

REPORT TO: JOINT AUDIT AND ETHICS COMMITTEE

DATE: 13 JUNE 2022

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SUBJECT: CASE SAMPLING OF COMPLAINT FILES

1 Issue for Consideration

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

2 Recommendation

- 2.1 That the approach to dip sampling of completed case files 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 As Members are aware, the Police Reform and Social Responsibility Act 2011 placed a legal duty on the Commissioner to deal with all complaints against the Chief Constable and monitor all complaints made against officers and staff. Furthermore, the Policing and Crime Act 2017 also mandated the Commissioner to take over the appeals function of those police complaints previously carried out by the Professional Standards Department.
- 3.2 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 reasonable and proportionate.
- 3.3 In preparing this report officers have discussed how Members of the Audit and Ethics Committee might undertake dip sampling of completed complaint files on a quarterly basis as well as case files in relation to Grievances. The process suggested in the protocol reflects the outcome of those discussions.
- 3.3 Appendix A sets out the proposed protocol between the Chief Constable and the Commissioner for dip sampling of completed files. Members are asked to discuss the 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

Case Sampling Protocol

6 Background Papers

- None