



DPS Review - Briefing The MPS
Final Report
May 2006

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MANAGEMENT SUMMARY

Following a recommendation from the Morris Inquiry, which stated that the Commissioner of the Metropolis should carry out a fundamental review of the Directorate of Professional Standards (DPS), a Review Team was formed by Assistant Commissioner Brown under the leadership of Commander Akers.

The Review Team remit included an examination of the current functions and activities, and through consultation, the proposal and delivery of a New Way of working model. The work encompasses reviewing the processes and structures of the DPS, including case management, staff mix and the inclusion of local managers, encouraging them to deal with complaint and misconduct issues at the earliest opportunity.

The overall Review programme continues to provide an integrated DPS response to the Morris Inquiry, the Taylor Report, the Ghaffur Report and the CRE Commissioners' Report, along with the MPS Service Review and the Workforce Modernisation Programme.

This report further outlines the details of the proposed changes that the Review has identified. The three overt changes planned from April 2006 are:

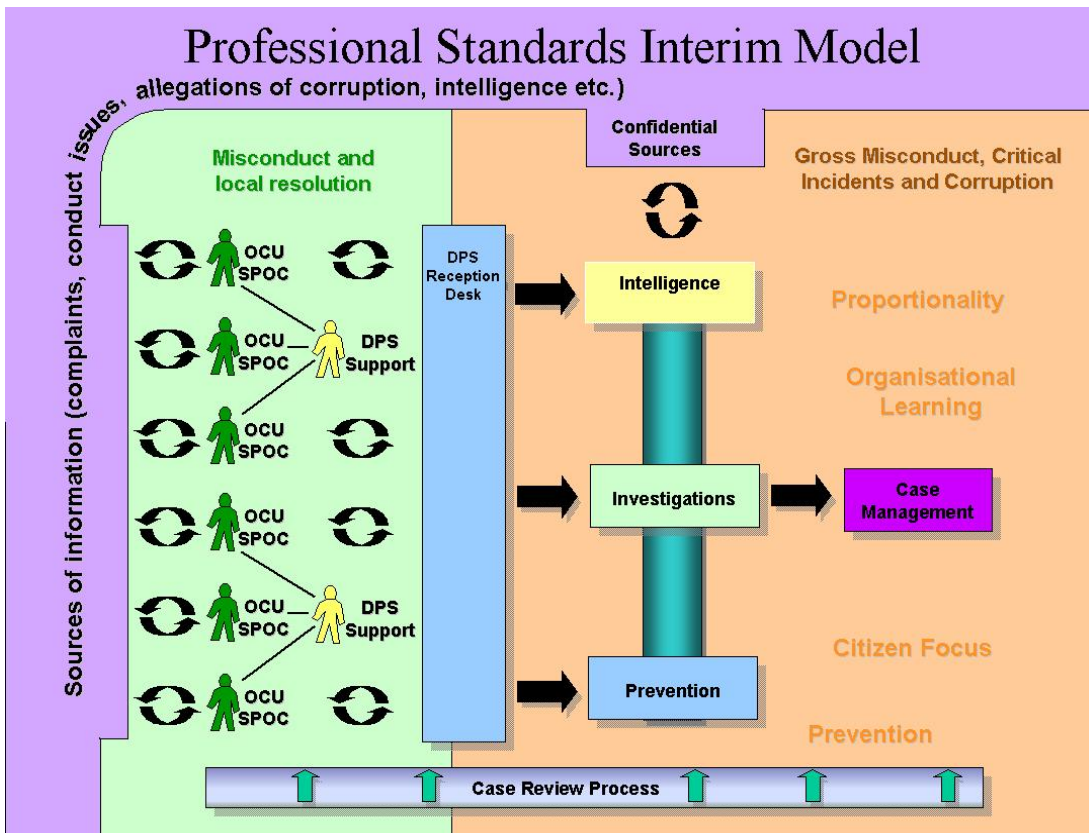
1. Restructuring of the DPS into three new commands:

- **Prevention and Organisational Learning**
- **Intelligence**
- **Investigation**

2. Creation of a DPS Reception Desk, a focal point for DPS business and foundation of a more customer focused DPS.



3. Local Management Intervention - empowered and supported by the DPS.



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1 INTRODUCTION

Following a recommendation from the Morris Inquiry, which stated that the Commissioner of the Metropolis should carry out a fundamental review of the Directorate of Professional Standards (DPS), Assistant Commissioner Brown formed a Review Team under the leadership of Commander Akers.

The terms of reference for the review were to examine current processes and make recommendations about a proposed 'New Way Model' for conducting DPS functions in the future. This would promote the DPS as an organisation that had Intelligence and Prevention at the heart of its activities and shift the emphasis of its work from one of a 'blame culture' to 'organisational learning', where appropriate. One crucial constraint was that the 'New Way Model' must be based on a policy of zero-growth on the budget line.

This paper sets out, for the reader, a detailed description of the DPS 'New Way' of Working Model and the road map for developing and subsequently implementing the preferred options.

1.1 Background Information

The Directorate of Professional Standards (DPS) Review Programme set out to review the current functions and activities, and through consultation, propose and deliver a New Way of working model.

The overall Review Programme has, and continues to provide an integrated DPS response to the Morris Inquiry, the Taylor Report, the Ghaffur Report and the CRE Commissioners' Report, along with the MPS Service Review and the Workforce Modernisation Programme.

Activities around the wider recommendations from the various reports are contained within separate projects and are being taken forward by the Implementation team with Project Leads in the three commands. This review focuses upon restructuring and examining new ways of progressing core DPS activities.

The main driver for change emerging from the Morris and Taylor reports was the need for misconduct matters to be defined as 'minor' or 'gross' with local managers dealing with the former and the DPS concentrating on the latter.

This would enable the DPS to show a commitment to redressing concerns raised by stakeholders about the high volume and high visibility aspect of the Directorate's business, namely internal and public complaints.

