

# Supportive Scrutiny Handbook

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## Context

Established by the Police Reform and Social Responsibility Act 2011, Commissioners have **“a statutory duty and electoral mandate to hold the police to account on behalf of the public.”**

The Policing Protocol Order 2011 sets out the **Commissioner’s legal powers and duties**, which include:

1. To scrutinise, support and challenge overall performance of the force including against the priorities agreed within the Police and Crime Plan;
2. To hold the Chief Constable to account for their and their staff’s exercise of their functions;
3. To maintain an efficient and effective force;
4. To provide the local link between the police and communities; and
5. To publish specified information to support residents to assess the performance of the Police and Crime Commissioner (PCC) and Chief Constable.

...Without fettering the operational independence of the Chief Constable.

The Commissioner’s **Police and Crime Plan 2017-2021** sets out his priorities for the Force:

1. Keeping communities safe
2. Safeguarding the vulnerable
3. Protecting from serious harm
4. Connecting with communities

The Chief Constable’s **Delivery Plan** has set out the difference we will make, including:

- Victim satisfaction
- Public confidence
- HMICFRS

The **Commissioner’s Vision** for his Office

To be a positive influence on all activity involving the OPCC by ensuring the office is a catalyst to positive change that supports the vision of “Safeguarding our communities together”

**Mission Statement** of the Office of the Police and Crime Commissioner

“To support the Police and Crime Commissioner to achieve effective outcomes for the public”

The **Commissioner’s Strategic Equalities Plan 2017-2021** sets out the key areas of focus in order to meet the aims set out in the General Equality Duty, including:

- To ensure individuals with protected characteristics are supported to contribute to the work of the OPCC.

## Objectives of the Commissioner's assurance activity

1. To establish a risk-based, forward looking schedule of activity to support improvements in Force performance and provide the public with information to assess the performance of their service.
2. To engage residents in contributing to the assurance of outstanding policing services in Dyfed-Powys.
3. To ensure the public's views are represented in the Commissioner's scrutiny work.
4. To take cognisance of all relevant developments and assessments and ensure the Force responds accordingly to improve their service delivery.
5. To lobby for the appropriate resourcing to enable the provision of the best possible policing and crime services for the residents of Dyfed-Powys.

## Key Deliverables

1. Supportive Scrutiny
2. Volunteer Schemes
3. Respond and Lobby / Policy Areas

## Key Performance Indicators

1. Support the scrutiny, challenge & support of overall force performance
2. Maintain an efficient and effective police force for the area
3. Facilitate the link between the police and the community

## What is assurance?

'A positive declaration intended to give confidence; a promise.' (Oxford Dictionaries)

Assurance is part of both the Office of the Police and Crime Commissioner (OPCC) and Force's corporate governance structure. It is a process that seeks to promote public trust and confidence in the efficiency and effectiveness of policing through transparency and challenge.

Assurance supports accountability for decision-making, adds value to the police service and partners and creates a culture of constructive challenge with the aim of improving the quality of service.

## What is supportive scrutiny?

A way of providing assurance, supportive scrutiny is how the OPCC supports the PCC to discharge his duties, specifically:

- Holding the CC to account
- Supporting the Force to make improvements and respond appropriately to external recommendations
- Demonstrating the above to the public and Police and Crime Panel

It is a way of ensuring the PCC focuses on the “right” things i.e.

- What the public are most concerned about
- What is going to make the biggest difference –to the use of resources or delivery of services
- What is going really well – to help the Force to identify and share good practice
- What is not going so well – to support improvements and ensure there are no surprises
- What the Commissioner can influence – and critically, identifying what isn’t within his remit

## What are the benefits?

The PCC’s primary function is to be the conduit between local residents and the police force, ensuring the public’s views are represented and that the public are kept informed of the Chief Constable’s plans and delivery.

Being independent of the police force and operational delivery, the OPCC’s activity brings:

- Support
- Independence
- Insight and public perspective
- Transparency
- Engagement
- Accountability
- Added value

Crucially, the OPCC’s work supports the Commissioner’s ability to negotiate and lobby for improved resourcing for Dyfed-Powys Police.

## How is it different / How does it fit in with other assurance providers?

The OPCC’s supportive scrutiny approach is designed to be flexible and responsive to current trends and community feedback. Being in constant communication with the Force and having access to live performance data places the OPCC in a unique position to be able to support the Force’s improvements.

Through careful planning and communication, the OPCC’s activity is targeted to compliment the work of internal audit, continuous improvement, HMICFRS and other regulators. There may be occasions where it is felt by the OPCC and Force that some areas warrant attention from the OPCC as well as other assurance providers, in order to ensure the public’s views are represented and considered.

The OPCC’s supportive scrutiny work will not replace the role of supervision and auditing within the Force as it will not provide statistically significant results or operational recommendations.

The OPCC brings a user / victim / public view to operational matters.

