



Inspecting policing
in the **public interest**

Police Integrity and Corruption

Derbyshire Constabulary

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To what extent has the force put in place arrangements to ensure its workforce acts with integrity?

Derbyshire Constabulary has invested in a wide range of measures to promote and instil ethical and professional behaviour. It is very effective in protecting the organisation from threats such as corruption. It has made good progress against previous HMIC recommendations. There is ongoing scrutiny of all investigations by the senior managers within the professional standards department (PSD).

Summary

The constabulary has made excellent progress in implementing ethical and professional behaviour. There is clear leadership from both the chief constable and the deputy chief constable (DCC). Staff interviewed by HMIC are aware of the standards required of them and staff generally feel confident to challenge and report wrongdoing.

The constabulary has in place policies and effective working practices to ensure integrity through officer declarations of secondary employment and business interests, and notifiable associations. Registers are co-ordinated within the counter-corruption unit (CCU), which also conducts enquiries and follow-up checks. Details of registers are made public.

In terms of anti-corruption; the constabulary has invested in a well-resourced CCU. The constabulary's approach to allocating intelligence development to all investigators within the department ensures that there are sufficient resources to deal with the flow of intelligence.

The constabulary is proactive in its use of systems and equipment to monitor staff activities. HMIC found examples indicating proactivity in every aspect of vulnerability for the constabulary including; integrity audits of all departments and divisions; random drugs testing; checks on use of computer systems; checks on use of social media; secondary employment checks and investigations; and financial checks on staff.

What progress has the force made on managing professional and personal relationships with integrity and transparency, since HMIC's December 2012 report?

There has been good progress against the four areas for improvement identified in the 2012 report. New policies and procedures are in place which are consistent and provide greater transparency and facilitate closer scrutiny.

The constabulary has implemented new software monitoring; and training and guidance to staff in relation to social networking is good.

What progress has the force made in communicating and making sure staff knew about ethical and professional behaviour to all staff, including the new Code of Ethics?

The Chief Constable leads the 'Just Think' campaign, which provides staff with a clear understanding of professional conduct and a willingness to challenge wrongdoing.

Registers are co-ordinated within the CCU, which also conducts enquiries and follow-up checks. Details of registers are made public.

There is robust governance of the work of the PSD and CCU by the deputy chief constable (DCC) and oversight by the police and crime commissioner (PCC).

How well does the force proactively look for, and effectively challenge and investigate misconduct and unprofessional behaviour?

There is ongoing scrutiny of all investigations and structured processes for recording with the PSD.

The confidential reporting system is a useful tool and reports of wrongdoing by staff are responded to in an effective and timely manner through a well-resourced and experienced team.

Information on gifts and hospitality and a range of other data including chief officer expenses and business interests, are published.

How well does the force prevent, identify and investigate corruption?

The constabulary has invested significantly in a well-resourced CCU which has the capacity and capability to prevent, identify and investigate corruption.

The head of the PSD chairs the East Midlands Counter Corruption Group and has clear processes for briefing department heads.

The national threat assessment is incorporated into the CCU departmental strategic priorities.

What progress has the force made on managing professional and personal relationships with integrity and transparency, since HMIC’s December 2012 report?

What progress has the force made in communicating and making sure staff knew about ethical and professional behaviour to all staff, including the new Code of Ethics?

How well does the force proactively look for, and effectively challenge and investigate misconduct and unprofessional behaviour?

How well does the force prevent, identify and investigate corruption?

There are examples indicating proactivity for every aspect of identified organisational vulnerability, which includes using innovative sources.

The force/constabulary in numbers



Complaints

Total public complaints against officers and staff,
12 months to March 2014

404

Total public complaints against officers and staff,
12 months to March 2014, per 100 workforce

14.0

Total public complaints against officers and staff,
per 100 workforce – **England and Wales**

15.7



Conduct

Total conduct cases against officers and staff,
12 months to March 2014

28

Total conduct cases against officers and staff,
12 months to March 2014, per 100 workforce

1.0

Total conduct cases against officers and staff,
per 100 workforce – **England and Wales**