A project structure was created and agreed to provide a format for the review and implementation. The initial objective of restructuring and establishing the Prevention and Organisational Learning Command with nil growth was achieved in principle. However, like so many other commands within the MPS, central budgetary reviews caused the DPS to implement the New Way Model on a budget-line of circa £3.5m beneath the present figure. This has created great challenges and is still being examined to minimise the potential impact.

1.2 Project Structure

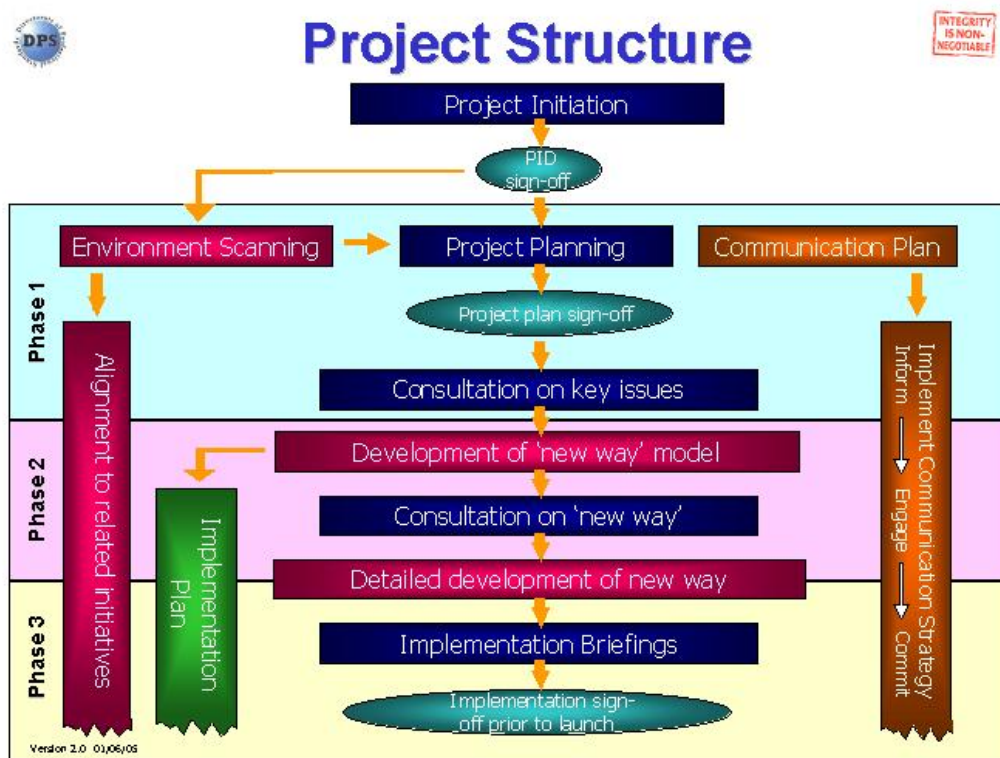


Figure 1.1: Project Structure

1.2.1 Phase 1 Activity

The purpose of Phase 1 of the Review was:

- To review the current way of working within DPS, based on the views of DPS staff, managers, and the views of internal and external stakeholders, also considering a range of organisational disaggregated data.
- To identify the key issues that potentially needed to be addressed, such as staff mix, process improvement and other Workforce Modernisation Principles.
- To develop a range of options for the future to address identified issues.

Having focused the Review Team's activity, Phase 1 was progressed through:

- Consultation and Benchmarking with other professional standards units
- Environmental scanning (internally and externally)
- Focus groups with staff and managers
- Individual interviews with key opinion makers and stakeholders
- Briefings to Staff Associations
- Staff surveys
- Research of current performance and management data

1.2.2 Phase 2 Activity

The purpose of Phase 2 of the Review was to:

- Develop the suggested model approved by the DPS CTM for the future way of working within DPS.
- Continue to consult with DPS staff, managers, internal and external stakeholders on the proposed future way of working.
- To adapt the model as appropriate, based on feedback from practitioners and stakeholders.
- To develop a detailed specification for the future way of working, and a plan for how it could be implemented, including details of staff mix.
- To develop detailed costings for the proposed 'New Way' model.

1.2.3 Phase 3 Activity

The purpose of Phase 3 was to drive the Implementation, including:

- Phased approach to implementation of the key elements of the DPS 'New Way of Working' Model.
- Training of staff in the 'New Way of Working' Model.
- Communication of the new elements and changes within DPS to the wider MPS.
- Ensuring effective monitoring of 'New Way' and identification of critical success factors.

Figure 1.2, below, outlines the areas of review for consultation and consideration.

