Improving Performance

A Practical Guide to Police Performance Management













Hallmarks of an effective performance management framework

Hallmark 1: Everyone in the force understands and acts upon the basic principles of performance management as relevant for their role

People & Relationships

Hallmark 2: Active, visible leadership and ownership of performance management helps to foster a culture of continuous improvement

Hallmark 3: Officers and staff at all levels, the police authority and key partners understand their roles, responsibilities and relationships within the force's performance management framework

Hallmark 4: Priorities are clearly communicated, understood, and acted upon by all officers and staff

Hallmark 5: Learning and development equips officers and staff to improve performance

Structures & Processes

Hallmark 6: A clear, integrated planning framework links force, police authority and wider stakeholder priorities with the NIM, corporate planning, budgeting, risk and resource management

Hallmark 7: The force pursues improvements in the efficiency and effectiveness of business processes that support delivery against priorities

Hallmark 8: Performance review structures serve all operational and support departments, linking with police authority and partners, and integrating with the NIM

Hallmark 9: Regular review of performance holds people to account against objectives, recognises good performance, and drives problem-solving and relentless follow-up

Hallmark 10: Good practice and lessons learned are quickly identified, shared and acted upon

Data & Analysis

Hallmark 11: Timely, accurate and relevant performance data is easily captured and shared, meeting legal requirements and user needs

Hallmark 12: Insightful analysis, that is clearly communicated, supports intelligence-led decision making that directs day-to-day activity

Foreword



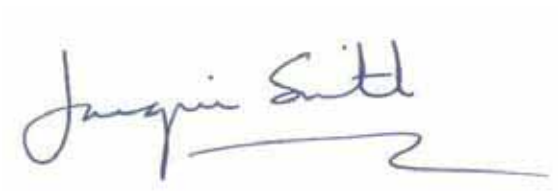
"Performance management is central to policing. It is about constantly striving to improve quality of service, reduce crime and anti-social behaviour, and bring offenders to justice - in short, deliver safer and stronger communities, and do so in a way that provides the very best value for money to the public.

"The common factor across all successful organisations is a structured approach to managing performance. This applies equally to the police service. In policing, performance management is not simply about pursuing numbers or targets. It is about taking a considered yet energetic approach to improving the way things are done: planning in an insightful way, implementing with vigour, and constantly reviewing progress against objectives to learn for the future.

"Over the last few years, there has been significant progress in embedding performance management excellence within the police service. Forces and authorities have learnt from experiences both within policing and from elsewhere, and have developed their performance management regimes accordingly. The work of the service has also been informed and supported by wider influences such as iQuanta, national performance assessments, and HMIC's inspection framework. Looking forward, the government's new crime strategy and PSAs launched in 2007 also place a renewed emphasis on supporting effective performance management in policing and across the community safety sector.

"Drawing on expert input to update and strengthen material first published in 2004, this guidance provides insight for forces looking to develop still further the way in which they manage performance – across all force functions, at all organisational levels, and when working with key partners. Historically, many forces focused their performance management regimes on areas such as volume crime reduction and bringing offenders to justice, but the principles outlined in this guidance apply equally to all aspects of policing – from protective services or neighbourhood policing to call handling and efficiency. Whether you are a chief officer, or front line team leader, working in an operational capacity or support role, this guide can help you get the best out of your team, and help you meet the challenges you face every day.

"I hope this guidance will be of real use to you in your continuing efforts to bring about lasting improvements in the service that you provide to your communities."



Jacqui Smith
Home Secretary
February 2008

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Companion documents that accompany this guidance



Improving Performance
A Practical Guide to Police Performance Management

Case Studies Document



Improving Performance
A Practical Guide to Police Performance Management

Guidance for the Executive



Improving Performance
A Practical Guide to Police Performance Management

Guidance for Managers



Improving Performance
A Practical Guide to Police Performance Management

Guidance for Team Leaders

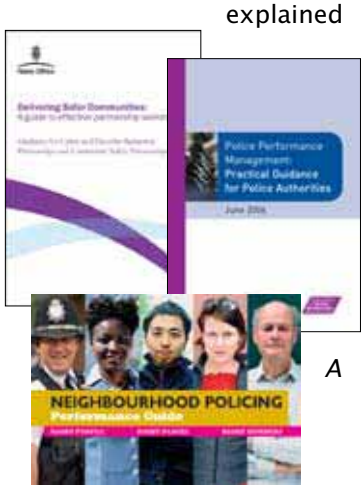
ABOUT THIS GUIDANCE

This guide aims to support improved understanding and practice of performance management in policing. The material here has been drawn together from the experiences of forces and policing stakeholders over recent years and we hope it provides a useful resource. Guidance set out here is intended as food for thought, and is not intended to be 'mandatory' or required practice.

The material within this document is primarily for use by those who have an interest in understanding and improving the way performance is managed at force, BCU, department or individual team level. However, the content is deliberately as wide ranging as possible, so that it could be adapted if necessary to help a wider audience appreciate the role and practice of performance management in policing. Short summary versions of the guidance are also available for specific audiences, and these focus on the key activities for each group:

- **'Force Executive'** – those directly involved in determining the overall strategic direction of the force
- **'Managers'** – essentially other strategic leaders: BCU Commanders, heads of department and potentially members of their senior management teams
- **'Team Leaders'** – focused at those who directly control and supervise a single team

These documents and this guide are focused around the three 'enablers' and twelve 'Hallmarks' of effective performance management (which are explained in Chapter 1).



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Separate specific guidance on performance management is also available for:

- **Police Authorities** – *"Police Performance Management: Practical Guidance for Police Authorities"*, published June 2006
- **Crime & Disorder Reduction Partnerships / Community Safety Partnerships** – *"Delivering Safer Communities: Guide to effective partnership working"*, September 2007
- **Neighbourhood Policing** – *"Neighbourhood Policing, Performance Guide"* and the more detailed *"The Neighbourhood Policing Programme Performance Evaluation Report"*, August 2007

This guidance is also accompanied by **case studies** that illustrate how forces have implemented the principles of effective performance management, and show the application of performance management in a variety of policing situations. To leave open the opportunity to add to this collection of case studies in the future, these have been provided separately. However, each section includes a reference to relevant case studies, and you may find that it is helpful to refer to them to see a practical application of the principles and tips outlined in this document.

Throughout this guide, you will find a number of symbols to help you find your way through the material:

Hallmarks: are introduced in yellow boxes



TIPS: highlight lessons learned or useful tips that may offer solutions to common problems



NIM and the Performance Management Framework: discuss considerations for ensuring that performance management activity and the National Intelligence Model work together in a single system



KEY LINKS: highlight links between police performance management and the work of the police authority and local partners



CASE STUDIES: highlight some of the case studies accompanying this guidance that demonstrate application of a particular Hallmark or activity. Each case study may illustrate one or more Hallmarks: see the separate case studies document for full details on which case studies support which parts of this guidance.

Acknowledgements

This guidance has been produced by the Home Office Police & Crime Standards Directorate and the Association of Chief Police Officers (ACPO) with the help of PA Consulting Group. A stakeholder group oversaw the production of the guidance and facilitated contributions to the content, and included representatives from Her Majesty's Inspectorate of Constabulary, the Association of Police Authorities, the Superintendents' Association, the Audit Commission and the National Policing Improvement Agency as well as the Home Office and ACPO. The Police Federation were also consulted.

This guidance builds on material first published in 2004,[1] and has drawn on contributions from practitioners in forces and other organisations through fieldwork, seminars, case studies and through critical review.

The Home Office and ACPO are very grateful for the helpful contributions and suggestions provided by the numerous people who have helped shape the final product.

PA Consulting Group

1 "Managing Police Performance: A Practical Guide to Performance Management", September 2004

1. THE FUNDAMENTALS of effective police performance management

Hallmark 1: Everyone in the force understands and acts upon the basic principles of performance management as relevant for their role

IN THIS SECTION:

- Answers to five key questions about police performance management:
  - What is performance management?
  - Why is it so important?
  - When is it relevant?
  - Who is responsible for police performance management?
  - How can first class performance management be achieved?
- A summary of the key characteristics – Hallmarks – of effective practice in police performance management
- A guide to performance management terminology and definitions

Those with more experience in this area may already be familiar with much of the material within this chapter. However, it remains essential reading as it provides material that can be used to ensure that your staff are equally well aware of these principles.

1.1 What is performance management?

What is performance?

Performance is a word often used but not always understood. 'Performance', in simplest terms, means **how well something is done**. The main reason why the term performance is sometimes misunderstood, is because 'how well' can be interpreted in a number of ways.

A common - but generally incorrect - assumption is that good performance just means 'good numbers'. In terms of police performance, this might mean more offenders brought to justice, fewer victims of crime, and so on. However, good performance as defined by the recipients of a policing service is only truly achieved by a combination of doing the right things ('priorities'), doing them well ('quality') and doing the right amount ('quantity'). 'Numbers' provide insight into all of these things, but they are only a tool to help understand how well things are being done.

A proper understanding of what 'performance' really means is therefore very important for police officers and staff at all levels in a force to ensure that the right actions are taken to improve that performance.

An analogy: understanding performance

The 'performance' of sports people is often discussed by fans, commentators, and newspapers. Sometimes statistics are used to describe performance (e.g. number of points scored), sometimes examples are discussed (e.g. replays in the post-game analysis), sometimes ratings are created (e.g. marks out of ten in a newspaper).

So how did a sports person in a given game perform? If you watched the game, you might form your own view; if you didn't watch the game, you can only form a view based on the information provided by the views of others and the statistics. If you just looked at the statistics, you might conclude that because a player scored a lot of points, they performed well; but a commentator might show that this result was a fluke and overall the player was below par in that match. Either way, different people will come to different conclusions as to 'how well' the sports person played, depending on the information they rely on and what they expected from the game. The same issues apply to understanding 'performance' in any context.

What is performance management?

Performance management is the practice of:

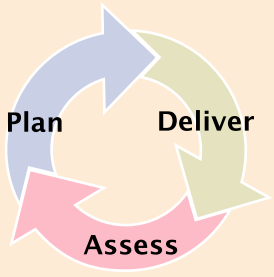


- **Reviewing** current performance and the factors that might affect future performance; and
- **Taking decisions** in response to that information; so that
- Appropriate **actions** are taken in order to make future performance better than it might otherwise be.

Performance management **is about** having the energy to make things better, taking timely action to address problems and making best use of resources to address agreed priorities. Performance management **is not about** 'chasing targets', nor is it simply about reviewing performance and holding people to account.



TIP: Aides mémoire for performance management



There is no single way to go about managing performance. However, it is helpful to see performance management as a cyclical process, which involves at the most basic level: reviewing information from the previous cycle of activity to decide what the **plan** for the future will be; taking action to **deliver** the plan; and then **assess**ing how successful delivery has been in order to inform the plan for the future.

There are many 'models' that serve as aides mémoire for the process of managing performance and your force may use one or more of these depending on the circumstance. The most common model used by the police service is the problem solving 'SARA' model: **Scan Analyse Respond Assess**. *Scan/Analyse* emphasise understanding what your problems are and why they are happening;

Respond emphasises taking action that is informed by analysis of the problem; and *Assess* emphasises understanding whether the action was effective and what can be learned for next time.

All of these models are common in their description of performance management though: think about what you need to do and how to do it, take action, and then check whether you have achieved what you set out to do (and if not, understand why for next time). Constantly referring to the simple principles of a model like SARA again and again can be a good way of reinforcing the principles of problem solving and performance management throughout the force.

1.2 Why is performance management important?



Performance management is just good management
It goes to the heart of how resources are used to deliver results.

Performance management is important because it goes to the heart of good management and supervision. Where resources (e.g. people, money, equipment) are limited and 'things to do' are not, choices must be made about what will be done. Following performance management principles will help get the most from available resources.

Performance management is also about understanding the business to make it work better – to get the most out of the resources that you do have.

Following performance management principles also helps managers and team leaders at all levels:

- Understand and communicate force, department and team priorities
- Identify areas where priorities are not being achieved – and take steps to address the shortfall
- Learn from both success and failure through honest assessment which ensures that the same mistakes are not made again and success is incorporated in normal ways of working
- Work with partners in other agencies in a structured way, regardless of the differences between organisations

1.3 When is performance management relevant?



Following performance management principles is always relevant – from everyday situations to extraordinary ones. But the frequency with which performance is reviewed and new plans put in place should be **appropriate to the activity in question and the level of the organisation** – from the formal processes at the strategic level, through to the ongoing, day-to-day activity of teams and individuals.

The nature and frequency of specific performance management activity will vary, for example:

- At a **strategic level,** formal processes will drive performance management, from the force planning process to establish priorities for action and the way they will be addressed, to review processes to ensure that plans are being delivered and capture learning. At the highest levels, the formal cycle of performance management from planning to assessment may operate over a year or more
- Delivery of the high level plans may be managed on a more frequent basis – with **force, BCU and department** performance regularly reviewed and actions adjusted on a quarterly, monthly or more frequent basis
- **Team performance** is more likely to be managed on a daily or weekly basis, with regular monitoring of results and active management of resource deployment, briefings to highlight current priorities, and problem solving on an ongoing basis
- **Personal performance** should be continuously monitored by the individual, keeping themselves aware of what is required from them, responding to emerging problems as they arise and alerting managers to performance issues requiring assistance or a wider response

In all of these situations though, the basic cycle of 'plan-deliver-assess' underpins successful management of performance. You may think this is just common sense, and to a large extent it is. Many police officers and staff instinctively follow the principles of good performance management without realising they are doing so – both in their day-to-day activity and through the wider processes they create and work within. But some people do not naturally tackle problems by stopping to think about the best solution and taking the time to reflect on whether they took the right course of action. There is often benefit to bringing further rigour to the processes people work within, as well as opportunities to learn from good practice elsewhere, and that is what this guidance aims to support.

1.4 Who is responsible for police performance management?



Responsibility for effective performance management lies with **all** working in policing. For performance to be managed effectively, it requires everyone to understand their role and potential contribution – from the **force executive** and **police authority, BCU commanders** and **heads of department,** right through to **team leaders, front line officers and support staff**, whether performance management 'specialists' or not.

Performance management is not just the preserve of 'specialists' such as performance analysts, nor is it just the concern of the force executive or senior managers. It should form a golden thread that connects the strategic objectives set out by the police authority and chief officers on behalf of the public, to the work of support departments and BCUs, to the actions of teams and individuals. It relates directly to what any member of staff is required to do in the ordinary course of their role.

Effective performance management in policing does not just rest with those in forces, either. It lies with all who contribute to policing – including national bodies such as the Home Office, the Ministry of Justice, the National Policing Improvement Agency (NPIA), Her Majesty's Inspectorate of Constabulary (HMIC), and others locally with a wider interest in policing

such as Criminal Justice agencies, Local Authorities, and other members of local Crime and Disorder Reduction Partnerships (CDRPs) or Community Safety Partnerships (CSPs).[2]

This document provides guidance on how to deal with this complexity, whether related to planning, delivery or to review. The role of the police authority in police performance management is discussed further in Section 2.2.3.

1.5 How can excellence in police performance management be achieved?

Organisational performance is complex both to understand and to manage. So performance management at the organisational level must be broken down into smaller tasks, processes and actions. It is dependent on:

- **Performance measurement** – the collection and analysis of data and information about performance to inform performance monitoring
- **Performance monitoring** – examining the output of performance measurement to make judgements about the level of performance being delivered, why it is that level, and what actions might improve it. **Performance management** builds on the output of performance measurement and monitoring: actions are taken in response to the description of performance provided by those activities.

Organisational performance management is difficult because performance measurement is an imprecise tool. The relationship between the decisions that are taken to improve performance and the feedback received through performance measurement is rarely clear – which means that decision-makers need all the help they can get to make sure they are making the right choices.

A **performance management framework** is a structured way of putting in place the building blocks that together **enable** effective management of performance from top to bottom of the organisation, across both operational and support departments.

This guidance describes the building blocks of an effective force performance management framework. They fall under three broad 'enablers':



- People & Relationships
- Structures & Processes
- Data & Analysis

2 See "Delivering Safer Communities: A guide to effective partnership working – Guidance for Crime and Disorder Reduction Partnerships and Community Safety Partnerships", 2007, for guidance on performance management for CDRPs/CSPs

3 See also "Police Performance Management: Practical Guidance for Police Authorities", APA / Home Office, 2006

PEOPLE & RELATIONSHIPS

Performance management is about people – people who understand the business and are prepared to innovate to improve it; analysts influencing the decisions of leaders who in turn set out clear objectives for those they lead to ensure high productivity; and staff with the skills and knowledge to deliver what they are asked to do. These factors are a critical enabling factor in ensuring that your performance management framework is effective.

STRUCTURES & PROCESSES

Effective performance management depends on clarity over priorities, joined-up systems for monitoring progress against objectives, and mechanisms to ensure that poor performance is addressed and good performance is captured and embedded. Improving wider policing processes is also one of the most likely sources for overall performance improvement.

DATA & ANALYSIS

Successful performance management is dependent both on access to the right data and information at the right time, and analysis of that information to ensure that decisions are made on the basis of a proper interpretation of the information.

Ensuring effective practice in each of these three key areas is central to successful performance management. This guide identifies a number of key characteristics – or 'Hallmarks' – of effective practice in police performance management matched against each enabler. These Hallmarks are not 'mandatory' requirements for effective police performance management, but they are designed to be a useful tool for asking questions about your performance management framework. Together they summarise the key aspects of police performance management that are explored in this guide.

Hallmarks of an effective performance management framework

Hallmark 1: Everyone in the force understands and acts upon the basic principles of performance management as relevant for their role

People & Relationships

Hallmark 2: Active, visible leadership and ownership of performance management helps to foster a culture of continuous improvement

Hallmark 3: Officers and staff at all levels, the police authority and key partners understand their roles, responsibilities and relationships within the force's performance management framework

Hallmark 4: Priorities are clearly communicated, understood, and acted upon by all officers and staff

Hallmark 5: Learning and development equips officers and staff to improve performance

Structures & Processes

Hallmark 6: A clear, integrated planning framework links force, police authority and wider stakeholder priorities with the NIM, corporate planning, budgeting, risk and resource management

Hallmark 7: The force pursues improvements in the efficiency and effectiveness of business processes that support delivery against priorities

Hallmark 8: Performance review structures serve all operational and support departments, linking with police authority and partners, and integrating with the NIM

Hallmark 9: Regular review of performance holds people to account against objectives, recognises good performance, and drives problem-solving and relentless follow-up

Hallmark 10: Good practice and lessons learned are quickly identified, shared and acted upon

Data & Analysis

Hallmark 11: Timely, accurate and relevant performance data is easily captured and shared, meeting legal requirements and user needs

Hallmark 12: Insightful analysis, that is clearly communicated, supports intelligence-led decision making that directs day-to-day activity

Some of the terminology referred to in the Hallmarks is explained on the next two pages, and explored throughout the rest of this document.



TIP: Performance management terminology

To help provide structure around performance management, a number of particular terms are used. People tend to use some of these words interchangeably, and this can lead to confusion – priorities, objectives, indicators and targets are not the same things!

Performance: how well things are done; not to be confused with the measurement of how well things are done.

Performance Management: the practice of reviewing current performance and the factors that might affect future performance, and taking decisions in response to that information, so that appropriate actions are taken in order to make future performance better than it might otherwise be.

Inputs and outputs: in performance management it is important to distinguish between action and achievement. Actions or activities controlled by the organisation can be described as inputs, or the resources put in such as labour or equipment - e.g. the number of officers available to go on patrol, and outputs: something that is 'produced' in order to achieve an outcome - e.g. the number of patrols in areas where under-16 robberies are common. Although outputs can be a useful measure of what is being done, they do not typically show whether this is achieving the objective. (See Section 4.1.1)

Outcomes: are related to the objectives (see definition below). This is what will happen if objectives have been achieved, the real-world consequences of the outputs – e.g. less age-related crime. Outcomes can include things like reduced fear of crime or increased public satisfaction, but many outcomes, of which these are examples, are strongly influenced by other factors outside the direct control of the police. In these cases assessments of performance may need to include a consideration of the related outputs as well as these factors. (See Section 4.1.1)

Priority: an area of focus for a force, department or team: an aspect of business, sometimes referred to as a theme - e.g. 'youth victimisation'. Priorities are the issues that are considered the most important to pursue, often through the commitment of resources. A common problem is 'we have too many priorities – everything is a priority!' Part of the performance management process at any level in a force is to balance the priorities that come in from multiple directions, to ensure that chosen priorities can be addressed with available resources. (See Section 3.1.3)

Objective: a specific aim that addresses a priority and states what is to be achieved/how it is to be achieved - e.g. 'reduce the number of robberies where an under-16-year-old is the victim'. More than one objective may be associated with a priority. Objectives should usually be SMART: **s**pecific, **m**easurable, **a**ctionable, **r**ealistic and **t**ime-bound. (See Section 3.1.3)

Performance indicator: a measurement of an outcome, output or input that gives evidence for ('indicates') how well an objective is being achieved (although this may be indirect or incomplete evidence) - e.g. 'number of robberies recorded by the police where the victim is under 16'. Section 4.2 sets out what performance indicators can and cannot tell us and the distinction between apparent performance and actual performance. Performance indicators are also referred to as measures or metrics, although always using the term 'indicator' helps emphasise that they should not be taken on face value.

Target: a performance indicator showing progress towards an objective can have an associated target. In other words the target suggests how the indicator would be expected to change if the objective had been achieved – the 'desired level' of the indicator - e.g. 'reduce number of robberies where an under-16-year-old is the victim by 5% compared to previous year's performance.' The term 'target' is usually associated with a desire to improve performance, whereas the term **'standard'** is sometimes used to describe a form of target associated with maintaining an expected level of performance for a given activity (perhaps over a longer timeframe). A common issue with the use of targets is that people lose sight of the objective and begin to manage performance against the target alone. It is always necessary to take into account additional information when determining that the objective has been achieved. (See Sections 3.1.4 and 4.2.2)

Culture of continuous improvement: staff are always striving to improve performance, challenging the ways things are done and seeking to solve problems. May not always be about better immediate outcomes – might be about doing the same with less. (See Section 2.1.1)

Resources: can mean many things, including some or all of people, money, equipment, buildings, information and other assets that are available to address priorities. (See Section 3.1.5)

Accountability: the process of asking someone to explain the reasons for their actions in respect of an objective they were responsible for delivering. Accountability is just one part of an effective performance management process. (See Section 2.1.4)

Data and information: frequently used interchangeably, and what might be considered 'information' in one situation could be viewed by others as 'data' in another. In this guidance, 'data' is generally taken more to imply numbers, words or images that have not been subject to analysis to answer a specific question, whereas 'information' is generally taken to mean something produced through processing, manipulating and organising data to answer questions. 'Management information' is also a term that could be used to describe any information that is produced specifically to drive management decisions. (See Section 4.1)

Analysis: the process of collecting, reviewing and interpreting a range of data and making inferences and recommendations. (See Section 4.2)



NIM and the Performance Management Framework

Increasingly, forces are seeing the benefit of aligning the processes, people and products used to support performance management and the corresponding things used to support 'intelligence-led' policing through the National Intelligence Model (NIM).[4]

NIM processes allow managers to review the business of (assess threats to) operational policing, make decisions about priorities and resources, and set out actions to meet demands. The NIM is therefore a fundamental part of performance management within the police service.

Efficient and effective management of performance relies on there being a coherent process in force for establishing priorities – based on all available information (or 'intelligence') - and taking the right actions (be they focused on operational or support departments) to ensure high performance against those priorities. This guidance includes a number of tips around how to ensure that the 'intelligence-led business processes' that are provided by the NIM are integrated with the performance management framework.



CASE STUDIES include...

A case study from **Dorset** that illustrates a leaflet produced for team leaders describing key performance management principles and roles and responsibilities.

A case study from **Lancashire** that outlines a useful analogy for police performance management that the force used to develop and implement their performance management regime.

Case studies from **Northumbria** and **Leicestershire** that describe force performance management frameworks.

A case study from **Surrey** that shows how the force adopted a bottom-up approach to performance management through the provision of performance information at individual level.

4 For an introduction to the National Intelligence Model, see "Practice Advice: Introduction to the National Intelligence Model", ACPO, 2007

CHAPTER SUMMARY : THE FUNDAMENTALS

Hallmark 1: Everyone in the force understands and acts upon the basic principles of performance management as relevant for their role

The key points from this section include:

- ☑ 'Performance' means how well something is done. Good performance is only truly achieved by a combination of doing the right things, doing them well and doing the right amount
- ☑ Performance management is the practice of reviewing current performance and the factors that might affect future performance; and taking decisions in response to that information; so that appropriate actions are taken in order to make future performance better than it might otherwise be
- ☑ Performance management is just good management. It goes to the heart of how resources are used to deliver results
- ☑ Following performance management principles is always relevant. The frequency with which performance is reviewed and new plans put in place should be appropriate to the activity in question and the level of the organisation
- ☑ Everyone must understand their role and potential contribution to effective performance management - whether performance management 'specialists' or not
- ☑ When designing a performance management framework, it is helpful to consider the three key enablers - People & Relationships, Structures & Processes, Data & Analysis - characterised by the 12 Hallmarks of effective police performance management
- ☑ To help provide a common language for performance management, a common understanding of key terminology is helpful

2. PEOPLE AND RELATIONSHIPS – central to successful management of performance

People – and the relationships between them – are the most important enabling factor for effective performance management. If the people in a team or department don't have the right skills, are not led effectively, or cannot communicate constructively, then it will be harder for them to take the right decisions to improve performance. The aim should be to create a culture where high performance is part of everyday life. Yet this is the area in which it is most difficult to identify how and why some practices are more effective than others.

This chapter aims to provide some guidance on how you can develop a high performing force, department or team through developing culture, leadership, relationships, communication, learning and development, and reward and recognition. Ensuring that your people are best prepared for effective performance management will enable them to put in place the right processes and systems to deliver.

There are four Hallmarks associated with People and Relationships. This chapter examines each in turn.