2.6



Business interests

Applications in 12 months
to March 2014

115

Approvals in 12 months
to March 2014

114



Resources

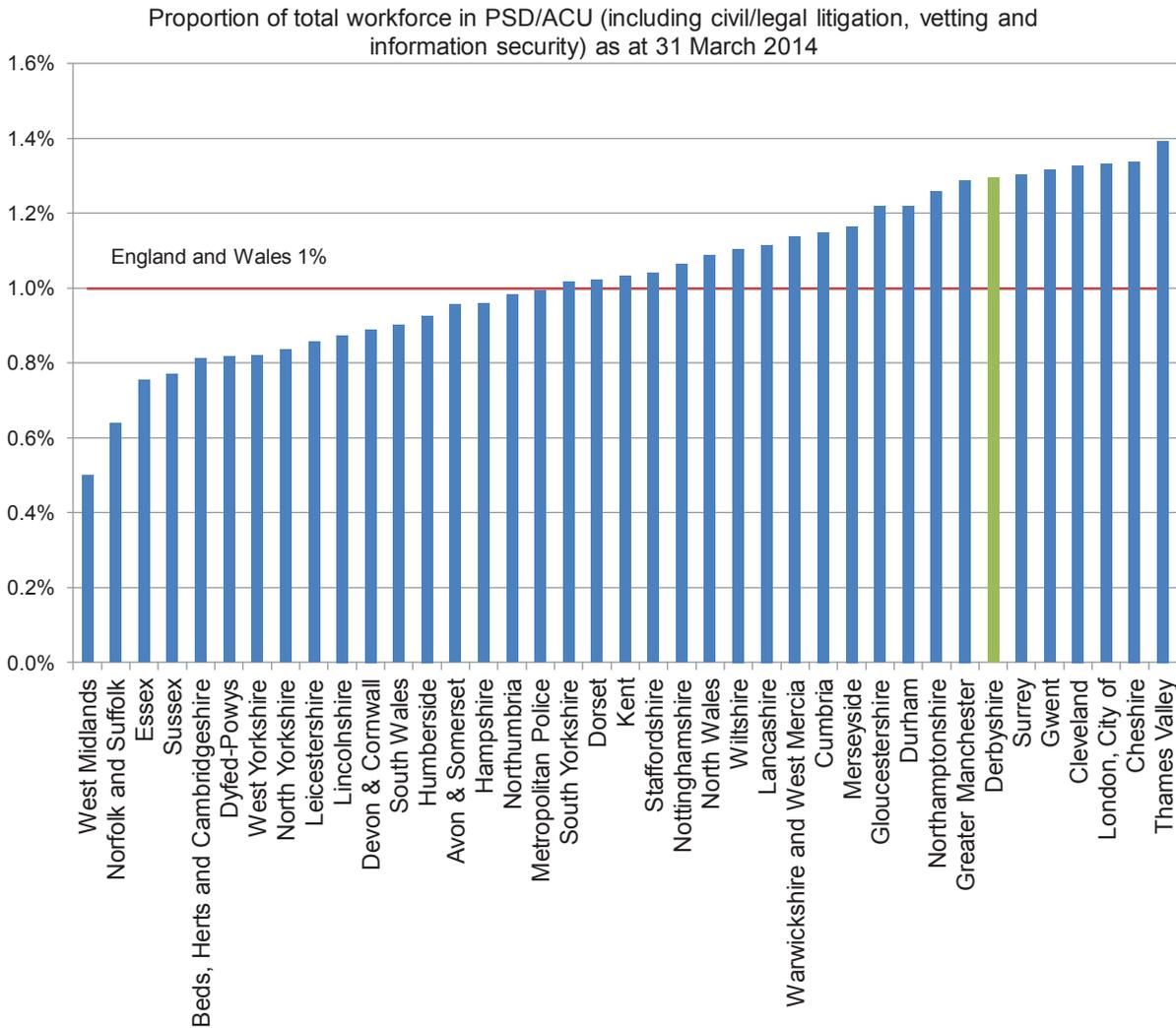
Proportion of workforce in
PSD/ACU

1.3%

Proportion of workforce in
PSD/ACU
– England and Wales

1.0%

Information above is sourced from data collections returned by forces, and therefore may not fully reconcile with inspection findings as detailed in the body of the report.



The chart above is only indicative of the proportion of force's workforce that worked in professional standards or anti-corruption roles as at the 31 March 2014. The proportion includes civil/legal litigation, vetting and information security. Some forces share these roles with staff being employed in one force to undertake the work of another force. For these forces it can give the appearance of a large proportion in the force conducting the work and a small proportion in the force having the work conducted for them.

Introduction

During HMIC's review of police relationships, published in 2011 as *Without fear or favour*¹ we did not find evidence to support previous concerns that inappropriate police relationships represented endemic failings in police integrity. However, HMIC did not give the police service a clean bill of health. We found that few forces were actively aware of, or were managing, issues of police integrity. We also found a wide variation across the service in the levels of understanding of the boundaries in police relationships with others, including the media. Similarly, we found wide variation across the service in the use of checking mechanisms, and governance and oversight of police relationships.

During HMIC's 2012 progress report, *Revisiting police relationships*² we found that, while forces had made some progress, particularly with regard to the implementation of processes and policies to manage threats to integrity, more needed to be done. The pace of change also needed to increase, not least to demonstrate to the public that the police service was serious about managing integrity issues.