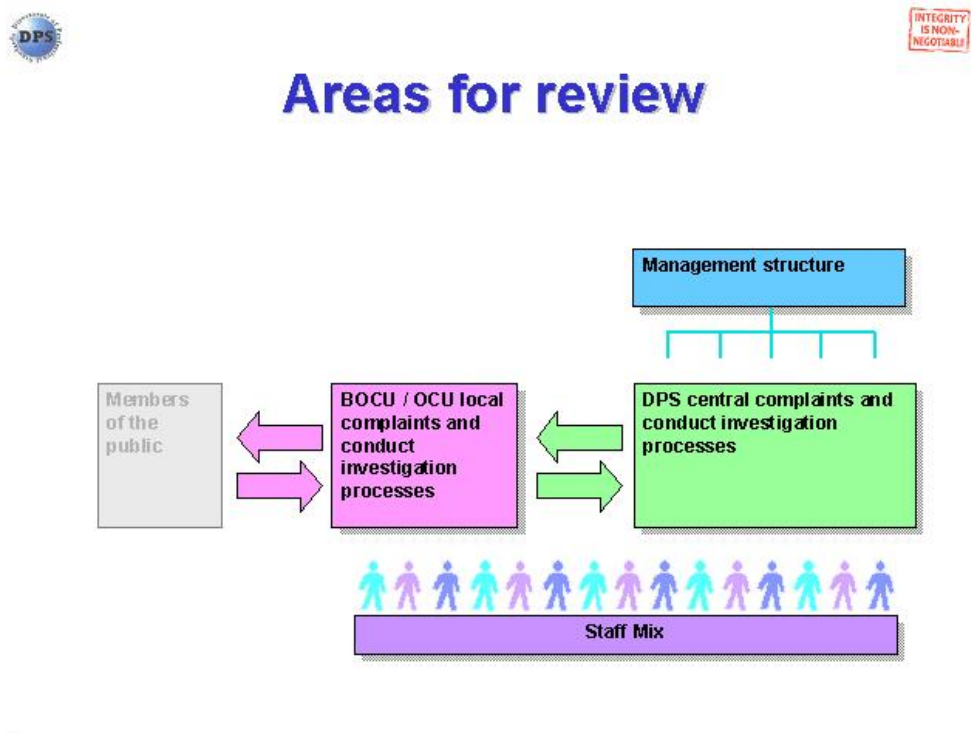


Figure 1.2: Areas for Review

1.3 Presentation of initial findings and recommendations to DPS CTM

On the 15th September 2005, the DPS Review Team presented their findings from Phase 1 to the DPS Command Team (CTM) to inform, consult and develop the future strategy of the review.

The Review Team outlined the issues identified from the consultation phase and presented a range of proposed options for the future.

The CTM discussed the options, and approved the further development of the way forward model in Phase 2 of review.

Throughout October and November these preferred options were developed within a comprehensive programme of work based on a policy of zero-growth on the budget line.

1.4 Rationale for changes – New Way Model

The Taylor report echoes comments made by other commentators, in that local managers must engage more with minor misconduct matters, and that only gross misconduct should advance to Professional Standards Units.

Clarification as to the definition of gross misconduct is due to be published in late 2006 by the Home Office in response to the Taylor Report.

It is envisaged that in order for local managers to engage effectively in the professional standards arena, each BOCU/OCU would nominate a Single Point of Contact (SPOC) at Inspector level.

The Review Team has detailed a proposed vision of the 'Aspirational New Way Model' (see Figure 2.1), together with an 'Interim Model' as a vehicle for transition (see Figure 3.1).

The initial intention was to move to the 'Aspirational New Way Model' in April 2006. However, a number of significant inhibitors were identified to its projected implementation date.

The following articulates a number of these inhibitors:

- Need for corporate training of new BOCU/OCU Professional Standards SPOC.
- A lack of clear guidance on the definition of 'Minor' and 'Gross' Misconduct (due to be published in late 2006 by the Home Office).
- A lack of structure for making the management of standards and misconduct management a performance indicator for BOCU's/OCUs.
- The need to develop an organisational structure for capturing the activities of the proposed local SPOC, to ensure corporate memory.
- The structuring and resourcing of local SPOCs needs cross-business group agreement.

As a result the DPS is now preparing for a transition period to move to the interim model.

