Policing: Authorised Professional Practice on vetting.* Available at:
www.app.college.police.uk/app-content/professional-standards/vetting/
[18] *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

The force operates thorough vetting processes, in line with the national police vetting policy,[19] and provides details to the College of Policing about disapproved officers. All the officers and staff whom we asked about vetting are aware of their status and are confident about when to refer changes in their circumstances to PSD. Members of the workforce are routinely vetted again when moving to new roles that require higher levels of clearance. The force have also chosen to sustain the number of people who hold management-vetted status above the minimum necessary to provide resilience in the event of short notice changes in post – or other unforeseen circumstances – without generating a risk of having to use staff without suitable vetting levels.

All applicants to the force, in common with established staff, have a record created within the local human resources IT system, 'Gateway', which includes protected characteristic details. Results of vetting are noted in Gateway records. Protected characteristic details are not sought for the purposes of vetting so it is only after vetting and updates made to Gateway that analysis can be carried out. The force does monitor vetting outcomes for trends and is developing an enhanced method to analyse those outcomes for less obvious patterns. It also seeks to determine if people with protected characteristics are disproportionately failing vetting. A process has been adopted for cases of vetting failure for people with protected characteristics to be referred to the deputy chief constable to make an informed decision based on the cause of the failure and any reasonable mitigation measures that can be taken to allow vetting to be passed.

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.

Clarifying and reinforcing standards of behaviour

Throughout our inspection we received a resounding message from all staff about an ethical culture and value-based behaviour in the force. Under the Just think approach to the force values, staff are confident about identifying and challenging unacceptable behaviour. The force creates consistent messaging about its values. This includes publishing the outcomes of misconduct hearings in force orders with a description of how the behaviour fell below the expected standard, messages from

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[19] ACPO / ACPOS National Vetting Policy for the Police Community, Association of Chief Police Officers, 2012. Available from: www.northants.police.uk/files/documents/Freedom Of Information/ac^ACPO National Vetting Policy.pdf
 ACPO is now the National Police Chiefs' Council.

the chief constable referring to practical applications of the values, wide distribution of the IPCC 'Lessons learned' journal, and reminders about correct practice from PSD reach staff through pop-up messages and screen savers – with message themes changing regularly and recent examples being 'What is a notifiable association?' and 'Registering business interest'.

There was no indication that application of the values varied across the ranks, and leaders are expected to be role models, in all respects. PSD staff described having easy access to chief officers' diaries and the gifts and hospitality registers.

PSD is held in positive regard by the workforce and staff were described as helpful and supportive whenever approached. All the staff we spoke to were familiar with the confidential 'bad apple' reporting process, although, in turn, most felt they would be comfortable to make a direct approach to PSD to report inappropriate behaviour. In addition to staff being confident to recognise and challenge unacceptable behaviour, they know when and how to report business interests and notifiable associations.

All new entrants to the organisation, irrespective of role and including volunteers, receive a presentation from PSD at their point of induction which includes unconscious bias, ethical decision making and reaching judgments about behaviour in public office. A section of this presentation uses the 'ethical dilemma' approach to resolving potentially difficult situations that might arise in the conduct of regular police duties.

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.[20] 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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[20] *Integrity matters*, HMIC, January 2015. Available from:
www.justiceinspectorates.gov.uk/hmic/publications/integrity-matters/

Identifying and understanding risks to integrity

The force has a comprehensive and detailed counter-corruption unit strategic priorities control strategy, with 57 separate lines of activity that are each the subject of a risk assessment status. Those activities are aggregated across nine distinct areas and each has been given an operational name and responsible officer. The force plays a significant role supporting national forums for counter-corruption, and makes frequent use of, and contributions to, the College of Policing online forum (called POLKA), a secure online collaboration tool for the policing community to network, ask questions, share insights, discuss ideas and suggest new ways of working.

There is a dynamic approach identifying and understanding risks related to the integrity of the organisation. This is evidenced in several ways. In terms of vetting, following the outcome of any misconduct investigation, a vetting review takes place in light of that outcome, any new information revealed during the investigation and what measures are necessary for the person to return to full duties. Similarly, vetting implications are considered in response to intelligence received by the counter-corruption unit.

That approach extends to applications for business interests, whether supported or refused. In every case, an applicant's performance and attendance is researched as part of the decision-making process. In the case of refusals, further investigative activity is routinely carried out to form a judgment on whether the applicant continued with the business interest without permission. When applications are granted, there is also follow-up activity, after 12 months, usually by the original investigating officer. The follow-up action includes referral to force systems to identify any adverse attendance or performance issues, and there is direct contact with the staff member to seek any changes in circumstances, or foreseeable changes in the next 12 months.

