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**POLICE AND CRIME COMMISSIONER**

**FOR DYFED-POWYS**

**COMPLAINTS SCRUTINY FRAMEWORK**

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# Executive Summary

# As part of The Policing Protocol Order 2011, there is a requirement to monitor all complaints made against officers and staff (Part 1 S17(n)), therefore the purpose of this document is to provide an action plan in respect of monitoring/auditing complaint matters both internally i.e. complaints raised with the OPCC and externally i.e. complaints raised with Dyfed Powys Police Force, Independent Office for Police Conduct (IOPC) etc. The purpose of this document is not to interfere with the appeal process under the Police Reform Act 2002. Any decisions made by the Relevant Appeal Body can only be overturned by the courts through the Judicial Review Process.

1. Quality of Service Dip Sampling

**Who**

Quality of Service Caseworker and/or any other person(s) authorised by the Commissioner

**What**

Dip sampling of closed complaint cases and service recovered expressions of dissatisfaction.

**Where**

Commissioner’s Office

**Why**

The role of dip sampling is to scrutinise the performance of the Forces’ complaints management process. The volume of police complaint cases that are handled by the Professional Standards Department of Dyfed Powys Police dictates that it would be impractical for the Commissioner to oversee every complaint case. Dip sampling of such cases enables the Commissioner to fulfil his oversight and monitoring responsibility under the legislation. The purpose of dip sampling is not to review the final decision reached in individual cases, but rather to undertake a general review of compliance with procedure, complaint handling techniques and natural justice to ensure public confidence in the police complaints system. Dip sampling should further be used as a tool to identify learning outcomes and trends for discussion and action with Dyfed Powys Police (see Trend Analysis – Statistical Assessment section).

**When**

Quarterly

**How**

There is a dip sampling policy which will be adhered to. There will be quarterly dip sampling following a set programme, unless issues of concern are raised or there are thematic issues. The dip sampling will run parallel with the Independent Office for Police Conduct (IOPC) thematic key strands, allowing the OPCC and IOPC to share best practice and carry forward any points for action. Other areas of work within the Commissioner’s team can also feed into the dip sampling programme which will then in turn feed into a wider dip sampling programme of scrutiny, the results of which are presented to the Police & Crime Commissioner.

1. Trend Analysis – Statistical Assessment

**Who**

Quality of Service Caseworker

**What**Analysis will be undertaken of the documents outlined below to identify any trends or patterns that may become evident to inform how complaints are dealt with, or if there are certain issues apparent in certain complaint areas:  
  
IOPC Quarterly Complaints Information Bulletin  
IOPC Investigation summaries and learning recommendations  
IOPC Learning the Lessons Bulletin  
Quarterly Statistical Report – PSD Data

**Where**

Commissioner’s Office

**Why**

Trend analysis will be used as a tool for performance measurement, for the Professional Standards Department (PSD), Office for the Police and Crime Commissioner (OPCC) and performance across the whole of Dyfed Powys Police. It will inform us how the Professional Standards Department are handling their complaints alongside our own complaint handling systems, but will also inform us when there are further widespread or repetitive issues that need to be addressed outside of the complaints arena.

**When**

Six monthly

**How**

A Key Performance Indicator (KPI) spreadsheet is maintained in respect of all complaints that are received by the Commissioner’s Office. The above mentioned documents will be studied by the Quality of Service Caseworker to ascertain if there are any trends or patterns evident from the information. These results will feed into the KPI report and will also be provided to the Professional Standards Department. The results will eventually be presented to the Policing Board for feedback and published on the Commissioner’s website to evidence to the public that we are holding the Chief Constable to account in respect of how complaints are dealt with.

**Deep Dive**

Trend analysis – statistical assessment data that identifies a further widespread or repetitive issue that needs to be addressed outside of the complaints arena will be analysed separately through the ‘deep dive’ process. An initial assessment will be carried out by gathering all relevant details, analysing similar complaints, involvement of the Quality Assurance Panel (QAP) where appropriate and identifying the key force stakeholders/departments. Evidence will then be gathered to assess the current picture and identify any obvious areas for concern. For example, the actual subject of a repetitive complaint may be generated due to an omission from a policy and therefore police response to the same situation differs – this identifies that the root cause of the issue is the policy. The purpose of the deep dive process will be to identify the root cause of the issue and look at what processes/training/delivery could be changed to eradicate the issue, which in turn will lead to a decrease in complaints received concerning that particular issue.

1. Quality Assurance Panel (QAP)

**Who**

Quality Assurance Panel (QAP)

**What**

To consider and discuss finalised complaints that have come to the attention of the Quality of Service Caseworker for having particular issues or fit the criteria of a certain theme dictated by trend analysis work. The complaints will be analysed for the way in which PSD have dealt with them and whether it is a fair and reasonable approach and the impression made upon people who are not in the police, regarding the service provided.

**Where**

Quality Assurance Panel (QAP) Meeting – Police Headquarters

**Why**

The purpose of QAP is to measure performance on a more strategic level with a level of independent oversight.

**When**

Every 6 months

**How**

A thematic issue to review or cases of note will be brought to the attention of the group.  
  
A request will be made to the Professional Standards Department for all complaint reference numbers relating to closed cases according to the criterion or criteria specified during a specific time period, and from that data, a selection will be made of a random sample of case reference numbers. Once the case reference numbers have been decided, the corresponding electronic cases for review will be requested from Professional Standards Department, which the group can look at and can lead onto further discussion.  
  
The outcomes of the discussions will be recorded and any suggestions/comments will be reported back to PSD, but will also be recorded on the KPI Complaints report.

1. Meeting Structures

There will be quarterly meetings held between the Senior Manager of Professional Standards and the Quality of Service Caseworker, during which any developments in respect of complaints issues are discussed. The meeting will include discussion of complaints upheld on appeal by the IOPC and those cases will be re-visited to ensure that Dyfed Powys Police have complied with the recommendations made. Looking forward, the Quality of Service Caseworker will also update the Senior Manager – PSD in respect of complaints appeals that have been dealt with by the OPCC.  
  
There will also be a six monthly meeting led by the IOPC, including representatives from the PSD Senior Management Team and the Quality of Service Caseworker to discuss the performance of Dyfed Powys Police Professional Standards Department. Any cases of note or likely to be reported on by the media will be noted by the Quality of Service Caseworker who will report up to the Chief of Staff and the Commissioner.  
   
There are quarterly meetings held between APACE Complaints and Casework Network, attended by the Quality of Service Caseworker to discuss local and national complaints policy and procedures and the implementation across all Commissioners’ Offices.  
  
There will be a six monthly meeting between the IOPC Director for Wales, the Police and Crime Commissioner and the Quality of Service Caseworker to discuss thematic issues that have arisen and need to be addressed, whether they are local or national.