This inspection focuses on the arrangements in place to ensure those working in police forces act with integrity. Specifically, we looked at four principal areas:

- (1) What progress has been made on managing professional and personal relationships since our revisit in 2012?
- (2) What progress has the force made in communicating and embedding ethical and professional behaviour to all staff?
- (3) How well does the force proactively look for and effectively challenge and investigate misconduct and unprofessional behaviour?
- (4) How well does the force prevent, identify and investigate corruption?

In May 2014, the College of Policing published a Code of Ethics for the police service.³ As our inspections in forces started in early June 2014, it is unrealistic to expect that, at the time of the inspection, forces would have developed a full, comprehensive plan to embed the Code into policies and procedures. We acknowledge that this is work in progress for forces and our inspection examined whether they had started to develop those plans.

A national report on police integrity and corruption will be available at www.justiceinspectors.gov.uk/hmic/ in early 2015.

1 *Without fear or favour: A review of police relationships*, HMIC, 13 December 2011. Available at www.justiceinspectors.gov.uk/hmic/media/a-review-of-police-relationships-20111213.pdf

2 *Revisiting police relationships: A progress report* HMIC, published 18 December 2012. Available at <http://www.justiceinspectors.gov.uk/hmic/media/revisiting-police-relationships.pdf>

3 *Code of Ethics - A Code of Practice for the Principles and Standards of Professional Behaviour for the Policing Profession of England and Wales*, College of Policing, July 2014. Available at <http://www.college.police.uk>.

What progress has the force made on managing professional and personal relationships with integrity and transparency since HMIC's December 2012 report?

HMIC found that the constabulary had made good progress overall since 2012.

HMIC highlighted four areas for improvement (AFI) from the 2012 inspection report:

- (1) to introduce guidance as to social networking;
- (2) to cross-refer gifts and hospitality with procurement and contracts;
- (3) to progress guidance as to secondary employment; and
- (4) to maintain a register of officers and staff who have links with the media within the CCU.

The constabulary has produced and circulated documented policy on use of the internet and social media. There is now software to monitor the use of social media, and staff gave examples indicating that this was used, with appropriate management action taken where misconduct is identified. The 'Just Think' behavioural messages have been used to highlight examples of inappropriate use of social media, using anonymised misconduct cases as examples. Individuals are aware of the guidance on proper use of social media, for example how to use security settings on social media platforms. They have been warned of the personal risks involved in disclosing personal information on social networks. The constabulary has made good progress in this area.

On the second area for improvement there is now a consistent template for recording gifts and hospitality with local registers collated quarterly and reviewed by the CCU and procurement team. Examples were given to HMIC to illustrate that the process of challenge happens. Much of the procurement for the constabulary is conducted regionally. The CCU is represented at the regional procurement board which allows the opportunity to check contract awards against declared gifts and hospitality, as well as the constabulary's business interests register. Overall the constabulary has made good progress in this area.

On the third area for improvement, the inspection team found there is a documented policy for secondary employment and business interests (SEBI). This outlines the process to be followed, which includes a check by the CCU to ensure suitability and an appeals procedure. A record is kept of all business interests that have been approved or refused. However, the policy does not specifically cover voluntary work or clarify the requirements on officers and staff where they might get paid expenses for voluntary work. Discussions with officers and staff indicate that they are unsure of the requirements in this respect. Overall, however, the constabulary has made good progress in this area.

On the fourth area for improvement, there is now a register, held by the CCU of officers and staff who have disclosed relationships with the media. Periodic checks are made of force systems in relation to email and telephone contact from the constabulary to known media contacts. A list is also held in local policing areas and departments of press releases made by officers of chief inspector rank and above. The constabulary has made good progress in this area.

What progress has the force made in communicating and embedding ethical and professional behaviour to all staff, including the new Code of Ethics?

Leadership and governance

The constabulary has made excellent progress in implementing ethical and professional behaviour across the force. Both the chief constable and the DCC show clear leadership, as shown by their introduction of a 'Just Think' campaign which highlights acceptable behaviours and values, in order to create a climate of ethical behaviour and challenge. This approach is supported by a poster campaign and frequent reminder messages in force orders. The chief constable and chief officers also hosted 'Talk Back' road shows where ethical messages were reinforced.

Police officers and staff are fully aware of the boundaries between unprofessional and professional behaviour and fully understand how it affects both the public and their colleagues. Staff have received advice on this subject from the CCU at induction, on training courses or on other training days. The constabulary also publishes details of misconduct findings in its force orders bulletin to reinforce what is and is not acceptable.

Ethical and professional behaviour has been incorporated into most policies and procedures. The constabulary has conducted an analysis against all published reports and devised an action plan to address any gaps. This was to be progressed by the confidence and ethics board. Most actions set out in the action plan were found to be graded as green or amber. Audits are undertaken by the head of the PSD through quarterly visits to divisional commanders and heads of department to discuss their staff and check registers. While policies exist and are available on the intranet, some non-frontline police staff do not receive a formal induction and therefore do not receive formal presentations and are instead expected to familiarise themselves with relevant policies. There are no mechanisms in place to ensure that this has happened.