We found it to be widely known among the workforce that use of all ICT systems and social media is monitored to ensure compliance with strict policies. PSD has full capability to track activity across all ICT systems, force-issued personal devices and other assets, such as credit cards and vehicles. When suspicious trends or behaviour are identified, full details of system use are easy to retrieve and cross-reference by PSD. Information security is one of the counter-corruption unit strategic priorities, with specific lines of activity, nominated responsible officers, and a plan in place to mitigate risks associated with the force moving between existing and new ICT systems during 2016.

The force has made a positive response to the recommendation in HMIC's police integrity and corruption report: "Within six months, the force should work with the EMSOU (East Midlands Special Operations Unit) to ensure that there are proactive counter-corruption processes in respect of all staff posted to the EMSOU."

Arrangements have been formalised between all the EMSOU contributing forces for lead force responsibility for each investigation, auditing of corporate credit card use, best practice in regards to allocation of, and tax arising from, company cars, institution of registers for gifts, gratuities and hospitality, provision of online training and access to host force IT systems so that seconded staff receive circulated messages about ethical standards.

Intervening early to manage risks to integrity

PSD routinely looks across many areas of force activity and business to identify any potential or ongoing activity that represents a risk to the integrity of the organisation. The force counter-corruption unit attends organised crime group management meetings and is well placed to identify risks to the integrity of the force during the course of investigations. It can therefore intervene at the earliest opportunity.

We heard examples of how staff found to be vulnerable to corruption have been supported and helped to amend their lifestyle or personal circumstances. Different approaches were used in each case, with actions ranging from a professional discussion about information previously unknown to the officer through to formal management action to deal with unprofessional behaviour.

PSD routinely conducts 'lessons learnt' exercises, from local and other forces' cases, to develop its evidence base for judging its own skills gaps, identifying emerging trends, new techniques or procedural matters, and setting the content for messages to the workforce.

An 'integrity matrix' has been developed to assess practices and behaviour against a series of recommendations and best practice gathered from Transparency International, IPCC publications, HMIC reports and Nolan's 'Seven principles of public life'. As a direct result of this assessment framework, PSD is taking a more prominent role in procurement decision making. Another recent development has been the 'service confidence' policy, used to manage the re-integration of staff subject to gross misconduct proceedings who are not dismissed, while maintaining confidence in the service they provide – for example, where the gross misconduct involved the use of IT systems, by restricting access to those systems.

Looking for, reporting and assessing intelligence on potential corruption

There are effective processes within PSD for intelligence to be received, assessed and shared across units, such as those carrying out vetting or counter-corruption operations. That intelligence is generated from many sources, such as information security applications within the force's ICT systems that identify suspicious patterns of computer use or the force's 'bad apple' confidential reporting line, the Crimestoppers programme (which enables anonymous reporting of information about corruption) and other public-facing methods, such as the direct dial telephone line shared with vulnerable groups.

The force has developed innovative techniques to look for and develop intelligence about potential corruption, including outreach work with staff and other people directly linked to vulnerable groups within the local community about how to recognise and confidentially report potential corrupt activity.

Regular contact is made with women's refuges, domestic abuse practitioners, sexual violence case-workers, and sex industry workers' groups and venues to build trust and confidence that reports of inappropriate behaviour by police officers and staff – or those purporting to be – are taken seriously and fully investigated in a manner that is sensitive to the circumstances of the person making the report. In an effort to introduce greater trust among sex workers, visits and other contacts are carried out in conjunction with an independent support worker. A dedicated telephone number, outside the force telephony system, is given to members of the public who do not wish to engage through traditional channels with the police, for instance sex workers, to provide intelligence or information. The force does also encourage use of Crimestoppers for submission of intelligence about corruption.

The process for managing intelligence within PSD is professional and fully effective. The bad apple confidential reporting system is well known among the staff and, in the opinion of PSD, used well. There is no restriction on the nature of information that can be sent via bad apple, with all submissions subject to evaluation and cross-referenced with other systems as appropriate. The force is updating and reviewing its policy for supporting confidential informants, 'whistleblowers', to bring it alongside national best practice. While there have been very few instances of this process being called on for corruption cases, the force is determined that its approach will match national best practice and provide absolute assurance of confidentiality for the reporting party.

