



Promoting improvements
in policing to make
everyone safer

PEEL: Police legitimacy 2016

An inspection of Surrey Police



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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.

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%20FINAL_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 Surrey Police.

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

Force in numbers



Workforce

Total workforce as of 31 March 2016

3,649

Total workforce breakdown as of 31 March 2016

officers	staff	PCSOs
1,938	1,592	119



Ethnic diversity

Percentage of BAME in workforce 31 March 2016

overall workforce

3.9%

officers

3.6%

staff

4.1%

PCSOs

6.3%

Percentage of BAME in local population, 2011 Census

9.6%



Gender diversity

Percentage of females in overall workforce 31 March 2016

Surrey Police
45%

England and Wales population, 2011 Census

51%

Percentage of females by role 31 March 2016

Surrey Police
officers
33%

staff
58%

PCSOs
51%



Public complaints

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



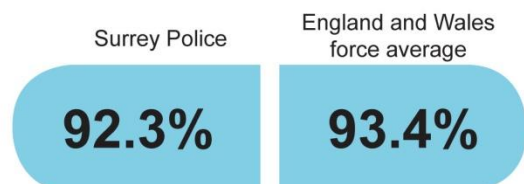
Grievances

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



Victim satisfaction

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



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 judgment³



Good

Surrey Police has been assessed as good in respect of the legitimacy with which it keeps people safe and reduces crime. Our findings this year are consistent with last year's findings, in which we judged the force to be good in respect of the legitimacy.

The force treats the people it serves, and its workforce, with fairness and respect. It has good systems in place to ensure that its workforce behaves ethically and lawfully. Workforce wellbeing services are good.

Overall summary

Surrey Police and its workforce are good at treating all of the people they serve with fairness and respect. This is part of the vision for the force, which is understood by most staff. The force uses a wide range of methods to seek feedback and challenge from the public, including through its website and social media. Its website has been redesigned to make it easier for the public to find out how to make a complaint.

The force understands the importance of communicating with groups who may have less trust and confidence in the police. It makes use of surveys, the independent advisory group and professional reference groups, as well as complaints data and information from victim satisfaction surveys. A full-time analyst monitors feedback, trends and patterns in public complaints.

Surrey Police is good at ensuring that its workforce behaves ethically and lawfully. The Code of Ethics⁴ is well understood by most staff. There are good procedures for ensuring all staff, including volunteers and contractors, are vetted before being

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/

allowed access to force premises or information and for re-vetting staff on promotion or transfer to certain posts where they are exposed to more risk.

The force has a comprehensive package of e-training modules that provide clear guidance on acceptable and unacceptable behaviour. These modules include an introduction to professional standards, ethical decision-making, social media awareness, security matters and sexual misconduct. Supervisors and staff have a good understanding of the force's policies on gifts and hospitality, notifiable associations and business interests.

Good systems to find and assess intelligence about potential corruption are in place and the force has an experienced and efficient anti-corruption unit (ACU). Its 'in house' anonymous reporting system is effective.

The force recognises that abuse of authority for sexual gain (taking advantage of a position of power to exploit vulnerable victims of crime) is serious corruption. About 75 percent of the workforce have completed an e-learning module on abuse of authority for sexual gain, but the force does not reinforce this with further training or other information. The force should consider actively seeking intelligence on potential abuse from organisations such as women's refuges or sex worker support organisations.

Surrey Police is good at treating its workforce with fairness and respect. The force seeks feedback about the workforce's perceptions of how they are treated through a range of channels including staff surveys, the force intranet forum, a force suggestion scheme, regular meetings with unions, police federation, staff associations and staff networks, and exit interviews for those leaving the force. It has consulted widely about its change programme and changes have mostly been well received, but some frontline staff feel under pressure from high workloads.

The force has made a significant investment in wellbeing services. Its nurse-led occupational health team provides appropriate support for staff and will refer staff for physiological or psychological advice and treatment when required. Wellbeing services are well understood by staff and held in very high regard.

However, we found that the performance assessment process is not effective and does not provide a rigorous process for recognising those who are talented or under-performing or for ensuring its workforce are working towards agreed objectives. Generally the workforce do not feel engaged with the process or recognise its benefits.

Recommendations

Surrey Police is a good force. HMIC has not identified any causes of concern and has therefore made no specific recommendations.

Areas for improvement

- The force should improve how it identifies and understands the issues that have the greatest impact on public perceptions of fair and respectful treatment.
- The force should improve how it clarifies and reinforces standards of behaviour to its workforce, in particular when dealing with vulnerable people, including victims of domestic abuse.
- The force should improve how it identifies and understands its workforce's wellbeing needs.
- The force should improve how it manages individual performance.

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

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

Organisational values

The chief constable’s vision for the force is to ‘make the county as safe as it can be’. To achieve this he has defined three main activities: to pursue offenders more effectively, to protect the vulnerable and always to seek to prevent crime and disorder. These three statements are supported by three commitments that promote a positive culture within the organisation: to have the confidence to be the best you

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.*

can be, to create empowered and trusted leadership at every level and to ensure there is a sense of organisational justice. This vision and clear direction is set out in the force's 'plan on a page' which is understood by most staff.

Staff clearly understand the importance of treating all the people they serve, including volunteers, with fairness and respect. There is a well structured programme for making sure volunteers are utilised effectively and given appropriate training.

The force has adopted the Code of Ethics, which has been integrated into all training processes and is reinforced regularly on the force intranet and internal bulletins, including the news magazine 'Offbeat'.