Leaders, including first line supervisors, are leading by example and demonstrating their personal commitment by promoting and encouraging ethical behaviour. In general, they check the understanding of their staff as to what is expected of them in their professional and private life during normal interactions. At the time of the inspection, the constabulary had just introduced a 'Just Lead' approach for first line supervisors, which includes a set of leadership pledges which include integrity and ethical behaviour. The results of the constabulary's 2013 'Viewpoint' staff survey indicated strongly that line managers did treat staff fairly, trusted them to do their job well, and demonstrated the organisations' values. The CCU would, as a matter of course, speak to supervisors of staff involved in misconduct cases and challenge any lack of management action.

There is good evidence to show that unethical and unprofessional behaviour is being appropriately challenged within the constabulary. Numerous examples were provided to HMIC to demonstrate that this is happening, for example, thorough investigations into public complaints, internal audits carried out by the PSD and investigations conducted by the CCU. Unethical and unprofessional behaviour is also appropriately challenged by supervisors and peers.

The constabulary has developed plans to communicate effectively the new Code of Ethics through a Confidence and Ethics Board. A comprehensive action plan has already been developed. Corporate services will be responsible for the action plan as the Code of Ethics is viewed as a corporate rather than professional standards responsibility. Staff feel that the constabulary already adheres to those ethical standards.

There is a culture of challenge within the constabulary and members of staff are aware of their responsibility to challenge and report misconduct or unprofessional behaviour. They feel supported when they do, irrespective of rank, role or experience. The constabulary's 'Bad Apple' confidential reporting line has resulted in 165 referrals to the CCU from October 2011 to June 2014. Around half of these reports are not anonymous and some which commenced as anonymous had become overt due to the reassurance and support offered by the constabulary. Audits of responses are undertaken by the senior managers within the CCU who oversee the investigation of each report. HMIC found evidence of intrusive supervision through detailed supervisory entries on the enquiry logs. In addition, the office of the police and crime commissioner (OPCC) conducts dip sampling, which involves the completion of a quality checking questionnaire.

There is a clear policy outlining the obligation to declare any change in circumstances in police officer or staff member personal associations and relationships, and officers and staff members were aware of their obligations in this regard. Notifications are reviewed and acted on appropriately. Where a report or notification is received, the CCU works with the vetting team to complete enquiries and will make the final determination, put any necessary control measures in place, and if necessary hold a one-to-one meeting with the staff member involved. Briefings on notifiable associations are regularly part of the rolling programme of reminders on force orders.

The National Decision Model (NDM) is in use at all levels in the constabulary and officers and appropriate staff are trained and understand its application. The model is used within the decision-making processes in the PSD and the CCU. Staff from outside those units have a broad understanding of the model. They receive some training in this respect when they attend their regular officer safety training and other courses.

Training on ethical and professional behaviour is provided to all staff in a regular and structured manner. The CCU trains new recruits and frontline staff at induction and has trained a number of supervisors on leadership courses, as well as detective officers and specialists. The 'Just Think' campaign and regular repeated reminders on force orders help to promote ongoing awareness to all staff. Some relevant training, including on the National Decision Model, is provided through e-learning computer based training packages. This training and some courses include an element of training on unconscious bias and recognising and responding to dilemmas.

HMIC found that staff do not consider e-learning as a suitable approach to understanding subjective subject matter such as integrity and would prefer face-to-face training with discussion of these aspects. The constabulary finds it challenging to keep track of what training had been provided, when and to whom (although the computer based training can be readily audited). The human resources (HR) 'gateway' software cannot readily produce such data for analysis. Ad hoc training carried out by the CCU is not always recorded on HR files, meaning that the constabulary cannot easily check who had received the training nor find evidence that staff trained by this method were aware of what was required of them. In terms of disciplinary matters it is important that the constabulary should be able to demonstrate that such training has been provided.

Policies and guidance clearly explain the meaning of misconduct and unprofessional behaviour and describe acceptable boundaries, as well as what is expected of staff in their private and professional lives. There are policies covering all relevant aspects of conduct and behaviour which are stored on the constabulary's intranet, with many also being published on the constabulary's website. Policies are reviewed at least bi-annually. Each policy has a publication and review date. Those checked by HMIC were found to be up to date. Staff said that they know how to access these policies, and that the policies are clear. There is an action in the Code of Ethics implementation plan for all policies to be reviewed further to ensure they comply with the Code of Ethics.

Understanding integrity

The constabulary has carried out work to understand how integrity issues (including misconduct and unprofessional behaviour) affect public trust. This had been achieved through surveys of officers and staff, the general public and youth groups. The constabulary undertook a staff 'Viewpoint' opinion survey in 2013. The constabulary communications team conducts an external survey called 'Over to You.' This is a face-to-face survey of around 4,000 people which has been expanded to include young people and businesses. An online feedback survey 'Rate my Service' which seeks feedback on whether the public received a professional service, is also in place. The outcomes from these surveys are reviewed by the confidence and ethics board.

