

# PEEL: Police legitimacy (including leadership) 2017

An inspection of Surrey Police



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# Introduction

As part of its annual inspections into police effectiveness, efficiency and legitimacy (PEEL), HM Inspectorate of Constabulary and Fire & Rescue Services (HMICFRS)<sup>1</sup> assesses the legitimacy and leadership of police forces across England and Wales.

Police legitimacy – a concept that is well established in the UK as ‘policing by consent’ – is crucial in a democratic society. The police have powers to act in ways that would be considered illegal by any other member of the public (for example, by using force or depriving people of their liberty). Therefore, it is vital that they use these powers fairly, and that they treat people with respect in the course of their duties.

Police legitimacy is also required for the police to be effective and efficient: as well as motivating the public to co-operate with the police and respect the law, it encourages them to become more socially responsible. The more the public supports the police by providing information or by becoming more involved in policing activities (such as via Neighbourhood Watch or other voluntary activity), the greater the reduction in demand on police forces.

To achieve this support – or ‘consent’ – the public needs to believe that the police will treat them with respect and make fair decisions (while taking the time to explain why they are making those decisions), as well as being friendly and approachable.<sup>2</sup> This is often referred to as ‘procedural justice’. Police actions that are perceived to be unfair or disrespectful can have extremely negative effect on police legitimacy in the eyes of the public.

Police officers and staff are more likely to treat the public with fairness and respect if they feel that they are being treated fairly and respectfully, particularly by their own police force. Therefore, it is important that the decisions made by their force about matters that affect them are perceived to be fair.<sup>3</sup> This principle is described as

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<sup>1</sup> This inspection was carried out before 19 July 2017, when HMIC also took on responsibility for fire & rescue service inspections and was renamed HM Inspectorate of Constabulary and Fire & Rescue Services. The methodology underpinning our inspection findings is unaffected by this change. References to HMICFRS in this report may relate to an event that happened before 19 July 2017 when HMICFRS was HMIC. Citations of documents which HMIC published before 19 July 2017 will still cite HMIC as the publisher.

<sup>2</sup> *It's a fair cop? Police legitimacy, public cooperation, and crime reduction*, National Policing Improvement Agency, September 2011. Available at:  
[http://whatworks.college.police.uk/Research/Documents/Fair\\_cop\\_Full\\_Report.pdf](http://whatworks.college.police.uk/Research/Documents/Fair_cop_Full_Report.pdf)

<sup>3</sup> *Fair cop 2: Organisational justice, behaviour and ethical policing*, College of Policing, 2015. Available at:  
[http://whatworks.college.police.uk/Research/Documents/150317\\_Fair\\_cop%20FINAL\\_REPORT.pdf](http://whatworks.college.police.uk/Research/Documents/150317_Fair_cop%20FINAL_REPORT.pdf)

'organisational justice', and HMICFRS considers that, alongside the principle of procedural justice, it makes up a vital aspect of any assessment of police legitimacy.

One of the most important areas in which internal organisational justice and external procedural justice principles come together is the way in which police forces ensure that their workforce behaves ethically and lawfully. In HMICFRS' 2017 legitimacy inspection, we continued our assessment of how well forces develop and maintain an ethical culture and we re-examined how forces deal with public complaints against the police. How this is done needs to be seen to be fair and legitimate in the eyes of both the police workforce and the general public.

As part of this year's inspection, we also integrated aspects of leadership into our assessment of legitimacy, as the two areas are closely linked. We assessed the role that leadership plays in shaping force culture, the extent to which leadership teams act as role models, and looked at how the force identifies and selects its leaders.

While our overarching legitimacy principles and core questions remain the same as last year, our areas of specific focus continue to change to ensure we are able to assess a full range of police legitimacy topics, including emerging concerns or Home Office commissions. As such, it is not always possible to provide a direct comparison with last year's grades. Where it is possible to highlight emerging trends in our inspection findings between years, we do so in this report.

A separate report on the force's efficiency inspection findings is available on our website ([www.justiceinspectorates.gov.uk/hmicfrs/peel-assessments/peel-2017/surrey/efficiency/](http://www.justiceinspectorates.gov.uk/hmicfrs/peel-assessments/peel-2017/surrey/efficiency/)). Our reports on police effectiveness will be published in early 2018. Our 2016 reports on forces' effectiveness, efficiency, and legitimacy are available on our website: [www.justiceinspectorates.gov.uk/hmicfrs/peel-assessments/peel-2016/surrey/](http://www.justiceinspectorates.gov.uk/hmicfrs/peel-assessments/peel-2016/surrey/).

More information on how we inspect and grade forces as part of this wide-ranging inspection is available on our website ([www.justiceinspectorates.gov.uk/hmicfrs/peel-assessments/how-we-inspect/](http://www.justiceinspectorates.gov.uk/hmicfrs/peel-assessments/how-we-inspect/)).

## Force in numbers



### Workforce

Total workforce (full time equivalents) as of 31 March 2017

**3,674**

Total workforce breakdown (full time equivalents) as of 31 March 2017

officers

**1,986**

staff (including section 38)

**1,568**

PCSOs

**120**



### Ethnic diversity

Percentage of BAME in workforce 31 March 2017

overall workforce

**4.8%**

officers

**4.2%**

staff

**5.3%**

PCSOs

**7.2%**

Percentage of BAME in local population, 2011 Census

**9.6%**



### Gender diversity

Percentage of females in overall workforce 31 March 2017

**45%**

England and Wales population, 2015 estimate

**51%**

Percentage of females by role 31 March 2017

**34%**

Surrey Police

officers

**61%**

staff

PCSOs

**48%**



## Grievances

Number of grievances per 1,000 workforce raised and finalised 10 months to 31 March 2017

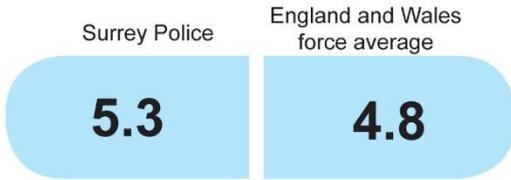


## Stop and search

Number of stops and searches carried out in 2015/16 (excluding 'vehicle only' searches)

**6,211**

Number of stop and searches per 1,000 population in 2015/16



**Note: All figures exclude section 38 staff unless stated otherwise. For further information about the data used, including information about section 38 staff, please see annex A.**

# Overview – How legitimate is the force at keeping people safe and reducing crime?

## Overall judgment<sup>4</sup>



Surrey Police is judged to be good at how legitimately it keeps people safe and reduces crime. For the areas of legitimacy we looked at this year, our overall judgment is the same as last year. The force is judged to be good at treating the people it serves with fairness and respect. It is also judged to be good at how well it ensures its workforce behaves ethically and lawfully. The force is judged to require improvement in some aspects of the way in which it treats its workforce with fairness and respect.

## Overall summary

To what extent does the force treat all the people it serves with fairness and respect?



How well does the force ensure that its workforce behaves ethically and lawfully?



To what extent does the force treat its workforce with fairness and respect?



Surrey Police and its workforce have a good understanding of the importance of treating people fairly and with respect. Officers and staff understand the importance of effective communication skills and how to use coercive powers fairly and respectfully. Officers and staff understand the concept of unconscious bias and how to overcome it, despite limited training on the topic. The force works well with the independent advisory group which provides external scrutiny and advice. The force scrutinises stop and search data well, although from our review of records we found that some officers and supervisors still do not understand what constitutes reasonable grounds for stop and search. The force could do more to scrutinise data on its use of force to identify trends and learning in order to improve practice.

<sup>4</sup> HMICFRS judgments are outstanding, good, requires improvement and inadequate.

Surrey Police is good at ensuring that its workforce behaves ethically and lawfully. There is a strong focus on the Code of Ethics throughout the force. However, it does not have a formal mechanism for considering and discussing ethical dilemmas and policies. It also needs to review its plans to reduce its backlog in vetting its workforce to comply with the national vetting policy. Surrey Police has made it easier for the public to make a complaint and has publicised the complaints process in communities which might have less confidence in the police. However, the force needs to ensure that the workforce has a better understanding of discrimination.

Surrey Police requires improvement in some aspects of the way in which it treats its workforce with fairness and respect. The force could improve the way in which it communicates with its workforce. Leaders could do more to encourage challenge and feedback from the wider workforce, and to publicise any action it takes as a result, so that the workforce feel that Surrey Police is listening to them. The force has a range of wellbeing services but they are not as well publicised or as easy to access as they could be. It could do more to take preventative and early action to improve workforce wellbeing, and ensure that supervisors have sufficient training to recognise early warning signs and make appropriate referrals for support. Senior leaders are aware that the workforce is feeling stretched, but some officers and staff do not feel that their wellbeing is viewed as a priority. In both our 2015 and 2016 legitimacy reports, we found that more needed to be done to support staff wellbeing, as staff were reporting that they were struggling with high workloads. In 2017 we found little progress in this area has been made; supervisors had still received no training to identify wellbeing needs early, and the level of service provided by the occupational health unit has declined. The force's approach to managing and developing individual performance remains inconsistent. Force selection processes for talent and temporary promotion are also inconsistent.

### **Areas for improvement**

- The force should ensure that officers likely to use stop and search powers receive sufficient training.
- The force should ensure that it has a credible plan to comply with all aspects of the national vetting standards by December 2018, in line with HMICFRS' nationwide recommendation in 2016.
- The force should prioritise workforce wellbeing and improve how it identifies and understands the concerns of its workforce, using a range of data, information and analysis to do so.

- The force should ensure that it can respond effectively when wellbeing concerns are identified. As a priority, consideration should be given to how waiting times for referrals to OHU can be reduced.
- The force should ensure that its leaders act in response to feedback and challenge from all parts of the workforce, and tell the workforce what has been done.

## To what extent does the force treat the people it serves with fairness and respect?

College of Policing research suggests that, in the eyes of the public, police legitimacy stems primarily from the concept of ‘procedural justice’: the expectation that officers will treat the public respectfully and make fair decisions (explaining their reasons openly and clearly), while being consistently friendly and approachable.<sup>5</sup>

While HMICFRS recognises that police legitimacy stems from broader experiences of the police than by direct contact alone, our inspection focuses specifically on assessing the extent to which forces make fair decisions and treat people with respect during their interactions with the public. To do this, we looked at how well leaders can demonstrate the importance they place on procedural justice and how well the workforce understands these principles and applies them. Also, we assessed how well the force scrutinises the extent to which procedural justice takes place, particularly with regard to coercive powers, including the use of force and stop and search.

## To what extent does the force understand the importance of treating people with fairness and respect?

HMICFRS assessed the extent to which leaders of the force understand the importance of procedural justice, and the arrangements they have made to provide the workforce with the knowledge, skills and understanding they need to treat all the people they serve fairly and with respect. We examined the workforce’s understanding of the principles of procedural justice (being friendly and approachable, treating people with respect, making fair decisions, and taking time to explain these decisions). We did this by checking their understanding of the concept of unconscious bias,<sup>6</sup> their awareness of effective communication skills<sup>7</sup> in all

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<sup>5</sup> *It’s a fair cop? Police legitimacy, public cooperation, and crime reduction*, National Policing Improvement Agency, September 2011. Available at: [http://whatworks.college.police.uk/Research/Documents/Fair\\_cop\\_Full\\_Report.pdf](http://whatworks.college.police.uk/Research/Documents/Fair_cop_Full_Report.pdf)

<sup>6</sup> Personal biases are influenced by factors including people’s background, personal experiences and occupational culture, and they can affect our decision-making. When we make quick decisions, these biases can, without us realising, disadvantage particular groups of people. It is vital that police officers understand their own biases and how to overcome them, to ensure the decisions they make are fair.

<sup>7</sup> Research into the effect of communication skills training in Greater Manchester Police (e.g. showing empathy, building rapport, signposting and using positive and supportive language) showed this improved officer attitudes and behaviours and had a “significant positive effect” on the quality of interactions between police officers and victims. See: <http://library.college.police.uk/docs/college-of-policing/Technical-Report.pdf>

interactions with the public and their appropriate use of coercive powers (with a specific focus on stop and search and use of force).<sup>8</sup>

### **Understanding the importance of treating people with fairness and respect**

The force understands the importance of treating people fairly and with respect. The force has adopted the Code of Ethics, which has been integrated into all training processes and is reinforced regularly on the force intranet and internal bulletins. Staff we spoke to routinely referenced the Code of Ethics, understood and were able to explain what it means in everyday life, and could demonstrate its use in practical situations with members of the public, such as during stop and search. The force demonstrates its commitment to have open, fair and transparent policies and procedures through its 'Plan on a Page', which defines the chief constable's vision for the force, to make the county as safe as it can be and promote a positive culture within the organisation.

### **Understanding of unconscious bias**

There is a mixed picture within the force in relation to unconscious bias training. The force has decided not to offer standalone training on unconscious bias, preferring to incorporate the topic into other training such as training for staff involved in recruitment procedures, and initial training courses. More recently, the chief constable and deputy chief constable have carried out a series of training days for middle managers, which included training in unconscious bias. Despite the limited amount of training, guidance and support given to officers and staff in this area, we found that unconscious bias was broadly understood within the workforce, and most staff we spoke to were able to demonstrate when they have considered it in practical situations, leading to fairer decision-making.