The force policy for recruitment and selection clearly states that biometric screening and drug testing will be considered as part of any application process. Similarly, the force supports its substance misuse policy through intelligence-led and 'with cause' drug testing of the workforce, which we found to be aware of that policy and tactic.

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.[21] 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[22] – 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.23 HMIC's 2015 report Integrity matters24 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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[21] *The abuse of police powers to perpetrate sexual violence*, jointly published by the 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

[22] 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

[23] 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 on three years of intelligence reports on possible corruption gathered by forces in England and Wales, supplemented by information from other forces and national agencies.

[24] *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 does recognise abuse of authority for sexual gain as serious corruption, with a strategic priority listed in its counter-corruption control strategy dedicated to that specific issue. The associated action plan incorporates nine streams of activity to detect and deter such behaviour within the workforce as well as to establish links with external groups that are most likely to be affected. The force has drawn on its own experiences and material from the IPCC and national practitioner groups to develop a Just think workforce awareness campaign entitled 'Knowing your boundaries'.

We found that the confidence of staff to recognise warning signs and behavioural indicators linked to abuse of authority for sexual gain to be varied. At the time of our fieldwork, many officers and staff could not recall having training on this subject. However, that gap in knowledge is being addressed by the force through the Just think campaign. Ethical decision-making training is under way for supervisors to help them recognise when professional boundaries are being crossed by staff with victims and witnesses, and the behaviours by staff that could be indicative of staff abusing their powers for sexual gain.

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

The force has developed proactive and effective methods to seek and receive intelligence from vulnerable elements of the community. They have sought to extend contact as far as possible across the community through statutory partners at formal events such as MARAC[25] (HMIC footnote) – where safeguarding plans for high-risk domestic abuse cases are set – and at support centres catering for specific minority communities in recognition that instances of domestic abuse are not always reported and that some communities have less trust in the police.

In harmony with efforts to encourage reporting, techniques have been improved to analyse the use of force ICT systems by staff to detect trawling for vulnerable people's details, recognise patterns in workload that suggest that staff are targeting their activity to bring them into contact with particular groups, and monitor social media, such as dating apps and online forums for inappropriate use by staff. The force has also adjusted the handling of public complaints, with the counter-corruption unit taking primacy for investigations that make reference to sexual impropriety.

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[25] MARAC is a multi-agency safeguarding hub in which public sector organisations with common or aligned responsibilities in relation to the safety of vulnerable people work; comprise staff from organisations such as the police and local authority social services, who work alongside one another, sharing information and co-ordinating activities to help protect the most vulnerable children and adults from harm, neglect and abuse.

Taking action to prevent abuse of authority for sexual gain

The force's 'Knowing your boundaries' campaign to prevent abuse of authority for sexual gain includes presentations that have been tailored to the circumstances of each audience, training events for supervisors, circulation of online material and themed messaging on the intranet and chief constable's blog. The campaign is accompanied by a training video for all staff that recreates a routine interaction between an officer and a victim of crime. As the scenario in the film develops, the officer crosses the boundary of a professional relationship and the story continues by showing the consequences of the officer's behaviour. Further content in the video includes the expectations of supervisors and how they must intervene in similar circumstances.

PSD gives presentations to all newly-appointed constables – including specials, police staff and recently appointed detectives – as part of its accreditation programme. Joint messages from PSD and the Police Federation have been sent to the workforce on this subject, making clear what constitutes a professional boundary and the consequences of breaching them.

Training for supervisors is set in the context of how to recognise and react to indicators in staff behaviour. Supervisors are guided on how to build a picture of the way their staff operate and whether they uphold the standards of the force. This includes recognising triggers in their behaviour – such as the types of work they gravitate towards, understanding that informal conversation and use of nicknames can be indicative of inappropriate practice and attitudes – and checking with victims and witnesses that contact is kept to within acceptable and legitimate boundaries.

Local understanding of the impact and nature of this type of behaviour is drawn from the conviction for misconduct in public office, in 2012, of PC Jasbir Dhanda. He was sentenced to two and a half years in prison after being found guilty of six charges relating to his actions to identify a vulnerable woman in his policing, misusing the force computer records and having sex with her while on duty over a period of several years. The case was widely reported in the local and national media with the full support of the force, which wanted to promote transparency and its commitment to investigate and bring to justice offenders from within the force.

Building public trust

The PSD control strategy uses organisational learning form the PC Dhanda case and balances the need for effective internal processes to prevent, or detect, cases with the necessity to sustain the trust and confidence of the public. Following that case, an assessment was carried out to understand the impact on trust and confidence in the police within the communities most directly affected. That assessment led directly to the development of the outreach and preventative work with community support groups and increased engagement with the officer's ethnic minority community, which had also suffered as a result of his actions.