Details of all occasions where officers and staff have been offered gifts or hospitality are recorded in full, in a centrally held register (including where the gift or hospitality was not accepted) and audited regularly. Entries are monitored and challenged or investigated. The constabulary has a clear documented policy in this respect and all staff interviewed by HMIC understand the requirements. Each division or department has its own register which includes entries where gifts and hospitality have been declined. Supervisors endorse the register to indicate their awareness of, and support for, the decision. The CCU centrally collates these registers on a quarterly basis to ensure consistency of approach and to challenge where necessary. HMIC saw examples of audit and challenge, however, this inspection did not provide a comprehensive audit of the application of all of the policies that the constabulary has in place.

All occasions where officers and staff have applied for authorisation for secondary employment or a business interest are recorded in full by the constabulary in a central database held by the CCU. This includes detail where the application was not authorised. At the time of inspection, the constabulary had 395 authorised business interests and around 300 of those related to rental properties. The register is regularly audited by the head of the CCU. The head of the PSD makes the final decision as to whether or not to allow a business interest. Authorised applications are reviewed annually and the CCU regularly seeks updates from staff and supervisors. The authorisations are also reviewed when relevant staff are on sick leave or there are any performance issues.

The constabulary's secondary employment and business interests (SEBI) policy mentions voluntary work, for example school governorship. A flow chart indicates that members of staff are required to complete a form to notify their line manager of voluntary positions, as opposed to seeking permission. At the time of inspection there was no policy on what would happen should the constabulary not consider the position to be compatible with an individual's work for the constabulary. Discussions with staff indicated that they were unclear about what types of voluntary work they should notify the constabulary about and the process for doing so. The constabulary has reviewed this aspect of the policy and provided explicit guidance within the SEBI policy.

Applications for SEBI which have been formally rejected are followed up by the CCU to ensure compliance. There have been two such rejections in the past two years. However, members of staff can withdraw a business interest application before it reached the CCU if it appears that it might be rejected. Subsequently to the inspection the constabulary has introduced a structured checking process, to ensure that they had not undertaken the business anyway. Withdrawals (as opposed to refusals) are now formally recorded on the CCU register to allow for formal ongoing checking.

The constabulary carries out analysis to identify trends in relation to integrity issues. HMIC saw several examples illustrating that a problem-solving approach is adopted when issues arise. For example, the PSD has devised a process with the corporate finance department to scrutinise credit card usage, and is in the process of introducing an 'individual passport' which will contain details of an individual's specific working conditions, adjustments, leave, sickness, performance improvement action plans, notifications and business interests, as a holistic approach to managing any staffing matters. Governance meetings are used to discuss trends and plan appropriate approaches. This often involves reminder messages through 'Just Think' and force orders, which are reinforced by audits conducted by the CCU. HMIC saw an example of the successful reduction of misuse of force computer systems using this approach.

How well does the force proactively look for, and effectively challenge and investigate misconduct and unprofessional behaviour?

Misconduct and unprofessional behaviour

Misconduct and unprofessional behaviour are considered in the decision making in relation to transfer to specialist roles and promotion for all positions. The CCU provides any intelligence for promotion processes and there is a formal vetting process for high risk specialist roles.

The constabulary ensures that all staff, irrespective of rank or role, are treated fairly and equally in terms of how investigations are assessed, recorded and investigated and how sanctions are imposed. There is ongoing scrutiny of all investigations by senior managers in the PSD. Structured processes are followed for recording and investigation. Cases are appropriately investigated, even if the staff member involved has resigned. This enables the individual to be included in the College of Policing's 'disapproved officer register'⁴, if appropriate.

The head of the PSD makes all decisions in respect of cases and this provides consistency. Those decisions are sometimes audited by the head of legal services. All staff and staff association representatives interviewed by HMIC expressed the view that investigations are dealt with fairly and equally. There is an appeals process should any staff member feel that they have been unfairly treated. This is overseen by an independent lead.

The constabulary employs 'Bad Apple', an encrypted confidential reporting system supported by a clear policy, for staff to report wrongdoing. This was launched in October 2011 and there have been 165 referrals through the system by June 2014 of which 105 resulted in CCU investigations (the others being workplace disputes or performance issues which were referred to line management). In addition, several staff expressed the view that they felt that there is a real openness and transparency in the PSD and people can report issues directly without fear. This was confirmed by staff within the CCU who indicated that many reports are made openly rather than anonymously, and around half of those who report through the Bad Apple system have left their details for future contact.

HMIC found however that 'Bad Apple' is not monitored at weekends. Unfortunately, the system does not indicate to users that this is the case. The system asks individuals making reports to indicate whether they feel they are or could be in danger, and there is a clear rationale for this question. During the inspection, the constabulary acknowledged this gap and responded immediately by putting in place alternative arrangements. These were subsequently tested soon after by HMIC.

