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DYFED-POWYS  
POLICE AND CRIME  
COMMISSIONER

**POLICE AND CRIME COMMISSIONER  
FOR DYFED-POWYS**

**COMPLAINTS SCRUTINY FRAMEWORK**

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# 1. 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.

## 2. Dip Sampling

### Quality of Service Dip Sampling

#### **Who**

Quality of Service Caseworker

#### **What**

Dip sampling of recorded complaints 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 complaints files 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 and misconduct file. Dip sampling of such files enables the Commissioner to monitor files and 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 updated and 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.

## **Misconduct/Grievance Files Dip Sampling**

### **Who**

Quality of Service Caseworker

### **What**

Where a misconduct hearing/meeting or grievance hearing has taken place and is completely finalised i.e. where the appeal threshold has been passed and no appeal has been made, the files will be dip sampled by the Quality of Service Caseworker to ascertain if there is consistency of decision making in relation to the outcome of the case and to ensure the correct processes have been followed. This will also be replicated in the case of HR grievance matters.

### **Where**

Commissioner's Office

### **When**

Every 6 months

### **How**

PSD and HR will provide the Commissioner's Office with a list of cases that have been finalised within the last 6 months and have not been subject to an appeal (they can be anonymised if necessary). A small sample of those cases will be selected and will be analysed to ascertain if the procedures have been followed correctly and if there is consistency in decision making. A report will be drafted for both PSD/HR which will feed back into the overall KPI complaints report. Any recommendations or commendations will be made by way of this report.

## **3. Trend Analysis – Statistical Assessment**

### **Who**

## Quality of Service Caseworker

### **What**

Analysis will be undertaken of the data received by the Commissioner's Office alongside any input provided by the Professional Standards Department 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.

### **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 ingrained/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 Professional Standards Department will provide their data to the Quality of Service Caseworker on a six monthly basis with any annotations that they wish to make or any analysis that they have conducted themselves. This data will then 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 ingrained/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) to independently assess complaint data 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 concerning that particular issue.

## 4. 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 investigate or cases of note will be brought to the attention of the group.

A request will be made to the Professional Standards Department for the

relevant information which will then be considered into a format which the group can look at quickly 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.

## 5. Independent Office for Police Conduct (IOPC) Reports

### **Who**

Quality of Service Caseworker

### **What**

Analysing finalised Independent Office for Police Conduct (IOPC) reports regarding Dyfed Powys Police cases and considering the formal responses made by Dyfed Powys Police Professional Standards Department, in order to produce a response commenting on the matter as a whole. The report and response will be re-visited within 6 months of the response to ensure that Dyfed Powys Police have complied with the recommendations made.

### **Where**

Commissioner's Office

### **When**

Six monthly

### **How**

Records will be kept of all reports provided by the IOPC and the responses made by Dyfed Powys Police (this is reliant upon PSD informing the Commissioner's Office when a report has been received and responded to). The Quality of Service Caseworker will analyse both and provide commentary, log all responses and bring them forward in 6 months' time to check that the recommendations have been followed. This information will be collated and shared with PSD and the IOPC through the six-monthly IOPC meetings.

## 6. 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 disciplinary or complaints issues are discussed.

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 between representatives from the IOPC, the Senior Manager – PSD and the Quality of Service Caseworker to discuss independent and managed IOPC cases. 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.