The force has made progress since HMIC's Legitimacy inspection in 2015. In particular it makes good use of the survey work that has been carried out. Together with Sussex Police, the force used the National Workforce Engagement and Climate Survey for Policing developed by Durham University. The force informed us that response rate was 45 percent, which was above the average response rate for all forces in England and Wales which completed a workforce survey (40 percent). This enabled the force to understand areas that were working well and others that needed improvement. Work is now going on to ensure that necessary changes are made.

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.

Seeking feedback and challenge

The force uses a wide range of methods to communicate with the public. These include social media. Different community groups are targeted and the force understands the importance of communicating with groups who may have less trust in the police by means of surveys, the strategic independent advisory group (IAG) and professional reference groups. In order to understand public concerns, the force conducts numerous surveys. These have included a survey of 12,000 persons with disabilities and a combined survey with the local authority.

Feedback is collated using the victim satisfaction survey which involves monthly telephone interviews with victims of burglary, vehicle crime, hate crime and violent crime. Monthly ASB surveys are also carried out, with questions which address

whether the caller is treated with respect and fairness. The results of the surveys are presented monthly at the divisional performance meetings so that any notable issues can be discussed and any further actions or lessons learnt agreed.

In order to improve public confidence, the professional standards department (PSD) meets regularly with members of the IAG. To improve reporting of issues to the force, PSD informed the IAG how the department operated and sought advice and guidance on how best to encourage complainants to come forward and report matters to the police. Quarterly meetings are carried out between the PSD and IAG to promote dialogue and feedback and, as a result of the feedback, the force website has been redesigned to make it easier for the public to find out how to make a complaint. The independent police complaints commission(PCC) was also consulted.

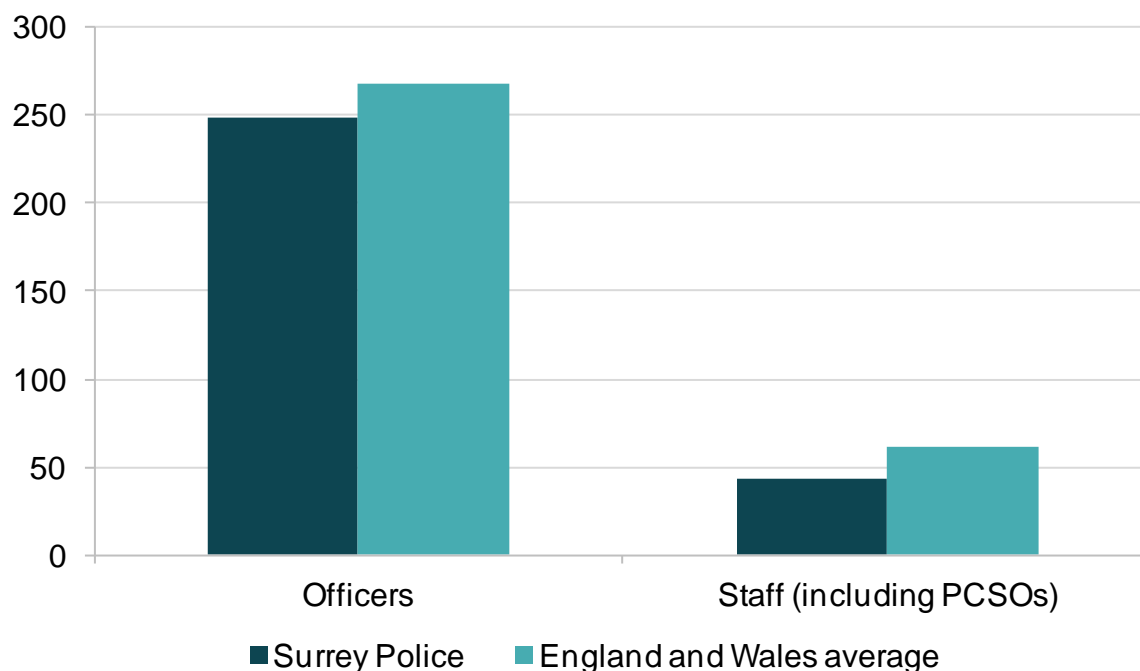
A process is in place for monitoring all complaints from minority groups. These are shared with the IAG. All allegations of discriminatory behaviour are reviewed quarterly and are provided to the OPCC.

Feedback has also been sought from the Professional Reference Group. This group consists of various specialists and senior executives from the public and private sector, who provide independent scrutiny and feedback on significant cases that may affect public confidence.

Identifying and understanding the issues

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

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



Source: HMIC Legitimacy data collection

For further information about the data in figure 1 please see annex A

In the 12 months to 31 March 2016, Surrey Police recorded 249 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 43 public complaint cases per 1,000 staff (including PCSOs), which was broadly in line with the England and Wales average of 61 cases per 1,000 staff (including PCSOs).

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 Surrey Police is ‘other neglect or failure in duty’.⁷ It is important to note, however, an issue 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 there is no definitive way of establishing accurately the number of public complaints about certain behaviours.

