



Home Office Circular

HOC 43 /2001

THIS CIRCULAR IS ABOUT: GUIDANCE TO POLICE AUTHORITIES ON FINANCIAL ASSISTANCE TO POLICE OFFICERS IN LEGAL PROCEEDINGS

FROM: POLICE RESOURCES UNIT

EXPIRY DATE: N/A

DATE FOR IMPLEMENTATION:

THIS CANCELS HOC: 4/1998

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THIS CIRCULAR IS ADDRESSED TO:

CHIEF OFFICERS OF POLICE FOR ENGLAND AND WALES

COPIES ARE BEING SENT TO:

CLERKS TO POLICE AUTHORITIES

Dear Chief Officer

This circular publicises the Home secretary's approval of guidance to police authorities on financial assistance to officers in legal proceedings in the light of the Divisional Court judgement of 31 March 1999 (R v South Yorkshire Police Authority). This circular replaces HO circular 4/1998 which is now cancelled.

Introduction

1. It is important that police officers should be able to carry out their duties in the confidence that their police authority will support them by providing financial assistance in legal proceedings taken against them and progressed by them, if they act in good faith and exercise their judgement reasonably. The following guidance, which has been prepared in consultation with ACPO, CPOSA, the Superintendents Association, the

Police Federation and the Association of Police Authorities, should be read against this principle.

Legal proceedings

2. Under section 88 (1) of the Police Act 1996 which re-enacts section 48 (1) of the Police Act 1964, chief officers are liable for torts committed by officers under their direction and control. Section 88 (2) provides that any damages or costs awarded against the chief officer and any costs they incur themselves (which are not recovered) should be met from police authority funds.
3. Alternatively, a court may award damages against individual police officers. Section 88 (4) of the Police Act 1996 empowers a police authority "to such an extent as appears to it to be appropriate" to pay any damages or costs awarded against officers (this includes both officers of other forces serving in the police area under mutual aid arrangements and special constables), any costs incurred by the officers themselves and any sum paid in connection with the settlement of a claim. It is for police authorities to decide whether and when to make assistance available, and the extent of such assistance, taking account of the circumstances of a particular case.
4. Police authorities are reminded that the discretionary powers in section 88 of the Act, enabling them to provide financial assistance to officers involved in legal proceedings, cover only claims in tort* Sections 88 (4) and 88 (5) may also apply to police officers who were members at the time of the action which gave rise to the claim but who are no longer members.
5. Home Office Circular 4/1998 made a distinction between civil, criminal and other types of legal proceedings. In March 1999 a Divisional Court judgement confirmed that Police Authorities do have the power to meet the defence costs of police officers in private prosecutions, judicial review proceedings and any other type of legal proceedings. This includes, for example, financial assistance to police officers in defending criminal prosecutions initiated by the Crown Prosecution Service.

In reaching this decision, the court considered s. 6 (1) of the Police Act 1996 and s.111 (1) of the Local Government Act 1972. S. 6 (1) of the Police Act 1996 provides that "every Police Authority established under section 3 shall secure the maintenance of an efficient and effective police force for its area". S.111 (1) of the Local Government Act 1972 provides that "without prejudice to any powers exercisable apart from this section but subject to the following provisions of this Act, a local authority shall have power to do anything (whether or not involving expenditure, borrowing or lending of money or the acquisition or disposal of any property or rights) which is calculated to facilitate, or is conducive to or incidental to, the discharge of their functions". S.111(1) enables Police Authorities to finance both criminal and judicial review proceedings and any other type of legal proceedings. Officers may be asked to complete a questionnaire served by a member of the public with a view to progressing proceedings under the Race Relations Act 1976 as amended or the Sex Discrimination Act 1975 or the Disability

6. Discrimination Act 1995 arising from the provisions of services. It is for Police Authorities to decide whether assistance with legal advice might be provided in these circumstances, taking legal advice on their power to do so as necessary. Ultimately it is

* Applies to, amongst others, claims against individual police officers under the Human Rights Act 1998.

for the courts to decide whether s111 of the Local Government Act 1972 would extend police authority discretion to fund pre-litigation defence.

7. Section 111 (1) of the Local Government Act 1972 applies to all police authorities (except the City of London police) by virtue of Section 146A of the 1972 Act (as inserted by Schedule 14 to the Local Government Act 1985 and amended by Schedule 4 of the Police and Magistrates' Courts Act 1994). It applies to the Metropolitan Police Authority by virtue of section 28 of schedule 27 to the Greater London Authority Act 1999. As regards the City of London Police, the Common Council of the City is the police authority and Section 111(1) of the Act of 1972 applies to the Common Council directly, i.e. without application by any subsequent enactment.
8. It is for individual police authorities to decide in the particular circumstances of a case, and on the basis of legal advice if necessary, whether, when and to what extent, to make financial assistance available to officers in criminal proceedings.

It is for police authorities (bearing in mind the recommendations of chief officers) to decide whether to make financial assistance available to officers (either former or serving) involved in Public Inquiries and Tribunals. Police authorities will therefore need to consider whether section 111 (1) of the Local Government Act 1972 provides sufficient scope to enable financial assistance to be given in any particular case. In this respect tribunals may include certain Employment Tribunals where it is clear that officers have acted in good faith in pursuance of their duties and the interest of the

9. There are specific provisions in the Race Relations Act 1976 and the Sex Discrimination Act 1975 for compensation, costs and expenses awarded against the chief officer of police and any sum required for settlement, if approved by the police authority, to be paid from the police fund.
10. There is no express statutory authority for providing financial assistance to an officer wishing to initiate court proceedings. The considerations set out in paragraphs 6 to 8 above apply to such cases.

Conclusion

11. In summary, police officers must be confident that Police Authorities will provide financial support for officers in legal proceedings where they have acted in good faith and have exercised their judgement reasonably. Police Authorities will need to decide each case on its own merits, but subject to that there should be a strong presumption in favour of payment where these criteria are met.

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