For all misconduct cases, a media strategy is developed between PSD, chief officers and the force's communications team. While there have been no cases of similar type to that of PC Dhanda, other cases involving the dismissal of officers have been subject of a transparent and co-operative approach to media coverage: chief officers making clear in each case the standards expected from all members of the force and emphasising that trust in the police, by the community, is paramount.

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.[26] 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.

Working with the public

The force publicises forthcoming misconduct hearings on its website and provides comprehensive information about police regulations, the purpose and potential outcomes from hearings and how the public can apply to attend open hearings. The schedule of open hearings includes date, time, location and rank of the officer involved, and the website also gives clear direction about what items may be brought in to the hearing by members of the public and the expected standards of behaviour once inside. Following the conclusion of hearings, a press release is made and, when relevant, the list of officers dismissed is updated to provide the officers' rank and a short description of the breach of regulations. However, this does not include police staff.

The force website is regularly updated with information about chief officer's expenses and hospitality. Information is also available via the website relating to the business interests of all staff. However, the most recent listing dates from November 2013 and the force should update this to reflect business interests of the current chief officer team.

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

Working with the workforce

Information is always circulated around the workforce, in 'Chief's Orders', about all misconduct outcomes and includes the officer's name – unless it is withheld for exceptional circumstances. Sufficient detail is provided for staff to understand how the behaviour has fallen below the expected standard and the basis for the outcome. We spoke to staff across the workforce who confirmed that information is quickly and widely shared about misconduct hearing outcomes. They are able to set the behaviour in context, from the details shared, and more generally find it valuable that messages from the chief constable, via his blog, often draw parallels between the Just Think principles and events of local or national interest, such as public enquiries or outcomes from investigations by other forces.

Summary of findings

Outstanding

The force is outstanding at ensuring that its workforce behaves ethically and lawfully. It operates thorough and appropriate vetting processes. All officers and staff we spoke to about vetting are aware of their status and know when to report changes in their circumstances. Vetting aftercare is carried out and trends in vetting failures are monitored. A new process reconsiders vetting failures of people with protected characteristics. Decisions about applications for business interests take into consideration a wide range of information and refusals are followed up to ensure compliance.

The force has developed a wide range of techniques to gather and develop intelligence about corruption, including sophisticated monitoring of force ICT systems, work with support groups for vulnerable members of the community and confidential reporting methods for those communities.

The force has responded positively to HMIC's police integrity and corruption report recommendation and a comprehensive counter-corruption strategy is in place. The force has developed innovative covert techniques to look for and develop intelligence, specifically in areas of police duties that involve contact with the most vulnerable members of society.

The force has built on local experience of an officer abusing his authority for sexual gain and learned from lessons elsewhere to inform an awareness programme on appropriate behaviour.

The force publicises forthcoming misconduct hearings on its website, which includes detailed information about attending open hearings, and takes a proactive approach to sustaining public confidence during misconduct cases.

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.[27] 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.[28] 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.

Identifying and understanding the issues

The force seeks to identify and understand the issues that impact on their feelings of fair and respectful treatment through a forcewide survey, chief officer presentations and online methods to raise questions. During 2015, the force held 40 TalkBack events, which were open to all staff and hosted by chief officers, with more

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[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 *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

[28] *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

scheduled throughout 2016. The events open with a chief officer presentation about the Just Think principles, the role of leaders and changes happening in the force. An open session is included to encourage attendees to ask chief officers questions. While these events give staff access to chief officers, it is not clear if feedback or questions from attendees are recorded and used to understand workforce sentiment.

