



COMMISSION OF INQUIRY INTO POLICE CONDUCT

QUARTERLY REPORT TO 31 MARCH 2015

Introduction

In line with Cabinet requirements, this report gives an update on New Zealand Police's progress in actioning recommendations from the 2007 Commission of Inquiry into Police Conduct (COI). Police is responsible for implementing 47 of the COI's 60 recommendations [see Appendix]. Police seeks to not only satisfy the original intent of the recommendations, but to put in place enduring solutions that accord with best practice.

To help communicate the state of progress achieved, recommendations are categorised depending upon whether they have been actioned, solutions implemented (with ongoing monitoring), or fully completed.

Notable progress this quarter

Three further recommendations advanced to 'complete' status during the January to March 2015 quarter:

- ***Recommendation 5 – New Zealand Police should develop an explicit policy on notifying the Commissioner of Police when there is a serious complaint made against a police officer. This policy and its associated procedures should specify who is to notify the police commissioner and within what time frames.***

A number of actions have been taken to fulfil this recommendation.

A well-established *No surprises* policy sets out the criteria about, and the process for immediately notifying the Commissioner of Police about a serious incident. The current version of the policy was (re-)published in November 2014, after a two-yearly review resulted in there being only minor revisions.

A parallel *Investigation of complaints and notifiable incidents* policy sets the standards for complaints or investigations about the conduct of Police employees. It specifies that the Commissioner must be notified immediately about any serious complaint against a Police employee.

Organisationally, the Police Professional Conduct Group has assumed a monitoring role to ensure a record is kept of the timeliness of the notification of each serious complaint to the Commissioner. Two years' worth of data show the Commissioner has been alerted to all serious complaints within 24 hours.

- ***Recommendation 34 – New Zealand Police should implement a best practice State sector disciplinary system based on a code of conduct in keeping with the principles of fairness and natural justice as part of the employment relationship.***

An employment law-based disciplinary process to manage breaches of Police's *Code of Conduct* has been in place for several years. In early 2013, the system was revised to remove disciplinary hearings.

As part of a self-monitoring regime, Police reports in its *Annual Report* on the outcomes of the Police disciplinary process, particularly as they relate to key aspects of integrity. This includes the length of time for employment-based disciplinary proceedings to run their course. The 2013/14 *Annual Report* showed a 33% improvement in average time taken (based on the few cases progressed at that point through the streamlined process).

Police also measures itself annually in a staff workplace survey against the State Sector benchmark for the question "poor performance is dealt with effectively in my work group". Over the last three years, Police has scored significantly above the State Sector benchmark in its responses to this question.

- ***Recommendation 42 – New Zealand Police should introduce a requirement that all staff sign a document to confirm that they have read and understood the acceptable use policies for the Internet and email. These requirements should be fully explained to all recruits during their training.***

Prior to accessing the Police computer system, users are required to acknowledge a warning that use of the system must comply with the *Information management, privacy and assurance* chapter in the *Police Manual* and *Code of Conduct*. The warning also states that use of the system in breach of either the *Police Manual* or *Code of Conduct* could result in disciplinary action, or termination. Both the *Police Manual* and the *Code of Conduct* are available on mobile devices as well as desktop computers.

Acceptable use of the computer system and other components of the *Code of Conduct* form part of all Police recruit training. All other Police employees and contractors are required to acknowledge the policies on acceptable use of the Internet and email when they commence employment.

Monitoring of Police email and Internet use is performed centrally at Police National Headquarters. Reports on usage are made monthly to a special Use of Information Committee. Employees identified as high users are warned.

As well, access restrictions are in place following pre-determined classifications and warnings are given to Police staff attempting to access prohibited internet sites, including reminders and links to the *Code of Conduct* and Acceptable Use policies.

Furthermore, Police is investing in enhanced technical capability to improve policy compliance monitoring and reporting, including use of the Internet, email, NIA and other business critical systems.