### **Communication skills**

Staff within Surrey Police demonstrate a good understanding of the importance of effective communication skills in their day-to-day interactions with the public. All front-line officers and staff receive training and guidance on the importance of effective communication skills to improve their interactions with the public, through their initial training, subsequent leadership training, or as part of their customer service training for staff in the force control room. The force carries out no further formal communication skills training unless line managers specifically ask for it;

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<sup>8</sup> *Authorised Professional Practice on Stop and Search*, College of Policing, February 2017. Available from: [www.app.college.police.uk/app-content/stop-and-search/](http://www.app.college.police.uk/app-content/stop-and-search/); *Authorised Professional Practice on Use of Force*, College of Policing, October 2013. Available from: [www.app.college.police.uk/app-content/public-order/core-principles-and-legislation/police-use-of-force/](http://www.app.college.police.uk/app-content/public-order/core-principles-and-legislation/police-use-of-force/); and *College of Policing and National Police Chiefs' Council, Personal safety manual*, 2016. Available from: <http://library.college.police.uk/docs/college-of-policing/PSM/PSM-MOD-01-INTRODUCTION.pdf>

however HMICFRS were impressed by the professionalism shown consistently by officers and staff we spoke to, who were able to describe how they applied effective communication skills during their interactions with the public.

### **Use of coercive powers**

The force works hard to ensure that officers and staff understand how to use coercive powers fairly and respectfully. Coercive powers are highlighted throughout custody training, initial training and personal safety training sessions, with reference to the National Decision Model (NDM) and particular emphasis on the Code of Ethics. During reality testing, some staff were unable to identify when they had received any formal training in using coercive powers such as stop and search, what training was mandatory or whether or not it had since been refreshed. However, the majority of officers and staff we spoke to were able to demonstrate that they used the NDM in line with the Code of Ethics when using coercive powers such as the use of force or stop and search, illustrating that the important messages are understood.

The professional standards department (PSD) reviews the use of coercive powers through analysis of complaints by members of the public, and acts where necessary. If any officer or staff member is linked to four or more complaints, they are subject to the 'supportive intervention scheme' which ensures that any trends are identified collectively with the person concerned, and that any welfare matters that might be causing the problems are addressed. When a potential concern is identified, this is also a good opportunity for the force to ensure that officers and staff receive additional support and guidance about how to use coercive powers fairly and effectively.

### **How well does the force understand the extent to which its workforce treats people with fairness and respect?**

HMICFRS continues to examine the extent to which forces work to identify and understand what affects people's perceptions of fair and respectful treatment. This year we re-assessed a specific aspect of fair and respectful treatment that we examined in PEEL 2015: the use of force<sup>9</sup> and stop and search powers. Specifically, we inspected the extent to which forces record data and how well they scrutinise

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<sup>9</sup> In 2015 HMICFRS found a generally positive picture of force oversight arrangements for use of Taser. However, in 2016, we found that many forces did not have similar levels of oversight for other types of use of force. As a result of a review undertaken by the National Police Chiefs' Council, all forces have been required to collect a minimum data set in respect of use of force since April 2017. The review is available at: [www.npcc.police.uk/documents/uniformed/2016/Use%20of%20Force%20Data%20Report%20to%20Home%20Sec.pdf](http://www.npcc.police.uk/documents/uniformed/2016/Use%20of%20Force%20Data%20Report%20to%20Home%20Sec.pdf). Also see *Authorised Professional Practice on Use of Force*, College of Policing, October 2013. Available from: [www.app.college.police.uk/app-content/public-order/core-principles-and-legislation/police-use-of-force/](http://www.app.college.police.uk/app-content/public-order/core-principles-and-legislation/police-use-of-force/)

data and other information, including through external scrutiny,<sup>10</sup> to understand and improve the use of these powers. In the case of stop and search, the next section sets out our findings. It includes our assessment of the reasonableness of recorded grounds for stop and search.

### **Scrutiny of use of force to improve treatment**

Surrey Police does not yet fully comply with the national recording standard on the use of force but it is working to rectify that and expects to achieve compliance in the near future. Surrey Police could do more to scrutinise data to identify trends and learning to improve practice. The officer safety training team (OST) currently reviews all recorded use of force, to identify training trends and performance and conduct matters. The force uses body-worn video cameras (BWV), but only 174 cameras are in circulation (more are planned), so opportunities to view footage when scrutinising the use of force are limited. If a complaint alleging excessive force is received within PSD, this triggers a review of the use of force form completed by the officer, and further scrutiny to establish whether there may have been any misconduct, or if there is anything to be learned. The force recognises that more in-depth scrutiny of the use of force is needed, and has started to hold a joint 'legitimacy board' meeting (with Sussex Police) to provide a more comprehensive and independent review of the use of force in both police forces. Surrey Police is seeking ways to have more meaningful data to scrutinise, to enable more in-depth analysis of trends, and for individual and organisational learning to take place.

In 2015 we found that the use of Taser was fair and appropriate in the force. Surrey Police monitored and evaluated its use across the force, although it did not publish data at the time. The data are reviewed quarterly at the joint Surrey/Sussex Taser working group and the force now publishes data on its website. There is also a question and answer forum for members of the public to communicate directly with the force about Taser use, providing additional public scrutiny in an open and transparent way.

### **External scrutiny to improve treatment**

Surrey Police has a very diverse, well-established IAG which provides a link to diverse communities within Surrey, which affords the force the opportunity to consult these communities about various matters including operational policing. The IAG is chaired by a member of the public who works for the National Health Service, and provides a degree of external scrutiny of the force. The IAG represents many different communities, including lesbian, gay, bisexual and transgender, deaf, disabled, mental health, young female survivors of rape, as well as several different nationalities, and is actively seeking more young people to join, in recognition of a

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<sup>10</sup> *Independent Advisory Groups: considerations and advice for the police service on the recruitment, role and value of IAGs*, College of Policing, 2015. Available at: [www.college.police.uk/What-we-do/Support/Equality/Documents/Independent\\_advisory\\_groups\\_advice\\_2015.pdf](http://www.college.police.uk/What-we-do/Support/Equality/Documents/Independent_advisory_groups_advice_2015.pdf)

gap identified within the membership. The IAG is well-supported by the Surrey Police diversity team (dedicated to responding to diversity issues both inside and outside the force), and senior officers in Surrey Police communicate effectively and follow up on any problems raised. For example, a superintendent has been asked to provide further detail at the next meeting about the amount of time it takes Surrey Police to answer calls when members of the public ring the 101 number. Membership of the IAG is reviewed regularly and the interview process for members assesses their confidence to communicate and challenge, to ensure that the right people are selected. The application process is clear and accessible and members receive training for their role. Members are asked to provide feedback to each meeting about any matters affecting the communities they represent. This allows the meeting to identify problems affecting various communities and ensures that members talk to their communities effectively.

The force has a 'full IAG' of 30 members, and a strategic IAG with a selected number of members and senior officers and police staff to review specific concerns, both of which are held bi-monthly. Rather than local IAGs, the force uses officers and staff to act as diversity champions in each area, who attend a meeting every six weeks with local (divisional) IAG members to help local learning. For example, an IAG member notified the forum that the Council Disability Hub in Staines would benefit from having regular police surgeries, and this was subsequently arranged. This enables people from the disabled community to speak to police in the comfort and security of the hub.

The force positively engages those groups in society who might have less trust in the police. IAG members are welcomed by the force to various different meetings to provide external scrutiny, including meetings that determine the direction the force should take following any significant incident, and meetings that focus on more specific matters such as mental health. In addition, IAG members are invited to participate in promotion processes, to provide an independent perspective. IAG members scrutinise complaints that have been closed, and misconduct cases. This is done through a separate meeting for some members to go through conduct or complaint case papers (these are anonymised first, so that details of members of the public are not revealed), look at what was done and the outcome, and consider whether they feel it was appropriate. Surrey Police also seeks feedback from members of the public on how it is performing through social media, Facebook and Twitter.

## How fairly does the force use stop and search powers?

The purpose of stop and search powers is to enable officers to eliminate or confirm suspicions that individuals may be in possession of stolen or prohibited items, without exercising their power of arrest. Except in exceptional circumstances, an officer must have reasonable grounds for carrying out such a search. While this can be valuable in the fight against crime when based on genuinely objective reasonable grounds, the powers to stop and search people are some of the most intrusive available to the police. Their disproportionate use in respect of black, Asian and minority ethnic communities threatens to undermine police legitimacy. As such, it is crucial that all forces use these powers fairly, and demonstrate to the public that they are doing this.<sup>11</sup>

HMICFRS has assessed the police's use of its stop and search powers on a number of occasions.<sup>12</sup> Our 2015 legitimacy inspection<sup>13</sup> found that too many forces were not always recording reasonable grounds on their stop and search records. In 2017, we reviewed the reasonableness of the grounds again to assess how fairly forces are using stop and search in line with national guidance.<sup>14</sup> Also, we assessed how the forces scrutinise use of these powers.

### Understanding of national guidance

Surrey Police's understanding of national guidance should be improved. The force has provided staff with an e-learning training package about stop and search, mandated for student officers only. Response officers were given some face-to-face training before the force introduced the new Policing in Your Neighbourhood model (PIYN), and were given some refresher training more recently. When we spoke to officers, we found that although they were unable to recount formal training, they were able to provide examples of their consideration of the NDM and Code of Ethics during stop and search encounters they had conducted. However, the result of our review of 200 records suggests that some officers and supervisors still do not understand what constitutes reasonable grounds (see 'Reasonable grounds for stop and search', below). The force has not yet introduced the revised stop and search

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<sup>11</sup> *Authorised Professional Practice on Stop and Search*, College of Policing, February 2017. Available from: [www.app.college.police.uk/app-content/stop-and-search/](http://www.app.college.police.uk/app-content/stop-and-search/)

<sup>12</sup> *Stop and Search Powers – are the police using them effectively and fairly?* HMIC, July 2013. Available at: [www.justiceinspectorates.gov.uk/hmicfrs/publications/stop-and-search-powers-20130709/](http://www.justiceinspectorates.gov.uk/hmicfrs/publications/stop-and-search-powers-20130709/) and *Best Use of Stop and Search revisits*, HMIC, September 2016. Available from: [www.justiceinspectorates.gov.uk/hmicfrs/publications/best-use-of-stop-and-search-revisits/](http://www.justiceinspectorates.gov.uk/hmicfrs/publications/best-use-of-stop-and-search-revisits/)

<sup>13</sup> *Police legitimacy 2015 – a national overview*, HMIC, February 2016. Available from: [www.justiceinspectorates.gov.uk/hmicfrs/publications/police-legitimacy-2015/](http://www.justiceinspectorates.gov.uk/hmicfrs/publications/police-legitimacy-2015/)

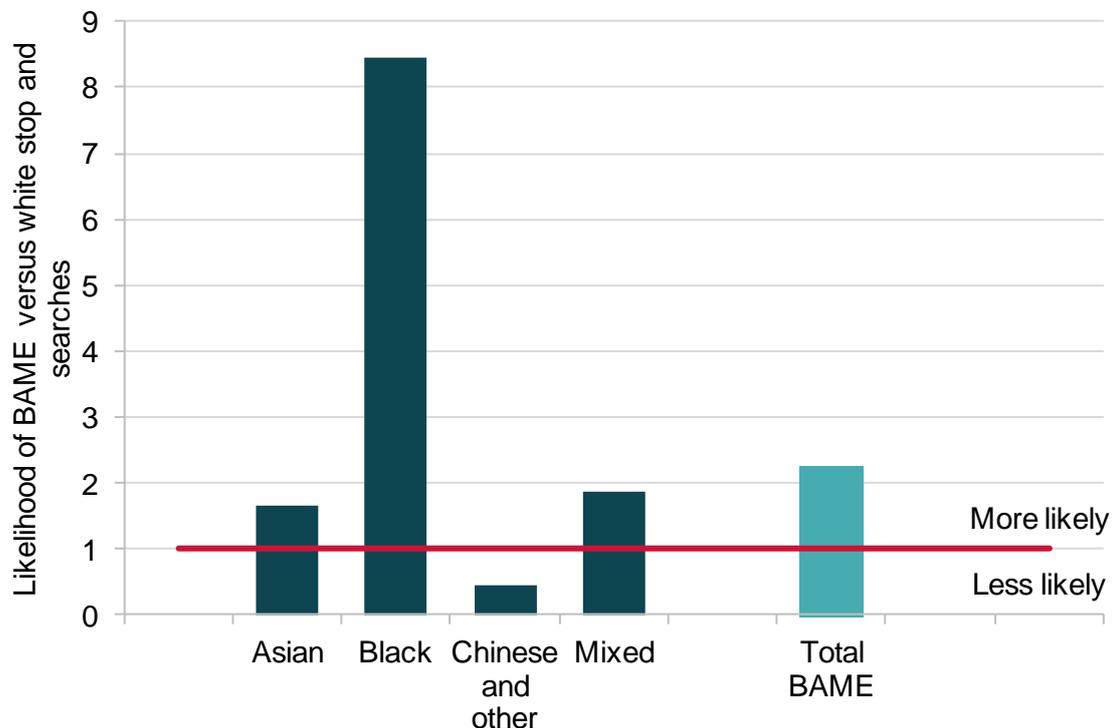
<sup>14</sup> See annex A for more information about the methodology for our review of stop and search records.

training package from the College of Policing, but is keen to create innovative learning practices, and is working with a private company together with the University of Surrey to develop an accelerated learning package. The force is ambitiously planning to condense the College of Police Stop and Search training package (two days' training) into one hour. In doing so, the force hope to exceed the 32 percent retention rate of the traditional training package.

### Monitoring use of stop and search powers to improve treatment

In order to monitor the use of stop search powers effectively, forces should use a range of data to help them understand how the powers are being used and the subsequent effects on crime, disorder and perceptions in the community. In particular, forces should consider whether the use of stop and search powers is disproportionately affecting one group compared to another. In the 12 months to 31 March 2016 in Surrey Police, BAME people were 2.3 times more likely than white people to be stopped and searched. Black people were 8.5 times more likely to be stopped and searched than white people – the greatest difference of any ethnic group, when looking at the likelihood of stop and search compared to white people.