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 the workforce is 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 Derbyshire Constabulary finalised compared with England and Wales, in the 12 months to 31 March 2016
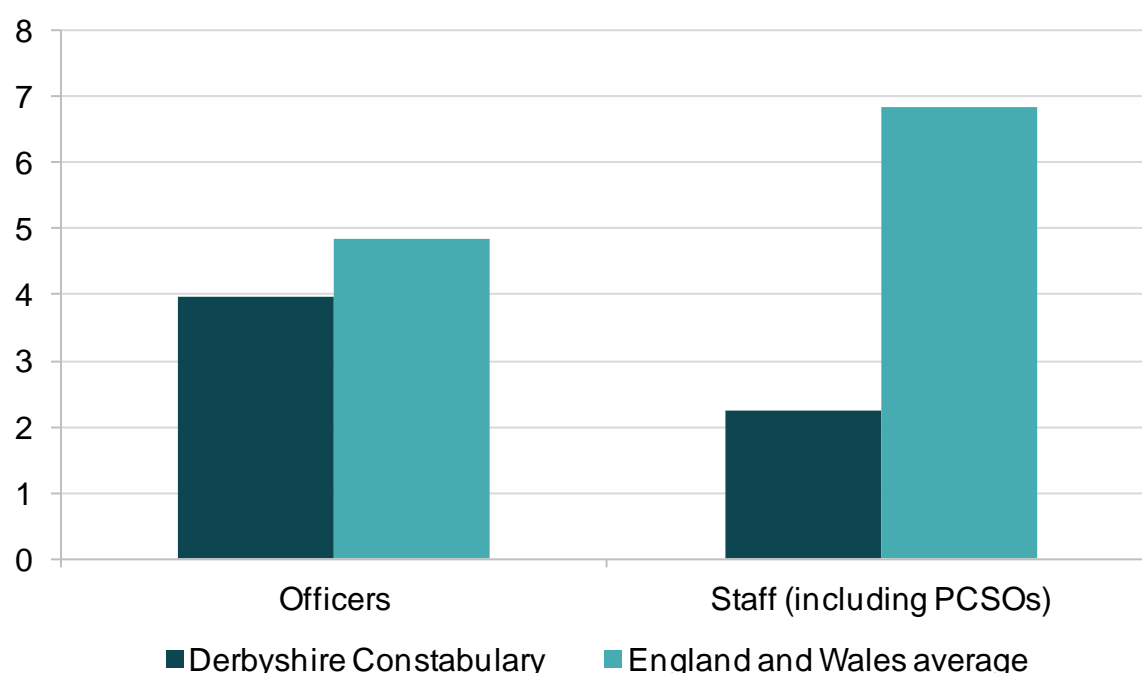
Source: HMIC Legitimacy data collection
For further information about the data in figure 3 please see annex A

In the 12 months to 31 March 2016, Derbyshire Constabulary finalised 4.0 formal grievances raised by officers per 1,000 officers, which was broadly in line with the England and Wales average of 4.8 per 1,000 officers. During this period, the force finalised 2.3 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).

The force's last workforce survey, 'Viewpoint', had been conducted in mid-2015 and achieved a 39 percent completion rate. The survey was open to all staff, including volunteers. We understand that the results were analysed and any concerns raised by staff were passed to the management teams responsible for the relevant

business areas. We did not hear of targeted use of surveys among the workforce such as to assess the impact or opinions of the workforce following organisational changes.

Members of the workforce can supply feedback to and receive a response from senior leaders via the 'Challenge' intranet site, and the 'Star' staff suggestion scheme is also available for staff to submit ideas for change. We found that staff are aware of both and prepared to make use of them.

The force is committed to a significant change programme in 2016, entitled the 'moving forward operational review (MFOR) that will bring about a new frontline policing structure, alongside the roll-out of new ICT systems to support operational activity, and, the growth of units to deal with safeguarding vulnerable people. During our fieldwork, three months prior to the first of the changes coming in to effect, members of staff were aware that significant changes were scheduled but could describe little of the detail, expressing some concerns about the impact and amount of consultation so far. We understand that an internal communications plan is in place that includes a rolling timetable for making announcements, with the chief constable due to brief the workforce in July and the deputy chief constable due to deliver a total of 22 briefings to frontline officers and staff prior to the changes.

Making improvements and demonstrating effectiveness

Members of the workforce we interviewed said that they feel treated with fairness and respect by the force primarily on the basis of positive, inclusive and open relationships that exist between staff and leaders. We spoke to a wide range of the staff representative associations, including protected characteristic networks, who all feel included in decision making and described the chief officer team as open to negotiation and feedback about matters of concern or organisational changes. The results of the 2015 Viewpoint survey were circulated to the workforce via the intranet, and included messages from the chief constable on improvements and next steps. However, among the staff we spoke to, we found there was no knowledge of how the 2015 Viewpoint survey results were interpreted or applied, with none recalling any communication describing changes that had been made as a result of the survey.

While the force does seek the views of staff and there are open channels for communication with senior leaders, there is not a co-ordinated process for demonstrating how that information is used and what changes are made as a consequence.