Hallmark 2: Active, visible leadership and ownership of performance management helps to foster a culture of continuous improvement

Hallmark 3: Officers and staff at all levels, the police authority and key partners understand their roles, responsibilities and relationships within the force's performance management framework

Hallmark 4: Priorities are clearly communicated, understood, and acted upon by all officers and staff

Hallmark 5: Learning and development equips officers and staff to improve performance

2.1 Active, visible leadership

Hallmark 2: Active, visible leadership and ownership of performance management helps to foster a culture of continuous improvement

IN THIS SECTION:

- Guidance on understanding how the 'culture' of the force supports sustainable performance improvement
- Key leadership behaviours in performance management
- Discussion of how leaders can both motivate staff and hold them to account as part of the performance management process

2.1.1 A culture of continuous improvement

The force should aim to create a culture where high performance is part of everyday life and where officers and staff actively seek out ways to improve the way that things are done. 'Culture' can be defined in many ways, for example:

'The pattern of shared beliefs, values and assumptions which are acquired over time and shape behaviour within an organisation' or

'The way things are done here – how decisions are made, how employees are looked after, how the public are treated'

Achieving a culture of 'continuous improvement' is all about creating the right environment and behaviours – from the most senior to the most junior of staff – and making sure these behaviours are both encouraged and rewarded through strong leadership. For example, if you want to encourage effective team working, you need to reward that behaviour and not just individual accomplishments.



TIP: Defining and assessing culture

The influence a leader has on the culture of their organisation or department is an important determinant of how well their teams perform and how well performance is managed. Management teams should take the time to 'assess' the culture of their part of the force, compare it to the force as a whole, determine the type of culture that would generate high performance, and then seek to influence the culture in the right direction.

To understand culture there are a number of elements that can be considered:

- **Language:** Is performance management described in positive terms or negative? Is it too much management speak, or can everyone relate to it? Does it motivate or put off? Does language convey an urgency to tackle problems and improve, or does it convey exhaustion from chasing illusive goals?

- **Myths and legends:** Are there examples of successful performance that everyone knows? Do people frequently talk about weaknesses in recording systems? Do stories abound of what happened when a target was missed? Are there stories in circulation on how risk was managed successfully? Who are the acknowledged 'heroes' in the organisation – and why?
- **Systems and processes:** Do the systems in place reinforce leadership messages on performance or do they work against them? How are the systems viewed by staff? Are they effective? Do they promote timely action to address problems and capitalise on successes? Do they promote effectiveness? Do they allow recognition of quality? Do they add unnecessary bureaucracy or are they proportionate? Are officers and staff at all levels involved in priority-setting and decision-making or are things more 'top down'?
- **Meetings:** Do performance meetings (see Chapter 3) have a distinctive style or feel? Do they encourage people to take performance management seriously? Do they take place within a clear performance management framework that is linked to other structures in the force?
- **Reward and recognition:** Are systems in place for both? Are behaviours recognised as well as more tangible results? Are there any perverse incentives that inadvertently reward the wrong things? Are people encouraged to take responsibility? Are people encouraged to take risks or to be cautious?
- **Group identity:** Are there many sub-cultures? Do teams work together or apart? Is it a team work ethic that is fostered, or is there a focus on individual performance? Are relations formal or informal between teams? Are people acting as 'ambassadors' – do they believe in, represent and support the vision for the force and the improvements that are being made?
- **Information:** Do officers and staff at all levels have access to the information that they need to appreciate their performance. Do they understand that information and hence the performance of their part of the business? Are they monitoring that information with appropriate frequency to manage performance? Is action taken to respond to problems without prompting?

'Culture' relates to all three key enablers of effective performance management: people and relationships, structures and processes and data and analysis. The rest of this guide therefore explores these issues in more detail.

Promoting the right behaviours is essential to avoid a 'blame culture' where performance management is perceived as a negative activity, and which cannot support a cycle of continuous improvement. Some of the dangers of allowing the wrong behaviours are highlighted below:

- No ownership of priorities and actions to address them
- No ownership of performance problems means that no one can be identified to take forward improvements
- Staff use their status to get things done on their own terms, regardless of teamwork and force performance needs – achievement of individual objectives can be at the expense of the wider outcome
- Boundaries are drawn, negative competitive behaviour increases, 'finger-pointing' becomes part of the performance review process, and the core of the issue is not dealt with – performance is unlikely to improve in a sustainable way
- Good performance is not clearly defined, nor recognised and rewarded
- Learning, solutions to problems and good practice is not shared
- Staff become de-motivated
- People are afraid to voice their opinions for fear of criticism – performance improvement opportunities are missed
- People comply in order to avoid being blamed for a performance problem, and working remits become inflexible – performance improvement opportunities are missed, skills and ideas wasted, and innovation is stifled

2.1.2 The importance of leadership

As in so many areas of policing, effective leadership is critical to the successful development of a high performance culture. Such leadership should start with the chief officer team working with the police authority to develop a clear vision for the force. This vision, and its meaning in performance terms, needs then to be translated throughout the force, with managers and team leaders in all places leading by example in creating a culture in which high performance is the norm. Leadership is not just from the top down – individuals throughout the force should look to develop and promote the behaviours described below.



TIP: Leadership style – transactional versus transformational leadership

There are many models and theories for describing leadership styles. A common model used to discuss leadership styles in the police service is that of 'transformational' and 'transactional' leadership:

- **Transactional leadership** is based on a focus on specific tasks or operation of systems and processes in place in the force. It is characterised by emphasis on clarification of goals and objectives, exercising authority within formal structures, and challenge and reward.
- **Transformational leadership**, by contrast focuses on generating greater

awareness of the aims and objectives of the whole organisation and asking individuals and teams to work towards those aims, supported through delegation and active support for creativity and learning. This style of leadership is associated more closely with the concept of 'continuous improvement' because it focuses on having confidence in staff to deliver a high level vision, empowering those staff to innovate and problem solve, and celebrating success.[5]

These styles are sometimes seen as opposites, but in reality leaders need to lead in a way that is appropriate to the situation and whether the interaction is with managed staff, peers, stakeholders, partners and so on. A transformational leadership style is most closely associated with the concept of encouraging a culture of continuous improvement, but it is not necessarily the 'traditional' police style, nor a style that is necessarily appropriate in all situations. The important thing is to think about how your leadership style will help foster a culture of high performance – both in terms of the short term task and long term organisational objectives.[6] Challenging and supportive leadership both have a place in an effective performance management framework.

Key leadership behaviours associated with performance management include:

- Exemplifying the attitudes, qualities, and passion for outcomes that you would expect from others
- Establishing and communicating goals and expectations – and making them relevant to individuals' job roles (e.g. a crime scene examiner should be encouraged to articulate clearly how they contribute to crime reduction)
- Taking ownership of performance management processes (e.g. chairing performance review meetings and ensuring that performance issues are high on the agenda), and ensuring that they focus on understanding and improvement rather than rhetoric
- Knowing what the performance of your area of business is and where you are trying to get to
- Understanding the role and skills of team members, and encouraging staff to work as a team and be supportive and co-operative
- Facilitating the work of staff by helping solve problems and implement improved processes
- Giving staff the opportunity to take on challenging work while providing appropriate support to allow them to excel
- Making sure that people have the knowledge and skills that they need to perform effectively
- Ensuring equality of opportunity and treatment of staff within the performance management framework[7]

5 Research from 2004 on leadership in the police service identified 53 specific behaviours as being related to effective leadership – fifty of those behaviours closely match the style of leadership described as 'transformational'. See "Making Delegation Work: Guidance for the Police Service on delegation to Basic Command Units and support departments", Home Office / ACPO, 2006

6 The NPIA Core Leadership Development Programme provides further material on leadership style

7 Separate guidance is available on how to ensure equality of opportunity – for example "Disability In The Police Service Guidance", 2006 and "Gender Equality on the Police Service", 2007 – see www. police.homeoffice.gov.uk/human-resources/equality-and-diversity for more information

Developing these behaviours also enables leaders to move away from the traditional techniques of motivation through punishment and reward, to creating a workforce which wants to do well on an individual and team basis. Ask yourself:

- Where would my influence drive the biggest change in performance?
- Do I need to provide direction or do I need to demonstrate by example the kind of work I want to be done?
- If I step back from direct intervention to become more strategic, would it allow others to learn and grow, or would the process stall? Have I got the balance right?
- As performance improves and my leadership role becomes more strategic, is there a clear line of accountability so I still know what is happening on the ground?



TIP: Practical leadership in performance management: the importance of discretion

Managing performance is not about slavishly servicing a system of numbers and targets, but experience shows that it is easy for a culture to grow up where that is how it is perceived. Strong leadership – be that from the police authority, force executive, senior managers or team leaders – is a crucial part of creating a culture where numbers and targets are used as a tool to ask questions, not make final judgements; as a tool to aid performance improvement and not as a rigid mechanism for holding people to account.

Proper use of discretion is an essential element of policing. There will be times when the 'right thing to do' will be in conflict with the 'needs' of a target. Officers and staff must understand the correct approach to adopt in such circumstances – and must understand that they will be supported and would be penalised for doing the wrong thing just to meet a target. Getting this right is dependent on managers at all levels asking the right questions when performance is reviewed, and praising the right behaviours.

2.1.3 Motivating your team...

Motivation, a key leadership responsibility, is about inducing action from a person or group of people in order to meet a desired goal, in this case your force, department or team's objectives. By motivating towards a common goal, actions and efforts are focused, and performance is improved. This may not necessarily involve an increased effort from staff, just a re-focusing of that effort through the clear articulation of required behaviours and actions.[8]

Some key motivators highlighted by staff who were surveyed in a study carried out by the Public Services Productivity Panel included, in order of emphasis:[9]

- **'Relationships'** – staff being treated with courtesy and respect by managers and managers 'walking the talk'
- **Delegation** – of responsibilities to allow for autonomy and innovation

8 The NPIA Core Leadership Development Programme provides further material on motivating people in practice
9 "Making a Difference: Motivating People to Improve Performance", 2002, available from www.hm-treasury.gov.uk

- **Recognition** – both formal and informal acknowledgement of effort and praise of achievements
- **'Making a difference'** – making a contribution to the community or providing a high standard of service
- **Communication** – effectiveness of two-way dialogue between managers and staff
- **Clear direction** – the extent to which staff have a sense of organisational goals
- **Participation** – the extent to which staff can influence decisions affecting them

Reward and Recognition

Rewarding and recognising the behaviours and actions that contribute to a high performing culture is part of creating that culture, so considering how to reward staff is a key part of a force performance management framework. Rewards might be about financial incentives, but they might also be about opportunities for secondments or training. Other forms of recognition can be both formal - for example through awards or commendations - and informal, perhaps through highlighting good performing teams or units as part of regular performance review meetings or ensuring that staff are credited for work when it is communicated to senior managers. The needs of each individual or team will vary.

Police employees - whether officers or staff - will expect fair and equal treatment. Reward (and sanction) should therefore be made according to performance and contribution, and not according to other factors. However, other factors do sometimes intervene. For example, special priority payments are available only to police officers and not to police staff. Rewards (and sanctions) should therefore be applied in an even-handed manner, bearing in mind that not all approaches are available to all team members.[10]

2.1.4 … And holding them to account

There are a variety of approaches to holding individuals, teams or departments 'to account' – literally, asking them to provide an account of (reasons for) their actions. Accountability is a key part of a performance management framework, as by establishing a shared understanding of an issue, assurance can be given to those who set priorities that effective action is being taken, beginning with the police authority holding the chief constable to account. Processes for accountability are discussed in detail in Section 3.3.

Accountability is very much about people and relationships though – the style in which people are held to account will have a big impact on the way performance management operates and is perceived. For example, big set piece performance review meetings are sometimes described as 'CompStat' meetings, a term that derives from a process used in New York and elsewhere in the US. CompStat has now become associated with a very robust form of accountability, which can easily drift into bullying or intimidation. Where accountability follows this style, the risk of creating an unproductive 'blame culture' (Section 2.1.1) is increased. Furthermore, if the performance management framework extends little further than holding people to account for their actions, then this may encourage the view that underperformance is primarily to do with the workforce, rather than take a more rounded view that it is more likely to be associated with inefficient systems and processes that staff must work within.

10 Section 7 of "PDR – A Guide to successful implementation and improvement", Skills for Justice, 2006, provides information on linking reward and recognition with the PDR process. See also Section 3.4 of this guide.

CompStat is not in itself meant to be a negative process, but it has come to be perceived as such through the way it has been applied in some places. Holding people to account for their performance should be a questioning and supporting process, because otherwise the defensive style adopted by those subject to robust scrutiny can act as a barrier to learning. For example, if it is appropriate to provide additional support to a team or department to address a performance concern, this should not be seen as implying criticism of that group. It may rather be that circumstances outside the control of the team mean that additional resources are required, to safeguard progress towards a particular force priority. This absence of implied criticism should also encourage those teams and departments finding themselves under pressure to come forward early to seek support – and see this as an opportunity to help protect delivery against key priorities, rather than a negative experience.



TIP: Leading performance review meetings

A simple formula for chairing or leading a performance review meeting is to always focus on three key questions:

1. What is the cause of the problem?
2. What are you doing about it?
3. What can the rest of us do to help?

However, this should not prevent recognition of poor performance where relevant. This in turn will motivate those who are performing well – very few people like carrying those who are not pulling their weight. It is also important to avoid simply transferring a problem to others. If someone is underperforming or under-contributing, simply moving them elsewhere may help the team performance, but will do nothing for the wider force performance.



CASE STUDIES include...

Case studies from **Northumbria** that outline the development of the long-term force vision to articulate the values and strategic aims of the force, and a BCU commander's 'contract' with his senior management team.

The **HMIC** website[11] includes inspection reports which provide examples and developing practice associated with leadership in performance management.

11 www.inspectorates.homeoffice.gov.uk/hmic - see for example "Her Majesty's Inspectorate of Constabulary national inspection of performance management 2007: Lessons Learned" and related individual force reports

2.2 Clear performance management roles and responsibilities

Hallmark 3: Officers and staff at all levels, the police authority and key partners understand their roles, responsibilities and relationships within the force's performance management framework

IN THIS SECTION:

- Discussion of the importance of clarifying roles and responsibilities within the performance management framework
- Guidance on key relationships in the performance management process, including between:
  - Analysts and managers
  - The force executive and other senior managers
  - Members of the force and the police authority
  - Members of the force and other local partners

Excellence in police performance management comes, in part, from all in force recognising they have a significant contribution to make. For a team member with no supervisory responsibilities, these performance management responsibilities are relatively straightforward, and include:

- Being clear on force, departmental and team priorities, and how individual activity can support their delivery
- Recognising the skills and knowledge needed to perform effectively
- Understanding the importance of working with others
- Understanding how the processes they work within contribute to achievement of objectives, but also actively seeking out and suggesting improvements to the way things are done
- Understanding what the current level of performance is (personally, and of the team or unit)
- Learning lessons from what is done, and ensuring that good practice is identified and disseminated

For team leaders, managers and the executive, detailed responsibilities will depend on the specific needs and processes of the force. Part of ensuring clarity over the processes in force for planning, delivery and performance review (see Chapter 3), should be an understanding of who is responsible for specific activities within those processes. These responsibilities should be enshrined in agreed individual PDR objectives. Staff should also be clear on how their managers are held to account for their responsibilities.

Detailed responsibilities will also invariably include performance management elements identified within the Integrated Competency Framework for the individual job role. In broad terms, these cover:

- Setting strategic direction
- Seeking to drive continuous improvement
- Measuring and monitoring performance
- Working in partnership
- Managing information
- Managing resources

The above are analysed in more detail within the Skills for Justice 'ICF Behavioural Framework, User Guide', as well as elsewhere within this guidance.[12]

Key relationships

Within the performance management framework, there are a number of key relationships that should be clear in terms of expectations on both sides:

- The relationship between **analysts** and **managers**, or, more broadly, the relationship between key decision-makers and the officers and staff who specialise in performance management skills, such as analysts, researchers, auditors, and other staff whose role is to 'operate' the performance management framework. This relationship is important because effective performance management relies on effective performance management systems and analytical support. So managers must be clear on what support is available and ask for it, whilst specialist staff must be clear on what decision-makers need and be able to communicate it in a way that meets the needs of the audience. These issues are explored further in Chapter 4.

- The relationship between the **force executive** and **BCU commanders** and **heads of department**. This relationship is important because the collective senior team has both the responsibility to communicate the force vision, and the power to solve performance problems across implied organisational silos. Additional guidance produced by ACPO and the Home Office explores delegation of responsibilities to BCUs and support departments.[13]

12 Section 4 of "PDR – A Guide to successful implementation and improvement", Skills for Justice, 2006, provides guidance on linking the Integrated Competency Framework and role profiles to individual PDRs, as well as information on using National Occupational Standards in the process.

13 "Making delegation work: Guidance for the Police Service on delegation to Basic Command Units and support departments", Home Office / ACPO, 2006



Key Links

- The relationship between the **police authority** and the **chief constable** (and wider command team). This relationship is important because not only does the authority have a key role in shaping the vision for the force, establishing strategic priorities, monitoring performance and communicating with the public, but the authority can add value to force activity through their scrutiny of performance by providing a forum to take a step back and look at performance issues from a different perspective. Considerations for this relationship are discussed in detail in the specific guidance for police authorities on their role in police performance management.[14]

- The relationship between representatives of the force and other members of local partnerships such as the LCJB, and LSPs, CDRPs or CSPs.[15] These relationships are important because the force will need to constructively influence the plans of partners to help shape and achieve shared goals, and be in a position to understand the needs that partners have of the force in the pursuit of wider community priorities. In some cases the force will have statutory responsibilities to work with partners in this way.



CASE STUDIES include...

A case study from **Dorset** that illustrates a leaflet produced for team leaders describing key performance management principles and roles and responsibilities.

A case study from **Northamptonshire** that describes how the force and authority integrated planning and delivery with partners from the county.

The **HMIC** website[16] includes inspection reports which provide examples and developing practice around working with police authorities and partnership working.

16 www.inspectorates.homeoffice.gov.uk/hmic - see for example "Her Majesty's Inspectorate of Constabulary national inspection of performance management 2007: Lessons Learned" and related individual force reports

14 See Chapters 2 and 3 of "Police Performance Management: Practical Guidance for Police Authorities", APA / Home Office, 2006, and also "Delivering Good Governance in Local Government: Interim Guidance Note for Police Authorities and Forces in England and Wales", CIPFA, 2007

15 See "Delivering Safer Communities: A guide to effective partnership working – Guidance for Crime and Disorder Reduction Partnerships and Community Safety Partnerships", 2007, for guidance on effective partnership working

16 www.inspectorates.homeoffice.gov.uk/hmic - see for example "Her Majesty's Inspectorate of Constabulary national inspection of performance management 2007: Lessons Learned" and related individual force reports

2.3 Creating the right environment – communicating priorities

Hallmark 4: Priorities are clearly communicated, understood, and acted upon by all officers and staff

IN THIS SECTION:

- Guidance on the importance of communicating priorities throughout the force, department or team to ensure that the right issues are tackled
- Information on establishing a communications strategy and staff surveys

Priorities need to be agreed, communicated, understood and acted upon. It is essential that each individual within the force understands what their priorities are, how those contribute to delivery of team, department and force priorities, and what success will look like. Section 2.1 discussed the importance of establishing a clear vision for the force, department or BCU, and Section 3.1 covers the process of setting priorities and objectives. Once you are clear about where you want to be, and what needs to be done to get there, you can set about aligning people behind this vision. Responsibility for disseminating the vision, and taking steps to deliver it, lies also with your team leaders. For example, department-level objectives need to be effectively communicated to staff at team and individual level so each group knows what the objectives mean for them.[17]

Communication plays a central part in ensuring the vision and objectives are understood. Effective communication is essential if an organisation is to generate commitment to performance improvement. Crucially, the appropriate materials must be used to communicate the right message to the right people.

Communication can be used in two ways in particular:

- **Specific** – force, BCU, departmental and team vision, strategy and priorities need to be communicated to all staff in a way that is relevant to them. The aim must be for all staff to:
  - Understand how their job contributes to achieving force objectives and improving performance
  - Understand what is expected of them, both in terms of what their priorities are and what their priorities are not
  - Receive feedback on an ongoing basis about what difference they are making
- **General** – more broadly, all internal communication vehicles in a force should be used to emphasise the importance of performance improvements. This is an important part of developing a performance management culture. So, for instance, stories about high performance and how individual staff members (or teams, or departments) have contributed to it should feature highly in the force newspaper/magazine

17 Effective team briefings are a key part of this – see "Guidance on the National Briefing Model", ACPO, 2006

Language is also an essential part of communication. It should avoid jargon, and be appropriate to the intended audience, so that messages are clearly understood. The choice of language also supports the development of a high performance culture – choosing words which encourage or highlight teamwork and support, rather than those which might be interpreted as a criticism. This choice of positive language makes a significant difference to the way that people feel and, as a result, they tend to perform better in their roles.

There are five key elements in developing a communications strategy:

- **What is your message** - be specific to your audience, don't overwhelm people with information, and remember that statistics may not ignite the imagination
- **Who do you need to communicate to** – what are the different groups that need to be reached?
- **How are you going to communicate** – what vehicle will you use, e.g. seminars, posters, team meetings? Do you need to consider specific methods to ensure that your message is accessible to all staff? If you are relying on indirect forms of communication, consider how each link in the process of disseminating the information works, to ensure that the key messages are not lost. You will usually need to use several different methods of communication to reinforce the message
- **When are you going to communicate** – do different messages need to be communicated to different groups in a particular order to ensure understanding? Do messages need to be repeated over time, or disseminated via new channels to be reinforced?
- **How will you know that the message has got across** – think about how you can assess the effectiveness of the strategy

As a final note on internal communication, be sure to set up appropriate feedback mechanisms as, without feedback, communication is only information. Feedback mechanisms should be partly used to capture whether people are behaving differently as a result of communications around new priorities, and allow success stories to be captured for communication later.



TIP: Staff surveys

Clear communication with staff is essential. But it has to be two-way, and not just 'top down'. This means that staff have to have an effective way of communicating their views up through the organisation. One good way of achieving this is through a staff survey. Some tips on conducting a staff survey are set out below:

- Make sure that staff are given notice of the survey – this will help to improve the response rate when the survey is circulated
- Be clear about what the survey will cover, who it will be circulated to, and how it is expected to affect future decisions
- When preparing the questions, make sure you understand how your actions may be affected by the answers you receive. There is no point in asking questions where you have no intention (or ability) to act on the response

- Test or pilot the survey to ensure questions are understood and interpreted correctly by the respondent, that the respondents are able to answer fully and unambiguously, and that responses are usable
- Ensure that responses are confidential, even anonymous. This helps to ensure that honest feedback is provided. For larger surveys, it may be helpful to ask a third party to run the survey to provide further reassurance here
- Consider the use of incentives (for example entry into a prize draw) for those who return forms on time. This would need careful management if returns are to be anonymous
- Consider the use of online, rather than paper-based, questionnaires. There are organisations that specialise in this, some of whom provide the service for free. You should consult your HR and IT specialists before running such surveys, though, to ensure that the approach you adopt provides appropriate confidentiality and security
- Send out reminders as the deadline for return approaches
- Make sure that the results are analysed promptly, and a summary circulated to those who have participated
- Ensure that you act on the results! A staff survey can motivate if results clearly influence decisions – but equally can de-motivate if the results are ignored

Finally, it is worth considering whether the survey is to be a one-off, or a regular event. If run regularly, it may provide useful information on how views are changing over time. However, you must be clear how you expect to use the information – there must be a clear purpose for the survey, however frequently it is run.



CASE STUDIES include...

A case study from **Northumbria** that outlines the communication of the long-term force vision throughout the organisation.

A case study from **Warwickshire** that describes how the force created a corporate performance framework in which the force vision was embedded throughout the force.

2.4 Learning and development

Hallmark 5: Learning and development equips officers and staff to improve performance

IN THIS SECTION:

- Discussion of the importance of professional development of all staff in improving performance, and therefore the need to explicitly include this as part of the performance management framework
- Guidance on formal and informal routes to learning and development as part of the performance management framework, not just through structured training
- Notes on links that can be made with policing partners around staff development activity

Learning and development involves the provision of skills and knowledge where required, to:

- Help people understand the importance of performance, performance management and how to do it
- Optimise performance – supporting the delivery of continuous improvement in line with the organisation's needs
- Provide growth and development for individuals and teams
- Increase understanding of and reinforce desired behaviours
- Support performance improvement initiatives identified and changes that need to be made in the way things are done
- Provide understanding of specialist products needed to support effective performance management

Staff learning and professional development should be a key part of a force's performance management framework and is not solely the responsibility of individual managers or the force training department. Formal training is not the only option and a strong, shared view that learning is linked to driving force performance should be developed. Learning is an ongoing process rather than a one-off intervention.

Since performance management is 'just good management', ensuring that managers at all levels have the right competencies - skills, knowledge, behaviours - to manage performance effectively, as well as sufficient time to manage, is important. This is particularly relevant for new first line supervisors, whose supervisory experience may be limited. They need to be given the right support to make a successful transition.

Managers and team leaders should be coaches – providing both encouragement and challenge. Individuals should be encouraged to take responsibility for their own self-development, in order to create a culture of learning throughout the organisation. Learning and development opportunities should also be accessible to all.

To have an impact on force performance, learning and development activity should clearly

be aligned to force priorities. Learning and development interventions should be linked to behavioural competencies, activities and National Occupational Standards[18] (NOS) as outlined in the Integrated Competency Framework[19] (ICF). Without this link, education is a hit-and-miss proposition because it lacks a 'business' focus. An effective Performance & Development Review (PDR) process is likely to be a key part of this, as that provides a structure for managers and staff to agree development needs and actions related to behavioural competencies, activities and National Occupational Standards.[20]

Every force has a whole raft of training needs for its staff if it is to maximise performance, from incident response to crime investigation and administrative support. Staff training needs should be revisited on an ongoing basis to ensure that the organisation has the skills profile required. As far as training needs in relation to performance management are concerned, there are broadly four key groups whose needs should be evaluated:

Group	Training needs might include...
Performance management staff	Statistical analysis techniques, other analytical techniques such as process mapping, analytical presentation techniques, data manipulation skills, performance management software specific training, data collection and management, as well as softer skills such as project definition, client consultation, interviewing, facilitation, and report writing and presentation
Senior officers and other senior managers	Understanding of the 'whole system' impact of performance measurement and assessment, data interpretation and basic understanding of statistical principles, developing performance measures, using performance measures effectively, identifying opportunities for improvement, making effective use of analytical resource and their outputs
Team leaders	Measuring performance, monitoring performance, identifying opportunities for improvement
Frontline staff	Training needs of frontline staff are very much dependant on their role and level of exposure to the performance management framework

Formal training channels are not the only way to develop staff. Individual learning preferences as well as skills levels and current experience are all factors to be taken account of when planning development. You could also consider:

- On the job training – this could include setting up a mentoring or work shadowing programme as part of an informal skills development and support network
- Identifying skills champions – individuals who are highly skilled in a particular area and who can share this knowledge and coach others
- Offering departments the opportunity to give a talk on a recent initiative to share good practice with others
- Use of team learning and development, rather than activities simply focused at the individual

18 NOS define the competences which apply to job roles or occupations in the form of statements of performance, knowledge and the evidence required to confirm competence

19 ICF is a series of national standards and guidelines which will enable forces and individuals to improve quality and consistency of performance and behaviour in jobs throughout the police service

20 Section 6 of "PDR – A Guide to successful implementation and improvement", Skills for Justice, 2006, provides guidance on creating development plans as part of the PDR process.