**Figure 1: Likelihood of black, Asian and minority ethnic (BAME) people being stopped and searched (under section 1, PACE)<sup>15</sup> compared with white people, in the local population of Surrey Police in the 12 months to 31 March 2016**



Source: Home Office 2016

<sup>15</sup> Police and Criminal Evidence Act 1984. Available at: [www.legislation.gov.uk/ukpga/1984/60/section/1](http://www.legislation.gov.uk/ukpga/1984/60/section/1)

Surrey Police hold quarterly 'StopWatch' meetings to scrutinise comprehensive stop and search data, chaired by a superintendent. Diverse data are scrutinised at the meetings, including numbers of searches, reasons for searches, disproportionality, outcomes, people searched more than once, and officers who use the powers the most. The meetings also dip check 100 forms, and review each one thoroughly. The data used at StopWatch meetings allows the force to identify trends that it is concerned about, and to put interventions in place with officers where necessary. The monitoring would be enhanced if it included viewing BWV footage of stop and search encounters. Through its StopWatch meetings the force has identified that black people are over eight times more likely to be stopped and searched than white people (Figure 1). The force has analysed its data, and established that the main reason for this discrepancy involves the high number of non-resident visitors to the county from London and elsewhere. The force continues to monitor this closely.

HMICFRS observed a StopWatch meeting and was pleased to see data showing that supervisors reviewed 100 percent of stop and search forms from the previous quarter. However, our review of 200 records suggests that some supervisors still do not understand what constitutes reasonable grounds (see 'Reasonable grounds for stop and search', below). On this occasion, two officers were identified as having a high number of stop and searches which did not lead to them finding the items they were searching for. The officers' chief inspectors were asked to follow this up, report back at the next meeting, and deal with any problems immediately. During the meeting it was also identified that four districts had disproportionate rates, above the force average, of searches of BAME people against white people. The chief inspectors and analysts were asked to review the data to explain why. The force monitors the effectiveness of stop and search through their tasking meetings, reviewing what effect stop and search has had on crime rates. This process is now being continued through the recently introduced joint legitimacy board with Sussex Police under the forces' collaborative arrangements.

Stop and search is targeted into specific areas aligned to the force priorities, and examples were given of an increased number of stop and searches being carried out in Runnymede and Elmbridge in response to a growing number of burglaries in the area. However, in our review of 200 stop and search records across the force we found that 141 were conducted to search for drugs, of which 45 involved a suspicion of the more serious supply-type offence, but 96 were conducted to search for drugs when the suspicion was merely possession. It might be prudent for the force to check that its stop and search activity is predominantly targeted in accordance with the force priorities.

The PSD attends the quarterly StopWatch meetings to review the use of stop and search powers, focusing particularly on disproportionate use of these powers with BAME members of the public. PSD attends to provide information on complaints relating to the use of those powers, and are also involved in checking stop and

search form submissions, which takes place at the conclusion of this meeting. PSD runs a Supportive Intervention Scheme to provide support and guidance to officers who have been subject to a complaint, or criticism of their use of stop and search.

In 2015, we found Surrey Police was not compliant with the Best Use of Stop and Search scheme. We revisited the force in 2016 and found that the force had rectified earlier shortcomings and was fully compliant.

### **External scrutiny of stop and search powers to improve treatment**

Members of the IAG attend the comprehensive force StopWatch meetings to provide external scrutiny and independence. The force might want to consider holding a bespoke meeting for members of the public (including but not limited to the IAG), specifically to scrutinise stop and search.

### **Reasonable grounds for use of stop and search**

The Police and Criminal Evidence Act 1984 requires that, to stop and search a person, the grounds to suspect that person of being in possession of a stolen or prohibited article must be reasonable, and that the grounds must be recorded on the stop and search record.<sup>16</sup>

In our 2013 inspection into the police use of stop and search powers,<sup>17</sup> we were concerned to see that, of the 8,783 stop and search records we examined across all forces in England and Wales, 27 percent did not include sufficient reasonable grounds to justify the lawful use of the power. For Surrey Police, the 2013 inspection showed that 16 of 200 records reviewed did not have grounds recorded that were considered reasonable. In 2015, as part of our PEEL legitimacy inspection,<sup>18</sup> we carried out a further review of the recorded grounds in a sample of stop and search records. In that inspection, our review of 100 records found that 11 did not have reasonable grounds recorded.

For the 2017 inspection, we reviewed 200 stop and search records; six records did not have grounds recorded that we considered reasonable. Although the records we reviewed might not be representative of all stop and search records completed by the force, our findings indicate that some officers and supervisors either still do not understand fully what constitutes reasonable grounds, or do not know how to record

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<sup>16</sup> Police and Criminal Evidence Act 1984. Available from: [www.legislation.gov.uk/ukpga/1984/60/contents](http://www.legislation.gov.uk/ukpga/1984/60/contents).

<sup>17</sup> *Stop and Search Powers: Are the police using them effectively and fairly?* HMIC, 2013. Available from: [www.justiceinspectorates.gov.uk/hmic/publications/stop-and-search-powers-20130709/](http://www.justiceinspectorates.gov.uk/hmic/publications/stop-and-search-powers-20130709/).

<sup>18</sup> *PEEL: Police legitimacy 2015* HMIC 2016. Available from: [www.justiceinspectorates.gov.uk/hmic/publications/police-legitimacy-2015/](http://www.justiceinspectorates.gov.uk/hmic/publications/police-legitimacy-2015/).

them properly. It is important to note that the lack of reasonable grounds on the stop and search record does not necessarily mean that reasonable grounds did not exist in reality at the time of the stop and search.

In 45 of the 200 records we reviewed, officers found the item they were searching for. This is an important measure: confirming or allaying an officer’s suspicions is the primary purpose of the powers. Finding the item searched for is one of the best indications that the grounds for the suspicions are likely to have been strong.

**Table 1: Results of HMICFRS stop and search records review 2013-17**

	2013	2015	2017
<b>Records not containing reasonable grounds</b>	16 of 200	11 of 100	6 of 200
<b>Item searched for found</b>	-	-	45 of 200

## Summary of findings



**Good**

Surrey Police and its workforce understand the importance of treating people fairly and with respect. The force has integrated the Code of Ethics into all training processes and promotes it regularly on the force intranet and in internal bulletins. Officers and staff have a good understanding of the importance of effective communication skills in their day-to-day interactions with the public. Most of those we spoke to had an understanding of unconscious bias and its effect on fair decision-making.

The force ensures that its training includes a focus on how to use coercive powers fairly and respectfully but training on stop and search needs to be improved. In our review of records we found that some officers and supervisors still do not understand what constitutes reasonable grounds for stop and search.

Surrey Police could do more to scrutinise data about its use of force to identify trends and use learning to improve practice. The force holds ‘StopWatch’ meetings to provide detailed scrutiny of stop and search data, which are also attended by members of the independent advisory group. External scrutiny of the force’s activities is provided by an independent advisory group which also highlights community concerns. The force addresses any problems that are raised.

### Area for improvement

- The force should ensure that officers likely to use stop and search powers receive sufficient training.

## How well does the force ensure that its workforce behaves ethically and lawfully?

In HMICFRS' 2017 legitimacy inspection, we continued to focus on the extent to which forces develop and maintain an ethical culture to reduce unacceptable types of behaviour among their workforces. We also returned to look at how well forces are handling complaints and misconduct cases,<sup>19</sup> as opposed to last year's focus on how well forces are guarding against corruption.<sup>20</sup>

## How well does the force develop and maintain an ethical culture?

Research tells us that the best way to prevent wrongdoing is to promote an ethical working environment or culture.<sup>21</sup> Police leaders need to promote ethical principles and behaviour and act as role models, in line with the Code of Ethics.<sup>22</sup> Officers and staff should feel confident that they can apply these principles to their decision-making. This year, we focused on the way that the leaders of forces demonstrate ethical behaviour and the way that forces approach ethical decision-making across the entire workforce. In addition, where forces had failed to comply with all aspects of the national vetting standards in 2016, we assessed whether their plans are credible and are likely to be compliant by December 2018.<sup>23</sup>

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<sup>19</sup> *Police legitimacy 2015 – a national overview*, HMIC, February 2016. Available from: [www.justiceinspectorates.gov.uk/hmicfrs/publications/police-legitimacy-2015/](http://www.justiceinspectorates.gov.uk/hmicfrs/publications/police-legitimacy-2015/)

<sup>20</sup> We did, however, undertake a review of forces' plans in response to our PEEL legitimacy 2016 national report recommendation. The report of our findings is available here: [www.justiceinspectorates.gov.uk/hmicfrs/publications/peel-police-legitimacy-2016/](http://www.justiceinspectorates.gov.uk/hmicfrs/publications/peel-police-legitimacy-2016/)

<sup>21</sup> *Promoting ethical behaviour and preventing wrongdoing in organisations*, College of Policing, 2015. Available at: [http://whatworks.college.police.uk/Research/Documents/150317\\_Integrity\\_REA\\_FINAL\\_REPORT.pdf](http://whatworks.college.police.uk/Research/Documents/150317_Integrity_REA_FINAL_REPORT.pdf)  
*The role of leadership in promoting ethical police behaviour*, College of Policing, 2015. Available at: [http://whatworks.college.police.uk/Research/Documents/150317\\_Ethical\\_leadership\\_FINAL\\_REPORT.pdf](http://whatworks.college.police.uk/Research/Documents/150317_Ethical_leadership_FINAL_REPORT.pdf)

<sup>22</sup> *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, 2014. Available from: [www.college.police.uk/What-we-do/Ethics/Pages/Code-of-Ethics.aspx](http://www.college.police.uk/What-we-do/Ethics/Pages/Code-of-Ethics.aspx); *Literature review – Police integrity and corruption*, HMIC, January 2015. Available from: [www.justiceinspectorates.gov.uk/hmicfrs/publications/integrity-matters/](http://www.justiceinspectorates.gov.uk/hmicfrs/publications/integrity-matters/)

<sup>23</sup> HMICFRS' recommendation in December 2016 was that (i) Within six months, all forces not already complying with current national vetting policy should have started to implement a sufficient plan to do so and (ii) Within two years, all members of the police workforce should have received at least the lowest level of vetting clearance for their roles. The ACPO/ACPOS National Vetting Policy was

## **Leaders as ethical role models**

Surrey Police has no formal process to resolve ethical dilemmas in force, or to ensure that their decisions are ethical. The force is liaising with Kent Police, which has an established ethics committee, to help them to understand the value of such a committee for further consideration by the chief officer team. However, the force does have a professional reference group (PRG), made up of a number of business, clerical and academic leaders, which provides a forum for Surrey Police to obtain external perspective on a wide range of matters, from financial planning to media publications. For example, the chief officer team had had to decide whether or not to publish a report about a high-profile case from several years ago, that had attracted a great deal of media attention at the time. The report contained no new information for the public, and the family involved did not want the case raised again, unnecessarily, but the media were expecting the publication. The dilemma was discussed at a PRG meeting, and their advice was to publish the report, as it was in the public interest, and to take mitigating action to minimise any risk to the family. Recently, both Sussex and Surrey forces (as part of their collaboration) have included ethical dilemmas as an agenda item for the new joint legitimacy board.

The Code of Ethics is at the centre of the NDM. This model is published widely throughout the force to highlight its importance, and is widely understood by the workforce. The code is printed on the front of investigation notebooks. A leadership strategy, framework and programme are under development which will set out the chief constable's expectations about standards of behaviour. Chief officer gifts and hospitality and business interests are published prominently on the Surrey Police website. The force also publishes the results of misconduct hearings on the internal website, but there are no 'lessons learned' accompanying the findings. This means that although the force identifies the consequences of poor behaviour, it is missing an opportunity to educate officers and staff to help prevent the behaviour from recurring.

## **Ethical decision-making**

There is a strong emphasis on the Code of Ethics in the force. The workforce have received training on ethical dilemmas and a refresher course on the Code of Ethics was completed for officers and staff as a result of the new Policing in Your Neighbourhood model (PIYN)<sup>24</sup> implemented in April 2016. Surrey Police, with Sussex Police, collaboratively run two joint events for senior leaders every year, and

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replaced in October 2017 by the Vetting Code of Practice and Vetting Authorised Professional Practice. Available at: [www.app.college.police.uk/app-content/professional-standards/vetting/](http://www.app.college.police.uk/app-content/professional-standards/vetting/)

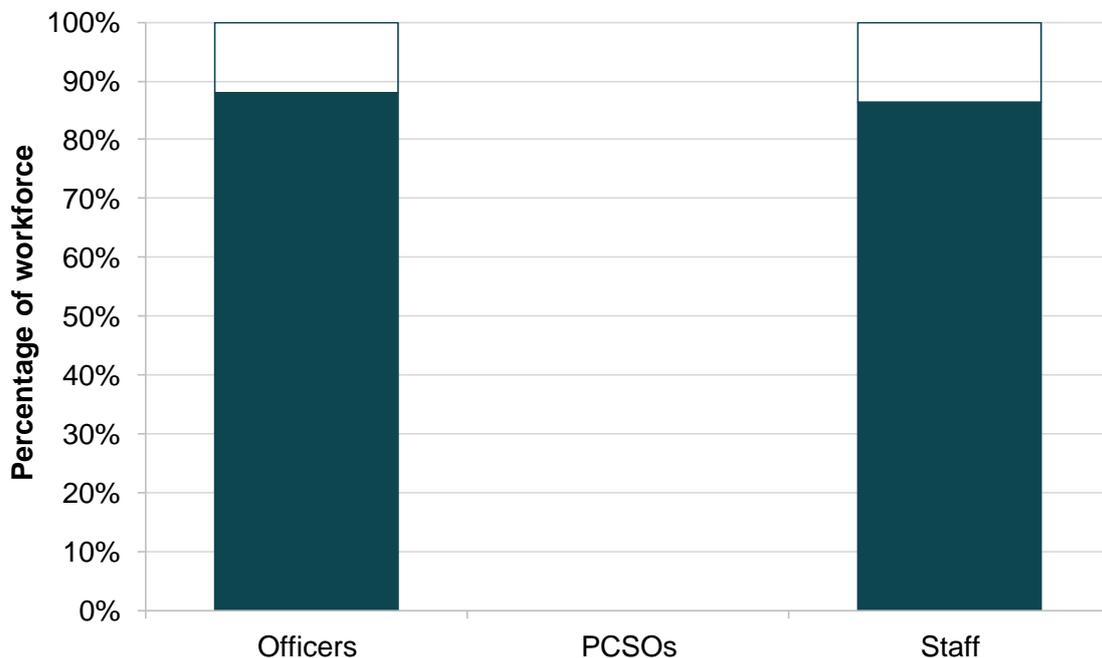
<sup>24</sup> Under the PIYN model officers now retain ownership of investigations and work in geographic areas of responsibility. Area policing teams work alongside neighbourhood problem solving teams and more complex investigations are retained by detectives in the safeguarding and investigation teams and CID.

regular manager briefings in order to set out the leadership expectations of both forces. In November 2016, the forces focused on 'Just Culture', to promote an ethical and just culture throughout both forces. This was a direct response to staff concerns raised through the workforce survey, and encourages a 'no-blame' culture, promoting learning from mistakes. In order to reinforce expectations about ethical behaviour, Surrey's chief constable speaks to every new member of staff who joins the force, and every member of staff is given a small laminated card with the Code of Ethics printed on it as an aide memoire.