4 This is a national register of officers that had been dismissed for gross misconduct including those electing to resign or who retire in the face of gross misconduct, held by the College of Policing.

The constabulary responds to reports of wrongdoing by staff in an effective and timely manner through a well-resourced and experienced team. This was evidenced by file checking by HMIC and confirmed by staff associations. However, particularly in relation to complaints enquiries, members of staff often feel that the process takes too long and is stressful.

The constabulary publishes data and information regarding the gifts and hospitality register on the freedom of information section of its website. This covers all officers and staff and includes accepted and rejected offers. The chief officer register is available as a download, with divisional and departmental registers available on application. The expenses of chief officers are also published. Expenses of senior officers and police staff equivalents are available on application. The register of secondary employment and business interests (SEBI) on the constabulary website lists staff rank, the nature of the business interest as well as the date of approval and since inspection it has been updated to show the date it was granted or refused.

HMIC is satisfied that cases are being appropriately referred to the Independent Police Complaints Commission (IPCC) and that there are regular quarterly meetings with the IPCC commissioner as well as the police and crime commissioner (PCC) to discuss misconduct issues and other related matters.

The constabulary follows IPCC guidance and uses 'Lessons Learned Bulletins' in order to disseminate learning. Subject area leads are expected to follow up on lessons within their area of policy responsibility and report back to the PSD. Lessons are often disseminated to staff using the 'Just Think' campaign, for example, feedback regarding inappropriate behaviour has been the subject of a recent reminder message.

Professional Standards training and resourcing

The constabulary is strong in ensuring that staff in the PSD and CCU receive regular training for their role. Current staff have considerable expertise and experience. The department has an appropriate training budget and no relevant training request has been refused. HMIC did not identify any skills gaps. Specialist resources are made available to support staff if needed.

Succession planning (to make sure that the right staff are in place if someone leaves) generally takes place to ensure consistency in the PSD and CCU, particularly for senior management roles. The current head of PSD previously worked in the department and there are plans for any new senior post holder to have a formal handover. Most staff have worked in the department for a long time, which provides stability.

The PSD is sufficiently resourced and qualified to enable both a proactive and preventative capability. The constabulary has also made significant investment in staffing the PSD, and in particular, the CCU. Each investigator in the CCU has a workload of around six 'live' cases at a given time, for which they have full intelligence gathering and investigative responsibility. All investigators are trained to the nationally accredited standard for an investigator, and all have received training in interrogating publically available records for intelligence. There are specialists in a number of roles including, financial investigation, data communications and Police National Database computer auditors.

Misconduct hearings are carried out in a way which ensures transparency, effectiveness, efficiency and legitimacy, including the use of appropriately qualified presiding officers independent of the person investigated. The constabulary has two assistant chief constables (ACC) who act as presiding officers and this provides some consistency of approach, as does the support of the regional legal services department. Where there are issues regarding the independence of the presiding officer, the constabulary is able to use senior officers from other forces in the region. No issues regarding transparency, effectiveness, efficiency or legitimacy were raised with HMIC by any staff associations, who attend hearings to represent their members. The constabulary considers the use of fast-track dismissal where appropriate but has not yet had cause to use this process.

Quality assurance

At a fortnightly meeting, the constabulary regularly audits decisions made in hearings or meetings which consider allegations of misconduct or unprofessional behaviour against officers and staff. The constabulary also uses the Police Appeals Tribunal to quality assure decisions and process, and many staff have pursued appeals to the Tribunal.

Regular audits do take place to ensure that investigations are justifiable and proportionate and are escalated or de-escalated appropriately. The office of the police and crime commissioner (OPCC) conducts occasional dip sampling of cases in this respect. Cases are also reviewed within the department where there is any significant change and a reassessment is conducted by the detective inspector or detective chief inspector. Tasking meetings are also used for review and the severity risk assessment is adjusted accordingly. The review is a two-way process. Peer reviews also take place where there are complex investigations to ensure all lines of enquiry are considered. HMIC confirmed through a file review that this process is robust.

All integrity and misconduct investigations are carried out by the PSD. The constabulary ensures the timeliness and quality of all investigations conducted in relation to officers and staff. The IPCC monitors timeliness and has not raised any issues with the constabulary. Timeliness of investigations is also monitored through regular tasking meetings. Although

the disciplinary process can take some time, officers are updated on progress every 28 days. The quality of investigation is robustly assured through intrusive management and this was confirmed by HMIC through file reviews.

There is a clear process to record any learning, and disseminate it effectively. The constabulary produces a summary 'learning lessons' document as well as using force orders and the 'Just Think' initiative to promulgate information. Relevant issues are highlighted to subject leads and incorporated into training packages delivered by the training department and the presentations given by CCU staff. A recent example was a reminder to officers not to give out their personal mobile telephone numbers to victims.