- Forums for specialists to share skills and experience, or peer group learning e.g. through action learning sets

The evaluation of learning is crucial in ensuring that the training and development opportunities carried out are fit for purpose, effective and the best use of the organisations resources.

Managers should spend time with their staff before and after training events to understand how behaviour will change as a result of the learning intervention. Staff should be encouraged to provide their views on formal training to the organisers in order to improve sessions for future attendees.



Key Links: learning and development in partnership

- **Crime & Disorder Reduction Partnerships** and **Community Safety Partnerships** are subject to a statutory requirement that the people working on their behalf have the appropriate skills and knowledge to carry out their role. Partnerships within the force area may therefore be carrying out skills audits and implementing workforce development activity and there is therefore an opportunity to link force learning and development activity with that of partners.[21]
- **Police authority** members and officers will also have learning and development needs around their role in the performance management framework. It can therefore be beneficial for the needs of the police authority to be taken into account when planning learning and development activity, as this may help them to better understand the way the force operates or the information the force provides to the authority during their monitoring of force performance.[22]



CASE STUDIES include...

A case study from **Hertfordshire** that illustrates how staff from a Specialist Interview Unit shared skills with others in the force to develop investigative capability.

A case study from **Lancashire** that highlights how development activities for staff formed a key part of a force performance improvement initiative.

A case study from **Staffordshire** that describes how the force has supported learning and development around quality of service through provision of performance information.

A case study from **West Midlands** that outlines how the force has delivered training based around Lean Thinking, Six Sigma and the work of W. Edwards Deming to senior managers and practitioners as a key part of their performance improvement programme.

21 See "Delivering Safer Communities: A guide to effective partnership working – Guidance for Crime and Disorder Reduction Partnerships and Community Safety Partnerships", 2007, for more information.

22 More discussion of the potential learning and development needs of police authority members and how to address them can be found in "Police Performance Management: Practical Guidance for Police Authorities", APA / Home Office, 2006

CHAPTER SUMMARY : PEOPLE AND RELATIONSHIPS

Hallmark 2: Active, visible leadership and ownership of performance management helps to foster a culture of continuous improvement

Hallmark 3: Officers and staff at all levels, the police authority and key partners understand their roles, responsibilities and relationships within the force's performance management framework

Hallmark 4: Priorities are clearly communicated, understood, and acted upon by all officers and staff

Hallmark 5: Learning and development equips officers and staff to improve performance

The key points from this chapter include:

- ☑ Understand the key role that leaders have in championing the right approach to performance management and in creating a situation where the focus is on how to do things rather than on what needs to be done
- ☑ Identify the types of behaviours you want in your force, department or team and take steps to promote that way of working, for example through active leadership, clear communication, learning and development, appropriate accountability and the way that performance review meetings are run
- ☑ Be clear on both priorities and the roles and responsibilities for delivering against them, and communicate this in a way that means people can understand and make their individual contribution to performance improvement
- ☑ Take steps to ensure that key relationships within the performance management framework are constructive
- ☑ Support performance improvement initiatives through provision of appropriate learning and development - including, but not limited to, training activity – as an explicit part of the performance management framework

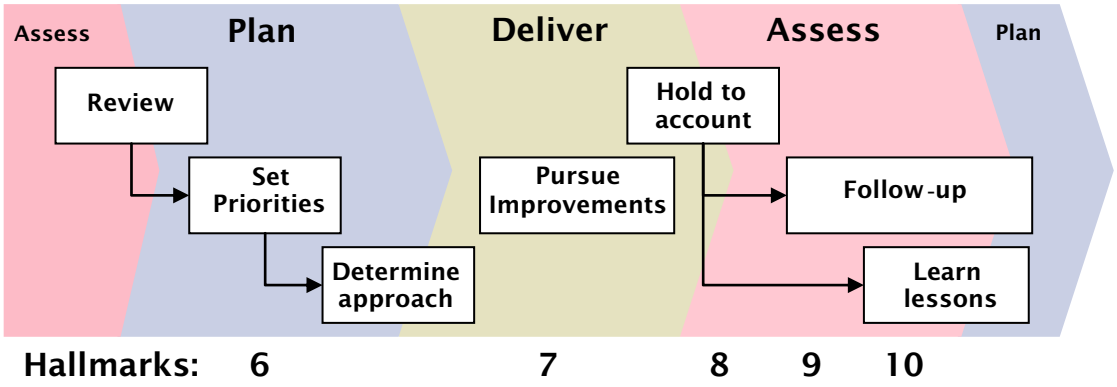
3. STRUCTURES AND PROCESSES – delivering tangible improvements

In this chapter we look at the performance management processes which forces and departments should have in place as part of an effective performance management framework.

We will also show how understanding and measuring wider business processes is crucial to improving performance and we will consider how you can effectively monitor and manage performance through appropriate review structures and interventions.

Hallmarks

The Hallmarks in this section follow the Plan-Deliver-Assess ongoing performance management process.[23]



Hallmark 6: A clear, integrated planning framework links force, police authority and wider stakeholder priorities with the NIM, corporate planning, budgeting, risk and resource management

Hallmark 7: The force pursues improvements in the efficiency and effectiveness of business processes that support delivery against priorities

Hallmark 8: Performance review structures serve all operational and support departments, linking with police authority and partners, and integrating with the NIM

Hallmark 9: Regular review of performance holds people to account against objectives, recognises good performance, and drives problem-solving and relentless follow-up

Hallmark 10: Good practice and lessons learned are quickly identified, shared and acted upon

23 And so can also be considered in terms of the Scan-Analyse-Respond-Assess (SARA) model, as per Section 1.1

3.1 Planning

Hallmark 6: A clear, integrated planning framework links force, police authority and wider stakeholder priorities with the NIM, corporate planning, budgeting, risk and resource management

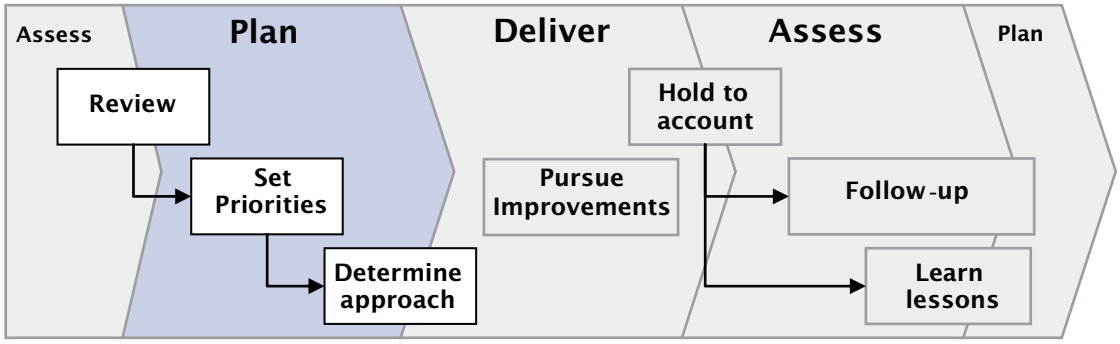
IN THIS SECTION:

- Guidance on the key elements of an integrated planning framework at force level including the key links to be made with partners (the principles of which would apply throughout the force)
- A walk through of the stepwise process of putting together a plan for action:
  - Review past performance and future challenges
  - Set priorities for the future and establish specific objectives
  - Determine approach to both how to deliver the plan and how to measure progress
- Specific tips on how to use targets effectively, how support departments can approach planning, and on risk management and resource management

Planning is central to performance management – being clear on what you are aiming to achieve and how you are going to do it. The nature and frequency of planning activity will vary – from annually or less frequently through to monthly, weekly, daily and continuously – depending on the issue, level of the organisation (i.e. strategic through to operational), risk involved, and availability of data to inform the process.

But effective planning starts at the strategic level. The police authority and force executive need to ensure that the performance management framework is aligned with and supports the overall vision and strategy for the force, as well as with the force Strategic Assessment and budget cycle. This vision and strategy will set the organisation's direction, what it needs to do well and what needs to be done to achieve its goals. Collectively, this will help inform the first step of the performance management process at all levels – priority setting. Only by defining the overall priorities for the force will the police authority and the executive ensure that BCUs, departments, teams and individual officers and staff are clear about where they should focus their efforts. This in turn means that officers and staff are better able to take decisions supportive of the priorities that the force (and respective departments) have set.

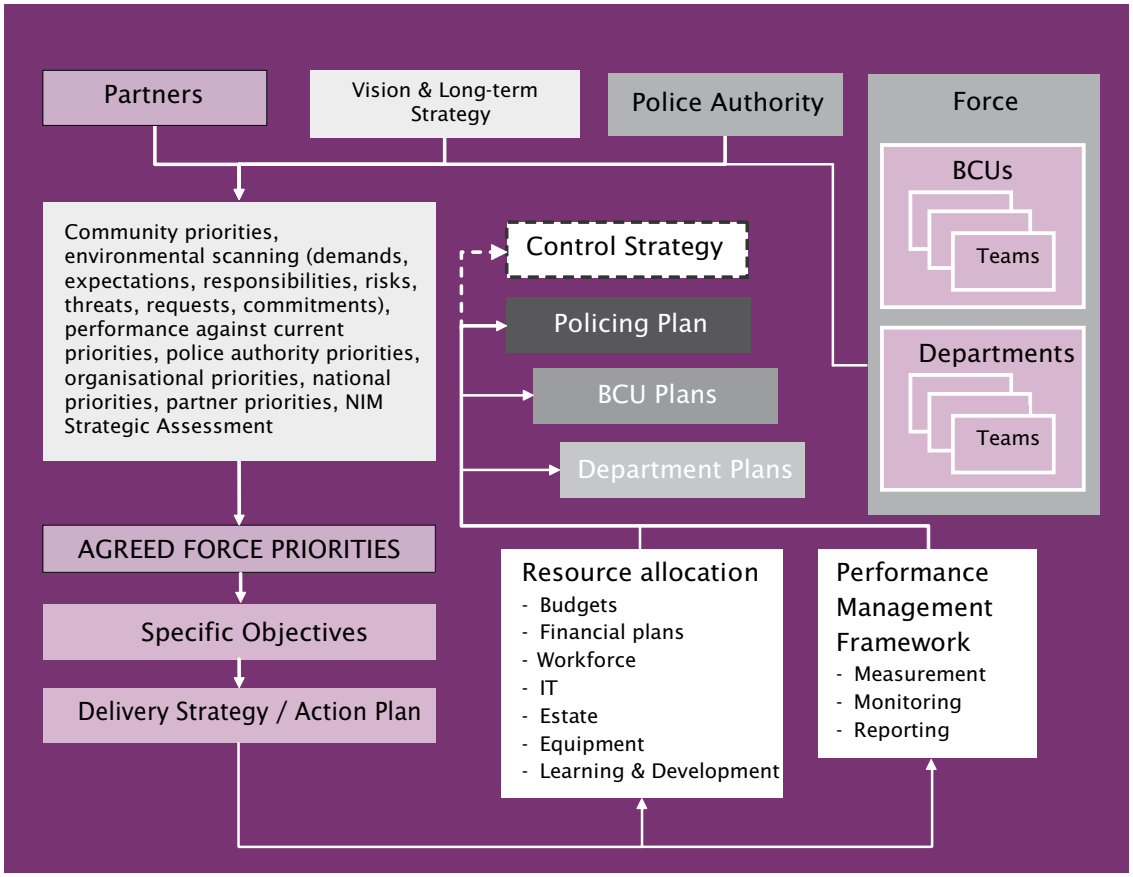
The planning process itself consists of three sequential steps – review current position and known future challenges, set priorities and objectives, and determine approach. These are reflected in the diagram below.



These three steps all need to take place in the context within an integrated planning framework. This section first, therefore, sets out key elements of an integrated planning framework, then examines each of the three planning steps in more detail.

3.1.1 Integrated planning framework

The need to consider others' expectations means that planning must be integrated both across the force and police authority and with wider stakeholders, which ensures consistency of priorities both within force and across partnerships. It also ensures that there is one single planning process built around the performance management framework and the NIM.



Broadly, the key elements in an integrated planning process – illustrated in the above – are:

- A clear vision, communicated and understood throughout the force
- A clear ranking of force priorities, informed by national and local priorities as well as the NIM strategic assessment – this requires a risk assessment
- Determination (top down and bottom up) of how the available budget and resources (workforce, estate, equipment etc) will be assigned against these priorities. This implies that some lesser priorities may not have sufficient funding or resources assigned against them and are effectively strategic failures – 'planned to fail' – the risk this results in will need to be managed
- Cascading of these priorities throughout the force, along with the appropriate resources to deliver against these priorities[24]

24 Guidance on establishing and maintaining a force 'operating framework' to clarify roles and responsibilities between the corporate level, support departments and BCUs is available in "Making Delegation Work: Guidance for the Police Service on delegation to Basic Command Units and support departments", Home Office / ACPO, 2006

- Development and use of appropriate indicators – clearly aligned to force, BCU, departmental and team priorities – that, through an appropriate monitoring regime, provide an appreciation of performance, and inform refinements and improvements to the ways in which available budget and resource are used (the business processes)

Some barriers to successful integrated planning are:

- Isolation of the force planning process from one or more of the following: the police authority; partner agency planning processes; the NIM planning process; the force budget cycle; the force human resource planning cycle
- Isolation of BCU, departmental, team planning processes from force planning, or from each other
- Politics, both internal and cross-agency. Stakeholders need to be prepared to take (or accept) some difficult decisions on priorities and assignment of available resource.



Key Links

The **police authority** has a leading role to play in the force planning process, and approves the annual force policing plan. Drawing up the plan should be a collaborative process, but in particular the authority has a key role to play in consulting the public about local priorities, establishing and ranking final force priorities, agreeing objectives and how progress against them will be judged, target setting and deciding the budget which will be available.[25]

An integrated planning process must also be linked with the planning processes of other organisations which the police work in partnership with, in particular those represented through local Crime & Disorder Reduction Partnerships (CDRPs) or Community Safety Partnerships (CSPs),[26] Local Strategic Partnerships,[27] and the Local Criminal Justice Board (LCJB). This is important both to ensure that priorities are aligned, but also to ensure that the planning process builds on information gathered from a range of sources.

3.1.2 Planning, Step One: Review

The first step in the planning process is to review progress against previous plans and consider that alongside any new or emerging issues. This ties in with the process for assessing performance (Sections 3.3 and 3.4), and requires a clear understanding of:

- The outcomes from earlier activities, how these outcomes met expectations, which things need following up or doing differently in the future and what lessons have been learned. Section 4.2 highlights the sort of analysis that can be provided to support this step

25 More discussion of the potential learning and development needs of police authority members and how to address them can be found in "Police Performance Management: Practical Guidance for Police Authorities", APA / Home Office, 2006

26 More information on CDRP/CSP planning – including statutory responsibilities - can be found in Sections A1, A2, P1 and P2 of "Delivering Safer Communities: A guide to effective partnership working – Guidance for Crime and Disorder Reduction Partnerships and Community Safety Partnerships", 2007. This includes guidance on preparing strategic assessments and plans as part of the CDRP/CSP planning process.

27 See www.communities.gov.uk/localgovernment/performanceframeworkpartnerships

- Which things that were not priorities before are potential concerns going forward. Such issues might be flagged through risk management processes, or from scanning of the available spectrum of performance information
- Wider stakeholders' expectations for policing – which clearly may have a bearing on force, BCU and departmental priorities

There are many stakeholders whose views, expectations and input the force and police authority need to take into account in the planning process. These include:

- Those within the force itself: managers from finance, personnel, corporate planning and individual departments and BCUs all have a key role in the process, as do staff and Staff Associations
- Those within the wider policing community: these include the Home Office and Ministry of Justice (e.g. for national priorities and guidance on key elements to be reflected in policing plans), HMIC (e.g. for inspection findings), and other forces (e.g. for collaborative working)
- Local stakeholders such as CDRP/CSP, LCJB and local authority representatives
- The general public (including minority and hard to reach groups), through a variety of routes, including feedback captured through the work of Neighbourhood Policing Teams

For the force executive and BCU commanders, this means that it is important to establish a sound working relationship with others such as those on your local CDRPs/CSPs. The need to develop this relationship with wider stakeholders may also extend to team leaders. This is potentially a complex relationship, particularly where BCUs and CDRPs are not co-terminous. This need to liaise closely can also apply to heads of department exploring shared services opportunities with local authorities and others. Whilst relationships with Local Authority, Health, Education bodies have previously been primarily through the CDRP, the extent of direct contact with other local agencies has recently increased as the shared services agenda has grown in importance.

The wider force relationship with criminal justice partners such as Crown Prosecution Service and the Courts is also very important, and the force should expect to both influence the LCJB plan and factor the needs of that plan into the policing plan. Wider considerations of cross criminal justice system benefit can be considered at LCJB as well as national level.

This complexity requires that the force have a clearly set out corporate planning cycle covering the full financial year, taking into account the need to produce both short term plans and longer term plans which may extend across several years. This helps to ensure that stakeholders' views and expectations are given appropriate and timely consideration. Examples of force corporate planning cycles are available in the case studies that accompany this guidance.



NIM and the Performance Management Framework: PLANNING

Historically, performance management processes and National Intelligence Model (NIM) processes have been kept separate in many forces. However, successful performance management and success in NIM both rely on recognising the essential similarities between the two – and then taking steps to align or integrate them within the force.

Both performance management and NIM guide forces on how to achieve positive outcomes, essentially, where to put force resources to best effect. Operational management decisions are guided by reference to the Control Strategy which is set through the NIM process. Performance management decisions are guided by reference to the Policing Plan. If NIM processes and performance management processes are kept separate, clearly there is potential for the Control Strategy and the Policing Plan to set out conflicting or inconsistent priorities, leading either to an inappropriate allocation of resources, or to confusion as to which line should be taken. The risk of parallel procedures can apply at a number of levels within the force; at force level, within departments (BCUs, Crime/CID), or even with those from outside the force (partner agencies). Forces must therefore ensure that NIM and performance management processes are properly integrated at each of these levels.

The key step in linking NIM and performance management is to ensure that those responsible for NIM processes, and for performance management processes, liaise, and that there is an agreed clarity on how NIM and the force performance management framework relate to each other. One approach is to ensure that the Policing Plan is set in the light of the NIM Control Strategy and that the sign-off procedures are integrated. A complementary approach is to ensure that those responsible for relevant NIM and performance management processes are tasked with liaising to identify where potential mismatches may develop. Section 3.2 below discusses process mapping and improvement in more detail. Section 3.5 also discusses how NIM results analysis is relevant for future planning.

It is important to bear in mind the aim of integrating planning processes in this way: the outcome must be a single process that takes into account input from all of the sources listed in this section, particularly from the police authority and the public, and not one that over-emphasises internal operational needs in planning.

3.1.3 Planning, Step Two: Set Priorities

Usually, resources are limited and 'things to do' are not, so prioritisation is challenging but essential. Among key questions to ask when setting priorities are:

- What are the views of local people, the police authority, members of the force and partner organisations? This should come out of the review step, above.
- What are the national priorities?

- Given our strategy, is our current focus (resources, time) in the right areas and are resources being used efficiently in those areas?
- Given performance against current objectives, which areas need most attention?
- What is our comparative position with our force or BCU peer group and how can that be improved? In what areas is our comparative position strong or weak?
- Are there any equality or diversity issues that need a particular focus, either regarding the service provided to members of local communities, or regarding the force's commitment to equality within the organisation?
- Do we need to reassess our projects and plans in light of the vision?
- What does this mean on the ground for the BCUs and support departments?
- What mechanisms need to be in place to ensure we are meeting priorities?
- Who do we need to work with (partners, public) to ensure our priorities are achieved?
- What will success look like?
- How does our learning and development framework match up to the things that we have to deliver?

If everything is a priority then nothing is a priority, so priorities must be limited in number and scope. Making choices about what to prioritise can be difficult, but if the potential resource implications of tackling each issue are taken into account when working out which ones are of highest priority, the extent of what can be prioritised can be put in better perspective, resources can be shifted away from lower priority areas, and plans can be made to deliver more efficiently in other areas.



TIP: Risk management

Performance management needs to retain a balance between:

- defending against risks that could worsen performance; and
- seeking to exploit opportunities that would transform performance.

A robust risk analysis helps a force and police authority at the planning and priority-setting stage by providing information on the relative risks associated with priority issues. Effective risk management also helps later in the performance management process through the use of a risk register, helping a force to keep a watchful eye on priority issues. Those things that could stop an objective being achieved should be identified, and problem solving techniques should be used to find ways of getting round them - thus reducing the risks. In this way, good risk management will improve the likelihood of achieving good performance.

A force risk register should contain a description of the risks, an evaluation of the degree of risk (i.e. likelihood, potential impact), and mitigating action planned or in place, across the whole business of a police force. The risk register therefore includes operational and non-operational issues (including resourcing, technology, estates, systems etc).

If priorities are the broad issues that are considered the most important to pursue, **objectives** are specific aims that address priorities and state what is to be achieved and how it is to be achieved (e.g. through the commitment of resources). Objective setting is the link in planning between prioritisation and determining the approach. Good objectives are SMART:[28]

- **Specific** – clear, unambiguous and easy to understand by those who are required to achieve them
- **Measurable** – it must be possible to determine success (usually, but not necessarily, with reference to one or more performance indicators)
- **Actionable** – for those who will be required to deliver them; they must have enough control over their work to be able to meet the objective, or motivation will suffer
- **Realistic** – expressing specific aims that staff feel can realistically be achieved, with some effort
- **Time-bound** – there should be a set timescale for achieving the objective



TIP: Support departments within the performance management framework

Support department activities fall into three broad groups: managing policy or programmes on behalf of the force as a whole; providing support or resources to BCUs or other departments (i.e. services to internal customers); and running processes or systems which are 'back office' activities. This diversity can present a challenge when trying to incorporate support department activity into a coherent force performance management framework, particularly because it can be difficult to establish simple and meaningful measures of their performance.

As with all aspects of force performance, a useful approach to establishing an effective performance management framework in support departments is to take a balanced view when identifying priorities, objectives and success criteria during planning. It can be helpful to consider three specific perspectives:

- **Strategy** – identify clear links between the work of the department and force objectives. Consider how the department does or could add value through its activity, by focusing on the outcomes that the department contributes to. Discriminate between direct and indirect outcomes to highlight those that the department is primarily accountable for.
- **Customer** – understand the service the department provides to other parts of the force or the public to help identify what others expect. This involves being clear on the department's customers and their expectations, and establishing how you will know they are satisfied with the service they receive. To narrow down the list of potential customers, focus on those who could provide meaningful feedback on the performance of the department.
- **Process** – understand the processes operated by the department (this is discussed in more detail in Section 3.2)

28 The mnemonic 'SMARTER' – with 'ER' representing 'Evaluated' and 'Reviewed', is also used.

3.1.4 Planning, Step Three: Determine Approach

There are two key elements within this third planning step, namely:

- **Action:** identifying how to deliver agreed objectives. Resources must be matched to priorities and those resources must be used in the most efficient and effective way possible. Planning for action therefore requires establishing where to put resources in order to deliver against priorities in terms of 'business as usual'. But it also requires an understanding of how business processes transform resources into results so that those processes can be improved if necessary: innovation alongside business as usual. This latter approach is described in more detail under Section 3.2. In deciding which actions to take, considering the ease of action versus the impact it will have is important.
- **Measurement:** establishing the mechanism for determining whether actions are delivering the desired outcomes, often through the establishment of one or more performance indicators associated with each objective. This is explored in more detail within Section 4.1. Once performance indicators are in place, it is sometimes possible to establish targets as a tool to support delivery. Establishing appropriate targets is covered in Section 4.2.

The annual policing plan prepared and published by the police authority and the force sets out the results of the planning process, including the vision for the force, which issues are to be prioritised and why, the specifics of individual objectives and how they will be monitored, and the actions that will be taken. This is the reference point for the authority in its scrutiny role and an important demonstration of how the force is responding to local needs.[29]

The objectives and actions set out in the force policing plan should link through BCU and department plans, to team plans where relevant, to objectives set for individuals. An effective PDR process supports this – see Section 3.4.[30]



TIP: Use of targets: 'Don't hit the target but miss the point'

Once you have established performance indicators to track progress towards objectives, it is often possible to quantify the objective in terms of a target. A target can suggest how the indicator would be expected to change if the objective had been achieved – the 'desired level' of the indicator.

The police authority has a key role to play in target setting at the strategic level (via the annual policing plan), but targets can be used as an operational tool at any level.

Targets can provide a focus for managing performance, and can make it clear to both staff and stakeholders what is expected. However, **experience has**

29 Guidance on preparing annual policing plans is produced by the Home Office, see www.police.homeoffice.gov.uk. The complementary roles of the force and authority in preparing the plan are also discussed in "Police Performance Management: Practical Guidance for Police Authorities", APA / Home Office, 2006

30 Section 3 of "PDR – A Guide to successful implementation and improvement", Skills for Justice, 2006, provides guidance on objectives setting for individuals.

shown that great care must be taken when setting targets and using them in management of performance:

- If there are too many targets, it is difficult to focus on the activities that matter most, as everything is important
- Targets do not always motivate positively and, if targets are too stretching, then it can be de-motivating, as individuals will feel they have already failed before they have even begun
- Inappropriate practices may result from efforts to achieve particular targets, particularly when people are held to account against targets in a rigid rather than constructive fashion and the principles of effective performance management are forgotten

A common issue with the use of targets is that people lose sight of the objective (or were never sighted on it in the first place) and begin to manage performance against the target alone. Often it is necessary to take into account additional information when determining that the objective has been achieved in order to mitigate this risk, particularly because changes in the performance indicators that the targets are set against will need to be interpreted rather than taken at face value (see section 4.2).

Targets determined at the strategic level and cascaded mechanically to the delivery level without reference to the capacity and/or capability to achieve them are more likely to drive this kind of perverse behaviour. The force executive, police authority and senior managers should be alive to the risks of using targets as the focus of the performance management framework, and take steps to mitigate those risks. Targets developed and owned by those required to deliver against them, as a reference for where to focus effort, are likely to be much more effective.

