

**DIRECTION AND CONTROL COMPLAINTS:
NEW PROGRAMME OF MEMBER DIP SAMPLING OF
COMPLETED CASE FILES**

BACKGROUND

1. Dip sampling is an important means by which the Police Authority can carry out its role of overseeing and scrutinising complaints. In addition to the programme of dip sampling of conduct related complaints referred to in the previous report, Members also need to carry out a similar scrutiny exercise on direction and control complaints, i.e. those which do not relate to conduct matters but include, for example:
 - Operational policing policies (where there is no issue of conduct),
 - Organisational decisions,
 - General policing standards in the Force, and
 - Operational management decisions (where there is no issue of conduct)for example the location of traffic enforcement cameras, not complying with force targets, e.g. answering 75% of public calls within 20 seconds and so on.

DIRECTION AND CONTROL COMPLAINTS

2. Such complaints are generally received by Divisions, with others coming through the Police Authority Secretariat and Members and are dealt with by Branches/Local Policing Teams.
3. The Police Authority has previously agreed to dip sample this type of complaint on a twice yearly basis (minute 118 refers). The first visits took place in May and June of this year and were reported to the last meeting of this Committee (minute 140 refers).

PROGRAMME OF COMPLETED DIP SAMPLING OF CASE FILES

4. A proposed programme of dip sampling completed direction and control complaints case files is attached at Appendix A. Two Members will visit each of the four Divisions (plus the Crime Management Branch and the Operations Branch). A "champion" of the system has been identified at each location and this Divisional/Branch Liaison Officer will be the Members' contact point on the visits and will be available to answer questions or indicate how answers to queries can be obtained during the visits.
5. As with the dip sampling of complaints of a conduct nature:
 - Members can expect visits to last approximately 2 hours

- Completed complaints files for Members scrutiny will be chosen in advance on a random basis by the Deputy Clerk
- The guidance note previously drafted for Members has been updated and is appended at Appendix B. This note sets out some of the key questions that Members may wish to ask as they study the completed case files.
- A Member record sheet has been prepared (Appendix C), linked to the guidance note, to provide feedback from the visits that will be reported to this Committee for Members' discussion. Members need to complete one of these at each visit and hand to the Divisional/Branch Liaison Officer before they depart. The Champion will then complete their section and forward the record sheet to the Secretariat.

RECOMMENDATIONS

6. It is proposed that:
 - i. Members approve the programme of dip sampling completed complaints of a quality of service/direction and control nature as set out at Appendix A.
 - ii. A report be submitted to the next meeting of the Audit and Strategy Committee on issues arising from the dip sampling visits made by members to the Divisions.

SHAHIN ISMAIL
Chief Executive to the Police Authority

Contact Officer: Deputy Clerk Telephone: (01482) 334820

Background documents: Secretariat File 2.2.9

Appendix A

DIP SAMPLING OF COMPLETED DIRECTION AND CONTROL COMPLAINTS FILES

Visits (October 2005)

Week Commencing	Members	Location	Divisional/Branch Liaison Officer (name and tel no)
17.10.05	Cllr Stephen Brady/ Mr John Shipley	D Division Queens Gardens	C. I. Brian Kelly: 01482 220175
31.10.05	Cllr Graham Stroud/ Cllr David Rudd	C Division Beverley	Ms. Elizabeth Watts: 01482 597901
17.10.05	Mr Ron Stuart JP/ Cllr Don Stewart	B Division Scunthorpe	C. I. Martin Bagshaw : 01724 274104
24.10.05	Mr Clive Palmerley JP/ Cllr Glen Phillips	A Division Cleethorpes (North)	Serg. Tracey Bradley: 01472 264716
24.10.05	Mr John Shipley/ Mr Ron Stuart JP	Operations Branch Crime Management Branch Hessle Police Station (Admin. Office)	Kathryn Johnson: 01482 597693

Please liaise with the other member named to arrange a half day when you wish to visit the Division/Branch. Please inform the Secretariat of this date and time as soon as possible so that the Deputy Clerk can advise the Divisional/Branch Liaison Officer of the details of the visit.

AUDIT AND STRATEGY COMMITTEE

Dip Sampling of completed direction and control complaints files

Guidance note for members

As part of its role to secure the maintenance of an efficient and effective Force, the Police Authority must ensure that the Chief Constable has an effective system for handling complaints.

Dip sampling of completed complaint files helps you, as a Member of the Police Authority, to understand how the Chief Constable's processes regarding complaints are operated and to check this against the Force's policy and procedure.