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

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

The number of public complaints against police officers from the 24 months to 31 March 2014 compared to the 24 months to 31 March 2016 fell by 18 percent, while the average change in all forces in England and Wales was a 13 percent increase. For police staff comparing the same dates, complaints fell by 21 percent, while the average change in all forces in England and Wales was a 27 percent increase

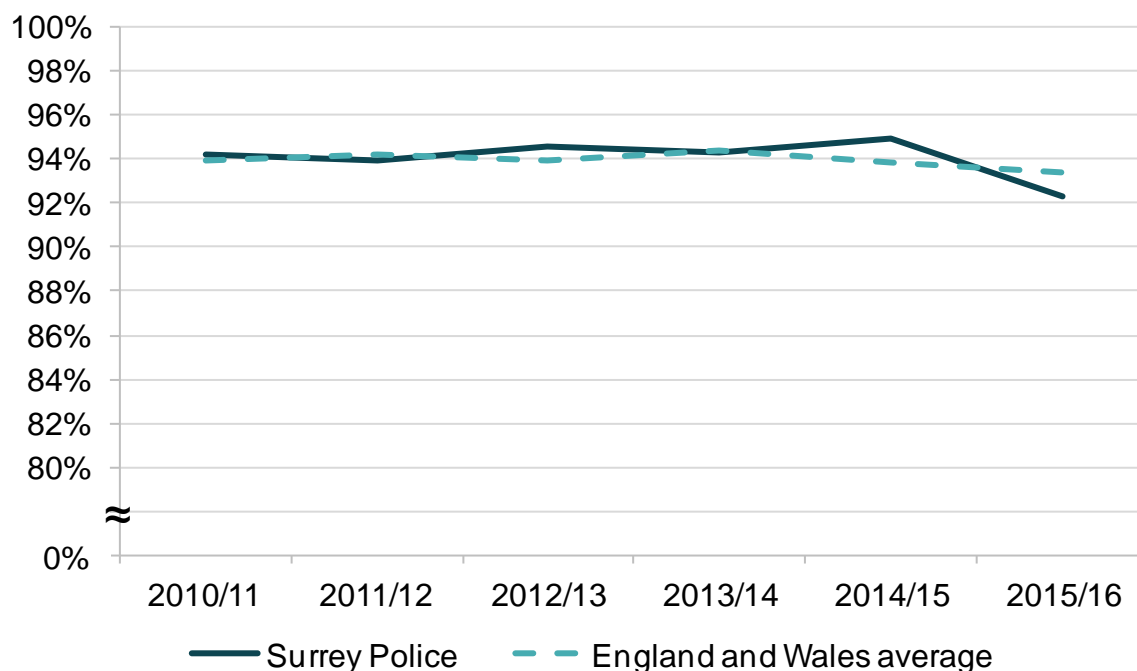
In HMIC's legitimacy report 2015 we reported that some complaints could have been locally resolved rather than being subject to a full investigation and often took too long to bring to a conclusion. As a result the force has introduced a 'Front of House Team'. Its role is to deal with complaints swiftly to the satisfaction of the complainant. When the team started there was a backlog of unallocated complaints. That no longer exists; 50 percent of complaints are resolved locally as opposed to 20 percent previously, which means that investigators in PSD are able to focus on the priority cases.

The department has a full time analyst who monitors feedback, trends and patterns in public complaints. This includes the monitoring of issues raised that relate to coercive powers such as use of force, stop and search and arrests. We heard of an incident in which a person was arrested and taken into custody for a relatively minor offence. While the arrest was lawful, the arrested person had caring responsibilities at their home address which they were unable to resolve of while in custody. A complaint was made and locally resolved to the satisfaction of all parties and guidance circulated to staff to ensure that similar circumstances did not occur in the future.

The force holds a quarterly stop and search 'Stopwatch' governance meeting which includes community representatives from the IAG, young people and members of black, Asian and minority ethnic (BAME) communities. This includes a review of the management information, which details the volume, profile and outcomes of the use of stop and search powers. Information is subsequently posted on the force website for the public to access, promoting openness and transparency.

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 Surrey Police compared with England and Wales, from the 12 months to 31 March 2011 to the 12 months to 31 March 2016



Source: Home Office Annual Data Requirement
For further information about the data in figure 2 please see annex A

In the 12 months to 31 March 2016, 92.3 percent of all victims of crime (excluding hate crime) who responded to the victim satisfaction survey were satisfied with the overall treatment provided by Surrey Police, which was broadly in line with the England and Wales average of 93.4 percent; and lower than the 94.9 percent who were satisfied with the overall treatment that the force provided in the 12 months to 31 March 2015, this is a statistically significant difference.

In August 2014, following HMIC’s 2013 inspection on the effective and fair use of stop and search powers,⁹ the Home Office published guidance to police forces on how to implement the Best Use of Stop and Search (BUSS) scheme.¹⁰ 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 inspection¹¹ considered the extent to which Surrey Police was complying

⁹ *Stop and Search Powers – are the police using them effectively and fairly?* HMIC, July 2013. Available from: www.justiceinspectors.gov.uk/hmic/publications/stop-and-search-powers-20130709/

¹⁰ Best Use of Stop and Search Scheme, Home Office, August 2014 www.gov.uk/government/uploads/system/uploads/attachment_data/file/346922/Best_Use_of_Stop_and_Search_Scheme_v3.0_v2.pdf

¹¹ *PEEL: Police legitimacy 2015 – A national overview*, HMIC, February 2016. Available at: www.justiceinspectors.gov.uk/hmic/publications/police-legitimacy-2015/

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.

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 has processes in place to record feedback from a number of sources, including audits, surveys, inspections and public complaints, for example, the Professional Standards Department log all recommendations from HMIC, IPCC and public complaints. A chief inspector has been appointed to this department whose responsibilities include: improving engagement with internal and external stakeholders; ensuring there are regular updates on ownership, progress and completion of actions or recommendations; and to instigate appropriate training and development to the workforce following lessons learnt.