There is a clear policy and consistent decision making on suspension, resignation and retirement during investigations. Few police officers or staff are suspended as the policy is to seek to redeploy officers to low risk roles. At the time of the HMIC inspection in June 2014, there were two officers suspended. The decision to suspend was made by the DCC and is reviewed monthly. File checking indicates that two officers, neither of whom were of retirement age, were allowed to resign while suspended during the past twelve months. Where the individual who is being investigated resigns, the constabulary provides a reference with the words 'resigned while under investigation'. All cases are taken to conclusion, even if an officer or staff member has resigned, so that the individual's details could, where appropriate, be included on the College of Policing's 'disapproved officer register'.

How well does the force prevent, identify and investigate corruption?

Investigating corruption

The constabulary effectively identifies and manages threat, risk and harm from corruption as part of its governance structure. This includes the assessment of risk, proactive action to mitigate risk and monitoring procedures in which actions are tracked and those responsible for actions are held to account. The head of the PSD is chair of the East Midlands PSD group where the national counter-corruption threat assessment is discussed. She brings back issues to inform the local agenda where appropriate. The national threat assessment strands are incorporated into the CCU departmental strategic priorities. Each strand has an operational name, making it more meaningful to the constabulary and an identified person who is responsible for co-ordinating proactive work as well as monitoring the ongoing threat, risk and harm. The head of department monitors performance. The regional procurement team works alongside the PSD to instigate processes to mitigate risk in respect of local procurement. The extent to which the constabulary undertakes preventative activity in relation to corruption is a significant strength for the constabulary and represents national good practice.

The constabulary regularly and proactively identifies vulnerable staff and groups, by using the National Crime Agency (NCA) counter-corruption threat assessment. There is an assessment of risk against role and position, with the CCU working closely with other departments (for example, vetting, HR and procurement) to identify vulnerable individuals. Where there is no criminal activity nor evidence to proceed further, the police area commander is given the information to make a decision about local management. The DCC chairs a regular staffing meeting where potentially vulnerable officers and staff are discussed.

The constabulary collaborates regionally in relation to providing staff to the East Midlands Special Operations Unit (EMSOU). There are protocols in place for reactive investigations of misconduct. However, at the time of inspection, there was no protocol for purely proactive work by the Derbyshire CCU in respect of Derbyshire staff posted to the EMSOU (with the exception of use of Derbyshire IT systems by some staff). There is also an issue where staff from more than one force might be involved in the same disciplinary investigation and subject to differing force policies while being investigated, and so may be treated differently. The head of the PSD is aware of this issue and the potential inconsistencies and is working to seek resolution. HMIC considers that these identified issues should be addressed regionally.

Recommendation

Within six months, the constabulary should work with the EMSOU to ensure that there are proactive counter-corruption processes in respect of all staff posted to the EMSOU.

The constabulary seeks to ensure that vetting arrangements comply with the ACPO national vetting policy. The arrangements already comply with ACPO vetting policy to identify corruption risks at the recruitment stage for officers and staff, and again on promotion to senior ranks or posting to sensitive or vulnerable roles. The constabulary has identified the management vetting staff roles list and is vetting new appointments to those roles on an ongoing basis. There is an approach in place to target current post holders in management vetting roles, so all will be vetted over the next twelve months. The constabulary vets all staff to CTC level as part of a requirement to allow all staff to submit entries to a secure IT system. The vetting department is recruiting additional staff to allow capacity to comply fully with the ACPO (Association of Chief Police Officers) vetting policy. In Derbyshire, the vetting department is part of the PSD and works closely with the CCU.

The constabulary proactively and regularly monitors force systems and social networking sites and takes proportionate action when appropriate. The constabulary uses commercial software to monitor staff use of the internet and force systems. This proactivity had led to, and provided evidence for, numerous investigations for misuse of force systems. The constabulary also has software to monitor personal use of social media. Staff are frequently reminded of the dangers of personal information on social media, as well as their responsibilities to use social media sensibly.

The procurement department carries out regular auditing of senior staff diaries and the use of corporate credit cards to ensure that there are checks and balances in the procurement process. The head of the PSD conducts integrity audits of the chief officer team and all departments and divisions, including a review of the gifts and hospitality registers and expense claims. The CCU conducts an overall review of the gifts and hospitality register, and examples were provided to HMIC where acceptance of hospitality has been challenged. Registers and expenses claims are reviewed by the CCU on the basis of new intelligence but the department, even with its significant resources, does not have the capacity to regularly audit every claim. There are processes in place within the finance department to check credit card usage and highlight any irregularities.

