



**Lancashire
Constabulary**
police and communities together

REPORT TO: JOINT AUDIT AND ETHICS COMMITTEE

DATE: 9 DECEMBER 2019

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SUBJECT: CASE SAMPLING OF COMPLAINT FILES

Appendix A refers

1 Issue for Consideration

- 1.1 To enable Members to consider a revised process for quarterly dip sampling of complaint, misconduct and grievance files.

2 Recommendation

- 2.1 That the revised approach to dip sampling of completed complaints files to include misconduct and grievance cases be considered and that the Police and Crime Commissioner (PCC) and Chief Constable (CC) be recommended to approve the Protocol subject to any amendments that may be highlighted through discussions at this meeting.

3 Background

- 3.1 The Police Reform and Social responsibility Act 2011, provides the Commissioner with the legal duty to monitor all complaints made against officers and staff. Dip sampling of completed complaint files is a key means by which the Commissioner can satisfy himself that the Constabulary system is operating effectively, in accordance with regulations and outcomes are appropriate and proportionate.
- 3.2 The existing protocol has been in use since November 2015 and members of the Audit and Ethics Committee have asked that consideration be given to the inclusion of misconduct and grievance cases.
- 3.3 In preparing this report the Governance and Policing Lead discussed with Professional Standards (PSD) how Members of the Audit and Ethics Committee

might undertake dip sampling of completed complaint files, misconduct cases and grievance cases on a quarterly basis. The process suggested in the report reflects the outcome of those discussions.

- 3.4 Appendix A sets out the revised protocol between PSD and the Commissioner for dip sampling of completed files, misconduct and grievance cases. Members will note that the revised protocol has moved to a file review based around principles, rather than specific numbers in certain category types. The revised changes will also enable Members to review the systems and processes in operation, including the use of available resources to deal with demand; review any actual or proposed changes to systems and processes, including an assessment and evaluation of their impact upon the quality of service delivery and a review of any satisfaction surveys.
- 3.5 Members will wish to discuss the revised protocol in Appendix A in terms of process and recommend that the Police and Crime Commissioner (PCC) and Chief Constable (CC) to approve the protocol subject to any amendments that may be highlighted through discussions at this meeting;

4 Implications

Financial:	Resource requirements to enable development and implementation of the above can be found from existing budgets.
Legal:	There are no legal considerations as part of this report
Equality Impact Assessment:	There are no equality considerations as part of this report
Risks and Impact:	
Link to Police and Crime Plan:	To ensure an efficient and effective police force

5 List of attachments / appendices

6 Background Papers

- Current case sampling protocol

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