## Vetting

It is important that re-vetting takes place regularly and before a person is promoted or posted to a high-risk unit. During this year's inspection we asked Surrey Police to provide us with data on the percentage of its workforce who had up-to-date security clearance. The data we received showed that on 31 January 2017, 88 percent of officers, and 86 percent of staff and PCSOs had up to date security clearance, as illustrated in Figure 2. The data we received for staff is also inclusive of PCSOs as it was not possible to separate figures because of the way the information is recorded within the force.

**Figure 2: Percentage of officers, PCSOs, and staff with up-to-date vetting checks, in Surrey Police as at 31 January 2017**



Source: HMICFRS Legitimacy data collection

In March 2017 the force produced a credible and achievable plan to achieve full compliance with the national vetting policy by December 2018.<sup>25</sup> However since then, as part of joint work with Sussex Police, work has been progressing to merge the data from the two forces into one vetting database. This has raised the possibility that the vetting backlog in both forces might be a lot higher than first thought, so the existing plan will not achieve compliance in time. The joint unit is now trying to assess the actual situation and will need to refresh the plan as soon as this is complete.

## **How accessible is the complaints system to all members of the public?**

An accessible complaints system is crucial to building public confidence in the police and to a force's ability to improve the extent to which its workforce acts ethically and lawfully. As such, we assessed how easy it is for the public to make a complaint – including how well forces support those people that may require additional help to gain access to the complaints process.<sup>26</sup> Also, we used a review of case files to assess the level of information provided to complainants and looked at how well forces keep complainants updated about the progress of their complaints.

### **Ease of making a complaint**

Surrey Police has made it easier for members of the public to make a complaint. It has reviewed and refreshed its website, which now has a prominent 'contact us' tab which takes members of the public to a page where they can make a complaint, or give feedback. Complaints can be made in several formats: on the website (which does not say whether additional support can be provided if needed), to front counter staff, on social media, or by letter. During reality testing it was clear that considerable efforts have been made to make it easier for members of the public to make a complaint, but everything was tailored to English speakers only, which means that

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<sup>25</sup> HMICFRS' recommendation in December 2016 was that (i) Within six months, all forces not already complying with current national vetting policy should have started to implement a sufficient plan to do so and (ii) Within two years, all members of the police workforce should have received at least the lowest level of vetting clearance for their roles. The ACPO/ACPOS National Vetting Policy was replaced in October 2017 by the Vetting Code of Practice and Vetting Authorised Professional Practice. Available at: [www.app.college.police.uk/app-content/professional-standards/vetting/](http://www.app.college.police.uk/app-content/professional-standards/vetting/)

<sup>26</sup> These could include people with learning difficulties, mental health issues, young people or people whose first language is not English. *IPCC Statutory Guidance to the police service on the handling of complaints*, IPCC, May 2015. Available at: [www.ipcc.gov.uk/sites/default/files/Documents/statutoryguidance/2015\\_statutory\\_guidance\\_english.pdf](http://www.ipcc.gov.uk/sites/default/files/Documents/statutoryguidance/2015_statutory_guidance_english.pdf) and *Access to the police complaints system*, IPCC, September 2015. Available at: [www.ipcc.gov.uk/sites/default/files/Documents/research\\_stats/Access\\_to\\_the\\_police\\_complaints\\_system.pdf](http://www.ipcc.gov.uk/sites/default/files/Documents/research_stats/Access_to_the_police_complaints_system.pdf)

some groups might not understand how to make a complaint. We did see posters in the public areas of some police stations, which encouraged members of the public to make a complaint.

PSD has also worked with the force equality, diversity and human rights board to promote the complaints process to communities which might have less confidence in the police. This project has included divisional diversity representatives promoting the complaints process within their communities, inputs to the IAG to encourage members to cascade the complaints process to their communities, and an input to a domestic abuse forum to encourage complaint-reporting. The force has also provided literature such as complaint forms and leaflets to disability hubs (drop-in advice centres run by adult social care) across the county. If the literature was translated into different languages, this would better inform members of the public whose first language is not English, and encourage further reporting.

### **Keeping complainants updated**

There is a mixed picture in relation to the extent to which PSD and other staff handling or investigating complaints communicate properly with complainants and keep them appropriately updated on progress. When forces record public complaints, the Police Reform Act 2002 and Police (Complaints and Misconduct) Regulations 2012 require them to provide the complainant with a copy of the complaint record. The IPCC statutory guidance extends this by stating that complainants should receive an explanation of the possible ways the complaint may be dealt with, and that they should be advised of who will be dealing with their complaint (including contact details). During the inspection we conducted a file review of 25 public complaint files. We found that only 17 contained evidence that these legal requirements had been complied with, which means that a significant proportion of complainants are not receiving the service that they should. This is something the force needs to address.

Once a public complaint investigation has started, forces have a statutory duty to keep complainants informed of progress. The first update should be provided promptly and within 28 calendar days of the start of the investigation. Subsequent updates must be provided at least every 28 days after that. Updates should contain enough information to make them meaningful, including for example, information about the stage reached in the investigation, what has been done, what remains to be done and, where applicable, a summary of any significant evidence obtained. Updates should also include the likely timescale for completing the investigation, and any revisions to this.

Although this legal requirement only applies to public complaints, we have investigated whether a similar level of service is provided to the subjects of complaints and people who are the subject of misconduct allegations. During our case file reviews, we investigated whether forces had provided timely and meaningful updates. We found that 20 of the 25 complaint cases recorded regular,

informative updates to complainants. We found that all of the 15 misconduct cases recorded regular updates to witnesses and those who were subject of allegations; 14 were found to be sufficiently informative.

When public complaints are finalised, the force is required to provide the complainant with the findings of the report, its own determinations and the complainant's right of appeal. We were pleased to find that in all 25 cases, the legal requirements had been complied with.

The force has also produced a leaflet for officers and staff who are subject to an IPCC investigation. The leaflet is designed to help dispel myths and offer support to those involved. Other forces have expressed an interest in obtaining the leaflet to support their own staff.

## **How well does the force identify and investigate potential discrimination by officers and staff?**

For the public to have confidence in the police and the police complaints system, it is vital that allegations of discrimination arising from police complaints, conduct matters, and death and serious injury investigations are handled fairly and appropriately. We reviewed complaint, misconduct and grievance files to assess the extent to which forces identify and respond to discrimination appropriately and at the earliest opportunity (including referrals to the IPCC), and the extent to which these allegations are investigated in accordance with the IPCC guidelines for handling allegations of discrimination.<sup>27</sup>

### **Identifying and responding to potential discrimination**

The force is good at identifying and responding to potential discrimination,. Discrimination training has been given to all student officers, newly promoted supervisors and front-line officers. During reality testing this was evidenced by an example given of an officer with dyslexia who had received additional support with learning, and building case files. However, during our inspection, we found examples from across the force where the welfare needs of officers and staff had not been met.

During our case file review, we examined ten complaints and five internal misconduct cases that the force had identified as containing an allegation of discrimination. We also reviewed an additional 15 complaints and ten misconduct cases which we considered might contain unidentified allegations of discrimination. We found one discrimination complaint that the force had failed to identify.

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<sup>27</sup> See annex A for more information about our case file review. *IPCC guidelines for handling allegations of discrimination*, IPCC, September 2015. Available at: [www.ipcc.gov.uk/sites/default/files/Documents/statutoryguidance/Guidelines\\_for\\_handling\\_allegations\\_of\\_discrimination.pdf](http://www.ipcc.gov.uk/sites/default/files/Documents/statutoryguidance/Guidelines_for_handling_allegations_of_discrimination.pdf)

The Police (Complaints and Misconduct) Regulations 2012 require forces to refer more serious matters to the IPCC if they are aggravated because it is alleged that discrimination was a reason for the behaviour. We reviewed ten complaint and five misconduct cases which alleged discrimination to see if the force had complied with this requirement. We found that none of the discriminatory complaint cases met the IPCC referral criteria but that two of the internal misconduct cases did. Only one of these cases had been referred to the IPCC. The force should ensure that it identifies and refers all cases that meet the mandatory referral criteria.

The police and crime commissioner (PCC) monitors how complaints and disciplinary matters within Surrey Police are handled, and examines quarterly performance data about how it is managing complaints. Additionally, dip-samples of PSD files are regularly conducted for quality assurance and to ensure consistent outcomes and fairness.

### **Investigating allegations of discrimination**

The force's handling of investigations relating to allegations of discrimination needs to be improved. Nine of the ten cases we examined in our review of discrimination cases were handled by PSD staff; all of whom have received formal training from the IPCC about investigating discrimination complaints. This should have provided them with the knowledge, skill and experience required to apply the IPCC guidelines for handling allegations of discrimination, however our review showed that the force had only investigated five of the ten cases satisfactorily. The main reasons for failure were the investigating officers' incomplete understanding of the allegation, the failure to obtain and probe an officer's account, and poor evaluation of the evidence. We also considered whether overall, the complainant making an allegation of discrimination received a good service from the force. We found that only six of the ten complainants received a good service from the force, because in four cases their allegations of discrimination had not been fully addressed. This means that, in some cases, members of the public might not be receiving the level of service they should expect in relation to allegations of discrimination.

## Summary of findings



**Good**

Surrey Police is good at ensuring that its workforce behaves ethically and lawfully. It promotes a strong focus on the Code of Ethics throughout the force. The force is developing a leadership strategy, framework and programme which will set out the chief constable's expectations about standards of behaviour. It does not have an ethics committee, but the professional reference group provides an external forum where ethical dilemmas can be discussed. However, more could be done to encourage a wider conversation of everyday ethical dilemmas to promote ethical decision-making at all levels.

The force needs to reduce the backlog in vetting its workforce so that all officers and staff have up-to-date security clearance. The existing plan to address this backlog will need to be revised because the force is merging its vetting database with that of Sussex Police.

Surrey Police has made it easier for members of the public to make a complaint and has improved how they can do this by using its website. Complaints can also be made by letter, phone and social media and at police front counters. However, the information on making a complaint is only available in English.

The force needs to improve the way it provides information and regular updates to complainants but it is good at informing them of the final outcome of their complaint. It is also good at identifying and responding to potential discrimination, but could do more to investigate the complaints involving allegations of discrimination more thoroughly.

### **Areas for improvement**

- The force should ensure that it has a credible plan to comply with all aspects of the national vetting standards by December 2018, in line with HMICFRS' nationwide recommendation in 2016.

## To what extent does the force treat its workforce with fairness and respect?

A workforce that feels it is treated fairly and with respect by its employers is more likely to identify with the organisation, and treat the public in a similarly fair and respectful way. Conversely, perceived unfairness within police organisations can have a detrimental effect on officer and staff attitudes and types of behaviour.<sup>28</sup> As such, this concept of ‘organisational justice’, and its potential effect on ‘procedural justice’ forms an important part of HMICFRS’ assessment of police legitimacy and leadership. As no comparative data exist on how fairly officers and staff perceive forces have treated them, we continue to focus our assessment on how well forces identify individual and organisational concerns within their workforces and act on these findings.

In our 2017 inspection, we focused specifically on how well forces identify and act to improve fairness at work, including what action they are taking to make their workforces more representative of the communities they serve. We continued to look at how well forces provide for the wellbeing of their workforces, particularly through preventative and early action, and at the way individual performance is managed and developed.

## How well does the force identify and act to improve fairness at work?

Research suggests that forces that involve officers and staff in decision-making processes, listen to their concerns, act on them, and are open about how and why decisions were reached, may improve workforce perceptions of fair and respectful treatment.<sup>29</sup> HMICFRS assessed how well force leaders seek feedback from their workforces and use this, alongside other data and information – including that on grievances<sup>30</sup> – to identify, understand, prioritise and resolve their workforces’

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<sup>28</sup> *Fair cop 2: Organisational justice, behaviour and ethical policing*, College of Policing, 2015.