3.1.5 Planning to improve your approach to resourcing

The effective management of resources is part of the core business of any organisation. It is not just about money and funding, and is not the sole preserve of 'specialist resource managers'. It is about skilled and effective management of all resources, supply and demand, money, people and systems. This is an essential way in which all managers and leaders make a difference.

It is essential that resource management is closely integrated with performance management. Resources: people, finance, physical assets, information assets and learning & development resources should follow priorities, whilst retaining the flexibility to move resources around to respond to emerging concerns, risks and changes in demand. Key decisions on moving resources cannot be made unless managers have a clear understanding of how existing resources are deployed and how they currently contribute to performance outcomes. It is not simply a question of the numbers of staff allocated to a particular function but a question of how much of their effort is expended on meeting force priorities. National tools such as Activity Analysis and Activity Based Costing (ABC) can provide some of this information at force and BCU or departmental level.

Annually, the Audit Commission and Wales Audit Office assess police use of resources (PURE). PURE involves auditors assessing whether police authorities and forces are achieving value for money, effective financial management and good standards of governance and accountability.[31] In published assessments of police use of resources, the Audit Commission and Wales Audit Office also identify key opportunities for police authorities and forces to improve on resource management. For example:[32]

- "Police authorities should ensure that value for money is a prime consideration when setting priorities… and using their scrutiny role to ensure that the force works strategically and effectively with local service partners, directing resources to local priorities in the best way"
- "Police authorities need to ensure that internal controls for the authority and force are in place and effective"
- "Police forces need to maximise their available resources to deliver local priorities. They should use performance and financial data to benchmark and challenge how resources are used to deliver policing priorities; and work with partners to determine the best method for delivering safer and stronger communities within the force and local area"

Guidance on managing resources in a delegated environment is available separately, including information on use of ABC, managing vacancies within a devolved police pay budget, budgetary responsibility and virement, carry forwards, contingency reserves, preparation of budgets, financial regulations and budgetary rules, and devolving administration.[33]



NIM and the Performance Management Framework: RESOURCE MANAGEMENT

Resources available to policing are not limitless. There are inevitably financial and resourcing constraints within which the force, department or team need to operate. As part of both performance management and NIM processes, it is important to understand those constraints. The most straightforward to grasp will be budgetary (financial) constraints; the force, department and sometimes team will have a clear budget within which they will need to work. However, equally important yet often harder to quantify and track will be the capabilities (skills, knowledge, behaviours) of the team and the capacity (numbers of staff, vehicles, property) available.

It is almost certain that available resources will be insufficient to meet identified demand. This is where difficult decisions need to be taken. Performance Management and NIM help with these difficult decisions, by supporting evidence based ('intelligence-led') decision-making.

Managers prioritise the demands on the force then, understanding what resources are available, the resources should be targeted at the agreed 'most important' priorities. In some cases, this may mean taking an informed risk that lesser priorities will deliberately not be provided with resources because resources have been fully utilised in pursuit of more pressing priorities. This is an inevitable consequence where demand exceeds available resources.

31 See www.auditcommission.gov.uk
32 "Police use of resources 2007/07", Audit Commission/Wales Audit Office, December 2007
33 See "Making Delegation Work: Guidance for the Police Service on delegation to Basic Command Units and support departments", Home Office / ACPO, 2006

People – a force's key resource

If a force, department or team is to optimise its performance, it is essential that the right people are in the right place at the right time with the right skills to address the matter in hand. Effective resource management includes consideration of:

- **Supply/Demand Match** - Managers need to have a good understanding of the peaks and troughs in demand and expectation for policing services – both the 24/7 response requirement and other services - and then consider how resource (of whatever sort) can best be deployed to reflect these patterns of demand. Inadequate staffing at weekends or in holiday periods is a common problem. Also bear in mind that such patterns of demand can change over time, and that demand for some services will always have a degree of unpredictability.[34]
- **Abstraction** - Officers and staff may from time to time be abstracted from regular duties, for court attendance, training, to respond to major incidents, or to provide emergency cover for others. This should be monitored and managed, with the impact on their regular duties considered.[35]
- **Productive time** - The basic principles of doing the right things, the right way, with the right people, in the right place at the right time, and using the right tools and equipment. This will increase the time that staff have available for front-line service delivery and ensure that the time is being used to best effect.
- **Overtime** - Whilst some overtime is unavoidable, and it can offer value for money in responding to unexpected demand at short notice, forces should:
  - Have a breakdown of when and where the overtime is incurred
  - Know which posts attract the most overtime
  - Evaluate the value added by overtime expenditure
  - Ensure that overtime is appropriately authorised and monitored
- **Attendance management** - High levels of sickness and absenteeism can seriously hamper the ability of an organisation to deliver high performance, and may also be a signal that staff are overworked. Conversely, 100% attendance is unlikely and unusually high levels of attendance may even be a signal of a perverse sickness absence policy – for example imposition of targets that deliver short term success but have a detrimental effect in the long term. Whilst sickness absence cannot be eliminated, it should be subject to effective management. The Home Office and Health & Safety Executive have published a joint review of practice in attendance management,[36] and new guidance on attendance management will form part of the revised Unsatisfactory Performance Procedures, providing a framework for improving attendance.
- **Workforce mix** - There is considerable variation between forces in how the policing workforce is configured and the national Workforce Modernisation team in the NPIA is looking at this area. The policing workforce is no longer predicated solely on warranted officers and ensuring that the people with the correct skills and experience to deliver the service in any given part of the business is an added dimension to resource management.

Ensuring that the information and processes are in place to ensure that the above issues are considered as a matter of routine during planning and performance monitoring is important.

34 See for example www.police.homeoffice.gov.uk/news-and-publications/publication/police-reform/HO_police_rostering.pdf

35 More information on abstraction management can be found in "Making Delegation Work: Guidance for the Police Service on delegation to Basic Command Units and support departments", Home Office / ACPO, 2006

36 "Sickness Absence in the Police Service: Review of Current Practices", Home Office and Health & Safety Executive, 2007



CASE STUDIES include...

Case studies from **Cleveland** that illustrate a high level integrated corporate planning process and how the force has approached integrating Activity Based Costing into its performance framework.

A case study from **Dorset** that shows how the force has linked planning with NIM principles and threat/risk assessment.

Case studies from **Hertfordshire** that describe how the force monitors risk against force priorities, has established differential targets around sanction detections for different parts of the force, and responded to an emerging risk around bilking offences to avert a pressure on overall crime.

A case study from **Lancashire** that describes how the force has integrated performance information into NIM processes to establish a single planning, priority setting and review process.

Case studies from the **Police Service of Northern Ireland** and **Surrey** that highlight how these forces have approached organisational risk management.

A case study from **North Wales** that relates how the force reviewed shift patterns.

A case study from **Northumbria** that outlines the force's strategic management framework that links priorities to service delivery.

A case study from **Staffordshire** that describes the use of real-time demand management data.

The **Audit Commission** website[37] includes annual reports on Police Use of Resources which also contain case studies illustrating effective practice in this area.

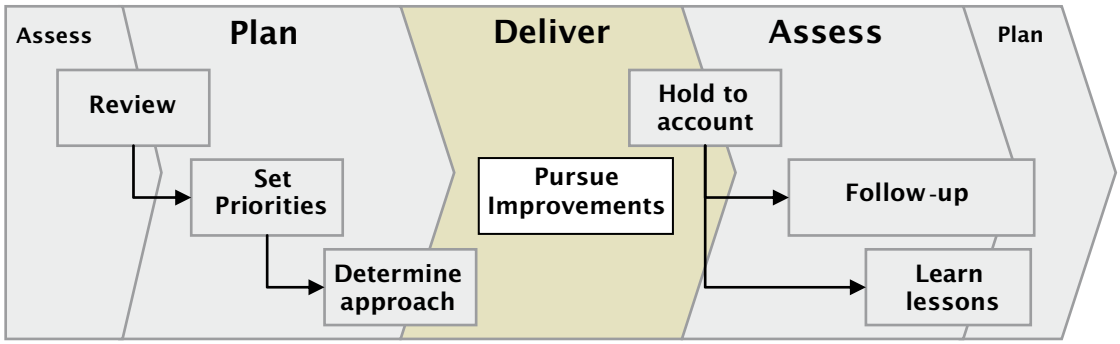
37 www.audit-commission.gov.uk

3.2 Delivering: Improving your processes to improve productivity

Hallmark 7: The force pursues improvements in the efficiency and effectiveness of business processes that support delivery against priorities

IN THIS SECTION:

- Information on how performance improvements of a number of types can come from examining key policing processes and taking steps to improve them
- Discussion of how to focus attention on the processes that matter the most
- Tips on how to approach process improvement work, both in operational and support departments

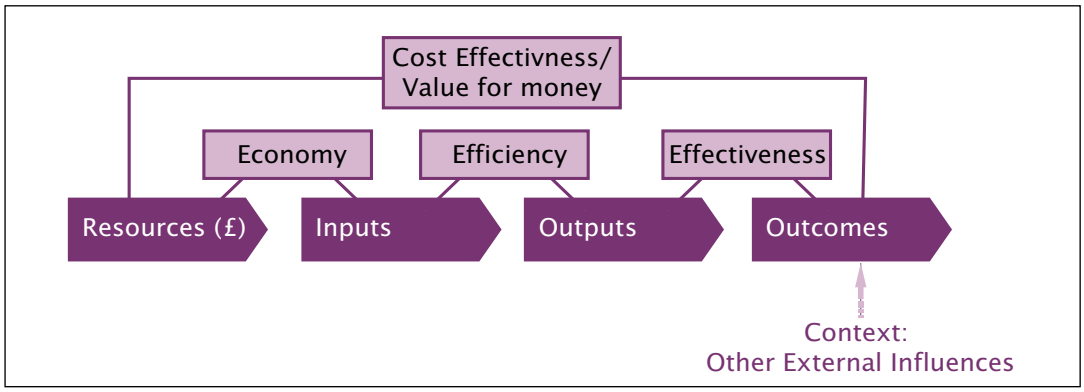


A business process is, in simple terms, a set of activities that must occur in an organisation in order to transform resources into results. Changing or improving your processes can be a key tool in achieving organisational objectives through improving productivity. Processes must be understood if they are going to be influenced in a way that will improve their associated outcomes.

Some processes are found across all organisations – for example, around procurement, finance and personnel. Additionally, there are policing-specific processes; for example, the steps taken to investigate a burglary, or more narrowly the steps taken to retrieve DNA from a burglary scene, can both be described as business processes.

According to HM Treasury *et al*,[38] the **efficiency** of a process is given by the ratio of outputs to inputs, whereas the **effectiveness** is about how those outputs contribute towards outcomes.[39] The flow of investment to outcome can be analysed to measure Value for Money. The diagram below shows the relationship between efficiency, economy and effectiveness. Value for Money is high when there is an optimum balance between all three 'E's: relatively low costs (economy), high productivity (efficiency) and successful outcomes (effectiveness).

38 See www.hm-treasury.gov.uk.documents/public_spending_reporting/public_service_performance/psp_fabric_index.cfm
39 For discussion of the definitions of 'input', 'output' and 'outcome', see Chapters 1 and 4.



Clearly, the more efficient and effective key business processes are, the better the performance. In tightening financial circumstances, such improvements in efficiency and effectiveness become all the more important. Efficiency and productivity gains release people, equipment & technology, and money – which must then boost outputs or outcomes in a sustainable way where the gain is made; be redeployed elsewhere; or help balance the budget.

Improvements to key business processes can also deliver a better working environment. For many staff, it can be frustrating to work inefficiently – particularly where they can clearly see how they could work more efficiently and effectively.

Process improvement should be approached with caution though, because maximising one part of the process at the expense of wider performance can be a risk – the overall aim is to optimise the whole. For example, a fingerprint department may maximise the number of identifications by a batch processing method. However, releasing these identifications in batches may – in the absence of any corrective action – adversely affect the ability of BCUs to action the identifications in a timely manner. So consider the impact on other business before implementing 'improvements' within a single business process.

3.2.1 Which processes should you improve?

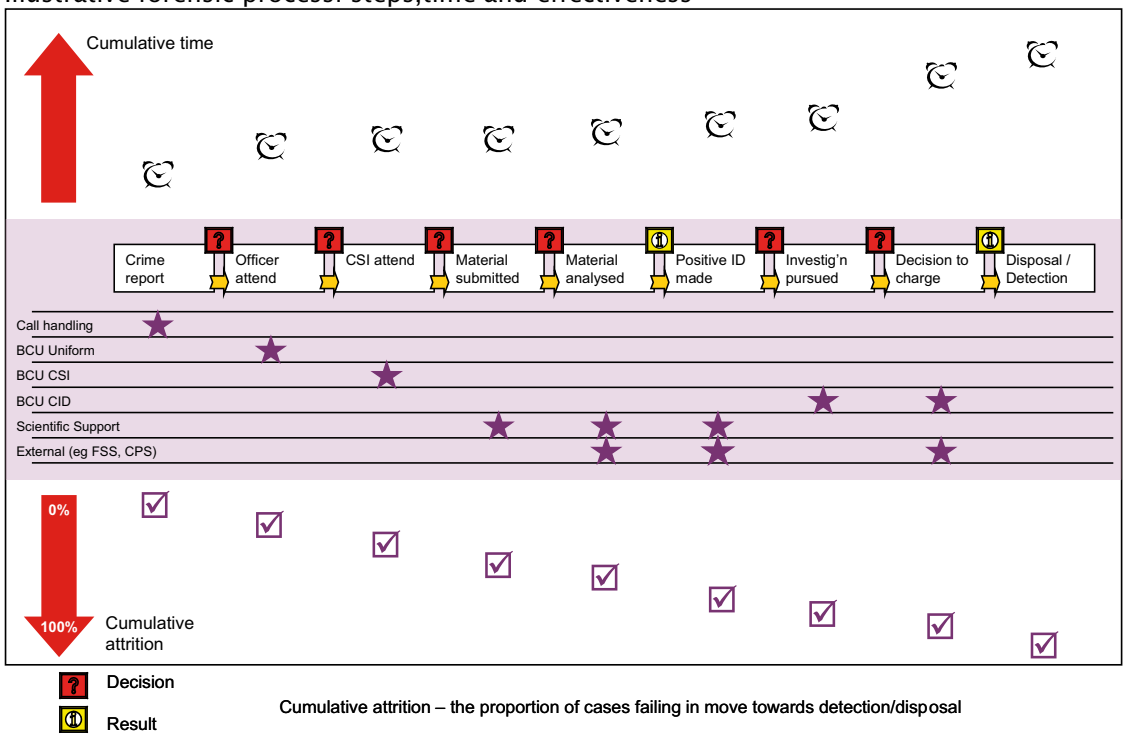
In many cases, you and your staff will know from your experience which policing processes drive performance to the greatest extent. However, experience shows that it is hugely beneficial to take a structured approach to this identification to ensure that important processes are not missed. Improving processes led by support departments might well be just as important as improving policing-specific processes in the achievement of force or BCU objectives, including the processes for monitoring and managing performance themselves. Learning from other forces that have carried out similar exercises may also save significant time and effort in mapping key processes.

Establishing an understanding of the key processes **that will support delivery against your objectives** is the first step in being able to take action to improve those processes, and this should be considered during planning (Section 3.1). You need then to ask yourself the following questions in order to identify your critical processes:

Question	For example…	For example…
What is the priority?	Investigative performance / proportion of offences brought to justice	Staff turnover
What is the objective?	Increase detection rates	Reduce time from vacancies arising to being filled
What does this rely on? (I.e. critical process areas)	• Quality of forensic evidence • Quality of intelligence Etc…	• Timeliness of posts being advertised • Timeliness of interview process Etc…
What affect the ability to improve for each of these? (I.e. critical processes)	• For quality of forensic evidence: - speed of DNA collection - speed of analysis - quality of fingerprint capture Etc…	• For timeliness of interview process: - speed applications are processed - timeliness of interviews Etc…

If possible when undertaking this step, it is helpful to attach existing performance indicators to each contributory factor, and thus be able to identify where in the system 'performance leakage' is occurring – in other words, where the opportunities to maximise performance against a particular priority may be. This is further illustrated below for the forensic process.[40]

Illustrative forensic process: steps,time and effectiveness



Cumulative attrition – the proportion of cases failing in move towards detection/disposal

40 More information on improving forensic processes can be found in the "Scientific Work Improvement Model (SWIM) Summary Report", Home Office, 2007

The output of this exercise will be a list of the policing (and other relevant agency) processes that are the most critical to achieving force, BCU or department priorities. Once key processes have been identified, the critical steps in each process – which ultimately affect the successful completion of that process – need to be mapped in more detail, so any blockages can be identified in the set of activities in order to make improvements.[41] It is particularly important to map the links between operational groups carefully, to ensure accountability and avoid seeking improvements in 'silos', which will prevent improvements across the whole process. This may be a resource intensive exercise, hence the need to focus on priority areas.

Once key processes have been identified and mapped, each process needs to be baselined, to enable decisions to be taken about which processes need improving and to track future progress. This means assigning or developing performance indicators for key processes. Ideally, existing information should be used for this. Establishing appropriate performance indicators is discussed in more detail in Section 4.1.

3.2.2 Improving business processes

Identifying and measuring your key business processes as part of the planning process helps to create clarity over commitments, responsibilities, demands, and objectives, and the relationship between inputs, outputs and outcomes. However, this is not an end in itself – the objective is to manage or change processes so that overall performance improves and this impacts positively on the outcomes being sought.

Process improvement work involves:

- Defining clearly an objective to be addressed, and the scope of activities or organisational parts that contribute most directly to achieving that objective
- Assembling a core team to act on behalf of their colleagues in analysing and understanding the detail of the nuts-and-bolts of those activities
- This team drawing upon their colleagues' knowledge and experience, external knowledge and experience, and baseline data about the process, to design solutions to each obstruction in the process from end-to-end – understanding that what may deliver benefits in one narrow area may cause disbenefits to those who are reliant on the outputs from that area
- Testing those solutions out with staff and their managers
- The team, with their colleagues, implementing the solutions they have designed (that, so far as possible, should not depend upon major investment, structural changes or alterations to legislation). New or existing performance indicators are used track improvements

Process modelling (including simulation) can be a useful part of process improvement – if it helps understanding of the way the system works or predict the impacts of changes upon other parts of the process and upon the performance of the system as a whole. However, it is wise to be alert for unintended or unpredictable consequences (both good and bad) as it is impossible to perfectly specify any process.

41 "Guidance on Process Management", ACPO, 2004, provides more detailed information on process identification, definition, modelling (mapping), monitoring and improvement. See www.acpo.police.uk/asp/policies/Data/Process_Improvement_Guidance.doc



TIP: Learning from Operation Quest

Operation Quest is a programme of productivity improvement projects running across several UK police forces. It provides an example of how developing an approach to problem solving at an operational level can improve performance and productivity by around 10-15% compared to baseline performance.

The key principles of this approach can be categorised through a series of success factors. These are:

- **Problems owned and solved at a local level by operational managers**

  Quest engages directly with front line officers who identify the issues surrounding the underpinning policing processes, and then the Quest project team works with those officers to implement solutions. This generates significant buy-in and front line ownership, and helps to engender a degree of cultural change within the participating forces. Activities that have underpinned success in this area include:
  - Rapid identification of issues (10 week maximum analysis stage)
  - Officers accountable for designing the solution and owning the stakeholder management
  - Implementation within 16 weeks

- **Lots of small improvements that are part of a wider improvement strategy**

  The Quest approach is principally concerned with prioritising solutions that will have the maximum short term benefit. However it also recognises that major change programmes are incremental and made up of a number of inter-related workstreams. It is important to set productivity improvements into a connecting framework and understand the implications of each change.

- **Appropriate indicators that track success**

  Performance management in improving processes should focus on the outputs from an operational perspective that matter.

- **Look for opportunities to improve on success**

  Environments, personnel and pressures change over time and successes elsewhere (including in the manufacturing industry and the military) have shown that genuine improvements are only sustained if they are tested and re-assessed as part of a structured 5-10 year plan.

- **Values and Behaviours**

  Understanding organisational culture and creating an environment for change is critical to improving productivity. This includes being able to challenge the business as usual and recognise that issues exist including where they arise from internal management action. A supportive and engaged senior owner for the work is important.



TIP: The use of 'Lean'

Lean is a management system which focuses activity, people and resources on serving customers and eradicating waste. The means by which this is achieved are what make an organisation 'Lean'. Lean organisations are characterised by high levels of customer service, supported by extremely efficient delivery processes in an environment where staff contribute substantially and consistently to the continuous improvement of performance. Key elements are processes, culture and infrastructure.

Lean organisations constantly search for and eradicate 'waste', defined as any activity which consumes resources that are not essential to the delivery of great customer service. The '7 wastes' is a well known Lean tool but is not wholly applicable to public services. PA Consulting has undertaken work to tailor the tool for public sector, to focus on '5 wastes'. These are set in a police context below:

Waste	Example of waste in the Police
Talent	A team member in a local station has a simple idea to speed up capture of reporting a crime that needs a crime number but has no means of making it happen
Movement	Repeated need to transfer physical documentation between stations and processing teams
Waiting	A report sits in an in-tray for 36 hours waiting for authorisation from a manager before the decision can be communicated and acted upon
Over-production	Mass-produced forms are cheap to print but are thrown away in bulk when a change is required
Re-work	A decision is checked several times by progressively more senior people



TIP: Support departments: where to start looking for improvements

Potential sources of efficiency and effectiveness improvements to be found in processes managed by support departments include:

Finance and Procurement

- Financial accounting, payroll, allowances, expenses, pensions - improvements can often be made by examining and addressing:
  - work scheduling and unnecessary paper flows between staff

- rebalancing work between local administration and central functions
- driving down the amount of rework by focusing on simplicity of use, guidance and training
- opportunities for 'self-service' online facilities to reduce work requirement
- improving links between financial and HR systems to automate as many processes as possible (for example, allowances that relate to a specific post when a member of staff is posted)
- outsourcing key functions, or using shared services

- About 20% of expenditure goes on goods and services - improvements can often be made through examination of:
  - The proportion of spend that goes through contracts negotiated at regional or national level
  - Identification of such national or regional contracts that may currently not be being used to their full potential
  - Compliance across force with contracts negotiated at force level

Corporate Support

- Resource spent on data collection, analysis and reporting can be analysed to see if any of the following are true:
  - Not needed (e.g. the requirement changed but practices never adapted)
  - Not trusted for decision-making, so is not used
  - Not timely or otherwise not in a usable form for decision-makers
- Inconsistent data collection in BCUs that creates extra work to compile information within Corporate Support teams

Personnel

- Recruitment processes: staff involved, process, throughput, potential for contracting out some elements
- Career development: processes and systems for maintaining personnel records, tracking careers, identifying development needs
- Processes or systems to bring together personnel, training and payroll services to streamline administrative burdens and support transactional HR services
- Scope for more on-line services that could reduce cost of service provision, or encourage greater take-up (assuming that the quality of these services is not diminished)
- Welfare, occupational health and Force Medical Officers (FMOs): approach to sickness management, accessibility and cost-effectiveness of facilities, FMO contracts

In addition, the ratio of staff numbers in each support department to total workforce numbers can be examined, and compared with other forces and with wider public sector. This can give an indication of the scope for streamlining processes.



CASE STUDIES include...

A case study from **Cambridgeshire** that illustrates how the force's Corporate Performance Department provided support to improve the Crime Management Process.

A case study from **Nottinghamshire** which shows how the force improved the child abuse referral process through process improvement techniques.

Case studies from **West Midlands** that outline how the force has approached performance improvement through process improvement based around 'Lean Thinking' and 'Six Sigma' methodology.

Case studies from **Merseyside** and **Suffolk** that demonstrate the Operation Quest approach.

The **Audit Commission** website[42] includes annual reports on Police Use of Resources which also contain case studies illustrating efficiency and productivity improvement.

The **HMIC** website[43] includes inspection reports which provide examples and developing practice around efficiency and use of activity analysis.

42 www.audit-commission.gov.uk

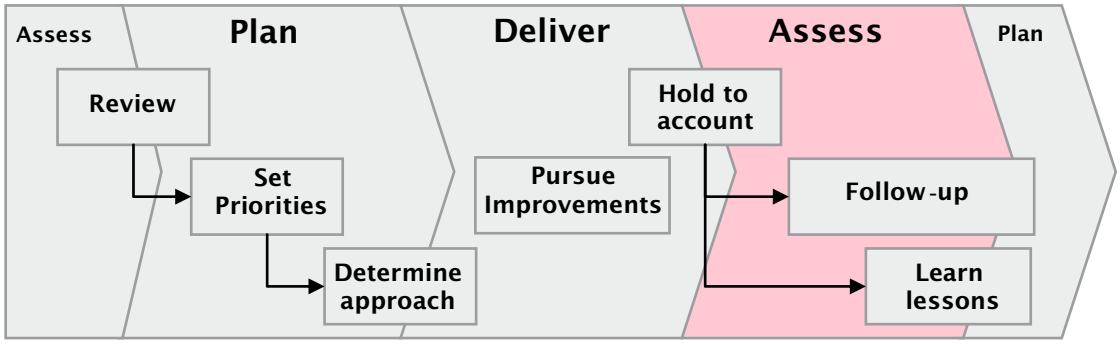
43 www.inspectorates.homeoffice.gov.uk/hmic - see for example "Her Majesty's Inspectorate of Constabulary national inspection of performance management 2007: Lessons Learned" and related individual force reports

3.3 Performance Review Processes

Hallmark 8: Performance review structures serve all operational and support departments, linking with police authority and partners, and integrating with the NIM

IN THIS SECTION:

- Considerations for performance review structures that can operate at force, BCU, department, team and individual level, as the focus of the performance management framework.



The core of the performance management process is the performance review structure: the meetings and associated activities where results are considered, people are held to account for their actions, solutions are derived for problems, good practice is captured and lessons from delivery can be fed into the plan for the future.

Whilst there are many variations in approach it is clear that performance review meetings must take place at all management levels, to ensure that performance management is not a top-down exercise divorced from everyday operations. Frequency and attendance are determined by need and by risk, but given that emphasis should be on achieving improvement in those areas of performance identified as priorities, a review frequency of less than monthly below force/authority level is unlikely to drive team or unit activity appropriately.

Performance review meetings and structures throughout the force should link together coherently to ensure that the performance management framework serves every part of the force, including both operational and support departments. Review processes should also align in a way that does not result in duplication of effort or the establishment of contradictory actions.