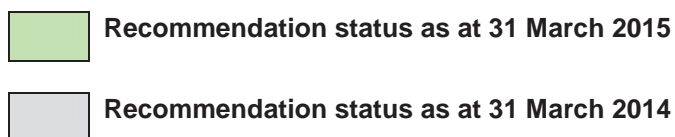
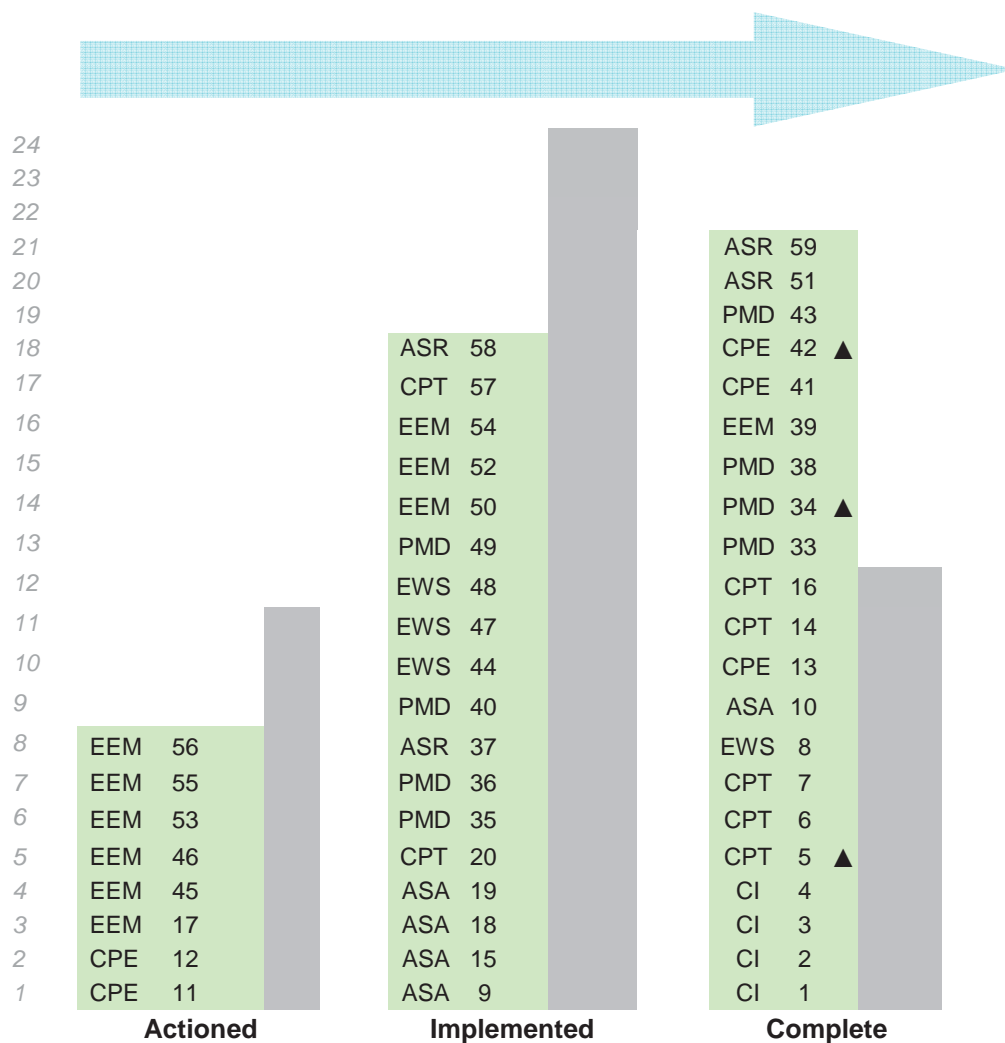
Report of the Controller and Auditor-General

The Office of the Controller and Auditor-General (OAG) published its fourth monitoring report on Police's COI progress in February 2015 [accessible from <http://www.oag.govt.nz/2015/police-conduct>]. The review reported Police has made good progress in addressing the five recommendations from OAG's third monitoring report. The fourth monitoring report focuses on Police's investigation of adult sexual assaults, how Police responds to poor behaviour by Police staff, and measuring how the culture within Police has experienced positive change. OAG also makes several constructive suggestions of areas for further improvement, which Police welcomes.

Areas of focus for the coming quarter

In the next three months, Police will continue to focus on a series of recommendations that broadly relate to ethics and workplace culture. We will work to implement specific suggestions made by the OAG in its fourth monitoring report, and look to identify ways (metrics) that Police can use to demonstrate its improved culture.

Police COI Dashboard to 31 March 2015



Status changes this quarter

- ▲ Progressed since last report
- ▼ Relegated since last report

Recommendation workstreams

ASR	Assurance
ASA	Adult Sexual Assault Investigations
CI	Corporate Instruments
CPE	Compliance
CPT	Complaints
EEM	Ethics and Ethnic Minorities
EWS	Early Warning System
PMD	Performance Management and Discipline