Available at:

[http://whatworks.college.police.uk/Research/Documents/150317\\_Fair\\_cop%202\\_FINAL\\_REPORT.pdf](http://whatworks.college.police.uk/Research/Documents/150317_Fair_cop%202_FINAL_REPORT.pdf) and *Organisational justice: Implications for police and emergency service leadership*, Herrington, C. and Roberts, K. <sup>AIPM</sup> Research Focus, Issue 2, 2013. Available at: [www.aipm.gov.au/wp-content/uploads/2013/08/Org-Justice-Final.pdf](http://www.aipm.gov.au/wp-content/uploads/2013/08/Org-Justice-Final.pdf)

<sup>29</sup> *Ibid.*

<sup>30</sup> Grievances are concerns, problems or complaints that a member of staff raises formally with an employer, so data on numbers and types of grievances can provide forces with useful information about matters of concern to their workforces.

concerns. Part of our assessment involved reviewing a small number of grievance cases to assess if these adhere to Acas guidance and the Code of Practice.<sup>31</sup>

Unfairness, or perceived unfairness in recruitment processes, opportunities and limited career progression can lead to good officers and staff leaving the service prematurely and fewer women and people from black, Asian and minority ethnic (BAME) communities wanting to join the police in the first place. As such, we re-examined how well forces address disproportional workforce representation in a variety of areas – including recruitment, retention and progression for those people with protected characteristics.<sup>32</sup> We looked at the treatment of BAME officers and staff subject to allegations of misconduct – to improve fairness at work and to make forces more representative of the communities they serve.<sup>33</sup>

### **Leaders seeking feedback and challenge from the workforce**

Chief officers carry out engagement events across the county, giving important messages to staff and inviting questions at the end. Staff also have the opportunity to post feedback and questions via the online forum. This is a forum that is open to all staff within the force, and comments can be seen by everyone. We found that chief officers viewed this forum as an important means of seeking feedback and challenge from the workforce, but our reality testing showed that most staff were reluctant to use it, as their opinion would then be exposed to their peers and supervisors. Data show that the majority of forum users are police staff based at police headquarters, which means that the force is potentially missing valuable feedback and challenge from front-line officers and staff across the force. Staff did report seeing changes locally as a result of feedback to local managers, such as the provision of a rest area within an area policing team (APT) office, but they felt they were unlikely to see any changes in relation to more complex matters such as staffing. There is a confidential email reporting line (it encrypts the information to maintain anonymity) which staff could use to raise concerns, but data show that the use of this line has dropped from 183 calls at its peak in 2012/13, to just 46 calls in 2016/17.

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<sup>31</sup> *Code of Practice on Disciplinary and Grievance Procedures*. Acas 2015. Available from [www.acas.org.uk/media/pdf/f/m/Acas-Code-of-Practice-1-on-disciplinary-and-grievance-procedures.pdf](http://www.acas.org.uk/media/pdf/f/m/Acas-Code-of-Practice-1-on-disciplinary-and-grievance-procedures.pdf). Also *Discipline and grievances at work: The Acas guide*, Acas, August 2017. Available from: [www.acas.org.uk/media/pdf/9/g/Discipline-and-grievances-Acas-guide.pdf](http://www.acas.org.uk/media/pdf/9/g/Discipline-and-grievances-Acas-guide.pdf)

<sup>32</sup> The Equality Act 2010 defines the following characteristics as protected characteristics: age; disability; gender reassignment; marriage and civil partnership; pregnancy and maternity; race; religion or belief; sex; sexual orientation. Available from: [www.legislation.gov.uk/ukpga/2010/15/section/4](http://www.legislation.gov.uk/ukpga/2010/15/section/4)

<sup>33</sup> We last examined these issues as part of our 2015 PEEL legitimacy inspection. See *Police legitimacy 2015 – a national overview*, HMIC, February 2016. Available from: [www.justiceinspectorates.gov.uk/hmicfrs/publications/police-legitimacy-2015/](http://www.justiceinspectorates.gov.uk/hmicfrs/publications/police-legitimacy-2015/)

The force regularly carries out staff surveys to obtain the views and opinions of the workforce. The results are published online and some actions are then taken to address concerns, but we found that this is not widely publicised. This means that the force is missing an opportunity to promote the fact that it listens to the workforce and takes positive action to address concerns.

The force runs a 'Be-Programme' of approximately 150 members of staff who attend a briefing with senior managers approximately every six months. The objective of the Be Programme is to focus on four important behaviours that aim to improve frontline practice. At the briefing senior managers can send messages directly to constables and police staff equivalents, without the message having to be cascaded down through the layers of leadership, and risk getting lost or changed. Feedback is passed back to senior managers in the same way, and the force uses the group to influence change positively across the force. We found that many members of staff not directly involved did not know of its existence, and it was unclear how members of staff came to be involved in the programme. Some of those on the programme were confused about its purpose, unsure whether it is aimed at development projects, communication or feedback. Staff could not give tangible examples of change that had come out of the Be-Programme because this had not been effectively communicated across the organisation. This has the potential to undermine the credibility of the programme, and messages might not be getting through as intended.

### **Identifying and resolving workforce concerns**

Surrey Police does identify workforce concerns, and acts to respond to them, but it needs to improve the way in which it tells the workforce what it has done. The force uses a range of activities to identify workforce concerns, including exit interviews with people leaving the force, opinion surveys and the anonymous reporting line. The communications team also monitors the online blogs and forums for themes and problems raised, which is where the chief officers place their greatest emphasis in relation to understanding workforce concerns. In our 2016 legitimacy inspection we reported that staff expressed concern about excessive workloads under the new PIYN model. We found during reality testing that the workforce remained concerned about the pressure on them as a result of the PIYN, and managing the demand with existing resources. The majority of staff that we spoke to mentioned these concerns. Staff felt that they were not being involved in decision-making, and felt that senior leaders did not understand their concerns. We found that Surrey Police was not telling the workforce as effectively as it might, what it was doing to rectify the problems. If it did tell the workforce more effectively, this would help officers and staff to feel as though they were being listened to and treated fairly.

The chief officer team have spent considerable time and energy ensuring that the workforce understand that it is intended that they should feel empowered to make decisions and reduce bureaucracy. The team emphasise this through the 'Plan on a

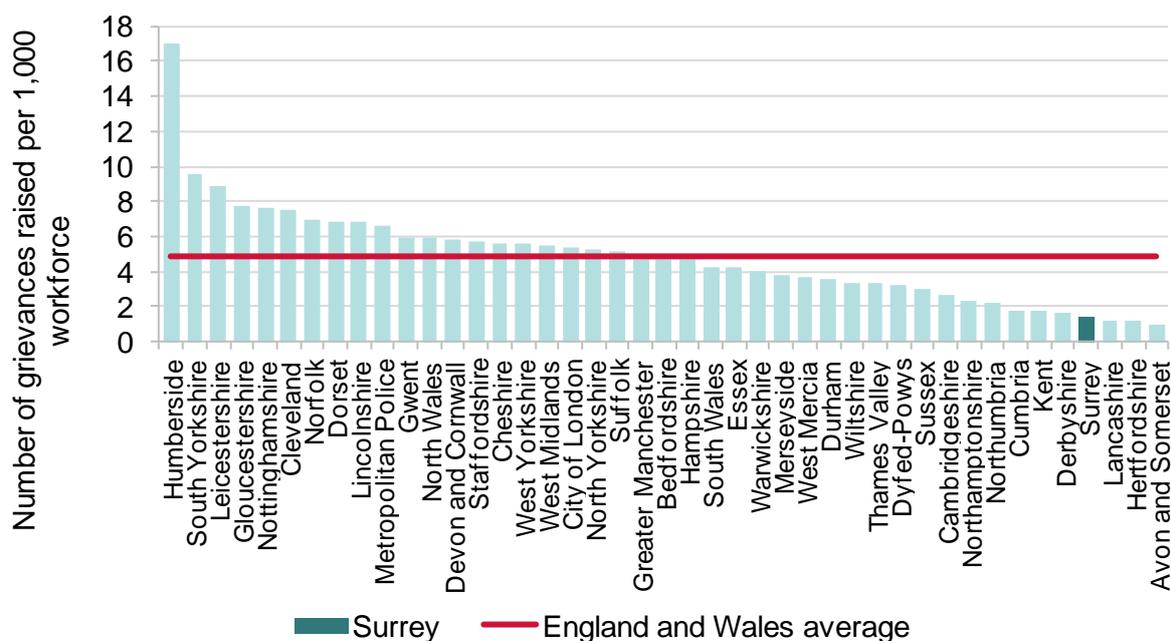
Page' and through communication events across the force. We found that this has had an unintended consequence of a tendency to deal with performance matters and grievances informally. As a result, some staff have little confidence in the process. HMICFRS is concerned that dealing with problems informally leaves no audit trail to identify systemic patterns or problems, and might be the reason why so few grievances have been formalised, as shown in Figures 3 and 4.

Data on the numbers and types of concerns, problems or complaints (collectively known as grievances) that have been raised by officers or staff can provide forces with useful information about matters of concern to their workforces.

All forces have grievance procedures but the number of grievances in each force differs widely across England and Wales. We requested data for the ten months from 1 April 2016 to 31 January 2017 on the number of grievances raised by the workforce. Figure 3 below shows that Surrey Police had 1.4 grievances raised per 1,000 workforce. This is lower than the England and Wales average of 4.9 grievances raised per 1,000 workforce.

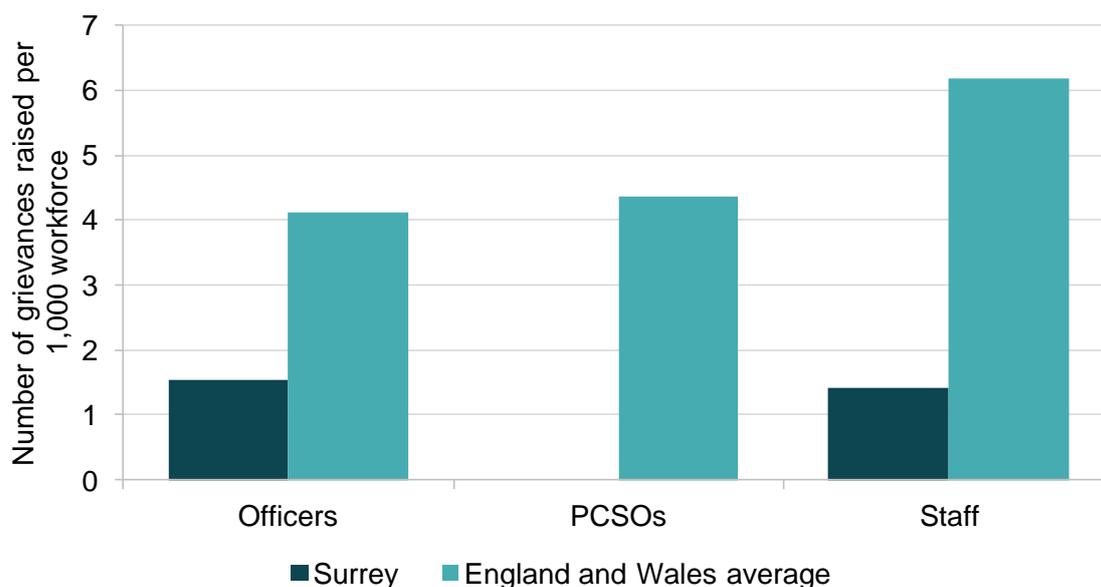
Figure 4 shows that the number of grievances raised by officers in Surrey Police was 1.5 grievances per 1,000 officers, and the England and Wales average of 4.1 grievances per 1,000 officers. In the same period PCSOs raised no grievances, and the England and Wales average was 4.4 grievances per 1,000 PCSOs. Police staff raised 1.4 grievances per 1,000 staff in the same period; and the England and Wales average was 6.2 grievances per 1,000 staff.

**Figure 3: Grievances raised per 1,000 workforce, in Surrey Police in the ten months from 1 April 2016 to 31 January 2017**



Source: HMICFRS Legitimacy data collection

**Figure 4: Grievances raised by officers, PCSOs and staff (per 1,000 officers, PCSOs and staff), in Surrey Police in the ten months from 1 April 2016 to 31 January 2017**



**Source: HMICFRS Legitimacy data collection**

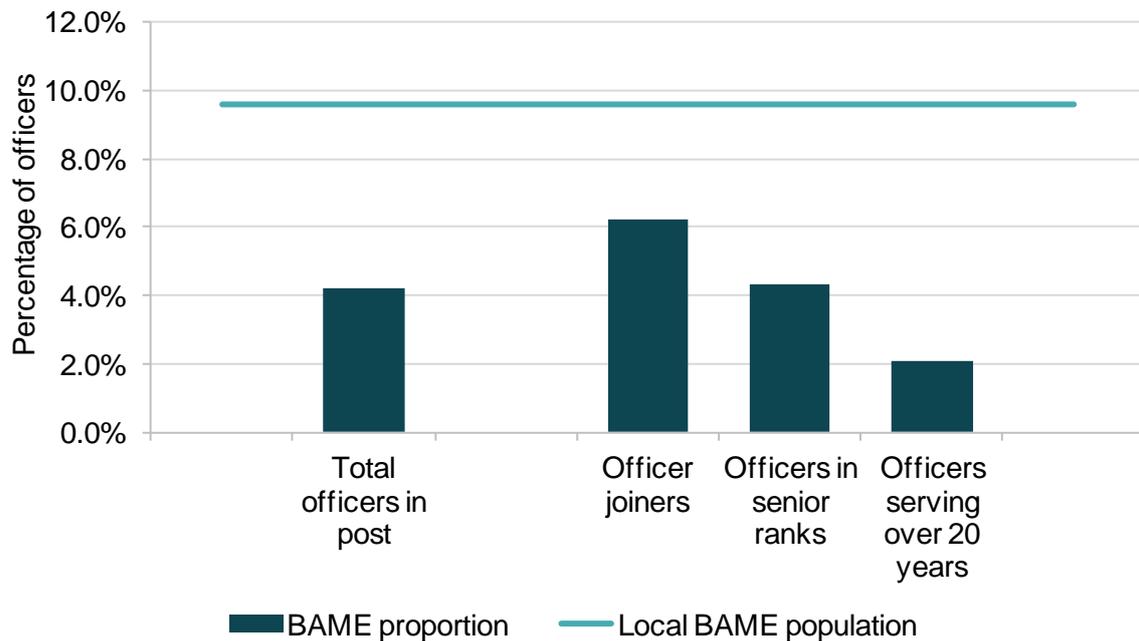
As part of this inspection, we reviewed ten grievance files and two workplace concerns that had not been formally recorded as grievances. We found that in only four grievance cases and one workplace concern was there a record of appropriate arrangements having been put in place to support the employee or witnesses throughout the process. We also found that four of the grievances made reference to the poor way in which managers communicated with staff in terms of organisational change or team management. We understand that the force is going to increase the investigation period for a grievance from the standard 21 days to three months, in order to align with Sussex Police under their collaboration arrangements. Given that confidence in the grievance process is already low, this could further limit the workforce’s willingness to raise a concern through this procedure.