2 ASPIRATIONAL NEW WAY MODEL

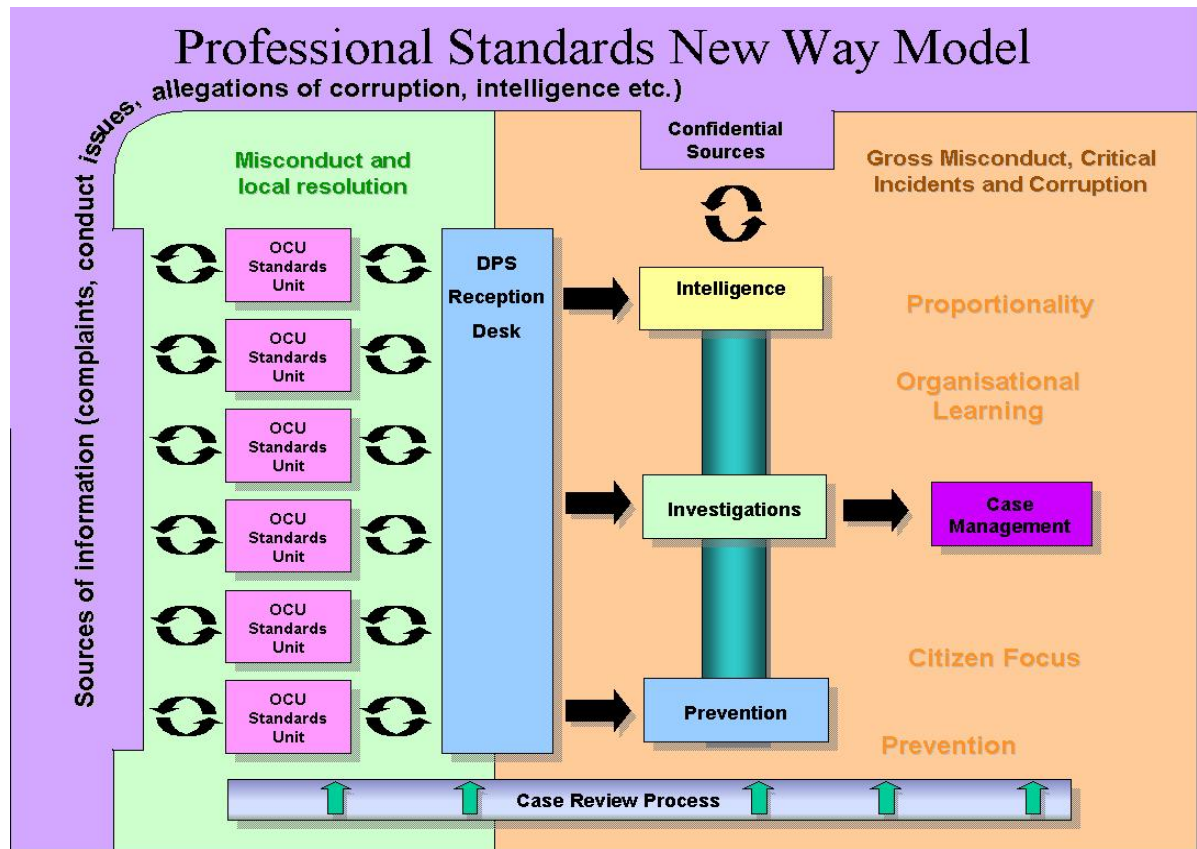


Figure 2.1: Aspirational 'New Way' Model

This graphic (Figure 2.1) displays the key features of the 'Aspirational New Way' Model'. This would potentially be the final position for the DPS to move towards if there were to be a strict application of the Taylor recommendations.

The initial projected time scale required for full implementation is suggested as being two to three years. This will allow for the delivery of a complete training programme and meeting of any legislation requirements.

The key features of the new model are detailed below:

- Splitting primary responsibility for misconduct into Minor and Gross Misconduct cases. (This is work in progress through Home Office, IPCC & other interested parties).
- The BOCU/OCU to take primary responsibility for Minor Misconduct and local resolution, leaving DPS to deal with Gross Misconduct, Critical Incidents and Corruption.
- Close liaison and integration between DPS and Business Groups, notably TP and external partners.
- If we move to the model then the resourcing of the local SPOC is likely to be drawn from BOCU/OCU staff and would be of a model dependent on local variables, such as quantity of work.
- The introduction of a DPS Reception will act as the primary interface between DPS, the rest of the organisation and external customers. The DPS Reception function is detailed later in this report.

- Embracing the National Intelligence Model (NIM) by restructuring of the DPS into domains based on Intelligence, Prevention and Investigation will allow for issues to be examined within the appropriate arena. This will enable an intelligence-led, cradle to grave approach to investigations
- Through this model the DPS will seek to provide an emphasis on prevention, moving from 'blame-culture' towards lessons learned, through the provision of advice and guidance and organisational learning.

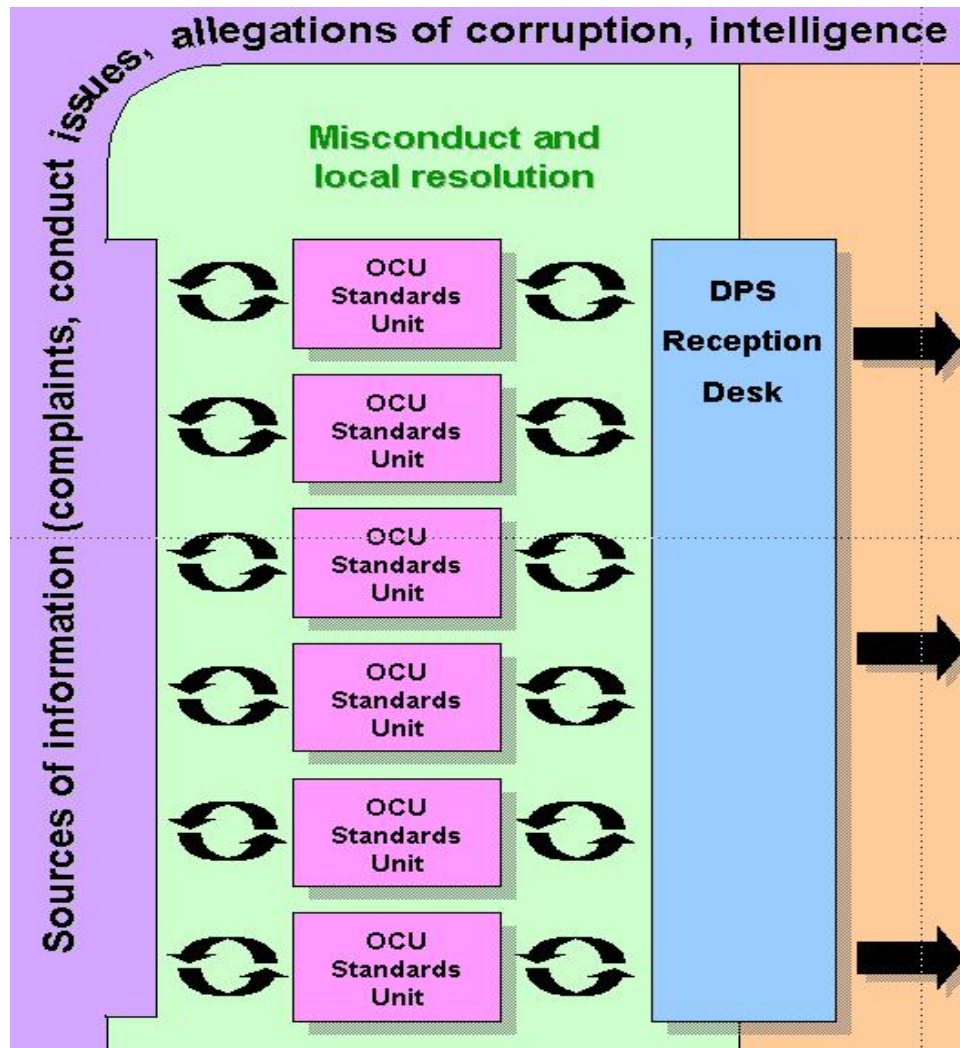


Figure 2.2: Front-end of New Way Model

The front-end of the aspirational 'New Way' Model, as shown in Figure 2.2, details how the sources of information (e.g. complaints, conduct issues and intelligence) would be initially dealt with by the BOCU/OCUs.

This provides an opportunity for BOCU/OCUs to deal 'fast time' with public concerns and improve citizen focus.