Appendix - Commission of Inquiry recommendations for New Zealand Police

No.	COI recommendation wording	Current status
1	New Zealand Police should review and consolidate the numerous policies, instructions, and directives related to investigating complaints of misconduct against police officers, as well as those relating to the investigation of sexual assault allegations.	Complete
2	New Zealand Police should ensure that general instructions are automatically updated when a change is made to an existing policy.	Complete
3	New Zealand Police should develop a set of policy principles regarding what instructions need to be nationally consistent and where regional flexibility should be allowed.	Complete
4	An enhanced policy capability should be developed within the Office of the Commissioner to provide policy analysis on sound data, drawing upon the experience of front-line staff and upon research from New Zealand and beyond.	Complete
5	New Zealand Police should develop an explicit policy to notify the Commissioner of Police when there is a serious complaint made against a Police officer. This policy and its associated procedures should specify who is to notify the police commissioner and within what time frames.	Complete
6	New Zealand Police should ensure that members of the public are able to access with relative ease information on the complaints process and on their rights if they do make a complaint against a member of the police.	Complete
7	New Zealand Police should undertake periodic surveys to determine public awareness of the processes for making a complaint against a member of the police or a police associate.	Complete
8	New Zealand Police should develop its database recording the number of complaints against police officers to allow identification of the exact number of complaints and the exact number of complainants for any one officer	Complete
9	New Zealand Police should review the implementation of the Adult Sexual Assault Investigation Policy to ensure that the training and resources necessary for its effective implementation are available and seek dedicated funding from the Government and Parliament if necessary.	Imple-mented
10	New Zealand Police should incorporate the Adult Sexual Assault Investigation Policy in the "Sexual Offences" section of the New Zealand Police Manual of Best Practice for consistency and ease of reference.	Complete
11	New Zealand Police should strengthen its communication and training practices by developing a system for confirming officers have read and understood policies and instructions that affect how they carry out their duties and any changes thereto.	Actioned
12	New Zealand Police should strengthen its communication and training practices to ensure the technical competencies of officers are updated in line with the new policies and instructions.	Actioned
13	Bearing in mind the mobility of the workforce, New Zealand Police should conduct a review of what training should be mandatory at a national level and what should be left to the discretion of the districts.	Complete
14	New Zealand Police should ensure that the practice of providing investigating officers with a reminder of the standards for complaint investigation is applied consistently throughout the country.	Complete
15	New Zealand Police should improve the process of communicating with complainants about the investigation of their complaint, particularly if there is a decision not to prosecute. Complainants and their support people should be given realistic expectations at the start of an investigation about when key milestones are likely to be met; the opportunity to comment on the choice of investigator; regular updates on progress, and advance notice if the investigation is likely to be delayed for any reason; assistance in understanding the reasons for any decision not to prosecute.	Imple-mented
16	New Zealand Police should develop a consistent practice of identifying any independence issues at the outset of an investigation of a complaint involving a police officer or a police associate, to ensure there is a high degree of transparency and consistency.	Complete
17	New Zealand Police should expand the content of its ethics training programme to include identifying and managing conflicts of interest, particularly in respect of complaints involving police officers or police associates.	Actioned
18	New Zealand Police should ensure that training for the Adult Sexual Assault Investigation Policy is fully implemented across the country, so that the skills of officers involved in sexual assault investigations continue to increase and complainants receive a consistent level of	Imple-mented

No.	COI recommendation wording	Current status
	service.	
19	New Zealand Police should initiate cooperative action with the relevant Government agencies to seek more consistent Government funding for the support groups involved in assisting the investigation of sexual assault complaints by assisting and supporting complainants.	Implemented
20	In relation to investigations of sexual assault complaints against police officers or police associates, New Zealand Police should have in place systems that: - verify that actual police practices in investigating complaints comply with the relevant standards and procedures - ensure the consistency of practice across the country, for instance in the supervision of smaller and rural stations - identify the required remedial action where practice fails to comply with relevant standards - monitor police officers; knowledge and understanding of the relevant standards and procedures.	Implemented
33	Those provisions of the Police Regulations 1992 that establish the disciplinary tribunal system be revoked as soon as possible to enable a more efficient system to come in force.	Complete
34	New Zealand Police should implement a best practice State sector disciplinary system based on a code of conduct in keeping with principles of fairness and natural justice as part of the employment relationship.	Complete
35	The new disciplinary process should allow independent investigation of alleged misconduct where necessary or appropriate (in accordance with section 5A and 12 of the Police Act 1958) but should not include the use of a formal disciplinary tribunal.	Implemented
36	New Zealand Police should ensure that the human resource and professional standards functions are fully integrated in all aspects of their operations and systems.	Implemented
37	The Commissioner of Police should invite the State Services Commission to review the police approach to performance management and discipline to ensure their systems and processes are adequate, standardised, and managed to a standard that is consistent with best practice in the public sector	Implemented
38	A code of conduct for sworn police staff should be implemented as a matter of urgency. Subsequently, the existing code of conduct for non-sworn staff should be brought in line with the new code for sworn members.	Complete
39	New Zealand Police should amend its Sexual Harassment Policy to include a requirement that any mediated resolution of a complaint of sexual harassment be finalised in writing and signed by both parties.	Complete
40	New Zealand Police should develop standards, policies, and guidelines on appropriate sexual conduct towards, and the forming of sexual relationships with, members of the public. These should be incorporated into all codes of conduct and relevant policy and training materials. The standards, policies, and guidelines should be developed with the assistance of an external expert in professional ethics and should; <ul style="list-style-type: none"> • specify actions and types of behaviour of a sexual nature that are inappropriate or unprofessional; • prohibit members of police from entering any relationship of a sexual nature with a person over whom they are in a position of authority or where there is a power differential; • provide guidance to members and their supervisors about how to handle concerns about a possible or developing relationship that may be inappropriate; • emphasise the ethical dimensions of sexual conduct, including the need for police officers to avoid bringing the police into disrepute through their private activities. 	Implemented
41	Directions given by New Zealand Police management on what constitutes inappropriate use of police email and the Internet should not allow for any individual interpretation of appropriateness by police officers.	Complete
42	New Zealand Police should introduce a requirement that all staff sign a document to confirm that they have read and understood the acceptable use policies for the Internet and email. These requirements should be fully explained to all recruits during their training	Complete
43	All police officers should be required to acknowledge that they have read and understood any changes to police computer use policies. These requirements should also be fully explained to all recruits during their training.	Complete
44	New Zealand Police managers should receive regular reports on the use of the Internet by their staff. This reporting requirement should be built into the early warning system that the police are developing (see recommendations R47, R48).	Implemented
45	All New Zealand Police districts should implement a nationally consistent ethics training programme that all police officers are required to attend. Police officers should also be required	Actioned