### **Creating a more representative workforce**

To assess how well the force reflects the local population, we considered data on the number of women and people from BAME communities recruited to the force, the number at senior officer level and the number who have served for over 20 years. We used these data to compare the make-up of the force with the make-up of the community it serves

In the geographical areas served by Surrey Police, the 2011 census indicates that BAME people made up 9.6 percent of the local population. In 2016/17, in Surrey Police 4.2 percent of officers were BAME (see Figure 5). In relation to officers, 6.3 percent of those joining the force, 4.3 percent of those in senior ranks and 2.1 percent of those who had served over 20 years were BAME.

**Figure 5: Percentage of officer joiners, officers in post, officers in senior roles and officers serving over 20 years who are black, Asian or minority ethnic (BAME), in Surrey Police in 2016/17, compared with the percentage of BAME people in the local population**

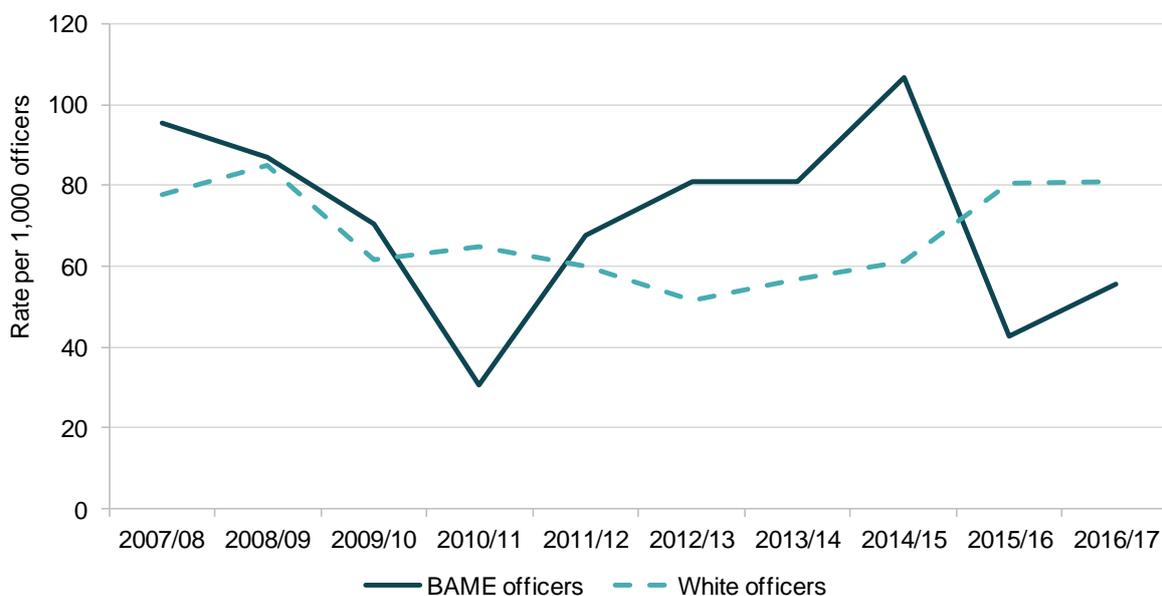


Source: Home Office Annual Data Requirement

Note: High percentages may be due to low overall numbers. The figure above represents officers where an ethnicity was stated.

In 2016/17 in Surrey Police for the equivalent of every 1,000 BAME officers, 56 left the force (see Figure 6), while for every 1,000 white officers 81 left. Fluctuations in the BAME officer leaver rate may be due to low numbers of BAME officers in the force.

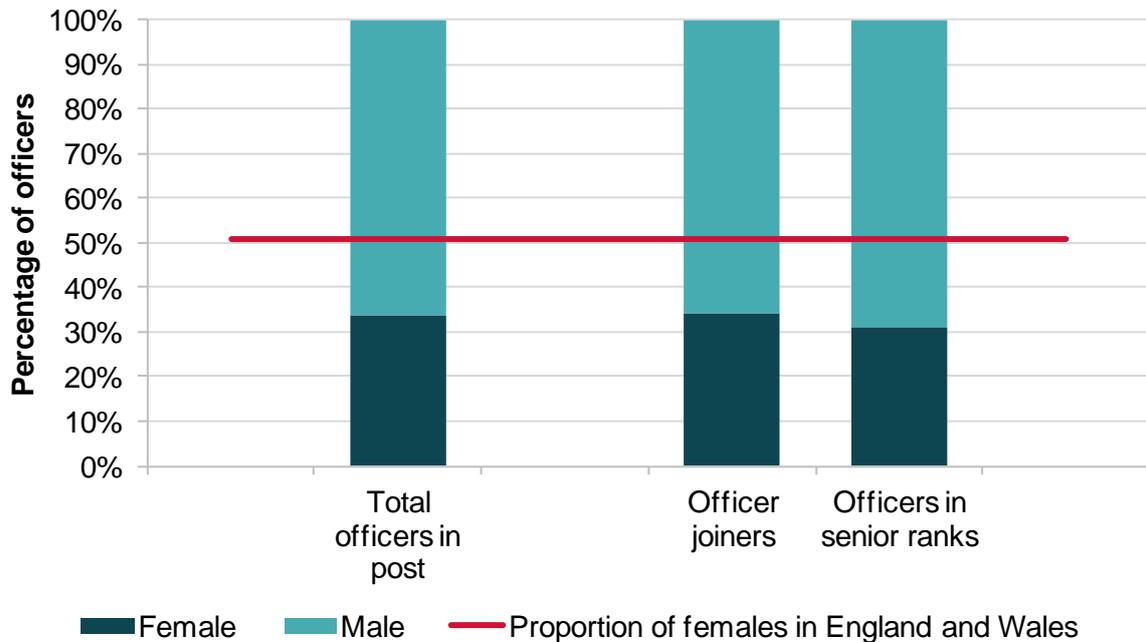
**Figure 6: Comparison of officer leaving rates between white and black, Asian or minority ethnic (BAME) officers (per 1,000 white or BAME officers), in Surrey Police from 2007/08 to 2016/17**



Source: Home Office Annual Data Requirement

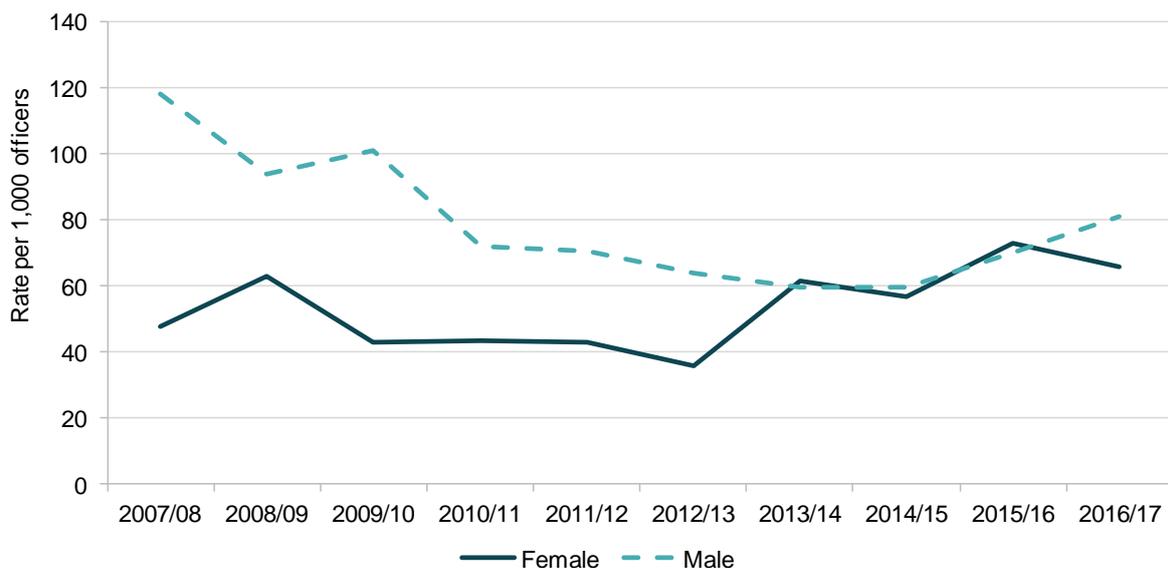
The proportion of female officers is lower than the proportion of females in the general population (51 percent) at 34 percent. In the 12 months to 31 March 2017 in Surrey Police, 34 percent of those joining the force and 31 percent of those in senior ranks were female (see Figure 7).

**Figure 7: Percentage of officer joiners, officers in post and officers in senior ranks, by gender, in Surrey Police in 2016/17 compared with the percentage of women in the England and Wales population**



Source: Home Office Annual Data Requirement

**Figure 8: Comparison of officer leaving rates between male and female officers (per 1,000 male or female officers), in Surrey Police from 2007/08 to 2016/17**



Source: Home Office Annual Data Requirement

In 2016/17 in Surrey Police 66 female officers per 1,000 officers left the force, compared with 81 male officers per 1,000 officers. Surrey Police understands the importance of creating a workforce that is as diverse as the public it serves.

The force focuses on addressing potential disproportionality in recruitment, retention and progression of staff with protected characteristics<sup>34</sup> by reviewing relevant workforce data at a monthly 'representation' meeting. The meeting is chaired by the assistant chief constable and is attended by senior leads for protected characteristic groups. It reports every three months to the equality diversity and human rights board, which has overall governance. This board is chaired by the deputy chief constable, and has external representation from IAG members, the PCC and fire service.

If any priority areas are identified, they are targeted to achieve a positive response. For example, the force recognises that it has a disproportionately low number of BAME staff in its workforce, and has implemented a community communication plan and mentoring scheme specifically aimed at increasing BAME representation. Since this action was taken, BAME representation of student intakes has increased from 9 percent in January 2016, to between 14 and 16 percent since May 2016, which should be commended. Surrey Police also recognises that it needs to increase female representation in the workforce. Surrey has a strategic partnership with Sussex Police, and both forces have signed up to the United Nations 'HeForShe' campaign – a commitment to increase female representation at all levels within the organisation.

The force has a flourishing police cadet scheme. Recruitment has been targeted at schools with pupils who have challenging behaviour, within areas with BAME residents. The aspiration is that more BAME young people will be encouraged to join the police after positive experiences with the cadet scheme. Currently, there are six groups of cadets across the force area, each made up of 30 students, many of whom are from deprived backgrounds. This has the potential to increase the diversity of Surrey Police.

The number of misconduct cases against BAME officers and staff was very low from April 2016 to April 2017: 2 out of 35 in total. However, there were 61 complaints made against BAME staff during the same period, which is a significant number given there are only 159 BAME officers and staff in Surrey Police. The diversity directorate is reviewing all cases to ensure that there is no evidence of disproportionality within the investigations of these cases.

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<sup>34</sup> The Equality Act 2010 defines the following characteristics as protected characteristics: age; disability; gender reassignment; marriage and civil partnership; pregnancy and maternity; race; religion or belief; sex; sexual orientation. Available from: <http://www.legislation.gov.uk/ukpga/2010/15/section/4>

## How well does the force support the wellbeing of its workforce?

Police forces need to understand the benefits of having a healthier workforce – a happy and healthy workforce is likely to be a more productive one, as a result of people taking fewer sick days and being more invested in what they do.<sup>35</sup> HMICFRS assessed how well force leaders understand and promote these benefits by developing a culture that fosters workforce wellbeing, and how well forces use data and information – including feedback from the workforce – to identify and understand their wellbeing. Also, we assessed how well forces use this information to take preventative and early action to support workforce wellbeing at both an individual and organisational level.

### Understanding and promoting wellbeing

The force does consider the wellbeing of its staff and is in the process of writing a wellbeing strategy, although it is not yet clear that wellbeing is a priority for the force. Although there is governance of HR issues such as sickness, performance and occupational health referrals, we found this to be more performance-driven than focussed on staff wellbeing.