The circular arrows denote that information can move freely (within reason) between the source and the BOCU/OCU Standards Unit. The BOCU/OCU Standards Units would then engage in the minor matters and forward on the more serious issues to the DPS through the DPS Reception Desk.

This effectively provides a means by which information can be fed in from sources at either the BOCU/OCU Standards Unit or the DPS Reception and enhances the ability for a two-way flow of intelligence.

Matters that are resolved locally by the BOCU/OCU Standards Unit would also be forwarded to the DPS Reception to ensure intelligence is captured. This would ensure that the corporate memory is maintained and evaluated, enabling MPS standards to be preserved.

2.4 Role of DPS Reception Desk

The introduction of the DPS Reception Desk is a key development to demonstrate the intention of DPS to become more citizen focused and intelligence-led in its way of working.

Essentially, the DPS Reception will act as the primary interface between DPS and the rest of the organisation, as well as members of the public.

The DPS Reception will perform the following roles (although this list is not exhaustive):

- Receipt and logging of complaints and conduct issues
- Quality control of initial complaint / misconduct reporting and feedback to BOCU/OCU
- Risk assessment of complaints and conduct issues
- Initial intelligence and other checks where appropriate
- Initiation of fast-time proactive response where appropriate, be it investigation or direct prevention
- Allocation of complaints and conduct issues to the appropriate DPS area (Intelligence, Investigation, Prevention) or back to BOCU/OCU
- Act as a conduit between DPS, the IPCC (e.g. for referral matters) and other external partners.
- Central point for capture of Management Information

Figure 2.3 shows in more detail the information flows surrounding the proposed DPS Reception Desk.

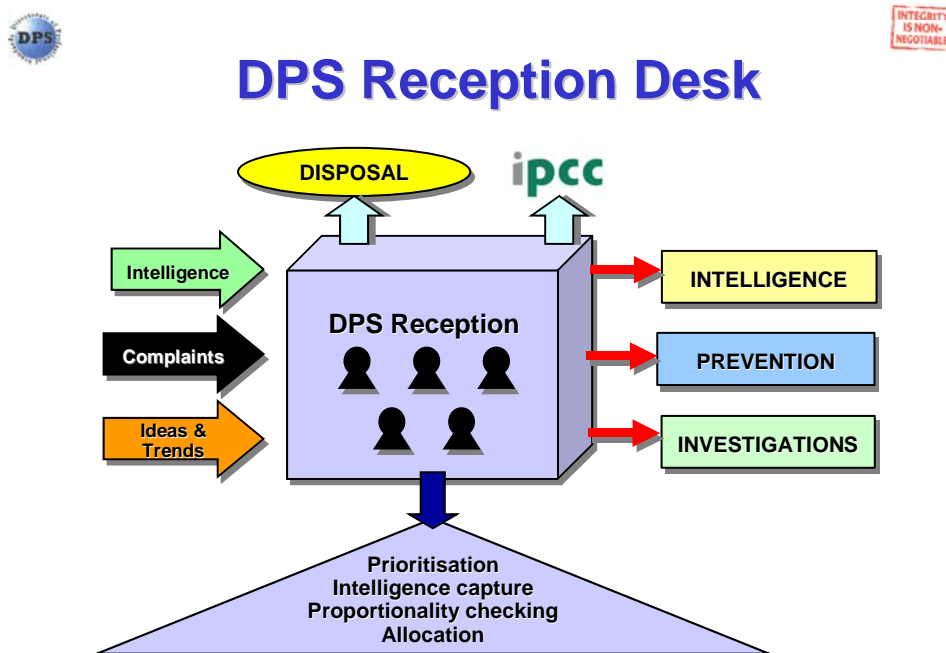


Figure 2.3: DPS Reception Desk

Although the exact make-up of the staff mix and information flows within the DPS Reception is yet to be finalised, an initial working model has been proposed and accepted. This has been informed through consultation across the DPS command and with external subject-matter experts (SMEs), and has the support of DPS CTM, AC Alan Brown and an Independent Challenge Panel.



DPS Reception processes

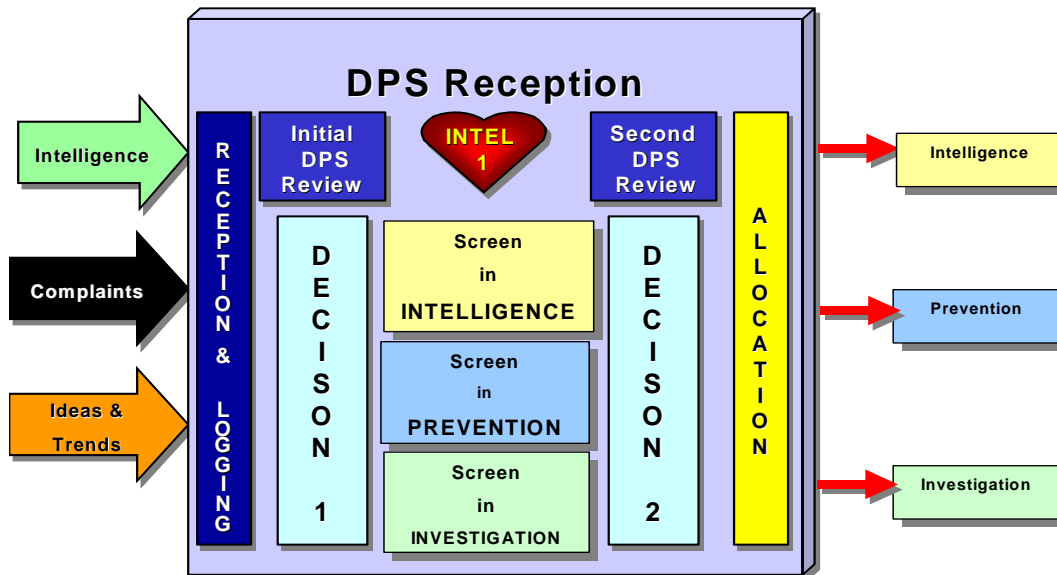


Figure 2.4: Processes within the DPS Reception

Figure 2.4 shows the proposed flows of intelligence and decision-making pathways within the DPS Reception facility and can be best articulated as:

- Information / Intelligence received at the DPS Reception
- Logged, given unique reference number and included on Tribune (software which replaces CDS)
- Initial review of new information / intelligence by DPS Officer (rank to be determined)
- Initial decision as to primary activity required in relation to this information / intelligence
- Intelligence and/or other appropriate checks using menu of options
- A secondary review by the decision-maker based upon available intelligence to inform their decision-making and allocation to appropriate domain(s) for activity
- The decision-maker will be a subject matter expert within DPS and as such will be well placed to properly identify and risk assess how each matter can be resolved or progressed effectively
- This process would enable the complaint or issue to be directed back to the BOCU/OCU for local management action, accompanied by a unique reference number, intelligence assessment, guidance and the offer of further assistance if required from the local outreach team.

Directorate of Professional Standards

DPS Review

The following two images are intended to provide an impression of the physical layout of the Reception Desk. The layout shown follows the model described in the text.

Ongoing work for the restructuring of the DPS identified the need to form three new commands in alignment with NIM.



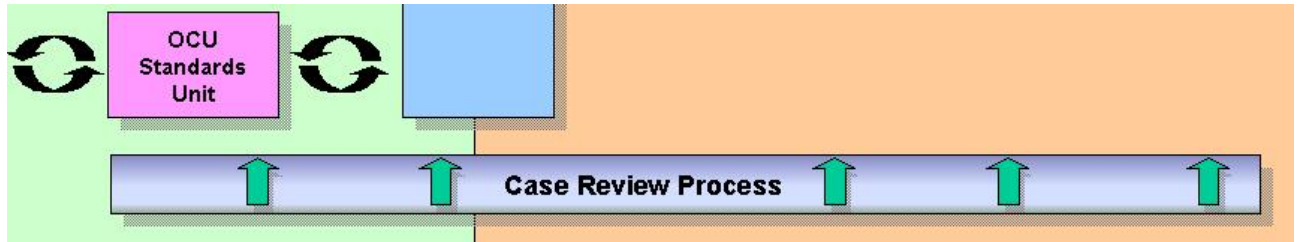


Figure 2.6: Review Process

It is proposed to enhance the current review process through:

- The consideration as to criminal or misconduct disposal will no longer be dealt with in isolation. Misconduct subject-matter experts will review in parallel all enquiries, which will facilitate a proportionate investigation and speedier disposal decision. This will be achieved by aligning the current misconduct unit with the investigative units within the Investigation Command (Figure 2.6)
- Misconduct becomes an integral part of the monthly reviews of casework, allowing for early intervention, proportionality checks and exchange of advice as to possible case outcomes.



Figure 2.7: Case Management

- It is proposed that there be an examination of the benefits of creating a DPS Case Management Unit. At this stage, this aspect of business will remain unchanged with each team having their own specific caseworker support aligned to their team (Figure 2.7).

2.5 Role of the Prevention and Organisational Learning Command

The DPS began working towards a prevention-based culture, with the establishment of the Prevention and Reduction Team in April 2004. Recognising the potential, the Director and Deputy Director of DPS sought to place prevention at the heart of all future DPS work. To that end a Prevention and Organisational Learning Command was established from April 2006. The new command, headed by a Detective Chief Superintendent, has several key and distinct elements to progress prevention and learning.

2.5.1 Organisational Learning

The Prevention and Reduction Team initially focussed on prevention initiatives in respect of deaths following police contact. This remit has expanded and the team is now responsible for gathering opportunities to learn lessons from DPS and IPCC investigations, other Police Forces, agencies and stakeholders. Having gathered this information the team will ensure learning is available on databases and promulgated to MPS staff. An auditable record will be created of the learning opportunities identified and how they progressed.

2.5.2 Training

Training will have a significant impact in developing a prevention-based culture. The training delivered by the Prevention and Reduction Team is to be expanded to cover all aspects of DPS work including professional conduct, ethics, corruption and fatal police collisions. The aspiration is for training to be delivered to all newly promoted first line supervisors including sergeants and inspectors and also to PCSOs, probationers, and recruits. The team has planned to roll this out over the next year in partnership with the

Leadership Academy and training schools. The capacity of the team should also enable some bespoke training to be delivered to individual Boroughs, according to need.

2.5.3 Intervention and Target Hardening

The Command will develop an intervention and target hardening capability, so that when emerging issues or patterns are identified, either corporately or at Borough level, the team will work alongside colleagues and stakeholders to ensure prevention and resolution at the earliest opportunity. The Command proposes to develop a programme of visits to OCU's to provide this advice and guidance.

2.5.4 Policy and best practice

The DPS Policy Unit will work alongside the corporate Policy Clearing House to ensure all DPS Policy and Standard Operating Procedures incorporate best practice, are compliant with legislation, such as the Human Rights Act, and are subject to regular review.

2.5.5 Persons of concern/adverse findings

The Command has staff dedicated to managing officers who are subject to adverse information or adverse judicial findings. This will result in confidence in the MPS evidence chain processes, consistency in how staff subject of adverse findings or adverse information are deployed and how staff of concern are supported, monitored and developed.

2.5.6 Diversity

The Command will promote good practice throughout DPS around the six strands of diversity (race, faith, sexual orientation, age, gender, and disability). Through a dedicated diversity co-ordinator, the command will advise DPS staff on diversity matters and their impact on individuals and communities and promote good practice and policy.