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

Derbyshire Constabulary demonstrates a strong commitment to the health and wellbeing of the workforce. The deputy chief constable leads a health and wellbeing group, attended by senior leaders from human resources, divisions, departments and staff representative groups. The group operates to a clear set of priorities, which places the maintenance and improvement of physical and emotional wellbeing at the heart of their plans. A health and wellbeing action plan is in place with ten distinct lines of activity to support the provision of services, both preventative and reactive, that meet the needs of the workforce. The plan has used management information, such as causes and length of absence from work, and drawn on best practice from other forces.

The force receives occupational health services from the East Midlands Collaborated Human Resources Services (EMCHRS), a unit shared with neighbouring forces,[29] and is working with external providers for emotional and financial counselling, and mental and physical health care.

Identifying and understanding the workforce's wellbeing needs

The force is continually developing its evidence base for understanding the threats and risk to workforce wellbeing. The health and wellbeing group is improving and encouraging use of stress risk assessments, seeking national best practice to develop mental health screening for staff applying for high-risk roles, gathering expert advice from the mental health charity MIND about managing absences caused by mental ill -health, and, improving the quality of material recorded in relation to sickness absences to allow better analysis of management information.

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

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[29] Leicestershire, Northamptonshire and Nottinghamshire.

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 Derbyshire Constabulary compared with England and Wales, as at 31 March 2016
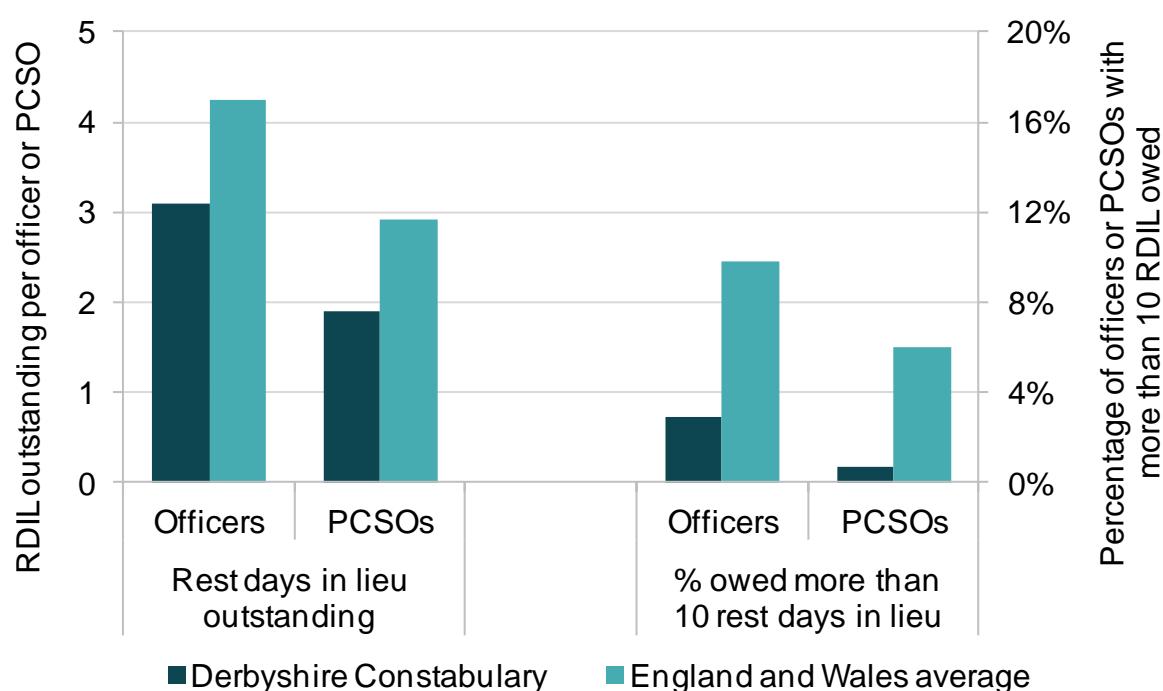
Source: HMIC Legitimacy data collection
Note: For some police forces data about the number of rest days in lieu outstanding are estimated from data on hours owed. For further information about the data in figure 4 please see annex A.

As at 31 March 2016, there were 3.1 rest days in lieu outstanding per officer in Derbyshire Constabulary, which was broadly in line with the England and Wales average of 4.2 days per officer. On the same date, there were 1.9 rest days in lieu outstanding per PCSO in the force, which was broadly in line with the England and Wales average of 2.9 days per PCSO. As at 31 March 2016, 2.9 percent of officers in Derbyshire Constabulary 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. As at 31 March 2016, 0.7 percent of PCSOs in the force had more than 10 rest days in lieu owed to them; the England and Wales average was 6.0 percent of PCSOs. The data on PCSOs did not allow a comparison with the average.