The force has a small team of business improvement consultants who monitor key indicators such as internal grievances. A central part of their role is to identify, resolve and report to the divisional senior management teams and chief officers on any emerging 'hot spots'. In particular, this has enabled the early identification of training needs for the 'Policing in Your Neighbourhood (PIYN), the force's new operating model, when some sergeants and inspectors were given larger workloads than previously and needed support and/or coaching. This should reduce the possibility of problems arising and ensure that action is taken where necessary.

In September 2015 an independent consulting firm conducted a review of confidential reporting procedures in the force. It was encouraging that 94 percent of respondents to their survey of officers and staff stated that they would raise a confidential report including any concerns relating to colleagues' treatment or behaviour to the public, should they become aware of it. The review identified 36 recommendations, the majority relating to updates to procedure and training for all staff. An action plan was subsequently created and the majority of those actions have now been completed.

Demonstrating effectiveness

The force has a range of ways of engaging with the public to understand the issues that concern them. An independent advisory group and multi-faith chaplaincy enables feedback to be gathered on public concerns and perceptions. They also enable key messages to be delivered. For instance, in preparation for the launch of the 'Plan on a Page' the deputy chief constable sought their views. The forums have also been used to update them on the progress of the PIYN model, and provided them with the opportunity again to raise any concerns.

It is not clear how the force records, assesses and uses the feedback received from the public during these meetings or how consistently and effectively it communicated messages to them. Local priorities can be found on the internet but no details of what has subsequently been done. This means that local communities will not always be aware of the work being carried out by local officers.

Summary of findings



Good

Surrey Police treats all of the people it serves with fairness and respect. The Chief Constable's vision for the force is to 'make the county as safe as it can be'. This vision and is set out in the force's 'plan on a page' and understood by most staff. In HMIC's legitimacy report 2015 we reported that some complaints could have been locally resolved rather than being subject to a full investigation and often took too long to bring to a conclusion. As a result of action the force has taken 50 percent of complaints are resolved locally as opposed to 20 percent previously.

The force uses a wide range of methods to communicate with the public. These include social media. The force understands the importance of communicating with community groups who may have less trust in the police by using a variety of means. It is not clear how the force assesses and uses the feedback from the public or how consistently and effectively subsequent action taken is communicated to them.

Area for improvement

- The force should improve how it identifies and understands the issues that have the greatest impact on public perceptions of fair and respectful treatment.

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.¹² 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.¹³

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.¹⁴

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.¹⁵ 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.

¹² *Integrity matters*, HMIC, January 2015. Available from:
www.justiceinspectorates.gov.uk/hmic/publications/integrity-matters/

¹³ *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

¹⁴ *College of Policing: Authorised Professional Practice on vetting*. Available at:
www.app.college.police.uk/app-content/professional-standards/vetting/

¹⁵ *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 vetting unit works in accordance with the national police vetting policy. The force has processes in place to ensure all staff including volunteers and contractors are vetted before being allowed access to force premises or information. Staff are also vetted when changing role or on promotion although there is a delay in conducting general aftercare vetting, which is noted in the force risk register. The force is about to move to a collaborated vetting unit with Sussex Police based at Sussex HQ in Lewes, where the delays in re-vetting are expected to be resolved. This is one of the many areas of collaboration occurring between the two forces which is intended to improve the effectiveness of the unit and reduce costs. Final planning for the conversion of existing records needs to be completed before the change.

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

The force has a comparatively small anti-corruption unit (ACU) which is well-established, with knowledgeable, experienced staff. In addition, the professional standards department (PSD) investigate both officer and staff complaints. Staff in both PSD and ACU have been in post for a substantial period of time and the removal of a tenure policy has resulted in the building of an experienced and efficient unit. There is an effective 'in house' anonymous reporting system which enables staff to report on a range of issues and it is well used.

The unit is adequately resourced to process intelligence in a timely manner and uses a tasking process to direct any investigation as appropriate. There are recent examples where limited information which has been gathered on potential staff misconduct has been developed and has subsequently led to a full investigation, resulting in dismissal.

Supervisors and staff had a good understanding of the force gifts and hospitality, notifiable associations and business interest policies.

The force has a comprehensive package of e- training modules that provide clear guidance on acceptable and unacceptable behaviour. These modules include an introduction to professional standards, ethical decision-making, social media awareness, security matters and sexual misconduct.

The police integrity and corruption inspection in 2014 made three recommendations. These were to ensure it has sufficient capability and capacity to enable the recording and conducting of timely and proportionate investigations into public complaints; to ensure that it has the ability to gather, respond and act on information which identifies patterns of unprofessional behaviour and corruption; and to ensure that it has the ability to gather, respond and act on information which identifies patterns of unprofessional behaviour and corruption. We were pleased to find that good progress has been made in these areas.

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.¹⁶ 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.

Identifying and understanding risks to integrity

Surrey Police PSD has a joint control strategy and strategic assessment with Sussex Police. Its priorities are identified as sexually predatory officers, notifiable associations, disclosure of confidential data and misuse of data systems. The strategic assessment and control strategy are reviewed annually to ensure that they remain relevant and accurate and reflect the core business of PSD.

Details of all occasions where officers and staff are offered gifts or hospitality are recorded fully in a centrally-held database (including where the gift/hospitality was refused). This is audited regularly with inappropriate entries challenged or investigated. The PSD operates the policy and manages any notifications on a standalone system. There is a separate system for chief officers which is managed by the staff officer of one of the chief officers. Details of all occasions where officers

¹⁶ *Integrity matters*, HMIC, January 2015. Available from: www.justiceinspectorates.gov.uk/hmic/publications/integrity-matters/

and staff have applied for authorisation for a business interest are recorded fully in a centrally-held register, including where the application is refused. This is regularly audited and authorised applications are reviewed at regular intervals for renewal. The PSD completes all background checks. While the deputy chief constable (DCC) is the final decision maker for appeals, the majority are considered by the head of PSD, allowing the DCC to act as the final arbiter in strongly-contested or sensitive cases.