The performance review structure should include performance review meetings for individuals ('PDR meetings') as a key part of the overall process, and links should be made between the matters discussed in wider performance review meetings and individual performance review. The PDR process is discussed in more detail at Section 3.4.



NIM and the Performance Management Framework: REVIEW

Ensuring that the structures that serve the NIM process and performance review structures are aligned (or the same) is important. Strategic Tasking & Coordination meetings, Tactical Tasking & Coordination meetings, Daily Management Meetings and Neighbourhood Coordination Meetings all form part of the Model, and all have a role in the process of setting operational priorities, tasking resources and monitoring delivery. At some levels of the force, these meetings will be the only opportunity to discuss performance, hold people to account and decide on follow-up action and should therefore be considered a key part of the performance management framework. Results analysis (see Section 3.5) is a key part of the NIM process.

There is no single answer as to how the performance review process and NIM processes should be integrated. What is important is that processes that support performance management are clear and extend to cover all operational and support departments, and that the terms of reference of different groups are coherent. You can use the process mapping and improvement methods discussed in Section 3.2 above to assist with ensuring this coherence.



Key Links

Performance review processes also need to be in harmony with those of stakeholders and partners.

In particular, the force process should align with the process operated by the police authority. Ideally, together the processes should operate as one system which ensures that the authority is able to add value in their scrutiny of performance, and the force is able to account for performance using the most up-to-date information derived directly from the force review process.[44]

Where representatives from the force and police authority are involved in partnership performance review processes (e.g. as part of CDRPs/CSPs, the Local Strategic Partnership (LSP), or the LCJB), the links between these structures and the force internal structures should also be coherent.[45]

Alignment of review processes with partners is likely to make the overall process of monitoring performance more efficient for those involved, and also opens up the possibility of sharing resources to support performance review. Involving representatives from the police authority and key partner agencies in force or BCU performance meetings is also a way of helping them to understand the issues of greatest concern to the force and take action to assist with problem solving.

44 More discussion of the role of the authority in performance review and alignment of review structures with those of authority can be found in "Police Performance Management: Practical Guidance for Police Authorities", APA / Home Office, 2006

45 More information on 'intelligence-led' CDRP/CSP processes – including advice on making the structures work and ensuring that links are in place - can be found in Sections D1 and D2 of "Delivering Safer Communities: A guide to effective partnership working – Guidance for Crime and Disorder Reduction Partnerships and Community Safety Partnerships", 2007. This guidance also includes information on ensuring coherence between CDRP/CSP structures and Local Strategic Partnerships/Local Service Boards and Local Criminal Justice Boards

At whatever level of the force the meeting takes place the senior officer or head of department must be seen to be taking a central role, chairing the meetings and identifying the key issues that need to be addressed. This is discussed further in Section 3.4.

Although the format of performance review structures should change appropriately to reflect different needs for different parts of the force, the underlying structure should remain the same, to ensure effective performance management and accountability. Structures may also change over time to reflect developments in the approach to performance management.

The performance review visit

A more detailed review of the performance of individual units, teams or departments can be undertaken through a rolling programme of reviews led by a member of the management team. Such reviews have the potential to allow the management team to gain a more detailed understanding of progress and barriers to performance whilst giving staff the opportunity of face-to-face time with senior managers to draw on their experience. These advantages have to be weighed against the benefits of a performance review meeting which allows for sharing of good practice, identification of common issues and possible solutions.

As with the performance review meeting the style of approach is important and the most successful visits are likely to include a balance of styles varying according to the circumstances and the objective of the visit.



CASE STUDIES include...

Case studies from **Merseyside** that illustrates the force's performance review process and joint performance review with criminal justice partners.

A case study from **West Yorkshire** that shows how the force established a performance review structure for support departments to bring them into the same regime as other parts of the force.

The **HMIC** website[46] includes inspection reports which provide examples and developing practice around force structures and processes that support performance management.

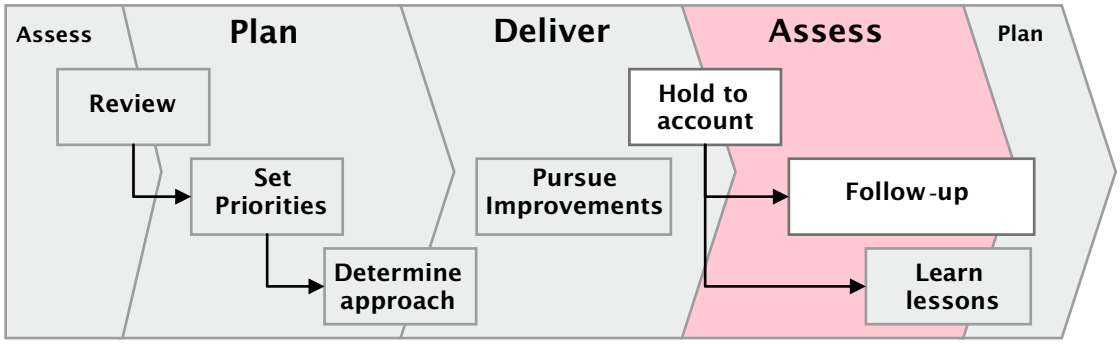
46 www.inspectorates.homeoffice.gov.uk/hmic - see for example "Her Majesty's Inspectorate of Constabulary national inspection of performance management 2007: Lessons Learned" and related individual force reports

3.4 Review of performance

Hallmark 9: Regular review of performance holds people to account against objectives, recognises good performance, and drives problem-solving and relentless follow-up

IN THIS SECTION:

- Guidance on how to ensure that performance review meetings are effective in driving improvement activity.
- Tips on internal audit and inspection
- Information on effective performance review for individuals



Recognition of both good and poor performance is a key part of performance management. Identifying good and poor performance, and identifying any need for intervention, begins at the performance review meeting. It is essential that there are recognised consequences for unsatisfactory or poor performance.

3.4.1 Review of performance for teams

Changes in performance for better or worse range from steady decline or improvement, to sharp 'freefall'. The response will vary depending on the nature of the change, and the issue at hand.

Performance review provides the link between delivery and planning, and provides a focus for problem solving and 'managing' performance. Performance review meetings are where performance is monitored, people can be held to account for what they were asked to deliver or implement, good practice can be shared, threats and risks can be identified, and problems can be identified and solved. These meetings are the opportunity for leaders to inject energy into the performance management process through a relentless pursuit for improvement, and also the chance for staff to showcase innovative solutions to emerging problems.



TIP: Elements of an effective performance review meeting

- Chaired by a senior officer, head of department, team leader or a senior deputy as appropriate
- Attended by the people who are accountable for the performance under discussion – management teams at force, BCU or department level; would be all team members at an individual team level
- All attendees have access to the same accurate, relevant and timely (up-to-date) performance data and analysis for discussion – see Chapter 4 for information on the most appropriate information to support review meetings
- Actions agreed in previous meetings are reviewed and re-energised if necessary
- Recent performance interventions are revised where necessary
- Good performance is highlighted, discussed and recognised as well as poor performance
- Critical changes or factors affecting delivery are identified, as well as emerging threats or risks to future delivery
- Where poor performance or new risks are identified, a problem solving approach is used to determine the way forward – plans are made to tackle it, and additional support and assistance are offered where appropriate. The focus should not be on why things cannot be done, but on how they can be done, and managers should recognise the problems where they can facilitate a solution through influencing colleagues in other parts of the force or partner agencies
- Clear actions and next steps are agreed, relentlessly followed up, with progress discussed in the next meeting

The importance of encouraging the right behaviours in the performance management process was discussed in Chapter 2, and the style of the performance review meeting is critical. One way to ensure that the correct balance between challenge and support in review meetings might be to draw up an informal 'contract'. This should be drawn up in the context of the review meeting (i.e. at force level, department, BCU, team, etc) to set parameters, requirements and expectations for the performance review process. The following illustrates the point at the force level.

The ACPO team will:		BCU commanders and heads of department will:
• Hold commanders and heads of department to account in a manner that is robust but not aggressive • Ensure that the meeting drills beneath the surface of apparent performance trends to promote proper understanding • Highlight and praise good performance – and its links to force objectives • Offer support and assistance for tackling any poor performance identified • Hold commanders and heads of department accountable for only those outcomes or processes that they can influence • Follow up on previous actions agreed with commanders and heads of department • Ensure managers have access to the same timely and accurate performance data	← → ←	• Recognise the significance of the review meeting for force performance • Come to meetings prepared to explain what lies behind performance – good and poor – and to detail actions taken in response • Implement action plans agreed at the meeting • Identify any support needed to deliver action plans at the meeting • Follow up on previous actions agreed with the ACPO team • Ensure plans and performance issues are cascaded down within the department or BCU

Recognition of good performance and learning lessons are key parts of the review process. This is discussed further in Section 3.5.

Having the right analysis to support the performance review process and problem-solving is also very important, to support intelligence-led decision making. This is discussed in more detail in Section 4.2. The review process must also take into account the need to ensure governance over and accountability for data quality, to ensure that the information driving the decision-making process is robust and not open to question – see Section 4.1 for more information.

The key outcome of any performance review meeting are the actions, and there should be a clear understanding of what will be done, by who, by when and how progress will be assured between meetings.



TIP: Internal inspection and support

Internal inspection (or audit) activity is a key tool that can be used within an effective performance management framework, both to provide quality assurance around delivery to feed into the performance review process and to help embed the importance of high performance throughout the organisation. This kind of activity can play a critical role in the relentless follow-up of actions that have been put in place to improve performance.

Inspection activity can come in a variety of forms. Some of the questions that can help in establishing the right inspection regime include:

- How is internal inspection activity commissioned (e.g. is it risk based, is it driven by performance results)?
- Who commissions and receives results (e.g. is it the command team, or is it a specific department or team)?
- What skills and experience are most relevant for internal inspection staff?
- How are inspection outcomes actioned, how are recommended changes followed though?
- How is inspection activity evaluated – is there a correlation between inspection outcomes and performance improvement?
- How is inspection activity integrated with other types of internal or external assessment?

Self assessment and peer review are also potentially useful tools for internal inspection. The latter might be particularly relevant for specialist activities (e.g. major crime), and 'peers' might be drawn from within the force or from other forces or external bodies.

Inspection should be seen as part of the wider performance improvement regime. In this respect, ensuring that inspection activity comes hand in hand with support – if necessary – to implement recommendations can be very beneficial. There are a number of ways that support activity can be resourced (e.g. standing team, short term project team, external consultants). Experience shows that such a short term injection of resources can be very helpful in ensuring that changes are made – but only if the people responsible for ongoing ownership of the area of business in question are fully involved in designing and delivering improvements.

3.4.2 Review of performance for individuals

As well as review of performance at organisational or team level, the performance appraisal process for individuals is important in encouraging the behaviours required to create a culture where performance management is part of everyday life. Skills for Justice have published guidance on implementing and improving a Performance and Development Review (PDR) process, which includes information on both embedding a successful PDR system, and linking it to other processes such as workforce planning, reward and recognition and promotion.[47]

Key points for line managers in carrying out their responsibilities in the PDR process outlined in the guide include:

Principles of PDR – remember that:

- PDR is an integral part of line management responsibilities
- PDR is an ongoing process
- PDR does not replace day-to-day informal contact with staff
- Evidence gathered to support PDR should be sufficient, no more

Setting Objectives - ensure that:

- You have a clear understanding of the force's expectations for your team, and that these are communicated with the team and used to set objectives for individuals
- You understand the role profiles of team members
- Objectives are SMART (see Section 3.1)
- You discuss any concerns over objectives, and establish how they might be achieved and if any learning and development is required

Monitoring and reviewing performance – ensure that:

- In addition to ongoing informal contact, you conduct regular review meetings with staff to assess progress, provide feedback and amend objectives where circumstances arise
- You raise performance issues and areas for development with individuals as they arise
- You assess evidence of competence during the year

Conducting a PDR Review – for the meeting to be effective you should:

- Give the individual sufficient notice of the review and arrange for the meeting to be held in a private environment
- Prepare for the meeting in advance
- Ensure that during the meeting there is scope for reflection and analysis, performance is analysed, not personality, achievements are recognised, and agreed actions are set out
- Record the agreed outcomes

47 "PDR – A Guide to successful implementation and improvement", Skills for Justice, 2006.



CASE STUDIES include...

A case study from **Gloucestershire** that describes the 'purpose statement' underpinning the force performance improvement conference.

Case studies from **Hertfordshire** and **Surrey** that highlight the use of performance information at an individual officer level.

A case study from **Northumbria** that explains the force's approach to inspection of support departments.

The **HMIC** website[48] includes inspection reports which provide examples and developing practice around force performance improvement functions.

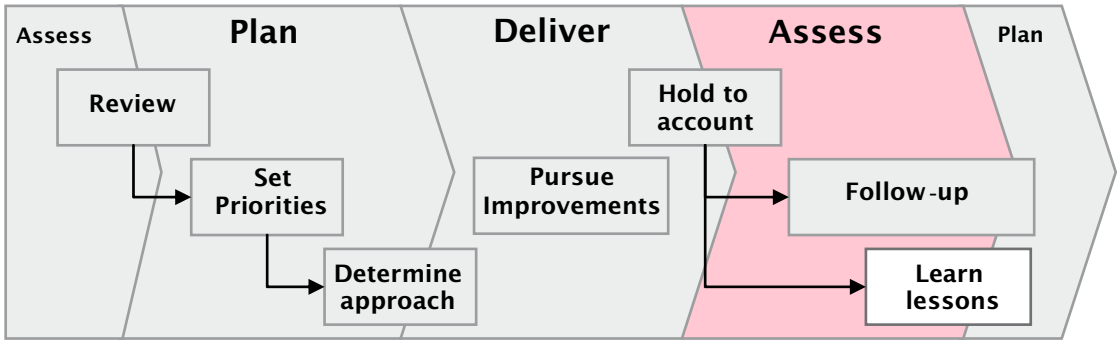
48 www.inspectorates.homeoffice.gov.uk/hmic - see for example "Her Majesty's Inspectorate of Constabulary national inspection of performance management 2007: Lessons Learned" and related individual force reports

3.5 Identifying and capturing good practice and lessons learned

Hallmark 10: Good practice and lessons learned are quickly identified, shared and acted upon

IN THIS SECTION:

- Guidance on the importance of capturing, sharing and implementing good practice as part of effective performance management, including potential places to look for it
- Guidance on ensuring that proper evaluation is built in to the activities that need it



Central to both effective performance management and operation of the NIM is the need to evaluate what has been done and take on board learning for the future: to capture and share effective practice. Unfortunately, it is all too easy to overlook the need for evaluation – it's not always seen in policing as part of the core job.

'Good' or 'effective' practice is essentially a combination of good ideas that are implemented well by staff with the right skills. Capturing and sharing effective practice - and the components behind it - is an important part of a performance management framework, because it is helpful in both problem solving and ensuring that the best way of doing things is built into everyday business. It is not just an activity to be completed at the 'end' of the performance management cycle – it is a key part of determining the appropriate response in the first place.

Sources of good practice include:

- From **within the force**. For example, identifying good practice in one BCU, department or team, determining its appropriateness for other areas and implementing as appropriate. This requires the encouragement of sharing of good practice – which should happen as part of regular performance review
- Direct from **other forces**. Avoid the trap of feeling that "it can't be relevant to me, it's 'not invented here'". Forces are generally very willing to assist others, even though the Most Similar Forces framework may make this seem a competitive environment

- From **published research**. There are a number of police research experts whose work merits greater attention[49]
- From the **National Policing Improvement Agency**
- From the **Home Office**[50]
- From **HMIC**[51] or the **Audit Commission**[52]
- From the **Crime Reduction Website**[53]
- From **professional publications** and magazines relevant to policing
- From **outside the police service** – both in other sectors and other countries

Examples of effective practice do not have to be current – just because a piece of work took place a few years ago does not necessarily mean that it cannot provide useful insight into how to tackle today's problems.

Sharing of good practice can be encouraged through a supportive culture. There needs to be a structure that the force follows for the capturing, sharing and implementation of such good practice.[54] People will exchange good practice if they meet to discuss how things are going – this might be through the formal channels of the performance review process (including NIM processes), but might also be through additional more informal activity that allows sharing of effective practice outside of a forum where performance is being scrutinised.

This responsibility for identifying good practice extends to everyone in the force. Officers and staff at all levels need therefore to be able to understand how their work contributes to team (as well as department and force) priorities, so that they can then review how their actions contribute (or otherwise) to those priorities. They are then in a position to evaluate their own contribution. If they realise their actions could be revised to contribute more effectively, they can provide that feedback and ensure that appropriate changes are made for the future.

Sometimes, individuals may feel nervous about sharing good practice, as they're not certain how good an idea it may be. It's therefore important to foster a culture that encourages those with ideas to come forward, with no fear of criticism, so that they can be considered and – if appropriate – implemented more widely.

Evaluation

The word 'evaluation' can be used to refer to many different related activities within performance management, but specifically here it is taken to mean assessing whether an individual project or programme has met its objectives, how efficiently they were met – and understanding why. If an initiative fails to have the desired effect, evaluation should help determine whether the initiative is wrong in principle, the principles have not been appropriately adapted to local circumstances, or the initiative has not been properly put into practice.

49 For example, Realistic Evaluation, Pawson and Tilley, 1997, Sage Publications Ltd, ISBN 978-0761950097
50 For example via the Home Office police website, www.police.homeoffice.gov.uk
51 For example in inspection reports on the HMIC website (inspectorates.homeoffice.gov.uk/hmic)
52 The Audit Commission website (www.audit-commission.gov.uk) contains examples of good practice from the policing sector and other public sectors (for example local government).
53 www.crimereduction.co.uk
54 For example through the development of 'Communities of Practice', see "Communities of Practice", Etienne Wenger, 1999, Cambridge University Press, ISBN 978-0521663632

Part of the solution to capturing good practice is to ensure that evaluation of good performance is explicitly recognised by the force as important. This may in part be achieved by adding 'evaluation' to the responsibilities of individuals, teams and departments generally, or ensuring that 'evaluation' plays a part in the objectives for the force's performance management department. This includes evaluation of learning and development initiatives and changes to processes as well as operational activity.

Evaluation activity starts at the outset of an initiative: you must be clear how you will evaluate what you are doing, so that you collect the right information during the activity to enable an effective evaluation. It is impossible to evaluate fully all activities, nor is that necessary. In deciding which activities to prioritise for evaluation, the following can be considered:

- The scope of the activity
- The cost of the activity
- The availability of existing knowledge about the efficiency and effectiveness of the approach
- The level of public interest in the work
- The balance of effort to evaluate versus expected impact of the activity
- The novelty of the approach being adopted

Projects should be evaluated if they have a large budget, are funded through a grant or funding arrangement that requires report-back to funding providers, or are adopting a novel approach where there is little or no evidence that the approach will work.[55]

Evaluation does not have to be carried out by (potentially expensive) external evaluators. The key to a good evaluation is not who does it, but whether the evaluation method is:

- **Transparent** – clearly and fully shown
- **Valid** – measuring what it claims to measure
- **Independent** – conclusions drawn only from the data collected
- **Replicable** – others doing the evaluation would have produced the same results

If internal evaluators are to be used, there must be sufficient time built into the work for the staff to carry out evaluation activity properly, and the emphasis must be on an honest assessment – new ways of doing things do not always work, and learning from limited success can be very valuable!

55 For an example of how a major operational policing programme can be evaluated, see the "Neighbourhood Policing Programme Performance Evaluation Report", NPIA, 2007



NIM and the Performance Management Framework: LEARNING LESSONS

One of NIM's fundamental constituents is the requirement for results analysis or evaluation, to learn from what has happened and to take this learning into account in future activity. This area can often be neglected, yet is fundamental to a successful approach to managing performance. NIM provides structures for operational review, particularly through debriefing. Good briefings and debriefings will make reference to lessons learned and effective practice.[56]

Even when results analysis (or assessment) is considered, it can be misunderstood. Within policing, there is a strong 'can do' culture, a real strength of the police service. Yet sometimes this can translate into an expectation of 'we will be seen to succeed, whatever the actual outcome'. Some have described this as being 'doomed to success'. This approach to assessment will not deliver sustained improvement. What is needed is a considered and objective examination of what worked and what did not. This learning should then be captured, disseminated and, if appropriate, acted upon. Delivering effectively relies on assessment of results and incorporation into future planning.

The NIM sets out a helpful framework for results analysis, which includes:

- Ensuring that measurement processes are in place before activity commences
- Debriefing to capture information about how things went
- Understanding external factors that might have impacted on delivery
- Examining the impact of activity
- Establishing repercussions and side-effects of actions
- Undertaking cost benefit analysis
- Implementing recommendations and recording results for future use



CASE STUDIES include…

A case study from **Staffordshire** which describes how the force supports problem solving and sharing of good practice.

56 www.inspectorates.homeoffice.gov.uk/hmic - see for example "Her Majesty's Inspectorate of Constabulary national inspection of performance management 2007: Lessons Learned" and related individual force reports

CHAPTER SUMMARY : STRUCTURES AND PROCESSES

Hallmark 6: A clear, integrated planning framework links force, police authority and wider stakeholder priorities with the NIM, corporate planning, budgeting, risk and resource management

Hallmark 7: The force pursues improvements in the efficiency and effectiveness of business processes that support delivery against priorities

Hallmark 8: Performance review structures serve all operational and support departments, linking with police authority and partners, and integrating with the NIM

Hallmark 9: Regular review of performance holds people to account against objectives, recognises good performance, and drives problem-solving and relentless follow-up

Hallmark 10: Good practice and lessons learned are quickly identified, shared and acted upon

The key points from this chapter include:

- ☑ Establish a planning cycle that integrates corporate, financial and resource planning with the NIM and the performance review process
- ☑ Set clear priorities from the top to drive management of performance in a balanced way across all parts of force business
- ☑ Ensure that the right relationships are established - within and beyond the force – for both priority setting and review of performance
- ☑ At the strategic level, work closely with the police authority and understand the role it plays in the performance management framework, both in planning and performance review
- ☑ Make sure that plans set out what will be done, why and how; are clear on how progress will be monitored and managed; and set out how the plan will be communicated and supported by learning and development for staff where relevant
- ☑ Pursue active management and improvement of business processes – using performance management principles - as a key tool in delivering against your priorities and in helping staff be as productive as possible
- ☑ Ensure that performance review mechanisms are in place in all parts and levels of the force, and that they focus on driving action and constructive but relentless pursuit of performance improvement
- ☑ Put in place and value opportunities to evaluate and capture effective practice, and draw on this information as a key part of planning for the future

4. DATA & ANALYSIS – giving you the right information to inform decision making

This guide has discussed the importance of establishing the right processes to support the management of performance; and of ensuring that the people working through those processes are empowered to work effectively. Both of these enablers are dependent on access to accurate, timely and meaningful data, analysed and presented in a manner that provides insight into how the force, department, team or individual is performing.

Successful performance management therefore depends on getting access to the right information at the right time, being confident that this is reliable and robust, and knowing what to do with it. This means that:

- There must be a coherent force strategy for performance information management, which joins the needs of the end users, and the resulting analytical requirements, with the way data is captured
- Users must not be overwhelmed with data, they should receive the information they need to guide decision making, through high quality analysis and presentation
- Systems must be adequate to the task and joined up to ensure that data can be trusted and time can be spent on value-adding activities like analysis and interpretation of data, rather than rationalising and researching data from different systems

In terms of the basic cycle of performance management (introduced in Section 1.1), careful consideration should be given to data and analytical requirements during any planning activity to ensure that the right data is captured during the delivery phase. This will ensure that when it comes to assess performance, the right information is available to determine how things have gone, and support what to do next.

This chapter looks at two key steps, linked directly to the Hallmarks for this Section:

- Capturing the right data
- Analysing and interpreting data, then using that analysis to inform decision making

Who should do analysis is also discussed in Section 4.2.

Hallmark 11: Timely, accurate and relevant performance data is easily captured and shared, meeting legal requirements and user needs

Hallmark 12: Insightful analysis, that is clearly communicated, supports intelligence-led decision making that directs day-to-day activity

4.1 Capturing performance data

Hallmark 11: Timely, accurate and relevant performance data is easily captured and shared, meeting legal requirements and user needs

IN THIS SECTION:

- Guidance on defining and measuring performance indicators
- An overview of the key elements of the information management system that should support the performance management process
- Discussion of the other sources of information about performance, beyond performance indicators



TIP: Definitions

The terms 'data' and 'information' are frequently used interchangeably, and indeed what might be considered 'information' in one situation could be viewed by others as 'data' in another. In this guidance, 'data' is generally taken more to imply numbers, words or images that have not been subject to analysis to answer a specific question, whereas 'information' is generally taken to mean something produced through processing, manipulating and organising data to answer questions.[57]

4.1.1 What data should you capture? Defining performance indicators

Section 3.1 described the process of arriving at priorities, objectives and the plan for achieving them. A crucial part of this process is describing what evidence will be used to assess progress towards the objectives. The starting point for this is usually the establishment of one or more performance indicators. A performance indicator is a measurement of the desired outcome that gives evidence for how well an objective is being achieved - although this may be indirect or incomplete evidence.

Performance indicators come in two broad types:

- **Outcome indicators** – these show progress towards specific objectives. For example, if the objective was to increase the proportion of domestic burglaries detected, the detection rate for this crime type would be an outcome indicator
- **Process indicators** – these are indicators that help you identify and measure business processes that contribute towards outcomes. They show the level of **output** from a 'process' that contributes towards the achievement of the objective (for example, the percentage of burglary scenes from which DNA evidence was successfully collected) or an **input** into the process (for example, number of scene of crime officers available)

57 Adapted from "Improving information to support decision making: standards for better quality data", Audit Commission, 2007

To some degree, one department or team's outcome indicator might be another's process indicator. For example the average time taken to fill vacancies might be an outcome indicator for the force HR department, but an input indicator for a BCU.

While outcome indicators show whether the final objective is being achieved, process indicators can give an early signal of future performance against those outcome objectives. Such indicators are described as **lead indicators**, and the corresponding outcome indicators are sometimes called **lag indicators**.

In managing performance, both kinds of indicator are needed. It is important that managers and staff understand the meaning and benefits of using lead indicators, because they provide for a real focus on operational activities that have a significant impact on operational outcomes. This means that, where lead indicator performance is poor, interventions can be made to directly improve outcomes.



