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**NSW Police Force**

# MISCONDUCT PREVENTION PLANNING GUIDELINES

**Professional Standards Command**

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## **Summary**

The Commissioner of Police requires all NSW Police Force commands and business units to manage misconduct prevention planning in the annual business planning process. Commanders must develop management strategies for both corporately identified misconduct risks and any locally identified misconduct risks. All commands and business units must report quarterly in COMPASS on actions taken and planned to mitigate the risks.

Access the NSWPF [Misconduct Prevention Planning Policy Statement](#) via the Professional Standards Command Policy and Procedures intranet page.

# Document Control Sheet

## Document Properties

Title	Misconduct Prevention Planning Guidelines
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## Modification History

Version #	Version creation date	Author / Position	Summary of changes
1	July 2019	Professional Standards Command	
2	August 2020	Professional Standards Command	Update Appendix 1 and 2 templates
2.1	11 January 2021	Professional Standards Command	Update security classification
3	June 2022	Professional Standards Command	Update and review of Guidelines including: <ul style="list-style-type: none"><li>- Update organisation name to NSW Police Force</li><li>- Change staff and employees to members</li><li>- Delete references to Misconduct Prevention Unit for flexibility within PSC assignments</li></ul> Minor technical changes
4	January 2024	Professional Standards Command	Conversion to current corporate template Rewriting for clarity and updating links / references

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## 1. Purpose

The *Misconduct Prevention Planning Guidelines* provide practical assistance to commands undertaking misconduct prevention planning. These guidelines should be read in conjunction with the *Misconduct Prevention Planning Policy Statement*, the *Business Planning Policy Statement* and the *Business Planning Guidelines*.

The *Misconduct Prevention Planning Guidelines* outline:

1. requirements for identifying, managing, and documenting misconduct risks in the annual business planning process, and
2. quarterly reporting requirements in COMPASS.

### 1.1 Scope

These guidelines apply to commanders and members of the NSW Police Force involved in business planning. They also apply to members responsible for implementing treatment strategies.

Additional support for identifying and managing misconduct risks is available from the Professional Standards Command (PSC).

### 1.2 Roles & responsibilities

Commissioner's Executive Team	Approve periodic changes to the corporately identified misconduct risks.
Assistant Commissioner – Professional Standards Command	Document approval.
Assistant Commissioner	Oversight of commands and business units to ensure misconduct risks are being monitored and reported on in COMPASS.
Director – Misconduct and Management Support	Document owner.
Commanders	<ul style="list-style-type: none"> <li>• Identify local misconduct risks.</li> <li>• Determine strategies for mitigating corporate and local risks.</li> <li>• Report quarterly in COMPASS.</li> <li>• Ensure all members responsible for implementing treatment strategies are informed of their responsibilities, including COMPASS reporting.</li> </ul>
<b>PROFESSIONAL STANDARDS MANAGER / DUTY OFFICER / DISTRICT INSPECTOR</b>	Assist Commander as required.
All members	Must comply with these guidelines if involved in developing business plans, or if responsible for implementing treatment strategies, or if completing misconduct prevention COMPASS reporting.

## 2. Guideline

### 2.1 Context

The NSW Police Force is committed to reinforcing ethical behaviour and embedding misconduct prevention in our daily business. Managing misconduct prevention in the annual business planning process helps commands and business units identify and mitigate misconduct risks. Quarterly COMPASS reporting ensures strategies are monitored and reviewed. Together, these requirements provide a consistent approach ensuring strong governance and accountability while educating all staff on misconduct risks.

The Professional Standards Command has corporate ownership of misconduct prevention planning.

### 2.2 Do all Police Area Commands, Police Districts and business units need to conduct misconduct prevention planning?

Yes. Misconduct prevention planning is mandatory for all Police Area Commands, Police Districts, and business units. Strategies and actions taken to mitigate local and corporate misconduct risks, as well as planned actions, must be recorded in the business plan and reported on, monitored, and reviewed through quarterly COMPASS reporting.