When an officer or member of police staff is promoted or moves to a 'high risk' role a vetting health check takes place. Every three months a reminder email is circulated to all staff to remind them to notify any changes in their personal circumstances. This results in an increase in submissions. Any adverse report triggers a full vetting check which includes looking at social media and financial information. However there is a backlog in conducting annual checks. This constitutes about a quarter of the checks pending and is documented on the force risk register. Surrey Police vetting unit is about to merge with Sussex Police unit. The unit is based at Sussex Police HQ. The force needs to ensure that this risk is managed effectively once the move has taken place.

The ACU adopts a number of techniques to identify individual and organisational risks. It works closely with the vetting unit and where financial issues or criminal associations are identified, appropriate investigations will occur. A number of data protection and inappropriate disclosure issues have been identified in this way and dealt with. Police National Computer (PNC) and crime recording system dip-checks are also carried out to ensure that organisational security is maintained and information checks by staff are made for policing and not personal reasons.

Intervening early to manage risks to integrity

Surrey Police has a number of initiatives to manage the risks to integrity. An officer attracting four public complaints or conduct matters (or a combination of both) within a 12 month rolling period is identified and brought into the complaints intervention scheme. In the first instance no account is taken of the validity of the complaints, solely the number received. The line manager is informed by PSD and forwarded a summary of the officer's complaints/conducts. Following a meeting with the officer or member of staff a course of action is agreed, which includes the line manager's personal knowledge of the individual, though due regard is given to any trends/patterns of behaviour. Actions can include development plans, mentoring, closer supervision, attachments, or words of advice.

The ACU identifies potentially vulnerable staff using its 'in-house' risk matrix which collates data from a range of intelligence sources, including absence history, public complaints, conduct matters, grievances, inappropriate associations and undeclared or refused business interests.

The PSD functions in collaboration with Sussex Police and capability and capacity is well managed. Both ACUs have a long standing good working relationship which means that staff can be moved to work across the border in either force.

The force makes use of the IPCC learning the lessons bulletins and publishes the results of misconduct hearings. It also uses the force magazine 'Offbeat' to give clarity and tips on how to stay professional and ethical. However there is not a clear and robust way in which the force identifies organisational learning and circulates it to all staff.

Looking for, reporting and assessing intelligence on potential corruption

Surrey Police has good systems in place to find and assess intelligence about potential corruption. There is a confidential anonymous contact system (ACS). It has been in operation for over eight years and was recently refreshed. All information received through the ACS, source handlers, members of the public and other forces and agencies is collated, evaluated and analysed. This area has seen improvements since our PIC inspection in 2014.

The force does not actively seek intelligence from as-wide-a range of sources as it could. For instance it does not gather information from women's refuges, sex worker support groups, gyms or websites.

The ACU works closely with the Serious and Organised Crime team in order to make their operations proof against corruption. Checks are made to see whether there is any available intelligence which links Surrey Police employees to those who are within the scope of the team's interest. If concerns are raised, the ACU supervisor informs the senior investigating officer. Joint control measures are then implemented to safeguard the integrity of the operation and an investigation of the employee is carried out.

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*.¹⁷ 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."

¹⁷ *The abuse of police powers to perpetrate sexual violence*, jointly published by IPCC and ACPO (now the National Police Chiefs' Council), September 2012. Available at: www.ipcc.gov.uk/sites/default/files/Documents/research_stats/abuse_of_police_powers_to_perpetrate_sexual_violence.PDF

The report identified this behaviour as a form of serious corruption that forces should refer to the IPCC for consideration of how it should be investigated.

The *Code of Ethics*¹⁸ – 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.¹⁹ HMIC’s 2015 report *Integrity matters*²⁰ 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.

Recognising abuse of authority for sexual gain as serious corruption

Surrey Police recognises that abuse of authority for sexual gain is serious corruption and deals robustly with cases that come to notice. It is included in the ACU control strategy and the strategic assessment. About three quarters of staff have completed an e-learning module on abuse of authority for sexual gain, however the issue did not appear to have been reinforced with any training or messages from other parts of the organisation. Supervisors have not received training in spotting potential signs of corruption, including abuse of authority for sexual gain.

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

The force does not actively seek intelligence on potential abuse from such organisations as women’s refuges or sex worker support organisations. A list of individuals who have given rise to significant or repeated concerns about their sexual

¹⁸ 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

¹⁹ Every three years, the National Counter Corruption Advisory Group commissions a strategic assessment of the threat to law enforcement from corruption. The most recent assessment was completed in June 2013 by the Serious Organised Crime Agency. The assessment was based upon three years of intelligence reports on possible corruption gathered by forces in England and Wales, supplemented by information from other forces and national agencies.

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

conduct is maintained by the ACU. A risk assessment is carried out and monitoring takes place at an early stage dependent on the level of risk identified. Any investigations into sexual misconduct are prioritised by the PSD. This is in accordance with the force's control strategy.

Taking action to prevent abuse of authority for sexual gain

The force does not yet fully understand the scale and source of the problem of staff abusing their authority for sexual gain because it has not conducted an in-depth analysis of the problem. About 75 percent of staff have completed the national training module specifically about this matter but the understanding gained has not been reinforced through other training or communication from within the organisation. Supervisors have not been given training or guidance on how to identify any of the warning signs of this behaviour in their staff.