TIP: Defining and measuring key indicators

- Indicators must be carefully selected so as not to overwhelm the user, and therefore should focus on priorities
- The minimum number of indicators necessary to understand performance should be used. For example, if a force business process is merely being monitored to understand the impact on the final outcome, selecting just one or two lead indicators from that process might be sufficient. If that process was the subject of targeted improvement activity, it might be necessary to monitor several process indicators
- Indicators should be selected to present a balanced picture of what the organisation is achieving:
  - Use qualitative indicators (e.g. free text comments from public surveys) as well as quantitative indicators (e.g. from recorded crime)
  - Indicators should be clearly defined and selected so as not to inadvertently distort management focus across the force, and should therefore cover all key business areas and both operational and support functions
- Timescales for data collection and presentation should be agreed to ensure that indicators are available in a timely manner and with sufficient frequency to be useful in managing performance ('real-time' if necessary)
- Experience shows that governance over and ensuring accountability for data collection makes a significant contribution to ensuring that high quality data is available for decision making. Hence, indicators should have 'owners', potentially of three kinds:
  - An owner responsible for setting the objective that the indicator relates to who should ensure that it is correctly defined, understood and agree the reporting frequency
  - An owner responsible for delivering against the objective who will need to understand the definition of the indicator and ensure that processes are in place to generate correct, accurate data

- An owner responsible for collecting and processing the data, who is responsible for ensuring that the definition is adhered to and that data is captured and reported accurately

- Develop and implement an effective collection method, so you know when and where data will be coming from – source systems, manual audit process, etc
- Review your indicators regularly to ensure they are still relevant and appropriate – make sure they reflect any new/changing priorities

Coming up with performance indicators is not always straightforward, particularly in areas of business not easily quantified. When considering a proposal for a performance indicator, it can be helpful to benchmark it against a standard set of 'acceptance criteria'. This will help both ensure that indicators are fit for purpose, and also help to clarify the limitations or risks associated with any indicator that is not perfect. This latter information can then be borne in mind during data collection or performance review. You may find the following criteria a useful starting point:

Criterion	Description
Relevant	The indicator should relate directly to your objective / business process
Avoids perverse incentives	Use of the indicator should not encourage unwanted, wasteful or counter-productive behaviour
Attributable	Changes in the indicator should be able to be traced to action you can influence
Well-defined	The indicator should be easy to understand and use, with clear data ('counting') requirements
Timely	Data should be available with sufficient frequency to be useful in managing performance
Reliable	The indicator should be accurate for its intended use and show changes when they happen
Comparable	It should be possible to compare data generated through the indicator with data covering previous time periods and possibly with similar data collected elsewhere (e.g. other BCUs or forces)
Verifiable	The collection and recording of the data should be verifiable by audit
Exclusive	The indicator should not overlap unnecessarily with other indicators
Cost effective	The complexity and cost of measurement should be justified by the benefit of the data being available to inform the decision making process

The Audit Commission have published a framework and voluntary standards to support improvement in data quality for the public sector.[58] This provides useful supplementary material relating to the issues discussed in this chapter, as the framework and standards expand on the above advice, and discuss the key factors in ensuring quality data, including:

- Governance and accountability for data quality
- Policies and procedures
- Systems and processes
- People and skills
- Data use and reporting

The Audit Commission and Wales Audit Office also publish reports on police data quality which contain recommendations for further improvements in quality of key areas of police data, particularly around the National Crime Recording Standard (NCRS) and the National Standard for Incident Recording (NSIR).[59]

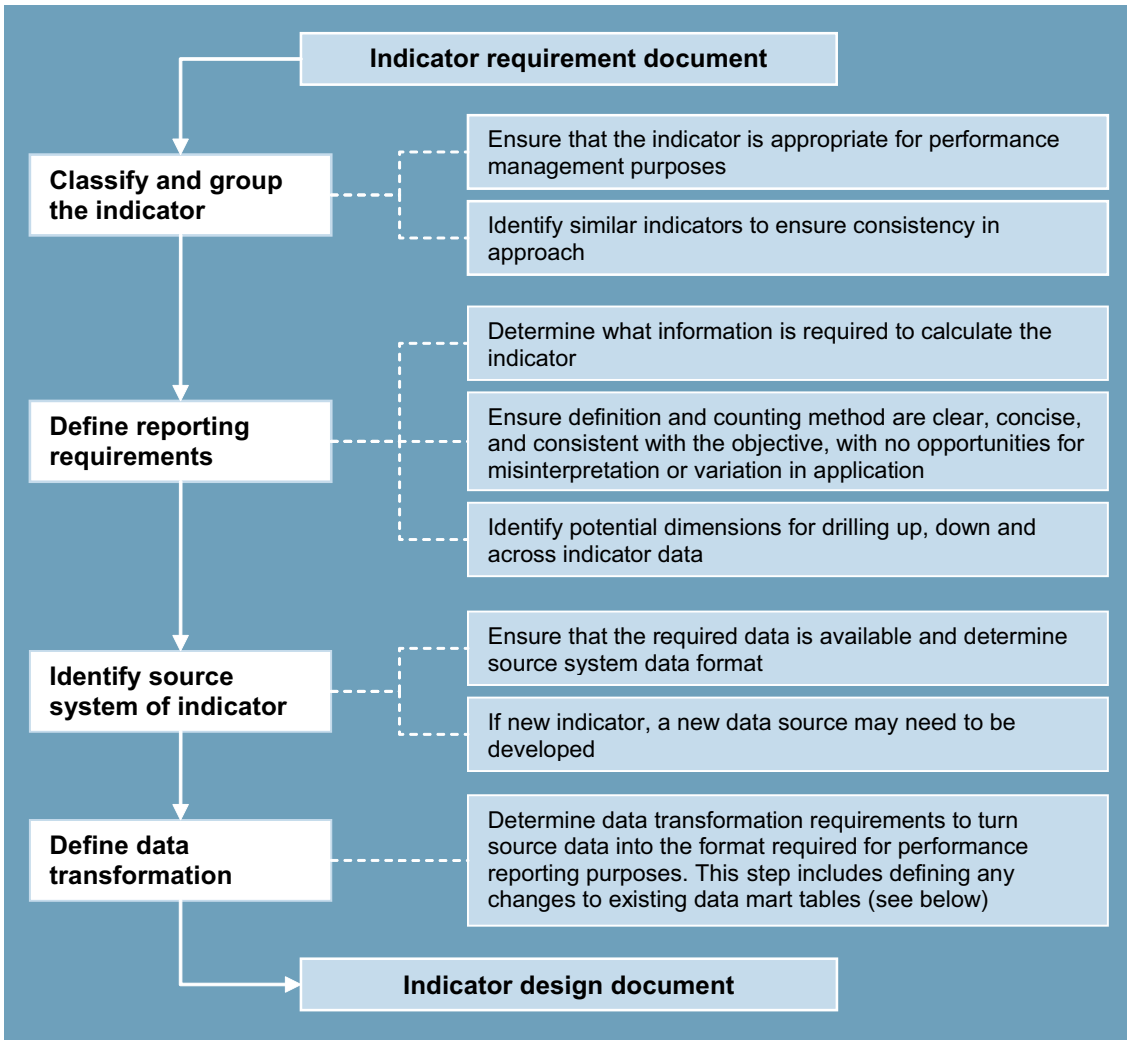
Statutory requirements for the management of information

In July 2005 a Statutory Code of practice for the Management of Police Information (MoPI) was published, and guidance is also available to describe the processes that support the principles set out in the code.[60] The guidance is designed to provide a common national framework for the management of police information, highlighting the importance of common standards in high risk areas of activity, and should be taken into account when designing information management systems.

4.1.2 How should you capture? Aligning your data to your indicators

Having identified the indicators you need, there are a series of steps to go through to ensure the requisite data is available with which to track progress against the indicators. Applying these steps will help staff tackle the composition of information management systems:

58 "Improving information to support decision making: standards for better quality data", Audit Commission, 2007
59 See www.audit-commission.gov.uk
60 "Guidance on the Management of Police Information", ACPO, 2006



The composition of your information management system

The level of data maturity within a force will have a huge impact on the level of performance management that is possible. Ideally a performance information management system requires data to be recorded electronically and to be available from a central information technology (IT) network.

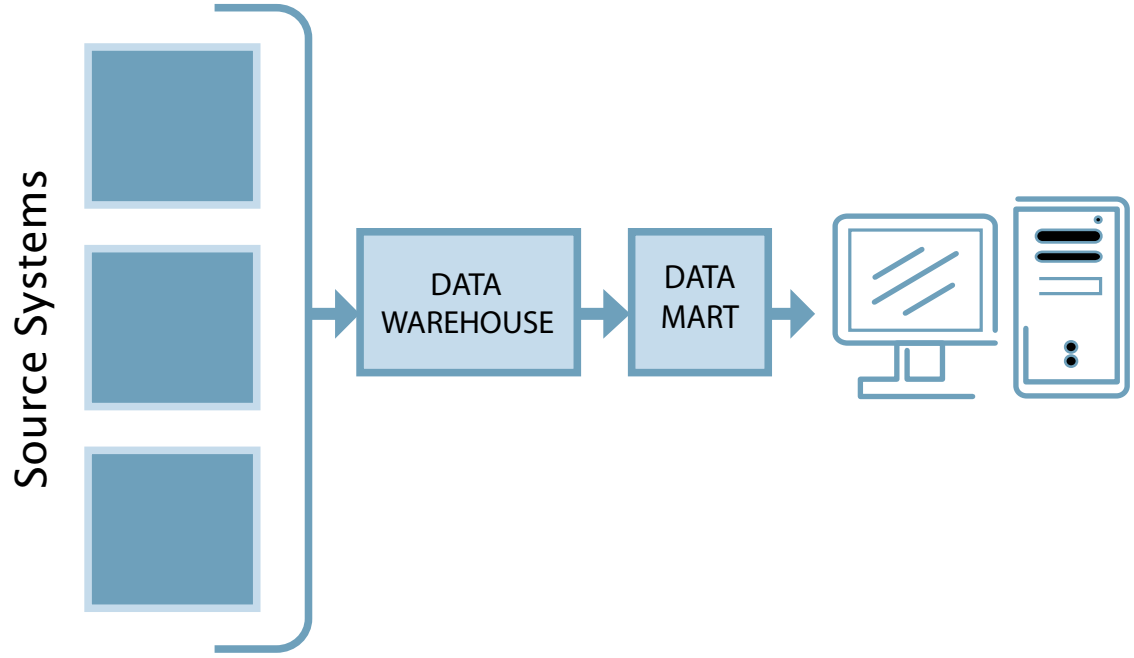
The composition and integration of the systems in a force is essential for getting the right data to the right people at the right time. The systems in place underpin the data provided – ensuring it is reliable and timely. The collection of integrated systems required in a force can be referred to as the performance information solution.

Ideally, a performance information management solution will be comprised of four aspects, each of which has its own set of principles. The aspects are:

- **Source systems** - the source of the data
- **Data warehouse** - this collates the data from the separate systems into one centralised place for easy storage and usage

- **Data mart** - this is a subset of the data contained in the data warehouse and stores only the information that is required to generate specified reports. It is structured to understand the relationships between different data. A data mart enables fast response times for the requested data and is a pre-requisite for any 'presentation layer'.
- **Presentation layer** - this extracts the requested data from the data mart and presents it in a predefined manner, or allows the user to select the format.

The diagram below summarises these aspects.



When engaging your IT department in developing or refining your system, it is worth bearing in mind:

- **Network availability** – performance data should be available to users centrally (e.g. through the intranet or force-wide application)
- **Stability and reliability** – the IT architecture of the solution needs to be designed such that the solution is both reliable over time and with a high volume of users
- **Corporate standards** – force IT standards should be adhered to when designing the system
- **Solution flexibility** – it is essential that changing user requirements can be reflected quickly and easily in the solution
- **Ease of use** – all users must find the system accessible and easily navigable (it should be intuitive) and information should be presented in clear, user-friendly format, preferably in an interactive way

4.1.3 Other data that supports the performance management process

Although performance indicators are a key part of an effective performance management framework, they are far from the full extent of the data that is needed to support effective analysis of problems and decision making. When establishing what data and information requirements should support the management of performance against a particular objective,

many other sources can be considered, for example:

- Intelligence (i.e. data generated though NIM source assets)
- Verbatim comments from user surveys
- Audit and inspection findings
- Contextual information, such as demographic or socio-economic data, or data on resource deployment
- Information on policies, procedures, or standards



Key Links: Information Sharing with Partners

Just as ensuring that data and information is shared in force to establish a common view on performance to facilitate effective performance management, information must be shared with and by partners to ensure that problems can be identified and solutions arrived at in partnership. The Crime & Disorder Act 1998 provided the power to share data between key agencies, and guidance is available elsewhere on establishing information sharing protocols with policing partners.[61]

The key activity of analysing and interpreting data is discussed in the next section, and the needs of that process drive much of the requirement for data collection.



CASE STUDIES include...

A case study from **Lancashire** that shows how the force made detailed information on user satisfaction available to support the management of quality of service.

A case study from **Lincolnshire** that illustrates how crime data was shared with partners to support analysis of community issues.

A case study from **West Yorkshir**e that shows how the force implemented a system to capture detailed data on quality of service.

The **Neighbourhood Policing Programme** Performance Evaluation Report (August 2007), available from the NPIA, also contains useful information and case studies relating to measuring the performance of Neighbourhood Policing Teams.

The **HMIC** website[62] includes inspection reports which provide examples and developing practice around performance management IT solutions.

The **Audit Commission** website[63] includes reports on Police Data Quality which contain case studies illustrating effective practice in this area.

61 It is a statutory requirement that an information sharing protocol is in place between responsible authorities – see Section L2 of "Delivering Safer Communities: A guide to effective partnership working – Guidance for Crime and Disorder Reduction Partnerships and Community Safety Partnerships", 2007

62 www.inspectorates.homeoffice.gov.uk/hmic - see for example "Her Majesty's Inspectorate of Constabulary national inspection of performance management 2007: Lessons Learned" and related individual force reports

63 www.audit-commission.gov.uk

4.2 Using performance information effectively

Hallmark 12: Insightful analysis, that is clearly communicated, supports intelligence-led decision making that directs day-to-day activity

IN THIS SECTION:

- Advice on how to understand performance information through an appreciation of what performance indicators can and cannot tell you, and through an understanding of what proper analysis looks like
- A basic introduction to understanding the statistical techniques commonly used to support analysis of performance indicators
- Guidance on how to make decisions about what to do, based on analysis of historical performance and projected challenges

Section 4.1 discussed how to collect data about performance. Performance data is not collected primarily to *tell* us how things are going. It is collected so that we can *influence* how things are going. This means that when looking at performance data, the key question that will need to be asked is 'what do we need to do in response to this?'

It can be very difficult to answer this question correctly. If performance data is only provided in the proverbial monthly 'book-end' report, police managers can feel that they are 'drowning in data'. Sorting out which issues need action in this situation is very hard. Likewise, even if a report is focused around key issues only, it can be very easy to misinterpret performance information, even when it looks fairly straightforward.

The key activities of analysing, interpreting and presenting data can be easily neglected, yet these are critical processes in adding meaning and value to data to maximise the effectiveness of decision-making. Managers need to be able to distinguish between a trend that needs addressing and a statistical 'blip' - otherwise, there is a risk of resources being redeployed unnecessarily. Suitable presentation of analysis and interpretation of data derived from an understanding of the business helps to avoid that risk.

This section covers the essentials for maximising the potential of your performance information and analytical expertise, ensuring intelligence-led decision making.

4.2.1 What performance indicators can tell us

A performance indicator is a representation of an area of performance that is of interest. Indicators tell us only about **apparent** performance – interpretation must be applied to performance indicators in order to get close to the picture of **actual** performance.[64] Performance indicators can rarely be taken at face value, because there are always likely to be a number of possible interpretations for any pattern of information.

For example, if the number of robberies recorded by the force (a performance indicator) falls by 5%, this means there is an apparent improvement in performance. It is possible

64 Terms attributed to Malcolm Hibberd, Police Foundation

that the force has successfully implemented a new initiative that prompted a change in actual performance. However, it is also possible that there has been some change in crime recording policy, some change in the environment which has started to discourage reporting of robberies, or simply that the change is down to the normal, random fluctuation of robbery over time. All of these things might alter apparent performance (the indicator) without any change in actual performance (the reality).

There is, therefore, a risk in accepting information from performance indicators at face value, without interpreting it to see if the desired outcomes (e.g. genuinely fewer robberies taking place, not just fewer robberies recorded) have really been achieved. In this sense, always referring to performance indicators as 'indicators' rather than the alternative names 'measures' or 'metrics' can be a helpful reminder of how to use them.

Understanding actual performance: the importance of analysis

For many desired outcomes, it may never be possible to get to the definitive picture of actual performance (for example, think how difficult it would be to know for sure how many drug misusers there were in a community). However, there are a number of things that can be done to help with the interpretation of performance indicators so as to be more confident of the picture of actual performance:

- Benchmark indicators against 'acceptance criteria' to ensure that either they best represent actual performance or that you can be aware of the inbuilt limitations of the indicator from the start (Section 4.1)
- Ensure that performance data is quality assured so that it is collected on a consistent basis to facilitate meaningful comparisons over time or against peers (Section 4.1)
- Ensure that data is analysed appropriately. Appropriate analysis involves three basic stages:
  1. **What appears to be happening** – i.e. understanding the patterns in the data from the indicator using statistical techniques. It is important to consider looking at data using a variety of techniques because it is rare that one method alone will allow all possible interpretations to be highlighted (see below)
  2. **Why might it be happening** – i.e. considering the possible competing interpretations of the analysed data and, if necessary, taking into account further information to support or dismiss some of those interpretations. Additional sources of information useful in understanding performance were discussed in Section 4.1, including qualitative data and contextual information
  3. **Why is it happening** – i.e. drawing conclusions using all of the available information, acknowledging any remaining uncertainty about the nature of actual performance. In drawing conclusions, it is important to guard against subconsciously favouring interpretations of performance data that support the outcome that was hoped for.

Arriving at conclusions based on careful analysis will therefore help answer the question 'do we need to do anything in response to this?' Importantly, this means that managers need to understand what appropriate analysis looks like (and ask for it if necessary), and analysts should advise on the most appropriate analysis to use, and see that managers are provided with it.

Analysis requires a willingness to admit that the truth may be other than we would wish it. The steps in arriving at robust analysis are discussed in more detail below.



TIP: Analysis is not just for analysts

Analysis is just about taking a structured approach to understanding problems. Many managers and teams in the force will not have access to specialist analytical resources to devote to analysing the data behind every problem, and nor is that necessary. For example, Neighbourhood Policing Teams should be routinely analysing and solving problems without recourse to specialist analytical support.

Officers and staff at all levels should be able to undertake the basic analytical steps above to understand problems, particularly if the force performance information system provides relevant data and does much or all of the statistical analysis for the user. This is also something that should be taken into account when assessing the learning and development needs of groups of officers and staff in the force.

4.2.2 Understanding statistical analysis

Managers need to have at least a basic understanding of the statistical techniques that are available if they are to understand the analysis presented to them. This will also enable the manager to seek out the right information for decision making and ask the right questions about the analysis when they get it.

Statistical analysis is largely about comparisons – comparing one set of data with another to see if there is a difference or a relationship. There are four main types of comparison that can be used to explore performance data:

i. Comparison over time
ii. Comparison against peers
iii. Comparison against a target or standard
iv. Comparison against other indicators (or contextual analysis)

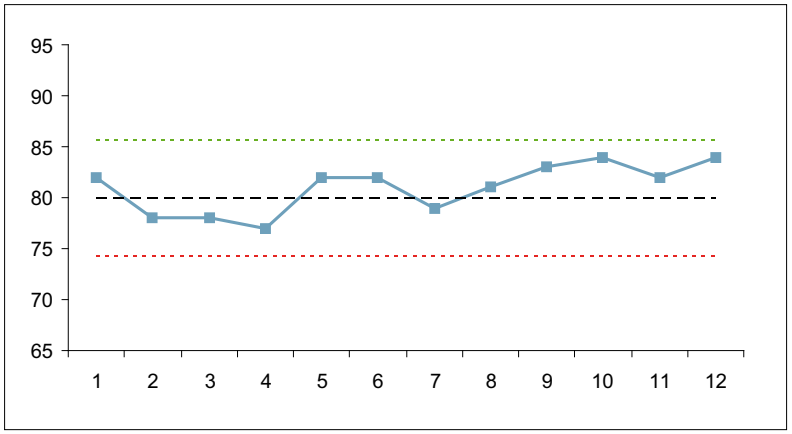
i. Comparison over time – are things getting better or worse?

Looking at how a performance indicator is changing over time is the most basic technique, but also one that can be very misleading, and lack of understanding over the nuances of time series comparisons is quite common. Consider an example, call handling figures for a force, showing the proportion of calls answered within the target time:

Week	1	2	3	4	5	6	7	8	9	10	11	12
Answered on target	82%	78%	78%	77%	82%	82%	79%	81%	83%	84%	82%	84%
Month average	79%				81%				83%			
Change					2 percentage points				2 percentage points			

It is tempting to conclude from this that call handling performance is improving month-on-month. Likewise, comparing weekly figures from the third month with those in the previous months also suggests that a higher proportion of calls are being answered (i.e. performance is improving).

However, you should always try to confirm whether on not an apparent change such as this is statistically significant before deciding whether or not to initiate action to do something about it. This is just a test that looks at the way the indicator has varied over time before, and sets out the range within which it would be reasonable to expect the indicator to vary in the future, all other things being equal. In this example, the resulting 'control chart' shows that the most recent levels of performance are within the range that would be expected (between the 'control lines'), given past results. If you were looking for a step-change in call handling performance, the analysis suggests that this may not yet be being achieved.



This sort of test is sometimes regarded (by managers and analysts alike) as a complicated one. Properly testing for statistical significance requires a good grounding in the various techniques for doing it: analysts should have these skills; managers and analysts together should be able to explore the question 'is this change real'; and managers should be informed by the results of that discussion when deciding what to do.[65]

You should consider whether access to this kind of time series analysis should be provided as a matter of routine for key performance indicators via the performance information system or in regular performance reports. The Home Office iQuanta website also provides access to control charts for some indicators.

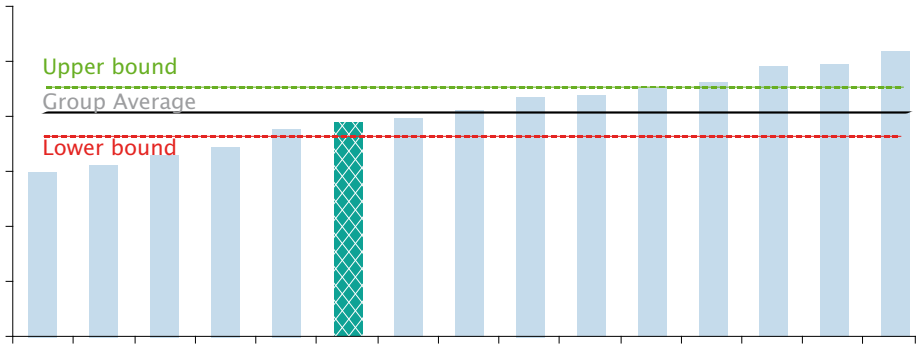
ii. Comparison against peers – how do things here compare to elsewhere?

Comparing the performance (either levels or trends) of one unit against others can provide valuable information on whether performance is as expected or not. In undertaking such comparisons, the level of similarity between the focus unit and the others needs to be borne in mind.

For example, the most widespread use of peer comparison is via 'most similar' groups of forces, BCUs and CDRPs. In these peer comparisons, a given unit is compared to the average performance of other units serving areas with similar socio-economic, demographic and

65 "Understanding Variation: The key to Managing Chaos" Donald J Wheeler (2nd Edition), 2000, SPC Press, ISBN 978-0945320531, provides an introduction to understanding time series data in terms of insight into when changes are real rather than random.

geographic factors. Although individual peers in a most similar group may not appear very similar to the focus unit, the average of all of the peers should be. Caution should therefore be used when using these peer groups: comparisons against the group average performance are more valid than comparisons against individual group members.



An example 'most similar' bar chart comparison from iQuanta for crime rates. Although the focus unit (shaded turquoise) appears to rank relatively high up in its group, it is within the range about the average marked by the upper and lower bound lines, and so cannot be said to have a significantly different crime rate from its peers

iii. Comparison against targets or standards – how do we compare to where we want to be?

Section 3.1 offers further advice on the use of targets in your performance management framework and the tip at the end of this section sets out considerations for establishing targets.

Where targets or minimum standards have been established, performance reports should offer a clear measure of progress against them. Managers are likely to need four pieces of information about performance against targets, to ensure focus on the final objective:

1. How performance to date compares to the target, and an estimation of how close to the final target things will be if current performance continues
2. What level of performance will need to be achieved from now on to hit the final target
3. Where the level of performance now required is more challenging than before, whether such a level of performance has been achieved previously (e.g. in recent months/years), and what the context was for that performance (e.g. level of resources that were required)
4. If the target now looks unrealistic, what is a more realistic level to aim for

It is important to factor seasonality into analyses against targets. Cyclical variations in crime patterns, demand, etc across the year may mean you should consider setting seasonally adjusted targets, and your system should be able to account for this. Any apparent seasonality should be validated over a significant time period (say, five years) before setting such targets. For processes that are known to be unstable or have been subject to frequent changes, this analysis may not be suitable.