### 2.3 Misconduct Prevention Planning Process

NSW Police Force annual business planning practices include consideration of misconduct prevention planning, under: *Capability - Misconduct Prevention/Ethical Behaviour*, in line with *Our Focus, Our Future*. The *Business Planning Guidelines* identify resources and templates available to assist commands. These are available on the [Business Planning](#) page of the intranet.

The effectiveness of mitigating actions taken and planned is an indicator in [COMPASS](#) under: *Our People - Misconduct Prevention/Ethical Behaviour*.

### 2.4 Identifying misconduct risks

Each year, the Commissioner's Executive Team endorses several corporate misconduct risks that must be reported on by all commands and business units. In addition, commands, and business units will identify local risks that are particularly relevant to them. The number and nature of locally determined risks are entirely discretionary to each command, and risks may be selected because they are common, serious, and / or emerging.

When identifying local risks, commands may wish to consider:

- Misconduct matters data and IAPro reports
- Complaint Management Team information holdings
- Broader information holdings, including PSC Trend Reports, failed prosecution meeting minutes, etc
- Anecdotal information and local observations

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- The Law Enforcement Conduct Commission (LECC) reports
- Briefings by PSMs and advice provided at the PSM Forum
- The Professional Standards Command, including the Misconduct Prevention Library and PSC News (both available on the PSC intranet page)

### 2.5 Documenting how misconduct prevention will be achieved

Resources on business planning are available on the [Business Planning](#) page of the intranet. The Professional Standards Command is available to provide assistance in the misconduct prevention process and houses a range of misconduct prevention resources in the [Misconduct Prevention Library](#).

### 2.6 Monitoring, reviewing, and reporting in COMPASS

All Police Area Commands, Police Districts and business units must report quarterly in COMPASS. Reporting must cover both actions taken in the preceding three months and those actions planned for the coming three months, in respect to all corporately identified misconduct risks and any locally identified misconduct risks.

Misconduct risks identified as a corporate priority are written into COMPASS by the Capability, Performance & Youth Command (**CP&YC**). An instructional overwrite template in COMPASS provides guidance. Other resources include:

- A 'Quick Reference Guide – Misconduct reporting in COMPASS' (see Appendix 3)
- The 'Business Rules and Reference Information' tab in COMPASS (provides links to supporting documents).

### 2.7 Communicate

Commanders should ensure all members responsible for the implementation of treatment strategies are well informed of their responsibilities. This includes understanding implementation timeframes and monitoring and reporting obligations. Misconduct risks must be effectively communicated to members, enabling them to identify risks, prevent the misconduct where possible, and report it when it does occur.

### 2.8 Assistance

Further assistance is available from the Misconduct Prevention Unit, Professional Standards Command. Resources for addressing risks are available on the [Misconduct Prevention Library](#) on the PSC intranet page.

Other commands / business units may be able to provide specialist assistance for specific risks. For example, for procurement risks you may consider contacting Finance and Business Services (**FABS**).

## 3. Endnote References

Nil.