The health and wellbeing group is also the governance process for the force to monitor workforce health and wellbeing issues and carry out improvement activity. The group reviews management information to determine sickness hotspots and

trends, monitors spending from the medical intervention budget and has overseen the simplification of processes for assessment of staff by the occupational health unit.

We spoke to staff across the force and found they hold a positive view about the services available to them. We were given several examples for when staff had been supported through difficult times and received treatment for both physical and emotional issues. Staff also know how to access services and would not be reluctant to seek assistance. The experience of the staff we spoke to was supported by financial information supplied by the force relating to the use of external medical services, up to January 2016. This showed 48% of expenditure had been for therapeutic psychological support and 11% for counselling services, with the remainder spread across physical injury diagnosis and treatment. This confirms that the force understands what services are required, and that those needs are being met.

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 Derbyshire Constabulary compared with England and Wales, as at 31 March 2016
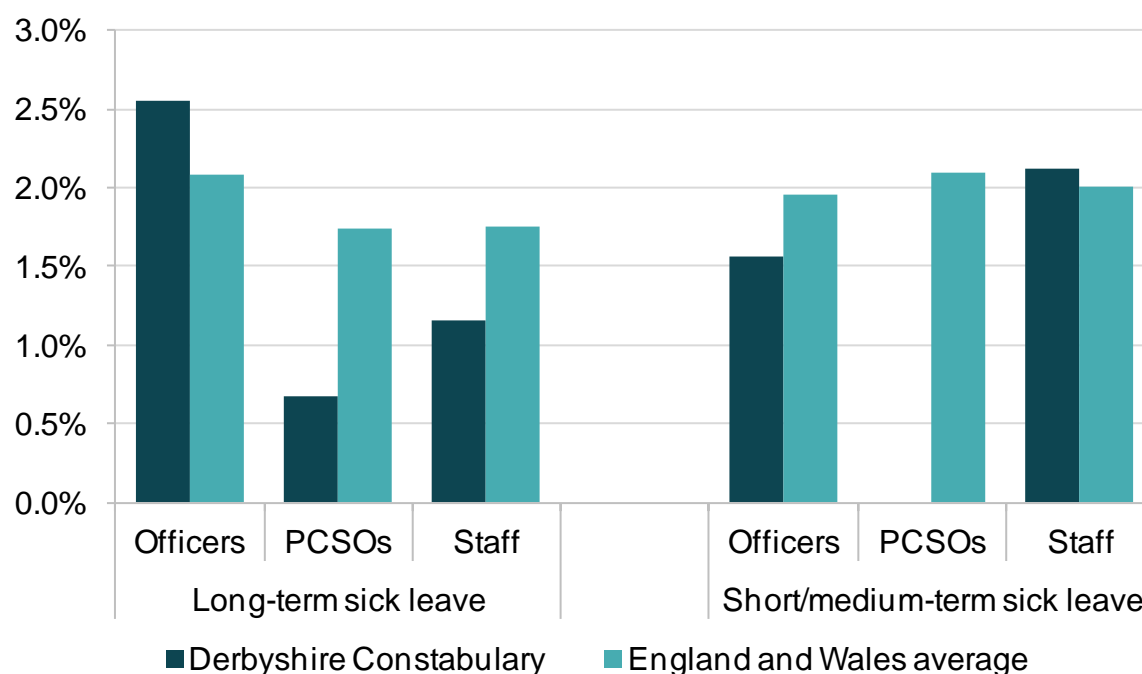
Source: Home Office Annual Data Requirement
Note: Long-term sickness is defined as an absence due to sickness that has lasted for more than 28 days as at 31 March 2016. For further information about the data in figure 5 please see annex A.

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

- 2.6 percent of officers were on long-term sick leave, which is broadly in line with the England and Wales average of 2.1 percent.

- 1.6 percent of officers were on short- or medium-term sick leave, which is broadly in line with the England and Wales average of 2.0 percent.

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

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

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

- 2.1 percent of staff were on short- or medium-term sick leave, which is broadly in line with the England and Wales average of 2.0 percent.

Taking preventative and early action to improve workforce wellbeing

The force recognises the value of preventative activity to promote wellbeing, sending out regular awareness messages to be circulated across the force about health and wellbeing every month. Recent examples include understanding the menopause, how to quit smoking and mental health awareness. Local initiatives have taken place, such as fitness sessions to encourage maintenance of a healthy lifestyle and events with Police Mutual to provide health screening and wellbeing assessments.