TIP: Target Setting

There are several types of target you can consider setting for each objective:

- **Stretch targets** - which are challenging and difficult to achieve
- **Minimum standard targets** (or maintenance targets) - which are less difficult to achieve, but make clear the minimum acceptable level of performance
- **Directional targets** – show the desire for continuous improvement, but are not specific

There is no exact science behind target setting, but the three most common techniques used are:

- **Performance modelling** - this is the most effective way of setting 'accurate' targets. For each objective, identify specific actions that will be taken in order to tackle the priority. Estimate as accurately as possible the impact each of these actions will have, and derive the target from that
- **Trend analysis** – extrapolating historical trends into the future and using analysis and/or judgement to determine what is likely to be achievable with or without additional focus
- **Benchmarking** – comparing the outcomes delivered or the efficiency of a process to what is achieved elsewhere and setting a target based on that comparison

Targets can also be influenced by external stakeholders, for example if a minimum standard has been established nationally for a level of service to be provided.

iv. Comparison against other indicators

There are a number of types of comparison in particular that can be useful, often as 'diagnostic' analysis:

- Comparison or correlation against another issue that might be impacted by changes in the issue of focus, perhaps to identify unintended consequences of a change (e.g. did a crack-down on burglaries drive offenders into committing thefts from vehicles; has a focus on issuing Fixed Penalty Notices led to an increase in reporting of associated crimes; has a focus on speed of response to incidents led to an increase in police vehicle accidents?)
- Comparisons to highlight data quality issues (e.g. if a fall in attempted burglaries is matched by a rise in damage to dwellings, this could arise because of changes in recording practice, rather than changes in real crime levels)
- Comparisons to highlight key contributing factors to headline performance (e.g. which elements of service had the greatest impact in overall customer satisfaction?)
- Comparisons to identify which units or teams are consistently high performing against a range of objectives

4.2.3 Presenting data and statistical analysis

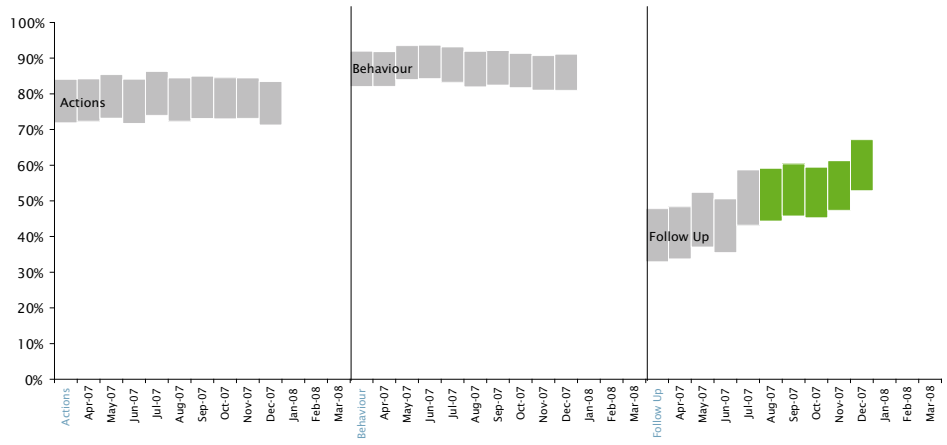
A consistent method for presenting data and statistical analysis throughout the force is essential to provide a common language for performance discussions.

Within an IT system that makes basic data and analysis routinely available to all, users should have access to the same views, and be able to conduct a limited amount of data manipulation. It is also essential for users to be able to 'drill-down' into data quickly and easily in search of explanations. For example, a chief officer should be able to navigate from a force view of an issue to identify which BCUs, departments or sections contribute most to that issue, and gather additional information to contextualise the issue.

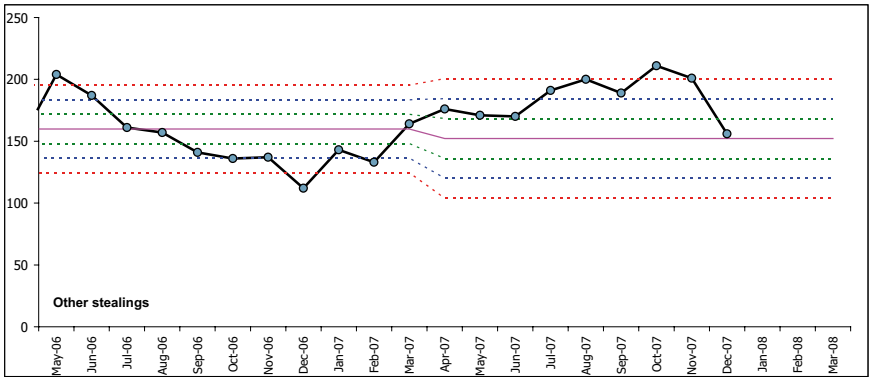
In agreeing which data views should be standardised, it is essential that the performance management team and their key customers agree which views and report types they wish to make available.

How the information is best displayed depends on the **intended audience**. For example, analysts will want a view of the data which allows them to perform detailed analysis, whilst the force executive may want a more straightforward summary of performance. Your system should be flexible to provide a mix of views for different users.

The output should be driven by the users' requirement, but **it is the responsibility of the performance management team to explain the value of different approaches to users** and to ensure that they are educated in the use of those approaches. For instance, in one force the chief officer team were adamant they did not want statistical control lines present on charts, on the grounds that they added to the complexity of presentation – the team were won round by a demonstration of the added value of such lines in decision-making.



Example 'vapour trail' chart used by Lancashire Constabulary for tracking changes in service user satisfaction. Instead of displaying the level of satisfaction as points on the chart, the range given by the survey result (point estimate) and the confidence intervals about it is shown. This helps prevent non-statistically significant changes in survey estimates being interpreted as real changes. The range is shown 'green' when there has been a statistically significant improvement over the baseline estimate, i.e. when it is possible to say with some confidence that an apparent change is being seen. If there were to be a statistically significant reduction in comparison with baseline, the range would be shown 'pink'.



Example chart used by Lancashire Constabulary which illustrates how control lines included on time series charts can highlight when the number of crimes occurring in a month is higher or lower than that which would be expected given previous variations in crime level. In this case the average and control lines are calculated on the basis of the previous year's figures. The run of monthly figures above the second and third upper control lines was a clear signal of an apparent change, the cause of which was definitively assignable with further analysis.

Do not assume that all users wish to receive data that has been subject to extensive statistical analysis. For example, front line officers might be provided with timely access to summary views of their recent activity as recorded by the system, **without** showing how this compares to standards, targets or other officers. This empowers them to manage outstanding jobs and ensure that they prioritise the right things, but avoids the perverse incentives that can be introduced when individuals feel they are constantly being assessed.

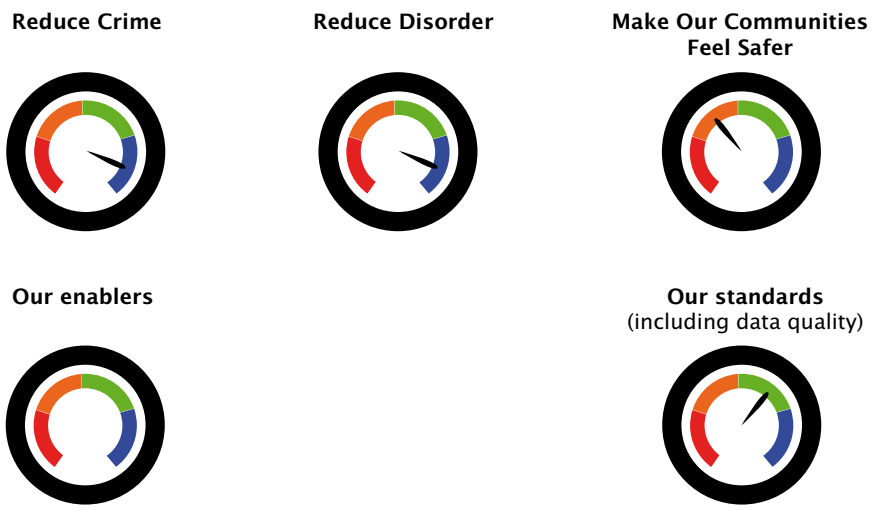


TIP: Performance assessment frameworks

Even the leanest performance management framework is likely to be built around a significant number of performance indicators and other information to feed into decision-making processes. For teams only accountable for a handful of objectives, monitoring changes in the relevant performance indicators is not likely to be too difficult, but for senior managers particularly it can be very difficult to know where to focus attention when monitoring performance for signs of changes.

The use of a structured performance assessment framework can help with this. Also sometimes called a 'balanced scorecard', this is a system by which indicators relating to similar areas of business (e.g. crime reduction, crime investigation, finance, HR and so on) are gathered together and 'scored' depending on whether apparent performance is better, the same or worse than should be expected. Scores within each area can then be added together to provide a composite indicator that highlights whether that area of business as a whole appears to be performing well or not, and can prompt questions about whether improvements in one area of work are at the expense of performance in another. This approach is also an intuitive way of presenting performance information via an IT system.

The mechanics of how such frameworks operate can be simple or complicated, but nevertheless they can provide a useful strategic tool to ensure senior management time is focused towards the right issues. It is always important to remember that if such frameworks contain no contextual analysis or qualitative assessment of performance, then at best they can only be used to prompt questions about performance, not make judgements. They are a route into the more detailed analytical approach outlined elsewhere in this chapter.



Example balanced scorecard used by West Midlands Police. Each of the dials shows a summary of an area of performance at the force level, representing the balance of several sub-components. The scorecard can be further interrogated by area of business and by BCU.

4.2.4 Interpretation and drawing conclusions: insight and foresight

Although it is both desirable and possible to make basic statistical analysis of performance data available widely across a force, all users should be clear that this is not an end in itself.

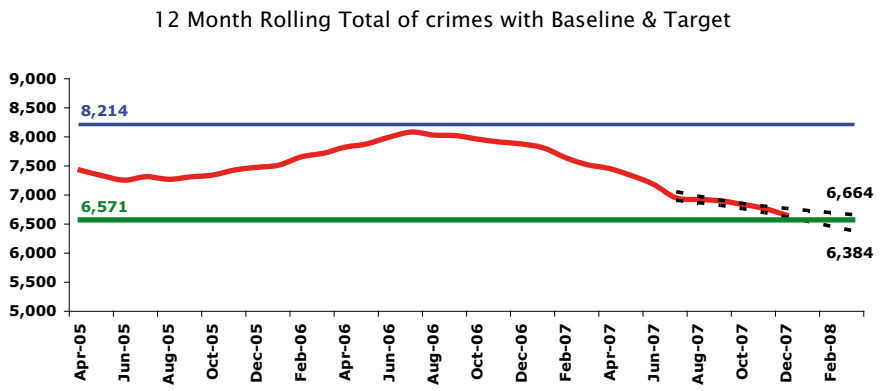
For example, if statistical analysis of a performance indicator suggests that there has been a change in performance then the next step is to confirm - as far as possible - whether that is an actual change in performance as opposed to an apparent one.

Considering possible competing interpretations of the numerical analysis in the light of additional evidence to support or dismiss those interpretations is the key step in understanding actual performance, and should also be a key function of analysts in the performance management process. Broadly there are three things that managers should expect analysis to give them:

- **What the actual performance is** – does the statistical analysis tell you all that you need to know about the level of or change in performance, or do conclusions need to be tempered by additional information?

- **Insight into why the performance is like this** – has a change happened because of something you have or have not done, or is some external influence behind the performance you are seeing?
- **What foresight does this give us about future performance** – what can you learn from what has gone before and the results of your actions that can inform future actions to improve performance or sustain what has been achieved?

Ideally, some of this more detailed analysis should be provided alongside presentation of the statistics through the force IT solution or in scheduled reports. However, the main purpose of carrying out analysis is to support any formal decision-making process.



Example chart used by Lancashire Constabulary which shows how the force can 'forecast' the range within which the year-end crime total is likely to fall (relative to a baseline and, if set, a target), based on current trends and level of variation.

NIM and the Performance Management Framework: ANALYSIS and ANALYSTS

Ask two different forces what 'performance analysis' is and it is more than likely there will be two different answers. Part of the reason for this is that although most forces could point to which staff are their 'performance analysts', these people might be doing different things in different places. In some places performance analysts might be fulfilling functions that are in other places the domain of 'intelligence analysts' or 'crime analysts', in others they might be engaged in data preparation only. There is no right answer, but the role of all analysts in supporting the performance management framework should be one that is clearly defined, in the same way that there should not be incoherent performance management and NIM processes. This clarity might also extend to include analysts working for the police authority and local partnerships.

Managers should expect analysis of information from a variety of sources, including performance data relating to outcomes and processes, crime and incident records, intelligence and community surveys, to ensure that they are equipped to make informed decisions across the whole remit of policing. The type of information required will depend on the decision to be made and to exclude information from any given department or division will lead to a less rigorous evidence base for decisions. This requires an analytical function with

core skills in the interpretation of both qualitative and quantitative data that is organised in the right way to best support decision-making through the force's business processes.

Analytical support should also be commissioned in a structured way, and analysts will expect to:

1. Discuss & develop terms of reference for the analysis product
2. Obtain & evaluate information for analysis – cooperation and honesty of colleagues working in the area being analysed is essential
3. Apply analytical techniques to interpret information for analysis[66]
4. Use inference development to make judgments based on analysis methodology
5. Develop recommendations from the results of the analysis methodology
6. Create an analysis product to support decision making
7. Disseminate the analysis product
8. Review the effectiveness of the analysis product

The first and last two steps are very important in ensuring that the analytical product is useful: hence the importance of the relationship between analyst and manager (Section 2.2).

4.2.5 Analysis-driven decision making

The previous sections have described the process of collecting the right data and analysing that data in order to understand past performance and the implications for future performance. All of this activity is undertaken to serve one primary purpose: to provide the foundation on which decisions are made about what actions to take.



TIP: What questions performance analysis can help answer

- What to prioritise in the force annual policing plan, an ongoing department plan or a team plan
- Which areas of business, teams or individuals to hold up as high performing or as sources of good practice to be shared
- Which areas of business to concentrate improvement activity around, or to re-deploy resources towards
- Where improvements might be most easily made and what level of improvement should be realistic
- What the impact of changes might be or have been
- What the emerging risks or challenges are that will impact on performance

66 See also "Practice Advice on Analysis", ACPO, 2008

- What the capability or flexibility of the force is to deal with risks or challenges
- Whether staff understand what is expected of them, whether they are doing it and how well they are doing it
- How efficient and effective structures and processes are and whether they are helping or hindering staff to do their jobs
- What motivates and de-motivates staff, what are the perverse incentives they experience, and whether they are well managed
- Who is doing things better than us and why

... and whether performance is getting better, or worse.

To ensure that those decisions are informed by the best possible evidence, managers and analysts should work together to ensure that the information available to managers follows the core principles set out in this chapter. It should be:

- **Clear** – managers should know precisely what policing activities and time periods information refers to, and be clear as to its significance
- **Concise** – managers should only be given the minimum amount of information required to facilitate effective decision-making
- **Timely** – data should be available when users require it, and presented in time periods appropriate to the use to which it is put
- **Reliable** – users should have confidence in the accuracy of both the source data and its analysis
- **Insightful** – analysis should go beyond descriptive statistics into the reasons behind performance
- **Forward looking** – analysis should set out the things to be aware of that might impact on performance in the future

It will not always be possible to base every decision on the ideal, detailed analysis that you might want. However, if you are aware of what that analysis would look like, you have a process in place for structuring your decision making, and your people are well placed to serve that process, then you can be confident that more often than not you will be managing performance in the most effective way.



TIP: Action or analysis?

One of the greatest strengths of the police service is the ability to take action, which is what performance management is ultimately about. There are many occasions when a detailed analysis of the issues is unnecessary, when it is obvious what needs to be done to improve performance. In most cases, this is actually because the analysis is so straightforward that it happens subconsciously, and an understanding of the business is enough to make the right decision. It would be a waste of resources to go through the motions of more detailed analysis in these circumstances.

Managers therefore have a key responsibility to ensure that dedicated analytical resources are used effectively, deployed towards difficult performance problems or where the obvious choice, on review, seems to be the wrong one.

There are also occasions when it is clear that analysis is not likely to provide a suggestion for the way forward, perhaps because insufficient background information is available. In this case, action with evaluation so that lessons can be learned might be the right approach to take.



CASE STUDIES include...

A case study from **Cambridgeshire** that illustrates how the force reviewed and revised their corporate analytical support function and implemented changes that have provided managers with better evidence for decision making.

A case study from **Gloucestershire** that describes how the force uses information on statistically significant changes in data to focus analysis and discussion of performance.

A case study from **West Yorkshire** that shows how the force has developed a tool to support performance management of Neighbourhood Policing Team activity.

The **Audit Commission** website[67] includes reports on Police Data Quality which contain case studies illustrating use of high quality data in decision-making.

67 www.audit-commission.gov.uk

CHAPTER SUMMARY : DATA AND ANALYSIS

Hallmark 11: Timely, accurate and relevant performance data is easily captured and shared, meeting legal requirements and user needs

Hallmark 12: Insightful analysis, that is clearly communicated, supports intelligence-led decision making that directs day-to-day activity

The key points from this chapter include:

- ☑ Ensure that your performance management framework is supported by the right data to help both judge whether you are making progress against your objectives, and give you the information you need to work out how to make that progress
- ☑ Make sure that data is of a high quality to ensure that the focus of attention in performance discussions is not on whether the data can be trusted
- ☑ Data to support performance management activity should also be timely, accessible and provided in a way that supports the needs of the end users
- ☑ Understand the value of different types of statistical analysis and use these to explore your data from different perspectives and prompt questions
- ☑ Always bear in mind that performance data only gives an indication of what performance actually is, and that an analytical approach is required to provide insight into what really lies behind the figures
- ☑ Ensure that specialist analytical staff are enabled to add value to decision-making processes - providing analysis that gives managers insight into performance and a view on the best way forward

APPENDIX 1:
Making the improvements – and making them stick

This guidance outlines key ways in which police forces can improve their understanding and practice of performance management. However, for any changes to make a difference to a police force's performance, it is important that there is a supportive environment. It is often found that despite best intentions, desired performance goals are not achieved due to an organisational culture that gets in the way of good performance. This section highlights some of the wider considerations that can make the difference between performance improvements that stick, and ones that make no difference at all.

Embedding and changing organisational culture
For a force to embed an understanding and culture around performance management and problem solving, it should ensure that performance management is integrated with other organisational processes and reinforced through recognised behavioural standards. The following activities should be considered to embed a performance management culture at all levels:

i. Address people's behaviours
Prior to embarking upon new performance management initiatives, it is important to understand the relationship with existing processes and the current interaction of people with existing systems and processes. For example, how they use them, how they attempt to change or not change them, whether they resist or work with them and what behaviours are therefore demonstrated.

ii. Create a new organisational mindset
When working in an organisation people eventually, subtly, accept and absorb 'the way we do things around here'. This becomes a mindset: values, beliefs, styles of working and parameters for what is acceptable and what is not. Individuality is still allowed and encouraged, but peoples' behaviour adapts to the expectations set within the organisation. The values, beliefs, systems etc that define these expectations (sometimes over many years) are most heavily influenced by the leaders within the organization through their actions, messages and decisions.

Good performance management becomes 'what we do around here'. This is underpinned by the systems and processes in place. To ignore changing culture, to ignore changing both behaviours and the mindset, or values, that underpin that behaviour is to invite failure. Even if systems or processes are at the root of a change towards better performance management, changes in behaviour and 'mindset' will still be required to ensure successful implementation.

iii. Recognise resistance to change
When attempting to change performance management behaviours and what underpins the behaviours, there is likely to be resistance to change. If an individual is resistant to change, it is likely to be because of:

- Selective perception: each individual has a view of how their organisation works and what their role is within it – any initiative which challenges this view may be resisted

- Habit: habits can be useful – they enable people to deal with routine activities efficiently; they also provide a degree of security and changes to them will therefore be opposed
- Security: individuals have a need for safety and security – for example, some people will forgo promotions because of the fear of the unknown. Anything which threatens an individual's security will therefore be resisted
- Economic: the 'what's in it for me' question at its most basic. Anything which threatens an individual's pay and benefits will invite resistance
- Status: often overlooked, the question of status and esteem is very important in how easily a change initiative will be accepted
- Fear: people may fear they cannot cope with change due to a lack of skills or knowledge, making training and development a key activity in supporting change

iv. Identify what you need to change and make the argument compelling

First you need to identify what currently happens in the organisation – what the current ways of working are, and then identify the elements that you want to change. As a manager, you can have a strong influence over the current and desired future ways of working of your officers and staff. To participate in making change happen, people need to have a clear picture of the desired outcome, the vision: it needs to be courageous and seductive; one that not only sets out the new ways of working, but one that inspires people, which sets out the new values and beliefs: in other words a new organisational mindset that promotes and embeds performance management.

People must also understand what behaviours will be expected of them, and the implications for them in a year's time, and beyond. In short, individuals need to hear what's in it for them, in terms they can relate to. This guidance will help you clearly articulate the critical role that every individual has in achieving strong force performance management. In addition, relevant learning and development programmes available locally or nationally can help to further embed key performance management messages to officers and staff.

v. Build team engagement

The importance of leadership buy-in to achieve successful change is undisputed: after all, the best way to demonstrate the right behaviours is by example. Team managers have a critical role in communicating the importance of performance management and in demonstrating new ways of working. Leaders at all levels within the organisation need to cascade to, and then enroll their staff into, the overall vision. They then need to follow up by actively demonstrating the specific new behaviours needed to make it real. It is critical that everyone who is required to change his or her behaviour has a leader in close proximity who can demonstrate and reinforce both the need for change and also the new ways of working. As illustrated the case studies that accompany this guidance, supervisory team leaders with a strong focus on performance management can have a huge impact upon team and individual performance.

To achieve this positive cascade of behaviours, you need to be able to describe and recognise good performance management behaviours, set out what is expected of people, and define clear rules for addressing ineffective behaviours. You need to be convincing. A mistake often made during a process of change is that the leaders themselves are unsure. They say the right things, but, somehow, they are not that believable. In their hearts there is resistance to the new mindset, a sense that the old order is actually better, and the new path is a lot of

effort for not much personal or organisational reward. If you are unable to demonstrate to your team, a true commitment to strong performance management, resistance will persist. This of course applies to leaders above you. To build true commitment, allow your team to articulate and address their personal concerns and worries. Once your team is really up for it, the chances of seeing true performance benefits will be infinitely greater.

APPENDIX 2:
Summary of key changes from the first edition

This guidance builds on material first published in September 2004 in "Managing Police Performance: *A Practical Guide to Performance Management*". As well as refreshing and expanding the guidance presented then, the Hallmarks that were outlined in 2004 have been reviewed and revised in the light of the experience of forces over recent years to arrive at the new Hallmarks presented here. A comparison between the Hallmarks presented in 2004 and the new Hallmarks is outlined below.

Furthermore, the case studies that accompanied the 2004 guidance may still be of help to some forces, and a summary of these is presented in the accompanying case studies document. A copy of the 2004 guidance is still available on the website that features this guidance.

Hallmark	Related Hallmark(s) from 2004 edition	Notes
1. Everyone in the force understands and acts upon the basic principles of performance management as relevant for their role	*[New]*	Introduction of this Hallmark reflects learning that misinterpretation of 'performance' and how to manage it can be a barrier to performance improvement
2. Active, visible leadership and ownership of performance management helps to foster a culture of continuous improvement	*"Chief Constable ownership and active involvement in the force's performance review process." & "A culture of continuous improvement evident throughout the organisation."*	Reflects importance of leadership ownership of, and engagement in, performance management
3. Officers and staff at all levels, the police authority and key partners understand their roles, responsibilities and relationships within the force's performance management framework	*"Clarity about roles and responsibilities of the police authority, Chief Constable and managers at all levels for performance"*	Changed to reflect role that all have in ensuring effective performance management
4. Priorities are clearly communicated, understood, and acted upon by all officers and staff	*"Clearly articulated priorities which are widely understood by officers and staff at every level"*	Emphasis of Hallmark adjusted
5. Learning and development equips officers and staff to improve performance	*[New]*	Recognises importance of learning and development to performance management

6. A clear, integrated planning framework links force, police authority and wider stakeholder priorities with the NIM, corporate planning, budgeting, risk and resource management	*"A framework which links performance to corporate planning, budgeting and resource management"*	Recognises importance of wider stakeholder involvement, as well as link with NIM
7. The force pursues improvements in the efficiency and effectiveness of business processes that support delivery against priorities	*[New]*	Introduces a Hallmark to highlight the importance of process improvement as a means to improving performance
8. Performance review structures serve all operational and support departments, linking with police authority and partners, and integrating with the NIM	*"Performance review structures which hold staff to account, replicated from top to bottom and across operational and support departments"*	Delineated the need for processes from the way they are operated, and highlights the importance of links to the police authority and partners
9. Regular review of performance holds people to account against objectives, recognises good performance, and drives problem-solving and relentless follow-up	*"Recognition of good performance but with a relentless follow-up where performance falls short" & "Individual PDR objectives and appraisal linked directly to performance"*	Combination of two Hallmarks from the 2004 edition (with elements of a third) into one single Hallmark focused on the effectiveness of performance review
10. Good practice and lessons learned are quickly identified, shared and acted upon	*"A culture of continuous improvement evident throughout the organisation"*	Explicitly recognises the importance of learning from good practice as part of effective performance management
11. Timely, accurate and relevant performance data is easily captured and shared, meeting legal requirements and user needs	*"Performance data is easily captured and clearly reported"*	New Hallmark focused more clearly on capturing the right data
12. Insightful analysis, that is clearly communicated, supports intelligence-led decision making that directs day-to-day activity	*"Timely, accurate and relevant data is used to inform decision-making"*	New Hallmark stresses the importance of analysis of data, and the link between analysis and action

APPENDIX 3:
"Police Performance Management: Practical Guidance for Police Authorities"

In June 2006 the Association of Police Authorities and Home Office published guidance for police authorities on their role in police performance management.[68] This document sets out ten Hallmarks of effective practice in this area for authorities, case studies highlighting good practice, and also provides information useful in understanding the role that police authorities have in relation to the force performance management framework.