A report was received from a partner agency that an officer was involved in an inappropriate relationship with a vulnerable woman. The ACU conducted a criminal investigation which established that the officer was abusing his position. An audit of the crime information system showed that records of vulnerable women had been viewed multiple times without a police purpose. Under the fast-track process the officer was dismissed for discreditable conduct and breaching confidentiality. The outcome was widely communicated to all staff to ensure there was maximum organisational impact and to prevent future occurrences.

Building public trust

The results of gross misconduct cases for police officers and police staff are published in various media outlets to the public. The information is also published on the police and crime commissioner's website. Cases where officers or members of police staff are charged with a criminal offence are also published.

Disciplinary hearings open to the public are carried out somewhere that is easily located and readily accessible, not necessarily within a police building.

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.²¹ 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 makes use of both conventional media and social media to inform the public of its actions and of internal issues such as disciplinary matters.

The results of gross misconduct cases for police officers and police staff are published in various media outlets to the public. The information is also published on the police and crime commissioner's website. Cases where officers or members of police staff are charged with a criminal offence are also published.

The force has also identified venues within the communities that are easily located and accessible to the public for the purpose of holding disciplinary hearings that are open to the public to attend.

Working with the workforce

PSD, in conjunction with the corporate communications department, is responsible for circulating information on the outcomes of gross misconduct hearings and misconduct meetings following allegations of misconduct and corruption. This is achieved through publication in routine general orders and lessons-learned bulletins and through force-wide emails. Lessons learnt from other IPCC investigations are also published and shared and staff are aware of how to report a colleague that they suspect of inappropriate behaviour or corruption.

²¹ *Literature review – Police integrity and corruption*, HMIC, January 2015. Available at: www.justiceinspectors.gov.uk/hmic/publications/integrity-matters/

Summary of findings



Good

The force has good systems in place to ensure that its workforce behaves ethically and lawfully. The Code of Ethics is well understood by most staff. There are good procedures for managing the vetting of its staff, including staff being re-vetted on promotion or transfers to certain posts where they are exposed to more risk. There is more that it could do to identify the risk of officers and staff abusing their authority for sexual gain. The ACU's control strategy prioritises sexually predatory officers and where inappropriate behaviour is reported a thorough investigation takes place. However, the force needs to be active in seeking intelligence from sources such as women's refuges, in ensuring that supervisors receive training to identify the signs of predatory behaviour, and in making all staff aware of what is expected of them and of the consequences if their actions do not reach the required standard. The results of misconduct hearings are circulated both internally and externally to the general public.

Area for improvement

- The force should improve how it clarifies and reinforces standards of behaviour to its workforce, in particular when dealing with vulnerable people, including victims of domestic abuse.

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.²² 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.²³ 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

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

²² *Fair cop 2: Organisational justice, behaviour and ethical policing*, College of Policing, 2015.

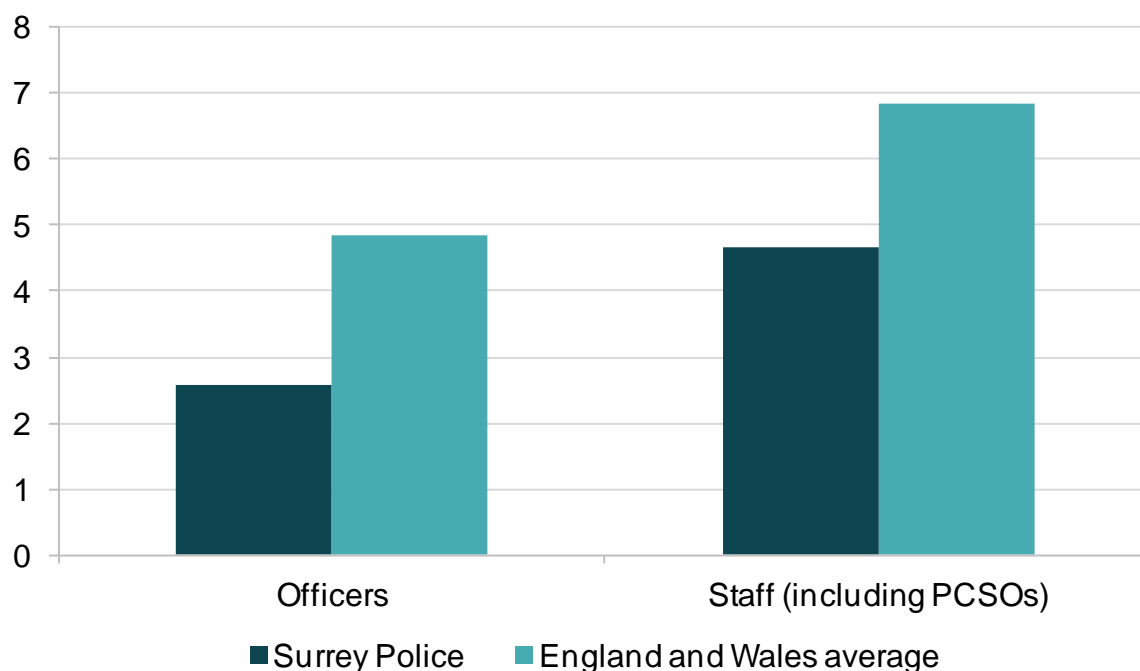
Available at:

http://whatworks.college.police.uk/Research/Documents/150317_Fair_cop%202_FINAL_REPORT.pdf
f 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

²³ *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
f

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



Source: HMIC Legitimacy data collection

For further information about the data in figure 3 please see annex A

In the 12 months to 31 March 2016, Surrey Police finalised 2.6 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 4.7 formal grievances raised by staff per 1,000 staff (including PCSOs), which was broadly in line with the England and Wales average of 6.8 per 1,000 staff (including PCSOs).