The force has recently started to use new training packages for supervisors about emotional resilience and mindfulness, developed in co-operation with external experts. The training is designed to equip supervisors for recognising when staff are suffering through stress and how to help their staff devise plans to avoid or overcome the causes of stress at the earliest opportunity. The training promotes mental health welfare in its broadest sense, not being confined simply to roles or situations in the workplace, reflecting that stress leading to absence from work can be caused by issues away from work.

The health and wellbeing group is exploring additional opportunities for preventative action, such as training staff to become mental health first-aiders and instituting the TRiM[30] process to identify staff that may need counselling or psychological support to prevent the longer-term problems, such as post-traumatic stress disorder,

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[30] Trauma risk management.

following incidents. The force also supports an active and well-regarded chaplaincy service, which received consistent praise from frontline staff we spoke to for supporting their wellbeing.

The force recognises the adverse consequences for the wellbeing of staff removed from the workplace for extended periods. It has adapted its existing practice of designating colleagues to maintain welfare support for long-term sickness absence cases to now include people involved with misconduct cases.

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.[31] 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.[32]

The performance assessment process

The force has an explicit expectation that all staff receive an annual appraisal and carry out a professional development review (PDR) with their supervisor. The PDR process is carried out between 1 April and 31 May every year and the force monitors submission of the relevant online forms to assure full compliance. The PDR form is the same for the entire workforce and is straightforward in design, with commentary sections from the individual, their supervisor and a sign-off section by the second-line supervisor. The role of second-line supervisors is to moderate the content of appraisals across all their staff to confirm that the comments are fair and judgments are consistently applied. To support the PDR process, staff and supervisors are expected to have a series of meetings at regular intervals through the year. We found these did occur, but varying in frequency between monthly and half-yearly.

The PDR forms, which display the force values, include the recording of personal objectives, development requests and career aspirations. While the forms fulfil the need to record appraisals, they are not part of a dynamic system to analyse

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[31] *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

[32] 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

performance, identify training needs or highlight exceptional staff across the workforce. The force is not fully exploiting the opportunities presented by this well-established and adhered-to policy.

The results of performance assessment

The appraisal system uses a competency-based assessment framework to track and record the performance with clear expectations for the role of supervisors in assessing staff performance. However, the message we received from staff was that PDRs are seen as a necessary force procedure as opposed to being clearly linked to achieving career or development needs. Data supplied by the force about the most recent Viewpoint survey in 2015 showed that respondents overwhelmingly (77 percent) disagreed with a statement that they considered the process to be of value. While the staff whom we spoke to do not perceive the system as valuable, we heard no criticisms in terms of the fairness of the performance assessments written by supervisors.

The force does encourage professional and personal development outside the PDR process, with talent management schemes in place across the force and increasing access to psychometric testing, 360 feedback and mentors. In addition, the detective establishment panel has become increasingly effective in creating career pathways for investigators. Officers no longer have to move out of investigative roles after achieving promotion, and there is greater flexibility to develop skills and experience by moving between investigative teams.

The force operates adequate processes to address unsatisfactory performance. Supervisors are expected to develop action plans for staff whose performance falls below the expected standard. The force has an unsatisfactory performance process that is used for protracted or significant underperformance, and these cases are monitored by superintendents and human resources specialists for their necessity, proportionality and fairness. In the case of disagreement about performance, the force uses trained staff to negotiate and arbitrate via a process called 'workplace dispute resolution', which aims to avert escalation and resolve disputes. This process does not replace the grievance procedure but is seen as a pragmatic step in reaching an acceptable result for all parties without recourse to staff lodging a grievance.

Summary of findings

Good

The force is good at treating its workforce with fairness and respect. It seeks to identify and understand the issues that impact on staff feelings of fair and respectful treatment. A whole-workforce survey happened in 2015. However, staff whom we spoke to are not aware of changes resulting from the survey.

The force demonstrates a strong commitment to the health and wellbeing of the workforce and is continually developing its understanding of the threats and risk to these.

Preventative activity to promote physical and mental wellbeing is happening and new training packages for supervisors about emotional resilience and mindfulness have been developed in co-operation with external experts.

The force has arrangements in place for all staff to receive a PDR with their supervisor every year but PDRs are not linked to a system to analyse performance or identify training needs across the workforce. Staff consider that PDRs are necessary as opposed to being valuable. The force has improved career pathways for detectives and increased provision for self-development through psychometric testing and mentoring.

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.[33]

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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[33] *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