Supervisors try to look after their staff, but there is no formal guidance to support them in order to help them to understand their responsibilities for staff wellbeing. The force has paid for a number of practical wellbeing projects, such as creating a web page called the 'wellbeing hub' on the force's internal website, training for a number of mental health advocates and various 'drop in' workshops. However, wellbeing projects are not publicised widely, many staff didn't know about them, and they are often based at headquarters, which prevents many staff from attending. Senior leaders are aware that the force is feeling stretched, but we found that staff did not feel that their welfare was a concern to the force. Chief officers had made no mention of wellbeing in any of their recent blogs to staff on the internal website, and the wellbeing pages are not prioritised on the front page of the website. The 'Plan on a Page' commits to organisational justice, empowerment and giving staff confidence to be the best they can be, but it makes no mention of staff wellbeing or welfare, or how Surrey Police values its staff, which means that the commitment of senior leaders to this issue is perceived by staff to be less than it should be.

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<sup>35</sup> *Well-being and engagement in policing: the key to unlocking discretionary effort*, Ian Hesketh, Cary Cooper and Jonathan Ivy, 2016, Policing. pp. 1–12. Available from: <https://oscarkilo.org.uk/wellbeing-and-engagement-in-policing-the-key-to-unlocking-discretionary-effort/> Also see <https://fitforwork.org/employer/benefits-of-a-healthy-workforce/>

## **Identifying and understanding workforce wellbeing needs**

The force does not yet have a sufficient understanding of the wellbeing needs of the workforce. In HMICFRS' 2016 legitimacy inspection we reported that the force had limited methods for understanding the workforce's wellbeing needs. Slow progress is being made. The force could do more to understand and monitor the risks to the wellbeing of the workforce, and their underlying causes. The occupational health unit (OHU) is now a shared service with Sussex Police and has been unable to cope with the additional demand from Sussex Police following the merger. The service level agreement states that a member of staff should be seen within 15 days of initial referral, but HMICFRS found that the average wait to see the OHU is 34 days, against the average, among forces who could provide data, of 15 days, during the period from 1 April 2016 to 31 January 2017. The force has identified an increase in the number of stress and anxiety-related referrals to OHU, and we noted that a significant proportion of these were from student officers with less than two years' experience, which is of concern given their limited time in the force. It is unclear what the force is doing to address this trend.

During reality testing we found that staff felt stretched and under pressure. Although the number of rest days in lieu (RDIL) owed to officers as of 31 January 2017 was similar to the rest of England and Wales, the number of cancelled rest days is increasing, and the amount of overtime being worked by staff is substantial; the force is currently spending £800,000 per month on overtime, against an anticipated budget of £500,000. The force is investigating the reason for this overtime spend, and has recently set up an overtime board meeting to tackle the problem. Officers reported being given overtime to start shifts early, in order to be able to catch up with their workload. Others reported telephoning crime victims on rest days, because this was the first opportunity they had to do so.

Staff told us that they looked after each other through informal peer support, rather than through any kind of management structure or process. Staff are unable to self-refer to OHU and generally felt that their line management is too stretched to manage their welfare. Staff can self-refer to the employee assistance line (described as a confidential helpline which provides expert professional support and guidance on wellbeing issues and is available 24 hours a day, seven days a week) although we were told in one case that previous use of the service restricted future access.

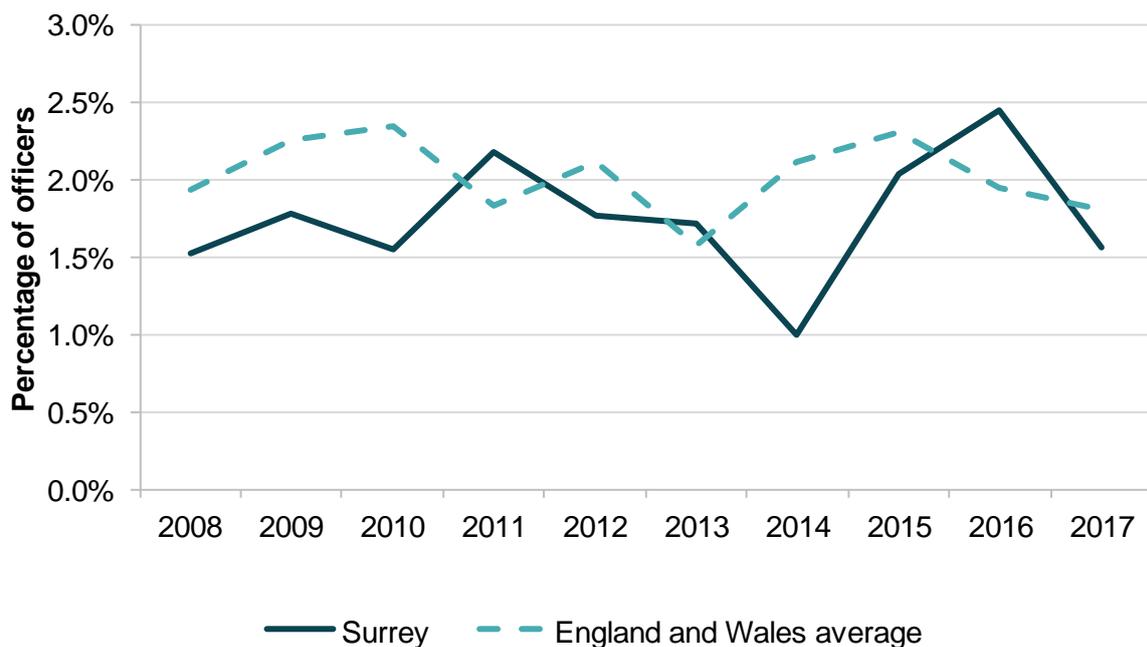
We were told that operational demand takes precedence and that senior leaders do not provide any kind of support. The corroborative results from the 'Pulse Leadership Survey' completed in April 2017 suggested that although staff feel supported by their direct line managers, they feel that senior leaders do not understand the day-to-day problems staff are facing. The force is analysing data from the OHU and Employee Assistance Programme to identify trends, and recently identified a need to increase

the provision of physiotherapy within the force. It is unclear if there is any strategic oversight of welfare concerns, to identify particularly traumatic, unpleasant or difficult incidents which officers have attended and ensure appropriate support is provided.

Analysis of sickness data can give an indication of whether there are wellbeing problems within a police force and it provides a useful point of comparison between forces. Forces can also use sickness data to help them understand the nature and causes of sickness across the organisation, to help them prevent sickness and manage it when it occurs.

We compared force data on the percentage of police officers, PCSOs and police staff on long-term and short/medium-term sickness absence. On 31 March 2017 in Surrey Police, 1.6 percent of officers were on short or medium-term sick leave. The England and Wales average was 1.8 percent. The latest year for which data is available was 2017 which saw a decrease of 0.9 percentage points from the previous year, which is a notably larger decrease than in the previous ten year period (see Figure 9).

**Figure 9: Percentage of officers on short or medium-term sick leave, in Surrey Police compared with the England and Wales average, on the 31 March from 2008 to 2017**



**Source: Home Office Annual Data Requirement**

On 31 March 2017 the proportion of officers in Surrey Police on long-term sick leave was 1.3 percent and the England and Wales average was 1.9 percent. The latest year for which data were available is 2017 which saw a decrease of 0.3 percentage points from the previous year, which is in line with changes in the last ten-year period.

**Figure 10: Percentage of officers on long-term sick leave, in Surrey Police compared to the England and Wales average, as at 31 March from 2008 to 2017**



**Source: Home Office Annual Data Requirement**

### **Taking preventative and early action to improve workforce wellbeing**

The force could do more to take preventative and early action to improve workforce wellbeing. The PSD investigates complaints and misconduct allegations made against members of staff. PSD has recently taken steps to support staff more effectively through the investigation, renaming the welfare officer provided to staff at the outset of any investigation the 'wellbeing and support officer' (the terms of reference are yet to be published) and producing a leaflet to support staff under investigation by the IPCC. As part of this inspection, HMICFRS reviewed 15 misconduct files and we were pleased to find that the officers concerned, as well as any witnesses, were all kept updated about the investigation.

Elsewhere in the force we found that staff had not been given sufficient training to recognise early warning signs and make appropriate early interventions. We found that every six months, supervisors on divisions attend meetings where there is an input from OHU identifying where they can find online training, information on sickness support plans and identifying who their HR representatives are. This OHU input touches on identifying early warning signs. However, the staff we spoke to could not explain the principles and learning in enough depth to suggest that the training had been given, received and understood effectively. There are no guides or training materials available to help supervisors recognise early signs of ill health, such as stress and anxiety, and which support them to deal with it. During our inspection, we found examples from across the force where the welfare needs of officers and staff had not been met. The force recognises it has withdrawn some

support for staff from human resources without providing practical assistance for supervisors and managers to help them, and it wishes to address this. There is limited evidence of any holistic approach to the monitoring of workforce wellbeing.

## **How fairly and effectively does the force manage and develop both the performance of its individual officers and staff and its selection processes?**

College of Policing research on organisational justice suggests that the process for promoting people and failure to deal with poor performance may have an adverse affect on workforce perceptions of fairness, and this in turn may lead to negative attitudes and types of behaviour in the workplace.<sup>36</sup> In addition, effective performance management and development mitigate risks to the force and ensure continuous improvement. HMICFRS assessed how fairly and effectively forces manage the performance of individual officers and staff, including the value that forces place on continuing professional development (CPD), in line with guidance from the College of Policing.<sup>37</sup> Also, we looked at how fairly forces identify and select their leaders, and the extent to which these decisions result in leaders who represent a range of styles, approaches and backgrounds.

### **Managing and developing individual performance**

The force has made some progress since our 2016 legitimacy inspection in managing and developing individual performance of officers and staff, but the approach remains inconsistent. The completion rates for performance development reviews (PDRs) has improved and is now 87 percent for officers and 88 percent for staff, but we found that there is still no real connection between the PDR process, the identification of talent, and development opportunities. We were pleased to see that the importance of ‘having a regular conversation’ with staff was emphasised at recent leadership training for first-line supervisors, and we also found evidence of the PDR being used for moderation purposes during the application process for temporary sergeant positions in one area of the force – but we found there is a perception among staff that the PDR process is only valued when seeking promotion. A project is being started to explore the value of PDRs to look at the organisational and individual benefits of the system. In the longer term the force has

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<sup>36</sup> *Fair cop 2: Organisational justice, behaviour and ethical policing*, College of Policing, 2015.

Available at:

[http://whatworks.college.police.uk/Research/Documents/150317\\_Fair\\_cop%202\\_FINAL\\_REPORT.pdf](http://whatworks.college.police.uk/Research/Documents/150317_Fair_cop%202_FINAL_REPORT.pdf).

<sup>37</sup> College of Policing guidance on the police performance development review (PDR) process is available from [www.college.police.uk/What-we-do/Support/Reviewing-performance/Pages/PDR.aspx](http://www.college.police.uk/What-we-do/Support/Reviewing-performance/Pages/PDR.aspx)

See also the College of Policing’s competency and values framework. Available from:

[www.college.police.uk/What-we-do/Development/competency-and-values-framework/Pages/Competency-and-Values-framework.aspx](http://www.college.police.uk/What-we-do/Development/competency-and-values-framework/Pages/Competency-and-Values-framework.aspx)

planned to develop the PDR on the new computerised 'back office' enterprise resource platform (or ERP) system, to ensure that it is easily accessible and user-friendly for both managers and staff. Chief officer oversight is provided by the Assistant Chief Officer for People Services.

### **Identifying potential senior leaders**

The selection process for development opportunities is inconsistent and is perceived to be unfair by the officers and staff we spoke to. There is a 'talent pool' in Surrey Police, but the selection process for this is not consistent across the force. Each of the three areas of the force (East, West and North) has its own talent pool and there are talent pools across the organisation in other areas such as the executive team. Local senior management teams are given a mandate to decide how to recruit into the talent pool. Some teams have selected through a formal process, while others have selected based on previous knowledge of officers and staff, or through people asking to be involved. Others wanted to allow everyone in and see who rises to the challenge of taking on extra work and pressure, which would prevent some members of staff from being able to progress. Opportunities for members of the talent pool are the same, regardless of how a person came to be in the pool, with a central structure for support and development, rather than it being locally driven. The lack of a consistent approach is perceived as unfair by staff and it risks 'hidden' talent being left unaware of opportunities which might otherwise be of benefit for the force or their future career. Staff also see this as a way of senior management teams selecting their 'favourites' and known performers, which risks devaluing the programme.

A quarterly meeting has been set up between members of various talent programmes outside the force, such as High Potential Development Scheme members, officers on the Fast Track scheme and Police Now officers, to ensure support for their continuing development and also to brief them on the problems the newly created chief officer group is facing. Plans include using this group to debate the force's current future plans, in order to give a different perspective to the one which Surrey Police's officers have. This utilises officers already on existing high-potential schemes, and supports their development towards their career aspirations.

### **Selecting leaders**

We found a mixed picture with regard to the fairness of promotion processes in Surrey Police. All promotion processes are now run jointly across both Surrey and Sussex Police forces. Applications for promotion are submitted with the support of the line manager, and they are then moderated (sifted) by a senior panel to ensure consistency in application. The Police Federation/Superintendents Association are invited to observe this panel to ensure fairness, but the applications are not anonymised, which could lead to unconscious bias influencing the initial decisions being made. This is not the case for the interviews, which are conducted by a small number of officers and staff who have had additional training, including on

unconscious bias, to ensure consistency and fairness, and a final panel takes place to moderate the results. Feedback is available for unsuccessful candidates so that they can improve their performance in subsequent processes.

There is no process to identify suitable candidates for temporary promotion opportunities, development opportunities or opportunities to 'act up' into a more senior role. The staff perceive this to be unfair. Opportunities are not widely advertised and the approach is inconsistent across the force. We were made aware of individuals in acting roles without qualification, while others had been refused because they were not qualified. We also found there were staff in acting posts who had failed the promotion process but remained in acting or temporary roles for long periods. In addition, some staff had been selected from the talent pool, while others who had simply 'expressed an interest' had been offered an immediate temporary position.