2.5.7 Review

The existing Review Unit is being enhanced to enable a more structured review of DPS investigations in order to identify learning opportunities and best practice at the earliest opportunity. The unit will work to ensure consistency, timeliness, proportionality and fairness in DPS investigations. There will be an ability to dip sample 'closed' investigations from across the commands in a similar way to practices employed within murder and cold case review. This will provide reassurance that investigations are sufficiently comprehensive and create the opportunity to re-open enquiries if necessary.

2.5.8 Officer de-briefing

It is intended that the Command will develop a capability to de-brief officers who have been subject of criminal conviction or disciplinary finding. The aim will be to identify factors that led to criminality or breaches of the code of conduct. This will allow points of intervention to be identified and then measures to be put in place to reduce the risks of such behaviour being repeated by others. It will also provide an opportunity for staff to comment on the conduct of investigations, so that any learning can be identified for future investigations or for the development, support or training needs of officers concerned.

2.5.9 Communications

Clear communication will be crucial to delivering prevention and learning messages and ending the blame culture. The team will coordinate and improve communications by the DPS to ensure that the right messages are sent out in support of Our Values and meeting the outcomes of the MPS Professional Standards Strategy.

2.5.10 Claims Handling

Accident Claims Branch and Civil Actions Unit became a part of the Command in order that they can further develop prevention activity. The units will identify learning from cases and target this to the appropriate parts of the MPS in order to help prevent and reduce future claims. In order to protect the MPS from financial damage or harm to its reputation the unit will fight unfounded or exaggerated claims and support its witnesses, rigorously pursuing fraudulent claimants.

3 INTERIM MODEL

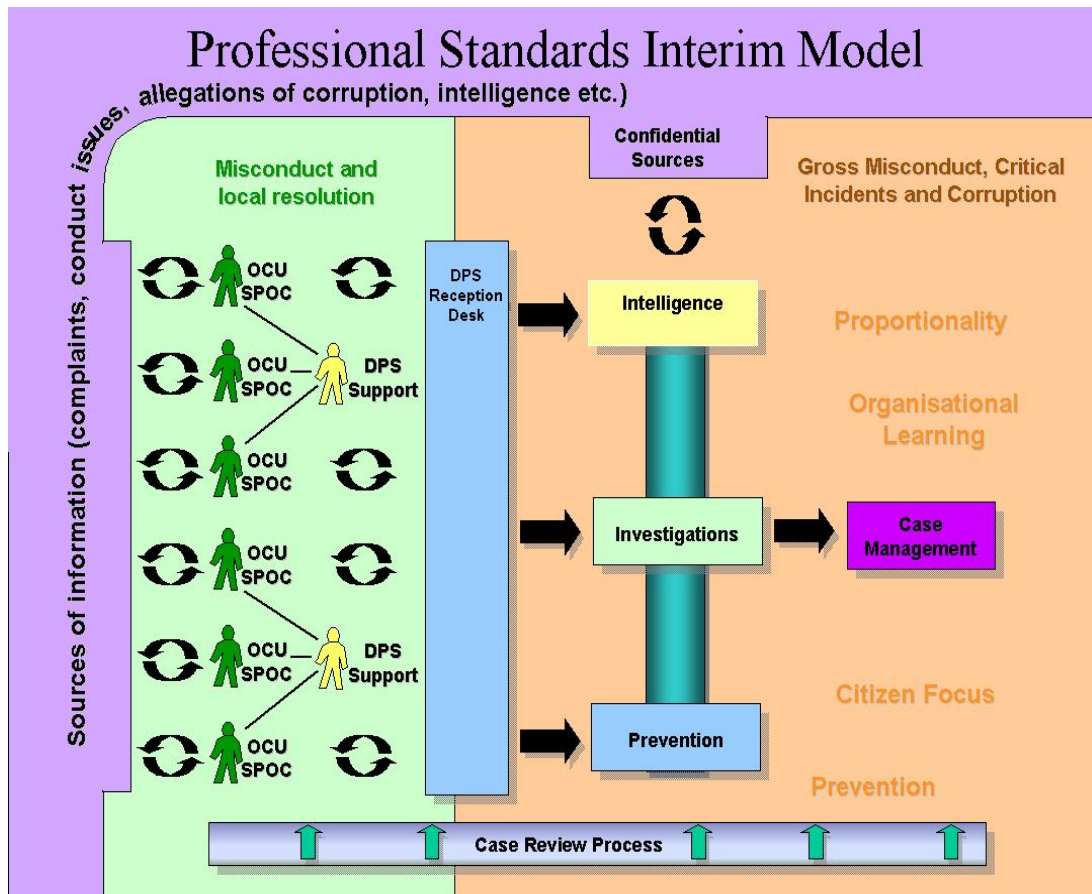


Figure 3.1: Interim Model

The DPS Review Team and CTM recognised that the move to the 'Aspirational New Way Model' would involve significant change, physically, culturally and financially. In order to facilitate the transition to the 'New Way' Model an Interim Model was developed (see Figure 3.1 above) and received qualified support from the DPS CTM, Project Board and the Independent Challenge Panel.

The processes are replicated once information is received within the DPS Reception Desk and subsequently actioned. However, the major changes lie at the front-end of the model and this is explained in further detail below.