## How does it work?

### Approaches

#### A. *Critical friend / insights generating*

- **Pre-HMICFRS inspection support e.g. supporting evidence gathering**
  - Led by the future HMICFRS schedule, insights questions & outstanding recommendations / actions.
  - Force's HMICFRS Liaison Team identifies areas needing support to demonstrate progress.
  - OPCC work with HMICFRS Team / lead department to agree what OPCC can do to help e.g. public consultation focus / scrutiny dip-sampling focus / bespoke scrutiny activity (linked to option B below).

#### B. *Problem solving / root cause analysis*

- **Medium-term supportive plans e.g. project planning**
  - Led by horizon scanning / Police and Crime Plan updates.
  - Possibility of task and finish partnerships to include Force, OPCC and external partners – OPCC facilitate and bring in external stakeholders.
  - Includes follow-up on plan – exercise evaluated at end point as well as 'project' forward scrutiny scheduling for progress check.
- **Policy development**
  - Supporting new policy development / reviewing existing policies.
  - Horizon scanning may identify areas for development and best practice.
- **Commissioned services**
  - Reviews / recommissioning.
- **Project management**
  - Estates projects.
  - External funding projects.
- **Short-term troubleshooting e.g. public interest inquiries**
  - Led by risk / public feedback / media activity / feedback from regulators etc.
  - Issues detailed and relevant departments identified.
  - Evidence gathered to assess the current picture and identify any obvious areas for concern.
  - Evaluation of relationship between public concern and actual state of play.
  - Actions identified e.g.
    - Discrepancy between perception and actual = engagement plan,
    - Shortcomings identified substantiating concerns = further action required, possibly referral to Continuous Improvement (CI) or option C below.

### C. Assurance

- **Pre-decision scrutiny**
  - Via Policing Board – consideration of business cases.
  - Policy consultation.
  
- **Benefits realisation**
  - Post-decision impact monitoring
    - Follow up on decisions – progress reports, interim / end of project evaluations, project monitoring etc.
  - Follow up on Continuous Improvement events
    - Led by CI schedule.
    - OPCC representative attends CI event to benchmark and witness action planning.
    - OPCC, CI and lead department agree timescales for review.
    - OPCC revisits after agreed timescale to review progress towards action plan and business benefits of changes made (comparison with benchmark data).
  
- **Systematic scrutiny e.g. routine dip-sampling**
  - Includes statutory duties / specific schemes e.g. Independent Custody Visitors / Animal Welfare Visitors.
  - Focus may be influenced by A/B above and where possible accommodated within existing scrutiny panel activity.
  - May involve targeted one-off scrutiny exercises e.g. ride-along / shadowing / focus groups etc.
  - Complaints oversight.
  
- **Contract / performance monitoring**
  - Routine performance monitoring via Qlikview, trend analysis and Force performance reports.
  - Monitoring of Commissioned services' / Estates contractors' delivery.

## How do we know it is focusing on the right things?

When a potential topic / issue is suggested for OPCC scrutiny, the Office has established a clear process for identifying and selecting areas for focused activity, labelled “PICK and SAND”. The “PICK” is stimulated through a series of questions and is an opportunity for the OPCC to understand the issue further, without investing extensive resources unreasonably. The table below displays the question set used to complete the initial assessment.

<b>Public interest</b> <i>(Does this issue matter to the general public?)</i>	Is there evidence of significant public interest in this topic?
	Has this topic featured in a lot of complaints or negative publicity?
	Would our review need to include opportunities for the community to have a say?
	Would substantial survey or research work be required?
<b>Impact</b> <i>(What will be the impact of any further review on this subject?)</i>	Will the review have a significant impact on the safety of DPP?
	Does a local community or interest group have much to gain or lose from this topic?
	Is there a need to support and influence change (locally / nationally)?
	Could this review make a big difference to the way services are delivered?
	Could this review make a big difference to the way resources are used?
<b>Current performance</b> <i>(How is the Force doing?)</i>	Are the Force and/or partners performing well in this area?
	Has this topic been prompted by recent external recommendations for improvement?
	Do we understand how performance compares to other organisations and why?
	Is performance good, but use of resources high?
	Does this area currently present a high level of risk to the achievement of the organisational objectives?
	Are there local or national performance measures/targets for this service?
	Does this issue impact on the Police and Crime Plan priorities?
<b>Keeping in context</b> <i>(Who else is looking at this issue – either have recently or will in the future?)</i>	Will this topic be covered by other assurance/improvement activity i.e. HMICFRS inspections, Continuous Improvement events, internal audits, evaluations etc.?
	Has this topic recently been reviewed or inspected?
	Could scrutiny make a positive contribution by focussing areas of interest and making recommendations?
	Are there current / imminent major changes which would affect the value of this review?

## What happens next?

The results of the PICK answers influence the “SAND” result. There is no rule of how many “yes” answers result in further activity on the subject, as each will be answered with an explanation, which may bring additional weight to the argument for or against further activity.