Surrey Police has a good understanding of workforce perceptions through a range of channels available to staff. The force has consulted widely about its change programme and communicated this to its staff in a number of ways. In the main the changes have been well received, however some frontline staff feel under pressure as a result of high workloads and a lack of appropriate skills to deliver the new operating model. The new model requires all ‘area policing team’ (APT) staff to deal with most incidents from receipt of the original call through to a conclusion, e.g. charge, caution, community resolution or advice. The force is still in the process of providing APT staff with the necessary skills to do that.

When the new model was implemented in April 2016, APT staff were told of the staffing levels they could expect on any given shift. In the main these numbers have not been achieved, often being over a third less than they should be. This means that the force may not have sufficient resources to meet demands at certain times and the quality of investigations may not be as good as it should be. The force is

aware of this and is working hard to address the issues. The APTs are being assigned investigative coaches to work alongside them to advise about crime investigations.

The force has a good record of using surveys to gauge the views of its staff. It understands the importance of identifying areas that affect workforce perceptions and of taking action where necessary. The latest staff survey was carried out in March 2016 in conjunction with Sussex Police and used the National Workforce and Engagement Survey for Policing with Durham University Business School. At the time of the inspection the initial findings had been presented to the chief officer team but not circulated more widely. Leadership had been identified as being good but fairness at work needed improving. As a result of the feedback the force had made changes to its constable to sergeant promotion process and updated the workforce with clear communications that it had done so. Other methods used by the force to understand workforce perceptions are; a force suggestion scheme, exit interviews for staff who are retiring or resigning and regular meetings with unions, police federation, staff associations and staff networks.

We were pleased to see that in the latest police recruitment campaign the new intake was made up of 15 percent BME candidates. Ensuring that the workforce is more representative is a challenge for the force and it recognises that it still has more to do.

In 2015 and early 2016 HMIC identified serious concerns in respect of the force's effectiveness in dealing with public protection and broader vulnerability issues. Staff feedback showed that morale was low and many staff had concerns over the criticism the force had faced. Positive action was taken by senior leaders in the form of organising open meetings with staff where issues could be heard and concerns addressed. Articles were published in its 'Off Beat' newsletter and staff were kept informed via the chief constable's online blog and the intranet staff forum.

The force intranet forum is used to good effect. Staff posted comments on the forum stating they had not received the results of the staff survey. The head of people services responded with a post telling them of timescales for publication and the reason for the delay.

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

The force has made a significant investment in wellbeing services (£1.25m) and these now function in collaboration with Sussex Police. An in-house nurse-led Occupational Health Team, with links to the national wellbeing initiative, provides appropriate support for staff and will refer staff for physiological or psychological advice and treatment where required. There is a range of referral methods (although staff cannot self-refer) with a target time for appointments to occur within 15 working days. This is supported by a daily triage process to ensure staff with the greatest needs receive a priority service.

There is also a focus on the wellbeing of staff in more demanding and potentially more stressful posts such as the paedophile online investigation team. This includes psychological profiling. Wellbeing services are well understood by staff and held in very high regard. Many staff had either used the service or knew someone who had, and felt the provision was of a high standard. There is a lack of training for supervisors in recognising stress and wellbeing issues but this is something the force is now starting to develop.

The force has introduced a user-friendly site on the intranet known as the Wellbeing Hub which provides a comprehensive array of information. In addition, the force has recently introduced a mental health advocates' network scheme. Approximately 90 staff from Surrey Police and Sussex Police have been trained as mental health support network advocates who staff can approach for advice and guidance.

Identifying and understanding the workforce's wellbeing needs

The force has limited methods for understanding the workforce's wellbeing needs. Return to work interviews are used and sickness data is collated and analysed. We reported in our legitimacy inspection in 2015 that some staff were concerned about excessive workloads. The new PIYN operating model is in its infancy and needs time to become embedded but we heard from staff that high workloads still exist frequently and are exacerbated by some staff not having the right skills to perform

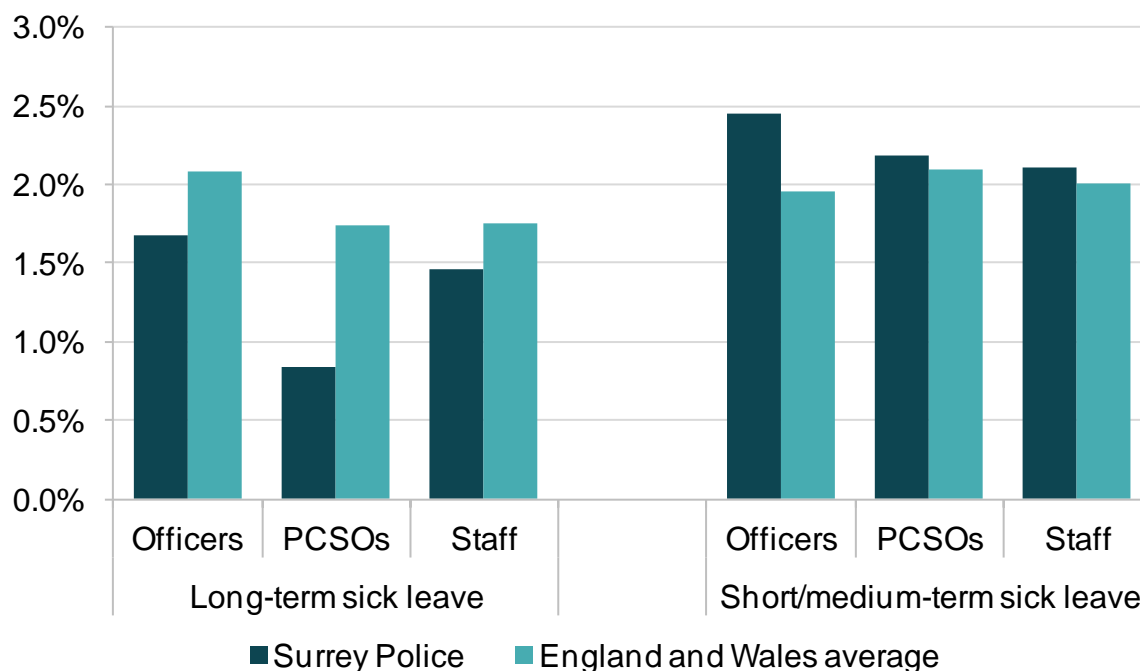
their roles. The force needs to ensure it has a clear and comprehensive understanding of the impact the new model is having on its staff and take the appropriate action.