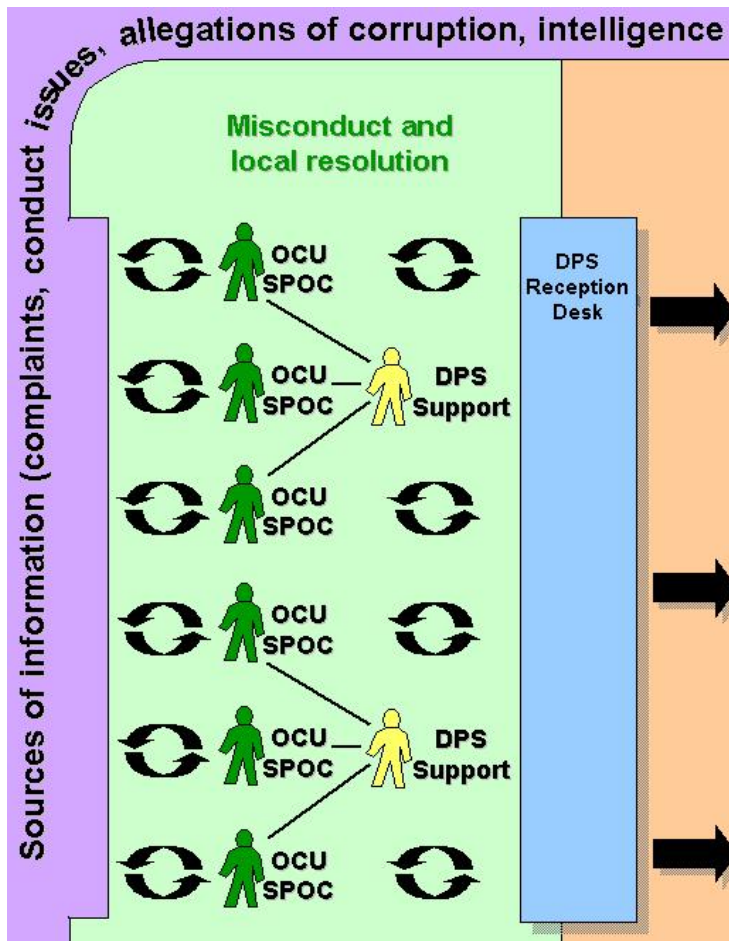


Figure 3.2: Front-end of Interim Model

The 'New Way' Model recognises that on completion, OCU Standards Units will be created and minor misconduct issues will be locally resolved within the BOCU/OCU itself.

To reach that capability this Interim Model being implemented proposes that each BOCU/OCU has a Single Point Of Contact (SPOC) that works within that command unit with the support of DPS officers.

Realignment of Borough Support Units will provide a dedicated outreach team to provide an enhanced support and guidance service to SPOCs and SMT's to maximise the opportunity for early and local resolution of complaints.

This interim position will allow SPOCs, and thus BOCU/OCUs to build up their skills, resilience and capability to locally resolve issues with the guidance and support of experienced DPS officers and facilities.

This will also ensure the maintenance of MPS Professional Standards and sharing of organisational learning.

The implementation of a training regime and on-going support from DPS will facilitate the transition from the Interim Model to the 'New Way' Model.

The training got underway in May and will be facilitated by DPS SME's and organised on behalf of the Investigation Command by the Prevention and Organisational Learning Command.



Support relationships

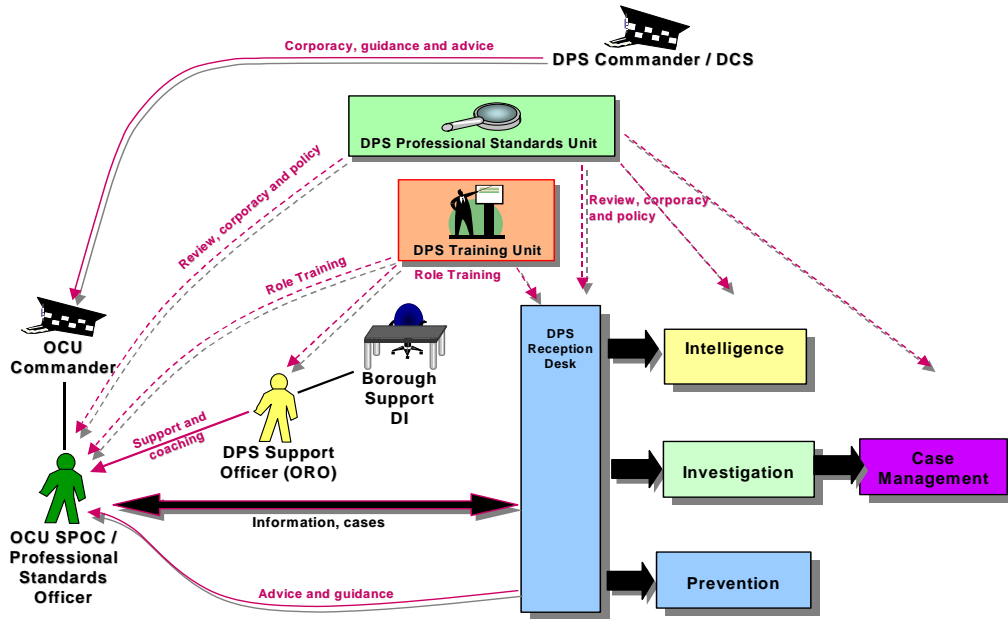


Figure 3.3: Support Relationships within DPS Interim Model

Figure 3.3 outlines the relationships and support mechanisms that the DPS Review Team propose are putting in place to develop and support the Interim Model.

Beginning from the left of the model,

- The OCU SPOC and OCU Commander will have a close working relationship. It is envisaged that the two would meet on a regular basis to discuss on-going cases, issues, and investigations. This allows the OCU Commander to effectively task the SPOC whilst remaining the misconduct decision maker. The OCU Commander would also be able to extract corporate guidance and advice from the DPS Commander.
- The SPOC would have the continued assistance of the DPS Support Officer who would be involved in training and coaching the SPOC and be a link to Borough Support DI. The SPOC will also have the facility to liaise directly with DPS Reception for information, intelligence and advice or guidance.
- The DPS Training Unit are currently engaged in developing a bespoke package of training for DPS Reception Staff, DPS Support Officers and OCU SPOCs.

The remaining programme of work will continue to be reported to the DPS CTM on a monthly basis.

3.1 Feedback

The DPS Review welcome feedback on any part of this paper and can be contacted at Tintagel House, Room 724.

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