## Summary of findings



**Requires improvement**

Surrey Police requires improvement in some aspects of the way in which it treats its workforce with fairness and respect. The force seeks feedback from its workforce, for example at communication events and through its online forum, but many are reluctant to express their views publicly. Despite the range of activities the force uses to identify workforce concerns, including regular staff surveys, it does not publicise the changes it makes in response and therefore is missing an opportunity to show that it listens to its workforce and takes positive action to address their concerns.

The force recognises that it has a disproportionately low number of BAME people and women in its workforce and is addressing potential disproportionality in recruitment, retention and progression of staff with protected characteristics.

Many officers and staff do not know about the force's wellbeing projects because they are not well publicised. The projects are often based at headquarters, making access to them difficult for many people. The force could do more to take preventative and early action to improve workforce wellbeing. Supervisors have not been given sufficient training to recognise early warning signs and make appropriate referrals for support. Senior leaders are aware that the workforce is feeling stretched, but we found that the workforce do not feel that their welfare is a concern to the force.

The force's approach to managing and developing individual performance remains inconsistent, although the use of PDR has improved since our last inspection and supervisors are generally aware of the importance of having regular conversations

with officers and staff. Grievances are often being dealt with informally, which means that actions are not recorded and as a result some members of the workforce have little confidence in the grievance process.

The selection processes for development opportunities and temporary promotions are also inconsistent and are perceived to be unfair by the officers and staff we spoke to.

### **Areas for improvement**

- The force should prioritise workforce wellbeing and improve how it identifies and understands the concerns of its workforce, using a range of data, information and analysis to do so.
- The force should ensure that it can respond effectively when wellbeing concerns are identified. As a priority, consideration should be given to how waiting times for referrals to OHU can be reduced.
- The force should ensure that its leaders act in response to feedback and challenge from all parts of the workforce, and tell the workforce what has been done.

## Next steps

HMICFRS will assess progress on any recommendations and areas for improvement identified within its reports in a number of ways. We either re-visit those forces where we have identified a serious cause of concern, go back to assess them as part of our annual PEEL inspection programme or receive updates on their progress through regular conversations with forces.

HMICFRS highlights recurring themes emerging from our PEEL inspections of police forces within our national reports on police effectiveness, efficiency, legitimacy and leadership. These reports identify problems that are reflected across England and Wales and may contain additional recommendations directed at national policing organisations, including the Home Office, where we believe improvements need to be made at a national level.

## **Annex A – About the data**

### **Data used in this report**

The source of the data is presented with each figure in the report, and is set out in more detail in this annex. The source of Force in numbers data is also set out below.

### **Methodology**

Please note the following for the methodology applied to the data.

#### **Comparisons with England and Wales averages**

For some datasets, the report states whether the force's value is 'lower', 'higher' or 'broadly in line with' the England and Wales average. This is calculated by using the difference from the mean average, as a proportion, for all forces. After standardising this distribution, forces that are more than 0.675 standard deviations from the mean average are determined to be above or below the average, with all other forces being broadly in line.

In practice this means that approximately a quarter of forces are lower, a quarter are higher, and the remaining half are in line with the England and Wales average for each measure. For this reason, the distance from the average required to make a force's value above or below the average is different for each measure so may not appear to be consistent.

The England and Wales averages will differ slightly from the Value for Money Profiles because we have included City of London Police and the Metropolitan Police Service within the average in this publication.

#### **Statistical significance**

When commenting on statistical differences, a significance level of 5 percent is used.

For some forces, numbers described in the text may be identical to the England and Wales average due to decimal place rounding, but the bars in the chart will appear different as they use the full unrounded value.

#### **Population**

For all uses of population as a denominator, unless otherwise noted, we use the Office for National Statistics (ONS) mid-2015 population estimates.

## **Note on workforce figures**

All workforce figures are from the Home Office Annual Data Return (ADR) published in the Home Office's published police workforce England and Wales statistics (available from [www.gov.uk/government/collections/police-workforce-england-and-wales](http://www.gov.uk/government/collections/police-workforce-england-and-wales)), or the Home Office police workforce open data tables (available from [www.gov.uk/government/statistics/police-workforce-open-data-tables](http://www.gov.uk/government/statistics/police-workforce-open-data-tables)).

This year we have tried to align our workforce categories with those in the Home Office workforce Statistics publication.

This means data presented on the gender and ethnic diversity of the workforce we have not included Section 38-designated officers within the 'Police Staff' category so that these figure will read across to the workforce publication more easily. However we have included Section 38-designated officers within descriptions of the total workforce to be consistent with HMICFRS Efficiency reports.

Please note that all workforce figures are in full-time equivalent (FTE) unless otherwise stated and exclude traffic wardens and special constables.

## **Force in numbers**

### **Workforce (FTE) for 2016/17**

Data may have been updated since the publication. Workforce includes Section 38-designated investigation, detention or escort officers, but does not include Section 39-designated detention or escort staff<sup>38</sup>. The data are the actual full-time equivalent (FTE) and data for 2016/17 are as at 31 March 2017.

For FTE, these data include officers on career breaks and other types of long-term absence, and excludes those seconded to other forces.

### **Ethnic diversity and gender diversity**

Data may have been updated since the publication. As noted above to align categories with Home Office publication the Police Staff category does not include Section 38-designated officers. Staff ethnicity data are derived from headcount rather than FTE.

### **Grievances**

Data are derived from the HMICFRS data collection conducted prior to inspection. The data refer to those grievances that were raised and subject to a formal process (not including issues informally resolved with a line manager).

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<sup>38</sup> See sections 38 and 39 of the Police Reform Act 2002. Available at: [www.legislation.gov.uk/ukpga/2002/30/section/38](http://www.legislation.gov.uk/ukpga/2002/30/section/38)

## Stop and search

Data are derived from the Home Office Police Powers and Procedures England and Wales year ending 31 March 2016 publication (available at [www.gov.uk/government/statistics/police-powers-and-procedures-england-and-wales-year-ending-31-march-2016](http://www.gov.uk/government/statistics/police-powers-and-procedures-england-and-wales-year-ending-31-march-2016)). Stop and search totals used exclude vehicle only searches and those searches where the ethnicity of the subject was 'not stated'. The population data used is usual residents by ethnicity from the 2011 census.

## Figures throughout the report

### **Figure 1: Likelihood of black, Asian and minority ethnic (BAME) people being stopped and searched (under section 1, PACE) compared with white people, in the local population of Surrey Police in the 12 months to 31 March 2016**

Data are derived from the Home Office Police Powers and Procedures England and Wales year ending 31 March 2016 (available at [www.gov.uk/government/statistics/police-powers-and-procedures-england-and-wales-year-ending-31-march-2016](http://www.gov.uk/government/statistics/police-powers-and-procedures-england-and-wales-year-ending-31-march-2016)). Stop search totals used exclude vehicle only searches and those searches where the ethnicity of the subject was 'not stated'. Data may have been updated since publication. The likelihood of a stop and search is based on the number of stop searches per 1,000 population for each ethnic group. The population data used is usual residents by ethnicity from the 2011 census. These are the most robust and up-to-date population breakdowns by ethnicity.

### **Figure 2: Percentage of officers, PCSOs, and staff with up-to-date vetting checks, in Surrey Police as at 31 January 2017**

Data are derived from the HMICFRS data collection conducted prior to inspection. HMICFRS asked forces to provide the number and percentage of officers, staff and PCSOs who did not hold up-to-date security clearances in accordance with the ACPO Vetting Policy 2012.

### **Figure 3: Grievances raised per 1,000 workforce, in Surrey Police in the ten months from 1 April 2016 to 31 January 2017**

### **Figure 4: Grievances raised by officers, PCSOs and staff (per 1,000 officers, PCSOs and staff), in Surrey Police in the ten months from 1 April 2016 to 31 January 2017**

Data are derived from the HMICFRS data collection conducted prior to inspection. The data refer to those grievances that were raised and subject to a formal process (not including issues informally resolved with a line manager). Differences between forces in the number of raised grievances may be due to different handling and recording policies.

**Figure 5: Percentage of officer joiners, officers in post, officers in senior roles and officers serving over 20 years who are black, Asian or minority ethnic (BAME), in Surrey Police in 2016/17, compared with the percentage of BAME people in the local population**

These data are derived from ADR 511, 512 and 521. Data may have been updated since the publication. Officer ethnicity totals are based on numbers of people (referred to in the Home Office data as headcount) rather than FTE.

**Figure 6: Comparison of officer leaving rates between white and black, Asian or minority ethnic (BAME) officers (per 1,000 white or BAME officers), in Surrey Police from 2007/08 to 2016/17**

These data are derived from ADR 511 and 531. Data may have been updated since the publication. Officer ethnicity totals are headcount rather than FTE.

**Figure 7: Percentage of officer joiners, officers in post and officers in senior ranks, by gender, in Surrey Police in 2016/17 compared with the percentage of women in the England and Wales population**

These data are derived from ADR 502 and 521. Data may have been updated since the publication.

**Figure 8: Comparison of officer leaving rates between male and female officers (per 1,000 male or female officers), in Surrey Police from 2007/08 to 2016/17**

These data are derived from ADR 502 and 531. Data may have been updated since the publication.

**Figure 9: Percentage of officers on short or medium-term sick leave, in Surrey Police compared with the England and Wales average, on 31 March from 2008 to 2017**

Data used in the above data were obtained from Home Office annual data returns 501 and 552 and published in the Home Office police workforce open data tables (available from [www.gov.uk/government/statistics/police-workforce-open-data-tables](http://www.gov.uk/government/statistics/police-workforce-open-data-tables)).

**Figure 10: Percentage of officers on long-term sick leave, in Surrey Police compared with the England and Wales average, as at 31 March from 2008 to 2017**

Data used in the above data were obtained from Home Office annual data returns 501 and 552. (available from [www.gov.uk/government/statistics/police-workforce-open-data-tables](http://www.gov.uk/government/statistics/police-workforce-open-data-tables)). Long-term sick leave is defined as an absence due to sickness that has lasted for more than 28 days as at 31 March 2017. Data may have been updated since the publication.

## **Stop and search record review methodology**

HMICFRS was commissioned by the Home Office to conduct a further assessment of reasonable grounds, building on the assessments we carried out in 2013 and 2015 so that we could demonstrate any changes over time. We used a similar methodology to do this: forces provided details of stop and search records by working back in time from 7 January 2017 until a total of 200 was reached.<sup>39</sup> This amounted to a total of 8,574 records – some records provided were not actually records of stop and search encounters, and these were excluded. As part of our assessment, we gave forces the opportunity to review our findings and make representations.

As in 2013 and 2015, HMICFRS reviewed each record to assess the reasonableness of the recorded grounds. However, this year we also identified how many of the records reviewed were carried out to search for drugs and whether stop and search was carried out for drugs, whether the suspicion involved possession only or the more serious supply-type offence. Currently forces are not required to differentiate between the two. We did this so that we could ascertain how many in our sample were for possession of drugs, rather than supply, as high rates of possession-only searches are unlikely to fit with force priorities.

This year, for the first time, we assessed whether or not the use of stop and search powers prevented an unnecessary arrest. We did this to ascertain how many of the records reviewed involved allaying the officer's suspicion in circumstances where the person would otherwise have been arrested, thereby representing a positive use of the powers. Allaying suspicion and preventing an unnecessary arrest is as valuable as confirming suspicion by finding the item searched for.

## **Professional standards case file review methodology**

During February and March 2017, inspection teams from HMICFRS visited the individual or professional standards departments working collaboratively of each force to conduct a case file review. We asked forces to provide us with the last case files they had finalised up to 31 December 2016; but going back no further than two years. We asked to see:

- 10 complaints the force had recorded as containing an allegation of discrimination
- 15 complaints the force had recorded in categories we felt may contain unidentified allegations of discrimination

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<sup>39</sup> City of London Police was unable to provide records up to 7 January 2017 but instead provided 200 records from 4 October 2016 to 26 November 2016.

- 10 service recovery complaints (if the force operated a separate service recovery scheme)
- 10 internal misconduct allegations the force had recorded as containing an allegation of discrimination
- 10 other internal misconduct allegations (so that we could ascertain if they contained unidentified allegations of discrimination)
- 10 grievances (and 10 workplace concerns if the force recorded these separately)

We assessed these case files against the relevant legislation, guidance and code of practice<sup>40</sup> to answer the following questions:

- Access to the system – Has the force identified those cases where the complainant requires additional support to make their complaint, and has that support been provided?
- Initial information – When the complaint was recorded, did the force provide the complainant with a copy of the complaint record, an explanation of the possible ways the complaint may be dealt with, and advised who will be dealing (including contact details)?
- Keeping complainants updated – Has the force provided complainants, witnesses, and those who are the subject of the complaints with regular, meaningful updates?
- Final outcome – Did the force provide the complainant with the findings of the report, its own determinations and the complainant’s right of appeal?
- Handling discrimination – Has the force failed to identify any allegations of discrimination? Have any discrimination cases that meet the IPCC mandatory referral criteria been so referred? Has the force investigated the complaints alleging discrimination satisfactorily? Overall, has the complainant making an allegation of discrimination received a good service from the force?
- Grievances/workplace concerns – Has the force identified, investigated and resolved the grievance satisfactorily? Has the force put arrangements in place to support the employees or witnesses throughout the process? Did the witness and those who are subject to the allegations receive a satisfactory service from the force?

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<sup>40</sup> Relevant police complaints and misconduct legislation, IPCC statutory guidance, IPCC guidelines for handling allegations of discrimination, Acas code of practice on disciplinary and grievance procedures and Acas discipline and grievance guide.