Set out below are the key questions that you will want to ask as you study the completed files today:

Recording of the complaint:

- Form 1097 complaint form to be completed in the case of personal attendance complaints/where a telephone complainant insists the form should be completed – has it been completed properly?
- Are all the relevant details there:
e.g. name, address and telephone number of the complainant
date/time/mean information received and by whom.
circumstances of the nature of the complaint

Handling of complaint:

- Was the complaint correctly classified as a direction and control complaint or should it have been recorded as a conduct matter?
- Are the Enquiry Officers findings appropriate?

Response to complainant:

- Was the complainant informed of the result of the investigation in writing, as far as possible, within the 28-day time scale? Or was it felt more appropriate to inform the complainant personally of the outcome of the investigation (whether by personal visit or by telephone)?
- Did the final letter to the complainant clearly outline the findings and proposed outcome?
- Is there evidence that the complainant is generally dissatisfied with the response received? Is there anything that can be done to remedy this?

Lessons learnt:

- If strategic issues have been identified, has the matter been referred to the Divisional Commander/Branch Manager for appropriate action and to PSB for information?

Trends over time:

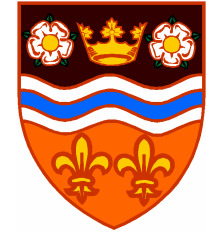
- As far as you are able from sampling a selection of completed case files, are there any particular issues that keep coming up time and again?
- Should the Chief Constable be required to bring a report on this issue to the next meeting of the Audit and Strategy Committee?

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In addition, you may wish to ask the Divisional/Branch Liaison Officer the following questions regarding the operation of the direction and control complaints procedure in that Division/Branch.

- Are all methods of making a complaint available to members of the public, i.e.?
 - telephone
 - help/advice desks
 - attendance at a police station
 - fax
 - e-mail
- Are staff in the Advice/Help Desk aware of the procedures for recording Direction and Control complaints that are received by telephone?
- If a complainant insists (on the telephone) in having a complaint recorded and declines to see a supervisor is the Advice/Help Desk aware of the need to complete F.1097?
- If the Division/Branch does not have an Advice/Help Desk what provision have they made/are they making to ensure telephone complaints are being recorded and dealt with?
- Can complainants make complaints about the Division/Branches area of responsibility by personally attending at a Police Station and is there evidence this is occurring?
- Do you have a Divisional/Branch structure to record Direction and Control complaints?
- Is there a system of filing such complaints, once completed, which is easily accessible?
- Does your Divisional/Branch procedure conform to the requirement to e-mail or fax the F.1097 to PSB?
- Does your Divisional/Branch recording system have in place a reviewing mechanism to ensure patterns of complaint/strategic issues are recognised and acted upon?

Appendix C



DIRECTION AND CONTROL DIP SAMPLING

Date of Police Authority Inspection:

Name of Police Authority Member Inspecting:

Divisional/Branch Liaison Officer Present:

Division/Branch:

Notes

1. Each Member to complete one form per visit and hand to Divisional/Branch Liaison Officer on departure.
2. Divisional/Branch Liaison Officer to then complete their section where appropriate before returning form to the Police Authority Secretariat.

Files Examined

1. File Ref No.

	Unsatisfactory	Satisfactory	Issues raised with Divisional/Branch Liaison Officer	Action taken by Division/Branch (for completion by Divisional/Branch Liaison Officer)
Recording of Complaint - Quality of Completion of F1097	<input type="checkbox"/>	<input type="checkbox"/>
Handling of Complaint - Quality of Investigation	<input type="checkbox"/>	<input type="checkbox"/>
Outcome - Response to Complainant Lessons Learnt	<input type="checkbox"/>	<input type="checkbox"/>
General Comments		

Files Examined

2. File Ref No.

	Unsatisfactory	Satisfactory	Issues raised with Divisional/Branch Liaison Officer	Action taken by Division/Branch (for completion by Divisional/Branch Liaison Officer)
Recording of Complaint - Quality of Completion of F1097	<input type="checkbox"/>	<input type="checkbox"/>
Handling of Complaint - Quality of Investigation	<input type="checkbox"/>	<input type="checkbox"/>
Outcome - Response to Complainant Lessons Learnt	<input type="checkbox"/>	<input type="checkbox"/>
General Comments		

Files Examined

3. File Ref No.

	Unsatisfactory	Satisfactory	Issues raised with Divisional/Branch Liaison Officer	Action taken by Division/Branch (for completion by Divisional/Branch Liaison Officer)
Recording of Complaint - Quality of Completion of F1097	<input type="checkbox"/>	<input type="checkbox"/>
Handling of Complaint - Quality of Investigation	<input type="checkbox"/>	<input type="checkbox"/>
Outcome - Response to Complainant Lessons Learnt	<input type="checkbox"/>	<input type="checkbox"/>
General Comments		