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

Surrey Police could not provide estimated data for rest days in lieu outstanding for officers or PCSOs as at 31 March 2016, nor could they provide data for the percentage of officers or PCSOs owed more than 10 rest days in lieu on the same date. This is because the force cannot separate data concerning officers from data concerning PCSOs. On the same date, the England and Wales average was 4.2 rest days in lieu outstanding for officers and 2.9 for PCSOs; and 9.8 percent of officers and 6.0 percent of PCSOs had more than 10 rest days in lieu owed to them.

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



Source: Home Office Annual Data Requirement

Note: Long-term sickness is defined as an absence due to sickness that has lasted for more than 28 days as at 31 March 2016. For further information about the data in figure 4 please see annex A.

Figure 4 provides data on the proportion of officers, PCSOs and staff who were absent due to sickness on 31 March 2016.

- 1.7 percent of officers were on long-term sick leave, which is broadly in line with the England and Wales average of 2.1 percent.
- 2.4 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.
- 0.8 percent of PCSOs were on long-term sick leave, which is broadly in line with the England and Wales average of 1.7 percent.
- 2.2 percent of PCSOs were on short or medium-term sick leave, which is broadly in line with the England and Wales average of 2.1 percent.
- 1.5 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

Most supervisors are not trained to recognise warning signs of problems with the wellbeing of staff and to intervene early. The force is planning to hold a half-day training module for supervisors on how to identify wellbeing issues with their staff. This will include preparing risk assessments, spotting early signs of problems, how to manage difficult personal conversations and look at some case studies. The force does have a management referral portal that incorporates video clips on how to manage wellbeing issues but it is not widely used. The wellbeing services does provide support for staff in a number of areas, including financial support, child care vouchers, Critical or adverse incident counselling for officers and staff as well as mental health support.

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.²⁴ 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.²⁵

The performance assessment process

The performance assessment process is not effective. Most staff spoken to had a PDR but the quality is mixed. Some staff have only limited or general objectives. Staff generally did not feel engaged with the process or recognise its benefits. Staff in specialist units acknowledged that they had more time to engage in the PDR process than frontline staff and supervisors. This means that the force does not have a rigorous process for ensuring its staff are working towards agreed objectives, recognising performance of its staff particularly those who are talented or under-performing. The PDR is not used in the promotion selection process and did not appear to be used for officers or police staff who were under-performing.

²⁴ *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

²⁵ 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

The results of performance assessment

There is some oversight of the PDR process. Validation and competency assessment is carried out but only for some police staff and police officers above the rank of chief inspector. There is an expectation that all staff have an annual PDR with their line manager. The IT system for recording the PDR is not user-friendly and not well-used. It therefore does not provide the force with a reliable and comprehensive assessment of the performance of its workforce. The management of performance assessments for student officers was found to be more robust with regular supervisor meetings and development records maintained.

Summary of findings



Good

Surrey Police treats its workforce with fairness and respect but, as the PIYN model unfolds, there is more to do in connection with staff workloads (particularly the workloads of APT staff) and in ensuring there is a consistent and effective PDR system. The force has consulted widely about its change programme and communicated this to its staff in a number of ways. In the main the changes have been well received, but some frontline staff feel under pressure as a result of high workloads and a lack of appropriate skills to deliver what is required. The force has made a significant investment in wellbeing services (£1.25m). An in-house nurse led Occupational Health Team with links to the national wellbeing initiative provides appropriate support for staff and will refer staff for physiological or psychological advice and treatment where required. The performance assessment process is not effective. Most staff have a PDR but the quality is mixed. Some staff have only limited or general objectives. Staff generally do not feel engaged with the process or recognise its benefits.

Areas for improvement

- The force should improve how it identifies and understands its workforce's wellbeing needs.
- The force should improve how it manages individual performance.

Next steps

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

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

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

Annex A – About the data

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

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

Methodology

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

Comparisons with England and Wales average figures

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

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

Statistical significance

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

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

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

Population

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

Force in numbers

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

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

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

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

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

Figures throughout the report

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

The Independent Police Complaints Commission (IPCC) defines a complaint for the purposes of recording as "an expression of dissatisfaction by a member of the public with the service they have received from a police force. It may be about the conduct of one or more persons serving with the police and/or about the direction and control of a police force". A police complaint can be about more than one officer or member of staff and can refer to one or more allegations.²⁶

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

²⁶ *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: 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 4 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