Appendix 1 – sample Business Plan – Misconduct Prevention/Ethical Behaviour

<b>CAPABILITY</b> DEVELOP CAPABLE AND RESILIENT PEOPLE to maximise performance	Safe Workplaces, Safe People, Safe Operations	<b>SAFE WORKPLACES, SAFE PEOPLE, SAFE OPERATIONS [MANDATORY FOR ALL COMMANDS]</b> <ul style="list-style-type: none"> <li>Enter strategies / initiatives here. Ensure strategies / initiatives are SMART and responsibility is assigned [Responsibility]</li> <li>Enter strategies / initiatives here. Ensure strategies / initiatives are SMART and responsibility is assigned [Responsibility]</li> </ul>
	Right People, Right Place, Right Time	<b>RIGHT PEOPLE, RIGHT PLACE, RIGHT TIME [MANDATORY FOR ALL COMMANDS]</b> <ul style="list-style-type: none"> <li>Enter strategies / initiatives here. Ensure strategies / initiatives are SMART and responsibility is assigned [Responsibility]</li> <li>Enter strategies / initiatives here. Ensure strategies / initiatives are SMART and responsibility is assigned [Responsibility]</li> </ul>
	Staff Education, Training & Development	<b>EDUCATION &amp; TRAINING / STAFF DEVELOPMENT [MANDATORY FOR ALL COMMANDS]</b> <ul style="list-style-type: none"> <li>Enter strategies / initiatives here. Ensure strategies / initiatives are SMART and responsibility is assigned [Responsibility]</li> <li>Enter strategies / initiatives here. Ensure strategies / initiatives are SMART and responsibility is assigned [Responsibility]</li> </ul>
	Misconduct Prevention / Ethical Behaviour	<b>MISCONDUCT PREVENTION / ETHICAL BEHAVIOUR [MANDATORY FOR ALL COMMANDS]</b>  <b>CORPORATE MISCONDUCT RISKS</b>  <b>Respectful Workplace Behaviours</b> <ul style="list-style-type: none"> <li>Enter strategies / initiatives here. Ensure strategies / initiatives are SMART and responsibility is assigned [Responsibility]</li> <li>Enter strategies / initiatives here. Ensure strategies / initiatives are SMART and responsibility is assigned [Responsibility]</li> </ul> <b>Inadequate / Deficient Investigations</b> <ul style="list-style-type: none"> <li>Enter strategies / initiatives here. Ensure strategies / initiatives are SMART and responsibility is assigned [Responsibility]</li> <li>Enter strategies / initiatives here. Ensure strategies / initiatives are SMART and responsibility is assigned [Responsibility]</li> </ul> <b>Misuse / Abuse of Police Powers</b> <ul style="list-style-type: none"> <li>Enter strategies / initiatives here. Ensure strategies / initiatives are SMART and responsibility is assigned [Responsibility]</li> <li>Enter strategies / initiatives here. Ensure strategies / initiatives are SMART and responsibility is assigned [Responsibility]</li> </ul> <b>LOCAL MISCONDUCT RISKS</b> <ul style="list-style-type: none"> <li>Enter strategies / initiatives here. Ensure strategies / initiatives are SMART and responsibility is assigned [Responsibility]</li> <li>Enter strategies / initiatives here. Ensure strategies / initiatives are SMART and responsibility is assigned [Responsibility]</li> </ul>