Once a PICK has been completed, a suggested course of action is identified and discussed internally. The SAND provides a suite of actions which may be chosen:

Scrutiny	Action	No Further Action	Decision
Critical friend / insights generating	Tolerate – keep a watching brief	Terminate – review in ___ months/years	Business case
Problem solving / root cause analysis	Treat – OPCC action required		Decision log
Assurance	Transfer – action required by another		

It is at this point that an appropriate plan of action will be drawn up to agree how the OPCC will conduct the relevant activity. This will be discussed with relevant Force personnel to ensure the resulting activity is designed to appropriately meet the aims set out within the SAND, whilst adding value to the Force.

## Deep dive

A template for the resulting schedule of intended activity is set out in appendix 1.

Once the scrutiny activity has been conducted, the resulting findings will be reported directly to the relevant Force representative or group for sense checking and formal response. Once a response has been provided to the OPCC’s observations, the completed report will be shared with the Audit and Quality Assurance Group for consideration within the context of the wider “audit universe” of the Force.

It is anticipated that the relevant Force group and/or the Audit and Quality Assurance Group will maintain oversight of any resulting actions to ensure their completion.

Each scrutiny report will be provided to the OPCC Executive Team (PCC, Chief of Staff, Chief Finance Officer and Director of Estates) for consideration, approval and sharing with the Chief Constable before publishing on the OPCC website. These may also be provided to the Police and Crime Panel.

The OPCC will also seek updates at relevant points following the scrutiny activity as well as scheduling a follow-up exercise at an agreed point in time to review progress and improvements made as a result of the scrutiny activity. Any recurring / outstanding concerns will be reported to the PCC and Chief Constable via an exception report to the Policing Board.

## Systematic scrutiny

If the SAND result indicates the issue would be best resolved with a quick, one-off review e.g. the Force have requested a dip-sample of records by OPCC staff, a shorter action and reporting process will be followed.

If the systematic scrutiny is as a result of a follow up to a previously considered topic, the results will be fed back as per the deep dive reporting process.

If the systematic scrutiny has been undertaken in response to a request, the feedback will be provided directly to the requestor and a follow up date agreed. In the interest of timeliness and proportionality, the nature of the feedback will be prompt and brief. The Police and Crime Commissioner will be kept informed of any emanating concerns or good practice identified, but there will be no formal escalation of feedback, unless significant concerns are highlighted.

A template for making a request and the resulting schedule of intended activity is set out in appendix 2.

## How do I get involved?

*If you are a member of the public:*

- Suggest a topic (see appendix 2)
- Tell us about your experiences
- Volunteer to sit on our Panels / welfare visiting schemes
- Request to host a focus group
- Respond to our consultations

*If you are a member of the police force:*

- Suggest a topic (see appendix 2)
- Tell us your views and experiences
- Input to our reviews

*If you are one of our partners:*

- Suggest a topic (see appendix 2)
- Tell us about the impact on your services
- Input to our reviews

## Contact us

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Twitter: [DPOPCC](https://twitter.com/DPOPCC)  
Facebook: [dyfedpowyspoliceandcrimecommissioner](https://www.facebook.com/dyfedpowyspoliceandcrimecommissioner)

## Appendix 1 – Deep Dive Schedule

<b>Theme</b>	
<b>Rationale</b>	
<b>Intended Outcomes</b>	
<ol style="list-style-type: none"> <li>1.</li> <li>2.</li> <li>3.</li> </ol>	
<b>Identified Objectives</b>	
<ol style="list-style-type: none"> <li>a)</li> <li>b)</li> <li>c)</li> </ol>	
<b>Scope / Actions</b>	
<ol style="list-style-type: none"> <li>1.</li> <li>2.</li> <li>3.</li> </ol>	
<b>Timescales</b>	
PICK	
Desktop review	
SAND	
Fieldwork	
Draft report to OPCC Executive	
Final report to Policing Board	
Public report to Police and Crime Panel	
Follow up review	

## Appendix 2 – Request for Scrutiny

<b>Theme</b>			
<b>Rationale</b>			
Please answer the following questions honestly (you may also wish to refer to the PICK question set).			
<i>P – What has promoted your request?</i>			
<i>I – Why do you think the OPCC are best placed to fulfil your request?</i>			
<i>C – How are you currently performing in this area?</i>			
<i>K – What insights do you anticipate to gain in addition to what you already know?</i>			
<b>Request submitted by</b>		<b>Job title</b>	
<b>Contact details</b>			
<b>OPCC use only</b>			
<b>SAND result</b>			
<b>Intended Outcome</b>			
1.			
<b>Identified Objective</b>			
a)			
<b>Scope / Action</b>			
<b>IN</b>		<b>OUT</b>	
1.		1.	
<b>Timescales</b>			
Request received			
SAND completed			
Fieldwork			
Feedback to requestor			
Follow up review			