No.	COI recommendation wording	Current status
	to attend regular refresher courses on ethics.	
46	New Zealand Police should ensure that the establishment of ethics committees is mandatory for all police districts. There should be a national set of guidelines to guide police districts on the purpose, operation, and membership of their ethics committees.	Actioned
47	New Zealand Police should implement a nationally mandated early warning system in order to identify staff demonstrating behaviour that does not meet acceptable standards and ensure such behaviour does not continue or escalate.	Implemented
48	The early warning system should ensure that all relevant information, sufficient to give a complete picture of an officer's full record of service, is captured in a single database, and is accessible to police managers and supervisors when making appointments and monitoring performance, as well as to complaint investigators when appropriate.	Implemented
49	New Zealand Police should review its approach to performance management, including the training provided to supervisors and managers, the performance appraisal process and documentation, and the methods in place to ensure that the follow-up identified in the performance improvement plans actually occurs.	Implemented
50	New Zealand Police should continue its efforts to increase the numbers of women and those from ethnic minority groups in the police force in order to promote a diverse organisational culture that reflects the community it serves and to enhance the effective and impartial investigation of complaints alleging sexual assault by members of the police or by associates of the police.	Implemented
51	The Commissioner of Police should invite the State Services Commissioner to carry out an independent annual health of the organisation audit of the police culture (in particular, whether the organisation provides a safe environment for female staff and staff from minority groups). The need for the audit should be reviewed after 10 years.	Complete
52	New Zealand Police should review its current policies, procedures, and practices on internal disclosure of wrongdoing, and actively promote a single stand-alone policy for all disclosures, including (but not limited to) those made under the Protected Disclosure Act 2000. The policy should ensure that proper inquiry is always made where information received indicates that a police member or associate may have committed a sexual offence.	Implemented
53	New Zealand Police should ensure that the policy and the approach of report and be protected are well understood and implemented nationally.	Actioned
54	New Zealand Police should ensure that all other relevant policies, procedures, and practices are consistent with the stand-alone policy on the reporting of serious wrongdoing and the approach of report and be protected.	Implemented
55	The New Zealand Police ethics training programme should aim to foster a culture which encourages reporting of allegations of wrongdoing by police members or police associates and provide support to those who make disclosures, consistent with the 'report and be protected' approach.	Actioned
56	New Zealand Police managers and supervisors should actively communicate to police members the expectation that they will report any allegations of sexual misconduct made against a colleague or a police associate. Police managers and supervisors should encourage and support members to report such allegations.	Actioned
57	Each police district should establish groups of community representatives, chaired by recognised community leaders, which meet regularly to provide comment and feedback on police service delivery and policing issues throughout the district. Relevant information obtained from the feedback from the community should be incorporated into the police early warning system (see Recommendations 47 & 48).	Implemented
58	New Zealand Police should rationalise the projects and initiatives currently in train (including those started in response to this Commission of Inquiry into Police Conduct, and the review of the Police Act 1958) and any further projects arising out of the Government's response to this report, to ensure that overlaps between projects are addressed, interdependencies are identified, priorities are assigned, and adequate resources are made available to do the work. New Zealand Police should address these issues in its annual statement of intent, and consult with the Minister of Police in respect of the priority to be given to projects.	Implemented
59	New Zealand Police should consult with and involve the State Services Commission and other public sector agencies, where appropriate, to ensure that the projects and initiatives of the type described in recommendation R58 take account of best practice in the public sector. The Government should take steps to remove any statutory impediment to such consultation and involvement.	Complete