Appendix 2 – sample COMPASS - Misconduct Prevention/Ethical Behaviour

Comments (Risk Assessment)	Actions (Risk Treatment)
<p><b>1. CORPORATE MISCONDUCT RISKS:</b></p> <ul style="list-style-type: none"> <li><b>RESPECTFUL WORKPLACE BEHAVIOURS (e.g. Sexual Harassment / Discrimination / Bullying):</b> Overwrite these words with a brief description of any local issue(s) <b>without naming any involved officers</b> AND the specific action the command has taken to prevent / mitigate this misconduct risk in the last three months (e.g. NIL workplace behaviour issues reported / identified this quarter. Importance of safe, harassment free workplace raised at command meeting on DATE; training and SMITs on Respectful Workplace Behaviours Guidelines provided on DATE; Induction of new staff included expectations on respectful workplace behaviours; etc.).</li> <li><b>INADEQUATE / DEFICIENT INVESTIGATIONS:</b> Overwrite these words with a brief description of any local issue(s) <b>without naming any involved officers</b> AND the specific action the command has taken to prevent / mitigate this misconduct risk in the last three months. (e.g. XXX issues reported / identified this quarter. E-mail sent to all staff...)</li> <li><b>MISUSE / ABUSE OF POLICE POWERS:</b> Overwrite these words with a brief description of any local issue(s) <b>without naming any involved officers</b> AND the specific action the command has taken to prevent / mitigate this misconduct risk in the last three months (e.g. XXX issues reported / identified this quarter. E-mail sent to all staff on DATE reinforcing the requirements for searches; etc.).</li> </ul> <p><b>2. LOCAL COMMAND MISCONDUCT PREVENTION ACTIVITIES:</b></p> <ul style="list-style-type: none"> <li>Overwrite these words with a brief description of the action taken to prevent misconduct within the command THIS quarter (e.g. awareness of XXX issue raised in staff meeting on DATE; Managers reinforced XXX policy / procedure to staff; Dip sample testing / audits conducted on DATE; etc.).</li> <li>Overwrite these words with a brief description of the action taken to prevent misconduct within the command THIS quarter (e.g. awareness of XXX issue raised in staff meeting on DATE; Managers reinforced XXX policy / procedure to staff; Dip sample testing / audits conducted on DATE; etc.).</li> </ul>	<p><b>1. CORPORATE MISCONDUCT RISKS:</b></p> <ul style="list-style-type: none"> <li><b>RESPECTFUL WORKPLACE BEHAVIOURS (e.g. Sexual Harassment / Discrimination / Bullying):</b> Overwrite these words with a brief description of actions planned in the next quarter including <b>timeframe</b> and responsibility</li> <li><b>INADEQUATE / DEFICIENT INVESTIGATIONS:</b> Overwrite these words with a brief description of actions planned in the next quarter including <b>timeframe</b> and responsibility</li> <li><b>MISUSE / ABUSE OF POLICE POWERS:</b> Overwrite these words with a brief description of actions planned in the next quarter including <b>timeframe</b> and responsibility</li> </ul> <p><b>2. LOCAL COMMAND PREVENTION ACTIVITIES:</b></p> <ul style="list-style-type: none"> <li>Overwrite these words with a brief description of actions planned in the NEXT quarter to prevent misconduct including <b>timeframe</b> and responsibility.</li> <li>Overwrite these words with a brief description of actions planned in the NEXT quarter to prevent misconduct including <b>timeframe</b> and responsibility.</li> </ul>
<p>Path: p » strong</p>	<p>Path: p » strong</p>

Appendix 3 – Quick reference guide – Misconduct reporting in COMPASS

# Misconduct prevention reporting in COMPASS



Quick Reference Guide

## Reporting Requirements

All commands (including non-PACs / PDs) are required to report quarterly via the COMPASS system on actions taken and planned to prevent / mitigate misconduct risks.

To enter comments and actions into COMPASS, write/publish access is needed. A guide to managing access is available: [Manage Access Quick Reference Guide](#)

## Enter Comments and Actions

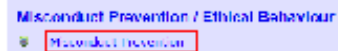
1. Navigate to your command.



2. Click on the 'Our People' icon.



3. Click on 'Misconduct Prevention' (under Misconduct Prevention / Ethical Behaviour heading).



4. Click on the paper and pencil icon (located on the top left of the screen)



5. Two text boxes will appear: a 'Comments' (Risk Assessment) box, and an 'Actions' (Risk Treatment) box.

Inside each text box is a specific template which guides responses. Enter your comments and actions.

**Note:** Do not name any involved officers.

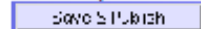
The toggle tool allows you to expand the text box into full screen and back again.



6. Once comments and actions have been added, click **Save as Draft**

**Note:** Save as Draft – Comments and Actions are only visible to officers with write / publish access for that command.

It is recommended that comments and actions are saved as draft to allow the Commander to review the content. Once satisfied, the Commander will click



## View Comments and Actions

1. Click on the paper, pencil and calendar icon (located on the top right of the screen) to view a history of

published comments and actions for the command.



2. Click on the next icon on the right to view comments and actions by subordinate units.



## View Business Plan Strategies

1. To view strategies related to misconduct prevention in the command Business Plan, click on the 'Command Strategy' icon (located on the top right of the screen)



2. Referring to strategies on the command business plan may assist with quarterly reporting.



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