The constabulary uses random as well as 'with cause' drug and alcohol testing. A total of 12 random drugs tests were carried out in 2013/14 with a further 15 tests conducted since. The constabulary uses intelligence-led integrity testing and examples were provided to HMIC to show that this took place, often using undercover officers from another force. The fact that these integrity tests took place was communicated to staff through CCU presentations and 'Just Think' reminders. Most staff interviewed by HMIC were aware of the activity.

The constabulary ensures that organised crime investigations and operations are not compromised by corruption. The head of the PSD attends force tasking and organised crime groups (OCG) tasking and the covert operations meetings to discuss and be made aware of relevant matters. Confidential briefings are also held where appropriate. The constabulary reported that there has never been any leakage. However, there are potential gaps between the constabulary and the EMSOU activities.

The constabulary has strong processes to ensure the effective security of systems, exhibits and case papers. The constabulary has an information security policy and guidance document which sets out the requirements to ensure the effective management of information security. The constabulary complies with management of police information (MOPI) requirements and standards.

Intelligence

The constabulary proactively and regularly gathers actionable intelligence on corruption and grades it in compliance with the relevant Authorised Professional Practice (APP) using the national intelligence grading system. There is a close relationship between the CCU, the vetting unit and the PSD, who also meet regularly with HR counterparts. This provides opportunities to identify common themes, threats and risks. The confidence and ethics board, chaired by the DCC, also has a role in identifying relevant trends.

The constabulary has a tasking and co-ordination meetings structure in place at which corruption issues are considered and recorded. This is also monitored at the departmental daily and the two-weekly tasking and co-ordination meetings, although this is the same meeting in which all ongoing investigations are also discussed. Any actionable intelligence is developed, tasked out and monitored through structured governance. The constabulary seeks actionable intelligence from a variety of sources as set out in the APP document. Sources include the prison service, bi-monthly meetings with street sex workers and liaison with Her Majesty's Revenue and Customs. Reports made to the CCU and those received through the 'Bad Apple' reporting system are logged on the departmental intelligence system and thoroughly investigated. At the time of inspection a new CCU analyst was in the process of being recruited, and investigators are each responsible for developing the intelligence allocated to them by the unit for cases they investigate.

The PSD and CCU tasking arrangements ensure that lines of information and intelligence from sources (such as overnight logs, graded intelligence, 'Bad Apple' and other internal reports, a check of prisoners arrested in last 24 hours, and missing persons) are cross-referenced with each other. Actions from previous meetings are also brought forward and logs shown to HMIC show a process of checking lines of enquiry, investigation plans and review by the relevant senior investigating officer (SIO).

The constabulary effectively identifies multiple suspects as well as multiple offences by a single suspect. File checking by HMIC included investigations involving such multiple suspects, as well as multiple offences, indicating thorough development of intelligence and investigations. Examples included one case where several officers had been involved in mishandling property from a police property store, while another case involved a sex offender with multiple victims.

Capability

The CCU has ready access to specialist assets when required including undercover officers from other forces, technical equipment and specialist skills such as computer analysis, communications data and interrogation of force systems. The constabulary accommodates the CCU's resourcing requirements to a significant degree, thereby enabling the CCU to conduct its investigations effectively.

The constabulary ensures that the CCU has sufficient capability and capacity to provide a proactive element. Staff within the unit feel that they are well resourced and have the capability to operate efficiently and effectively. Examples were provided which indicated that the constabulary was proactively addressing every aspect of vulnerability for the constabulary including integrity audits of all departments and divisions, random drugs testing, checks on the use of computer systems, checks on the use of social media, secondary employment checks and investigations and financial checks on staff. There is a secure 'sterile corridor' between the complaints handling section of the PSD and the CCU, and the CCU is never asked to supplement staffing within the complaints handling section of the PSD.

The performance of the PSD and the CCU is regularly monitored by the DCC through monthly meetings. There is scrutiny by the PCC on a quarterly basis and there is also regular dip sampling of misconduct files by the office of the police and crime commissioner (OPCC). File checking by HMIC found no issues with decision-making.

File checking indicated that investigations are thoroughly documented and well supervised, with all appropriate documentation completed to a good standard and in a timely manner. HMIC found this aspect to be a significant strength for the constabulary.

The head of corruption has a direct reporting line to the DCC in his capacity as appropriate authority. The DCC also attends some of the daily and fortnightly tasking meetings and demonstrates a detailed understanding and oversight of ongoing enquiries. The mature relationship between the head of the PSD and the chief officer team allows for effective challenge regarding their practices.

The constabulary ensures that lessons are learned and effectively disseminated to officers and staff through the 'Just Think' behavioural campaign and through repeated reminder messages in force orders, supplemented by practical redacted examples of conduct which had led to disciplinary action. File checking by HMIC indicated that cases are being appropriately referred to the IPCC in accordance with statutory guidance.

Recommendations

- **Within six months, the constabulary should work with the EMSOU to ensure that there are proactive counter-corruption processes in respect of all staff posted to the EMSOU.**