Hallmarks for police authorities

1. The authority leads in setting policing priorities and targets, and sets the agenda for monitoring delivery

2. Performance management coverage is comprehensive. The authority considers the performance of all the functions of the force

3. The authority is engaged in working with partners to influence delivery on community priorities

4. Members understand their performance management role and what they need to do to be able to fulfil it

5. Members have the appropriate level of professional expertise available within the authority to support them

6. Authority members and officers are supportive but challenging in their key relationship with the chief officer. This key relationship enables the authority to work with the force without becoming too close to it

7. Members lead the review of performance through effective questioning and rigorous follow-up during meetings with the force

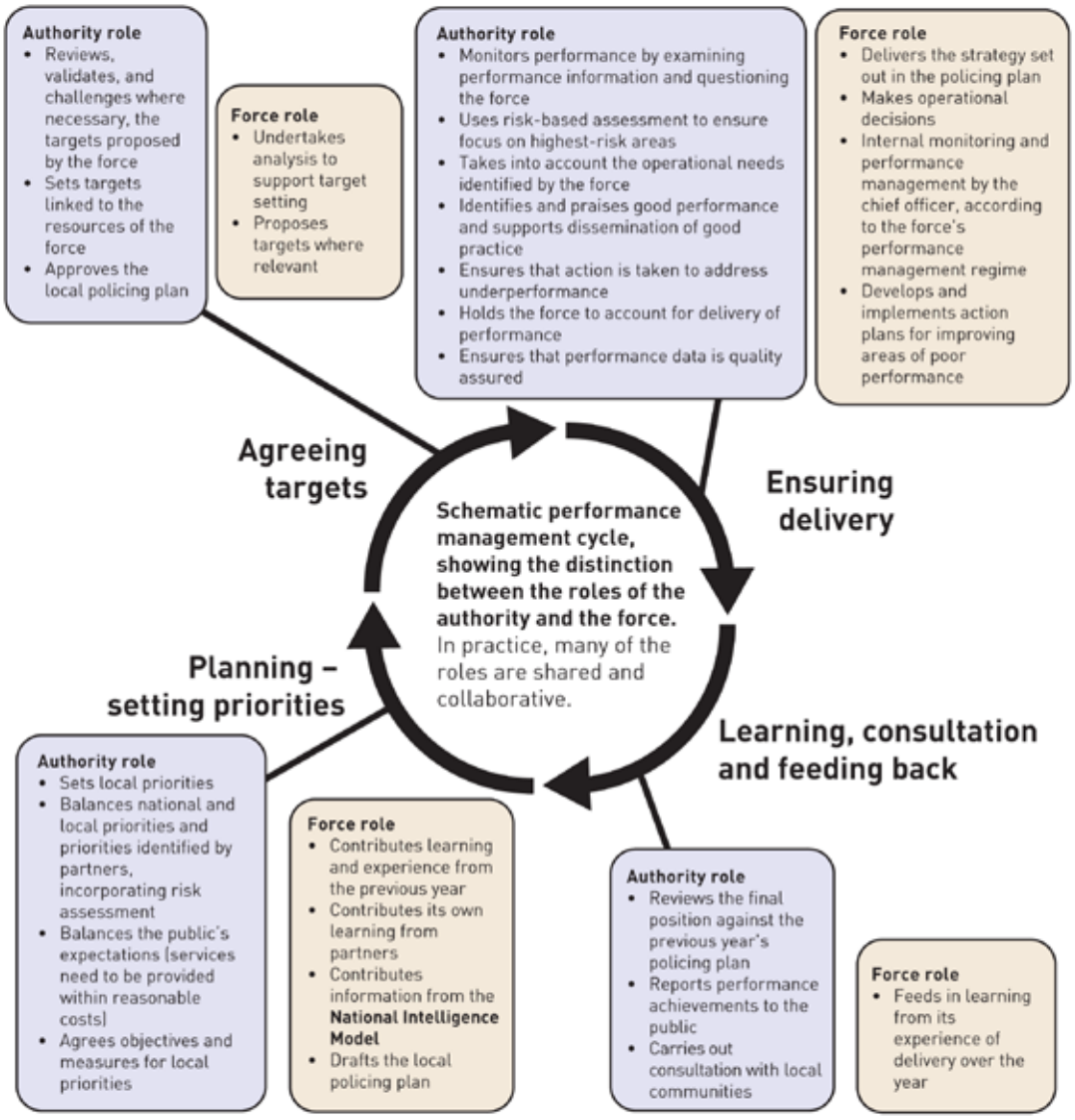
8. The authority sets aside adequate time for the consideration of performance and makes best use of that time through focus and preparation

9. The authority understands its performance information and uses it as a tool for scrutinising and managing performance

10. The authority requests and receives timely, accurate and relevant performance data, analysis and information

68 "Police Performance Management: Practical Guidance for Police Authorities", APA / Home Office, 2006, available from www.apa.police.uk/APA/Publications

The guidance explores in detail the complementary roles of the force and authority around performance management, as summarised in the schematic below, reproduced from Chapter 2 of the guide:



APPENDIX 4:

"Delivering Safer Communities: A guide to effective partnership working - Guidance for Crime and Disorder Reduction Partnerships and Community Safety Partnerships"

The links between the force and authority and other local partners over managing performance are been highlighted throughout this guide. Separate guidance is available for CDRPs/CSPs,[69] and the following extract from the executive summary of that document sets out what it has to offer:

Partnership working has contributed to a sustained fall in crime over the past ten years. However, the landscape in which Crime and Disorder Reduction Partnerships (CDRPs) in England and Community Safety Partnerships (CSPs) in Wales deliver has changed considerably since legislation was first introduced in the Crime and Disorder Act 1998. Working with stakeholders, we carried out a formal review of the partnership provisions of that Act. The suggested improvements were reflected in the Police and Justice Act 2006 and in subsequent regulations, which came into force on 1 August 2007 in England and in November 2007 in Wales.

Hallmarks of Effective Partnerships

These new statutory requirements form part of the Hallmarks of Effective Partnerships, which have been informed and influenced by our stakeholders. These represent the key aspects of partnership working that underpin effective delivery through partnerships. Partnerships can use them to check their own effectiveness and to identify areas for improvement. The six Hallmarks of Effective Partnerships are:

- Empowered and Effective Leadership;
- Visible and Constructive Accountability;
- Intelligence-led Business Processes;
- Effective and Responsive Delivery Structures;
- Engaged Communities; and
- Appropriate Skills and Knowledge.

Each Hallmark comprises two elements:

- New statutory elements for partnership working; and
- Suggested practice to achieve increased effective partnership, using the statutory requirements as a foundation.

69 "Delivering Safer Communities: A guide to effective partnership working – Guidance for Crime and Disorder Reduction Partnerships and Community Safety Partnership

Guidance for Partnerships

Beyond the statutory requirements, partnerships have the flexibility to deliver in their own way. The guidance provides suggested practice and case studies to support partnerships as they find ways to implement the regulations and embed the Hallmarks in their work. Partnerships are also encouraged to use an implementation checklist to assist in their own implementation of the statutory requirements and Hallmarks. Throughout each section… the importance of appropriate skills and knowledge [is emphasised], so that partners are aware of the need to ensure that those who work for them have the capacity and capability to support delivery.

The guidance is structured around the key aspects of partnership business:

Lead and guide - This section covers: which agencies need to be represented and by whom to ensure that there is strong leadership across, the partnership; governance within the partnership; county-level structures in two-tier areas and how they relate to other partnerships such as Local Strategic Partnerships; establishing protocols for sharing information and other processes; and accountability to local communities through face the people sessions.

Assess - This section covers: sharing information for analysis, including the new duty to share certain sets of depersonalized information; the importance of involving community concerns and priorities as part of the strategic assessment; links to the National Intelligence Model; conducting annual strategic assessments to identify local issues; and identifying county-wide priorities and opportunities for cross-border working across partnerships.

Plan - This section covers: preparation of the three year partnership plan, which is to be refreshed annually (in line with requirements for Local Area Agreements in England); the importance of performance frameworks; consideration of resources for delivering within the partnership; and publication of a summary of the plan for the community to support improved visibility and accountability, highlighting links to other requirements, such as the publication of the Local Policing Summary.

Deliver - This section covers: setting up structures to deliver priorities identified through the plan; problem-solving processes within delivery to ensure the implementation of effective solutions to identified priorities; the importance of performance frameworks to monitor delivery; and evaluating individual projects and the delivery of the partnership plan.

APPENDIX 5: References and resources for performance management

A. Useful websites

www.homeoffice.gov.uk. Home Office website.

www.acpo.police.uk. ACPO website.

www.apa.police.uk. APA website.

www.npia.police.uk. NPIA website.

www.inspectorates.homeoffice.gov.uk/hmic. HMIC website.

www.audit-commission.gov.uk. Audit Commission website.

www.wao.gov.uk. Wales Audit Commission website.

*www.police.homeoffice.gov.uk. I*ncludes information on the units within the Home Office working on policing issues, as well as a variety of different resources for practitioners, and links to other useful sites.

www.police.homeoffice.gov.uk/performance-and-measurement. Includes information on PPAF, APACS, iQuanta and data quality assurance.

www.homeoffice.gov.uk/rds. Includes research and publications on crime and related issues.

www.police-foundation.org.uk. An independent organisation that researches and develops policy and practice on policing, community safety and criminal justice.

www.crimereduction.homeoffice.gov.uk. Interactive resource where practitioners, policy-makers and others can find guidance of good practice and share ideas and solutions.

www.crimereduction.homeoffice.gov.uk/skills/skills04.htm. Information about the SARA problem solving model.

www.pmpartner.editme.com. Improvement and Development Agency (IdeA)-sponsored community of practice space for Performance Management in Partnership, with links to resources, tools and guidance.

www.communities.gov.uk/localgovernment/performanceframeworkpartnerships. Resources relating to the local government performance framework.

B. Further guidance

Delivering Safer Communities: A Guide to Effective Partnership Working - Guidance for Crime and Disorder Reduction Partnerships and Community Safety Partnerships, 2007
www.crimereduction.homeoffice.gov.uk/regions/regions00.htm

Police Performance Management: Practical Guidance for Police Authorities, June 2006
www.police.homeoffice.gov.uk/performance-and-measurement/managing-police-performance

Making Delegation Work: Guidance for the police service on delegation to Basic Command Units and support departments, September 2006
www.police.homeoffice.gov.uk/news-and-publications/publication/police-reform/delegation-guidance

Managing Police Performance: A practical Guide to Performance Management, September 2004
www.police.homeoffice.gov.uk/performance-and-measurement/managing-police-performance

Her Majesty's Inspectorate of Constabulary national inspection of performance management 2007 - Lessons learned
www.inspectorates.homeoffice.gov.uk/hmic/docs/lessons-learned-report-2007

Practice Advice: Introduction to the National Intelligence Model, August 2007
www.acpo.police.uk/asp/policies/Data/Intelligence_led_policing_17x08x2007.pdf

Guidance on the Management of Police Information, March 2006
www.npia.police.uk/en/6548.htm

Guidance on National Intelligence Model, September 2005
www.acpo.police.uk/asp/policies/Data/nim2005.pdf

Practice Advice on [NIM] Tasking and Coordination, 2006
www.acpo.police.uk/asp/policies/Data/TaskingandCo-ordination_inter_11.09.06.pdf.

Making a Difference: Motivating People to Improve Performance, 2002
www.hm-treasury.gov.uk./media/6/1/Making%20a%20Difference.pdf

PDR – A guide to successful implementation and improvement, 2006
www.skillsforjustice.com/websitefiles/PDRguide.pdf

Delivering Good Governance in Local Government: Interim Guidance Note for Police Authorities and Forces in England and Wales, October 2007
www.apa.police.uk/APA/Publications/Delivering+Good+Governance+in+Local+Government.htm

Police Use of Resources 2006/07
www.audit-commission.gov.uk/Products/NATIONAL-REPORT/7AB8C86D-3E9E-4ec6-9E60-A60C799BA437/PoliceUseOfResources2006-07.pdf

Police data quality 2006/07
www.audit-commission.gov.uk/Products/NATIONAL-REPORT/75398316-5650-476e-90CF-5D29F0750566/policedataquality2006_07REP.pdf

Improving information to support decision making: standards for better quality data, 2007
www.audit-commission.gov.uk/Products/NATIONAL-REPORT/AE298947-73F0-4dcb-AF77-D2520EECBCFB/ImprovingInformationToSupportDecisionMaking.pdf

Sickness Absence in the Police Service: Review of Current Practices 2007
www.police.homeoffice.gov.uk/news-and-publications/publication/human-resources/police-efficiency-and-productivi/496177/

Guidance on Process Management, January 2004
www.acpo.police.uk/asp/policies/data/process_improvement_guidance.doc

Neighbourhood Policing, Performance Guide and Neighbourhood Policing Programme Performance Evaluation Report, August 2007
Via www.neighbourhoodpolicing.co.uk (login required)

C. Useful books

Realistic Evaluation, Pawson & Tilley, 1997, Sage Publications Ltd, ISBN 978-0761950097

Communities of Practice, Etienne Wenger, 1999, Cambridge University Press, ISBN 978-0521663632

Understanding Variation: The Key to Managing Chaos, Donald J Wheeler, 2000, SPC Press, ISBN 978-0945320531

Statistics Without Tears: An Introduction for Non-Mathematicians, Derek Rowntree, 1991, Penguin Science, ISBN 978-0140136326

Reckoning with Risk: Learning to Live with Uncertainty, Gerd Gigerenzer, 2002, Allen Lane, ISBN 978-0713995121

The Visual Display of Quantitative Information, Edward R Tufte, 2001, Graphics Press USA, ISBN 978-0961392147

APPENDIX 6: Glossary

ABC	Activity based costing
ACPO	Association of Chief Police Officers
APA	Association of Police Authorities
APACS	Assessments of Policing and Community Safety
BCS	British Crime Survey
BCU	Basic Command Unit
CAA	Comprehensive Area Assessment
CDRP	Crime and Disorder Reduction Partnership (England)
CJS	Criminal Justice System
CLG	Communities and Local Government (department of)
CRCSG	Crime Reduction & Community Safety Group (Home Office)
CSP	Community Safety Partnership (Wales)
DAT	Drug Action Team
DIP	Drug Interventions Programme
HMIC	Her Majesty's Inspectorate of Constabulary
ICF	Integrated Competency Framework
IPCC	Independent Police Complaints Commission
LAA	Local Area Agreement
LCJB	Local Criminal Justice Board
LSP	Local Strategic Partnership
MoJ	Ministry of Justice
MSBCU	Most Similar BCU(s)
MSCDRP	Most Similar CDRP(s)
MSF	Most Similar Force(s)
MSG	Most Similar Group
NIM	National Intelligence Model
NIS	National Indicator Set
NMIS	National Management Information System
NOS	National Occupational Standards
NPIA	National Policing Improvement Agency
NCRS	National Crime Recording Standard
NSIR	National Standard for Incident Recording
OCJR	Office for Criminal Justice Reform
PCSD	Police and Crime Standards Directorate (Home Office)
PDR	Performance and Development Review
PI	Performance Indicator (also SPI: Statutory Performance Indicator)
PMDU	Prime Minister's Delivery Unit
PPO	Prolific and other Priority Offender
PPAF	Policing Performance Assessment Framework
PSA	Public Service Agreement
RIEP	Regional Improvement and Efficiency Partnership
RTC	Road Traffic Collision
TIC	Taken into Consideration

APPENDIX 7: Introduction to the context for performance management in policing

February 2008

This appendix provides a brief guide to:

- The main organisations that influence the policing performance agenda at the national (and regional) level
- Some of what could be considered as forming key aspects of the 'performance management cycle' at the national level

Police authorities, forces and BCUs are influenced by each of these external factors to a greater or lesser degree, and also have a role in helping shape the national agenda by contributing to and/or challenging the policies and actions taken by national bodies.

The specific information set out here naturally has a limited shelf-life and you are encouraged to follow the links provided to if you want to understand the latest position, as well as more detail on any of these organisations or issues.

A. Organisations involved in the police performance agenda at the national level

A1. The Association of Chief Police Officers (ACPO)
www.acpo.police.uk
ACPO is an independent, professionally-led strategic body. In the public interest and in equal and active partnership with government and the Association of Police Authorities (the tripartite partners), ACPO leads and co-ordinates the direction and development of the police service in England, Wales and Northern Ireland. ACPO's members are police officers of assistant chief constable rank (commanders in the Metropolitan Police and City of London Police) and above, and senior police staff managers, from the 44 forces in England, Wales and Northern Ireland, plus national agencies such as the Serious Organised Crime Agency, and other forces such as the British Transport Police and States of Jersey Police.

The **ACPO Performance Management Business Area** and its constituent portfolios seek to assist in the improvement of performance in policing through the development and maintenance of an effective performance management regime.

The business area works actively and collaboratively with tripartite (and other) partners in order to promote awareness of and engagement in performance management across the police service, advise on refining central performance monitoring mechanisms, to lead programmes to develop performance management in the service, and to enhance the standards and systems that provide performance data (such as the National Crime Recording Standard).

A2. The Home Office

www.homeoffice.gov.uk and www.police.homeoffice.gov.uk

The Home Office, headed by the Home Secretary, is the government department responsible counter terrorism, crime, policing, borders and personal identity, and provides over £10 billion each year to fund policing and crime reduction. At the highest level, the Home Office influences policing performance across the whole of England and Wales when the Home Secretary sets out annual priorities for the service.

The **Crime Reduction and Community Safety Group (CRCSG)** within the Home Office has principal responsibility for policing issues. Within CRCSG there are directorates responsible for police reform and resources, policing policy and operations, crime and drugs strategy, and police and crime standards.

The **Police and Crime Standards Directorate (PCSD)** within CRCSG is concerned with the management of performance. It is made up of units concerned with performance measurement and analysis, co-ordination of performance review, and provision of performance support (through the Police & Partnerships Standards Unit). It also leads for government on the Drug Interventions Programme (DIP) and Prolific and other Priority Offenders (PPOs), as well as on CDRP/CSP policy. Much of PCSD was formerly known as the Police Standards Unit (PSU).

PCSD leads on co-ordination and development of national performance monitoring and assessment tools for policing, crime reduction and community safety - formerly through the Policing Performance Assessment Framework (PPAF)[1] and in the future through the Assessments of Policing and Community Safety (APACS). PCSD also manages the iQuanta website (below).

The Police & Partnerships Standards Unit (PPSU) provides support to forces and local partnerships, through a combination of area-based support (e.g. on investigative effectiveness), national thematic performance improvement programmes (e.g. the Tackling Violent Crime Programme and on forensics), national campaigns (e.g. the Tackling Under-age Sales of Alcohol Campaign), and collation and dissemination of good practice (e.g. through the Crime Reduction website). In particular PPSU has developed a highly successful targeted support package called a Partnership Support Programme (PSP), and these have now been employed in many partnerships across England and Wales. PSPs are not inspections - they are carried out at the request of a partnership as a form of consultancy support. Key aspects of a PSP include:

- PSPs are structured around the Hallmarks of Effective Partnership working, although they do not follow a rigid format - they are tailored to respond to the partnership's requirements
- PSPs involve a team of expert practitioners carrying out a short (up to two week) intensive diagnostic programme, based around analysis of key data and documents, and interviews with local partners
- The final recommendations of the PSP are owned by the partnership, not by the PPSU team, although the Home Office and relevant Government Office provide ongoing implementation support as required

1 For more information about PPAF, please see www.police.homeoffice.gov.uk/performance-and-measurement/performance-assessment/

On average, partnerships that have undertaken a PSP have seen their level of crime decrease at a significantly faster rate than other members of their most similar peer group.

Government Offices (GOs) in the regions also have staff with responsibility for Home Office outcomes (under a Home Office Regional Deputy Director, HORDD) and they work with members of local partnerships to interpret the Government's crime reduction and community safety priorities in the context of the needs of each area. GOs also oversee and support the performance of partnerships in their area, and have a key role in the Local Area Agreement process (see below).

A3. The Association of Police Authorities (APA)

www.apa.police.uk

The APA is the national body which represents all police authorities in England and Wales, the Northern Ireland Policing Board and the British Transport Police Authority. The APA has two main roles:

- To act as the national voice for police authorities
- To support police authorities in improving how they carry out their role locally

The **APA Performance Management Policy Group** meets quarterly to bring authority members and officers together to discuss key performance management-related issues, such as ensuring that authorities have effective models of scrutiny in place (e.g. for specific themes), and ensuring that the national performance assessment framework is balanced, with a focus on performance against local priorities.

A4. The National Policing Improvement Agency (NPIA)

www.npia.police.uk

The NPIA supports the police service in reducing crime, maintaining order, bringing criminals to justice and protecting and reassuring the public by providing expertise in areas including information and communications technology, support to information and intelligence sharing, core police processes, managing change and recruiting, and developing and deploying people.

The NPIA produces and maintains guidance and provides assisted implementation to support forces around a number of key issues generally related to performance management including the use of the National Intelligence Model, and the Management of Police Information. It also supports key policing programmes with advice on performance management - for example around Neighbourhood Policing.

The NPIA also provides leadership programmes and development resources for the police service, including training courses. Guidance on performance management forms a part of those programmes, and the NPIA are working with ACPO to take further steps to improve and embed performance management skills throughout the service.

A5. Her Majesty's Inspectorate of Constabulary (HMIC)

www.inspectorates.homeoffice.gov.uk/hmic

The role of HMIC is to promote the efficiency and effectiveness of policing in England, Wales and Northern Ireland through inspection of police organisations and functions to ensure:

- agreed standards are achieved and maintained

- good practice is spread
- performance is improved

It also provides advice and support to the tripartite partners (Home Secretary, police authorities and forces) and plays an important role in the development of future leaders. Her Majesty's Chief Inspector of Constabulary (HMCIC) is the Home Secretary's principal professional policing adviser, and is independent of both the Home Office and the police service.

HMIC's inspection methodology is risk based, and focuses on key challenges facing the police service in order to identify problems and possible approaches to resolving them. HMIC play a key role in the national police performance monitoring regime, and inspection results are also presented as part of annual police performance assessment publications. In future, HMIC will also provide information for APACS and the Comprehensive Area Assessment (CAA, below).

HMIC also advises the Home Secretary on senior police appointments, through the senior appointments panel. In addition to Home Office police forces, HMIC inspects the Serious Organised Crime Agency, the Civil Nuclear Constabulary and a range of other police and police-related organisations.

In 2007, as part of their programme of inspections, HMIC inspected all forces on performance management. The summary of lessons learned from this inspection set out the major opportunities for improvement in several key areas:

- Leadership
- 'Quality and quantity'
- Partnership
- Police authorities
- Force structure and processes
- Force performance and improvement function
- Efficiency
- Information technology

More information can be found at in the full report, available at:
www.inspectorates.homeoffice.gov.uk/hmic/docs/lessons-learned-report-2007

A6. The Audit Commission and the Wales Audit Office
www.audit-commission.gov.uk
www.wao.gov.uk
The Audit Commission are an independent public body responsible for ensuring that public money is spent economically, efficiently, and effectively in the areas of local government, housing, health, community safety and fire and rescue services. Its strategic objectives are:

- To raise standards of financial management and financial reporting
- To challenge public bodies to deliver better value for money
- To encourage continual improvement in public services so they meet the changing needs of diverse communities and provide fair access for all
- To promote high standards of governance and accountability
- To stimulate significant improvement in the quality of data and the use of information by decision makers

The Auditor General for Wales and his staff together comprise the Wales Audit Office. The Auditor General is totally independent of the National Assembly for Wales and the Welsh Assembly Government, and examines and certifies the accounts of the Assembly and its sponsored and related public bodies, including NHS bodies in Wales. The Auditor General also has the statutory power to report to the Assembly on the economy, efficiency and effectiveness with which those organisations have used, and may improve the use of, their resources in discharging their functions.

The Auditor General also appoints auditors to local government bodies in Wales (including police authorities), conducts and promotes value for money studies in the local government sector and inspects for compliance with best value requirements under the Wales Programme for Improvement. However, in order to protect the constitutional position of local government, the Auditor General does not report to the Assembly specifically on such local government work.

The Code of Audit Practice[2] issued by the Audit Commission in England, and the *Code of Audit and Inspection Practice*,[3] issued by the Auditor General for Wales (the Codes) require auditors to review and report annually on whether police authorities have made proper arrangements for securing economy, efficiency and effectiveness in their use of resources. In reaching their conclusions under the Codes, auditors are required to consider criteria which relate to police authorities' arrangements for:

- establishing and monitoring of achievement of strategic and operational objectives
- policy and decision-making processes
- ensuring services meet the needs of users and taxpayers
- engaging with the wider community
- managing its finances, including the extent to which the medium-term financial strategy is linked to the delivery of strategic priorities; the matching of spending to available resources; and monitoring performance against budgets
- ensuring compliance with policies, procedures, laws and regulations
- managing operational and financial risks, including those arising from involvement in partnerships and joint working
- performance management, including data quality
- ensuring standards of financial conduct, preventing and detecting fraud and corruption

Since 2003/04, auditors appointed by the Audit Commission and the Auditor General have reviewed police data quality and arrangements to support effective crime recording practices. For the past two years, the Audit Commission and Wales Audit Office have also assessed police use of resources (PURE) at all police authorities. PURE involves auditors making scored judgements across five themes of financial reporting, financial management, financial standing, internal control and value for money. Auditors assess whether police authorities and forces are achieving value for money, effective financial management and good standards of governance and accountability. The judgements on the five themes are used by the Audit Commission and the Wales Audit Office to calculate an overall PURE score for each police authority and force. More details on the PURE and data quality reviews can be found by

2 Audit Commission, Code of Audit Practice 2005, Audit Commission, 2005
3 Wales Audit Office, The Auditor General's Code of Audit and Inspection Practice, Wales Audit Office, 2005.

reading the PURE and data quality national reports, available from the Audit Commission and Wales Audit Office websites.

Over the next two years, the PURE assessment methodology will be developed and enhanced to focus more specifically on value for money outcomes. At time of writing the Audit Commission is consulting on a proposed approach to assessing use of resources at police authorities in respect of the 2008/09 financial year.

In England, the use of resources assessment in 2008/09 will be a key component of the new Comprehensive Area Assessment (CAA) being introduced in April 2009 (see below). In Wales, the use of resources assessment will also form part of the evidence for reviewing the progress being made by police authorities in implementing the Making the Connections agenda.

The introduction of CAA and APACS provides an opportunity to take an aligned approach to assessing use of resources for policing and community safety services. The Commission is working with the Home Office to ensure that the PURE judgements used in CAA are also incorporated fully into the APACS framework. It is also working with the Home Office to explore the options for assuring police data quality which supports CAA and APACS performance frameworks in the future.

A7. The Office for Criminal Justice Reform (OCJR)

www.cjsonline.gov.uk/the_cjs/departments_of_the_cjs/ocjr

The Office for Criminal Justice Reform (OCJR) is the cross-departmental team that supports all criminal justice agencies in working together to provide an improved service to the public. As a cross-departmental organisation, OCJR reports equally to ministers in the Ministry of Justice, the Home Office and the Office of the Attorney General. The police service is an integral part of the criminal justice system and, through its membership of local criminal justice boards, plays its part in achieving the specific objectives for the criminal justice system set out annually in the CJS Business Plan. The Local Performance Unit within OCJR supports local criminal justice boards to deliver improved performance.

A8. The department for Communities and Local Government (CLG)

www.communities.gov.uk

CLG works to create sustainable communities, in partnership with other government departments, local councils, businesses, the voluntary sector, and communities themselves. To achieve this it focuses on building more and better homes and reducing homelessness, improving local public services, regenerating areas to create more jobs, working to produce a sustainable environment and tackling anti-social behaviour and extremism. The department sets policy on local government, housing, urban regeneration, planning and fire and rescue. It also has responsibility for race equality and community cohesion related issues in England and for building regulations, fire safety and some housing issues in England and Wales.

CLG is the lead department for local government in England and Local Strategic Partnerships (LSPs), and leads for central government on the Local Government Performance Framework (below).

A9. Police staff associations

(E.g. www.policesupers.com, www.polfed.org, www.unison.org.uk)

Bodies representing police officers and staff - such as the Police Superintendents' Association, the Police Federation and UNISON - are in regular dialogue about policing issues with central government and others on the national stage. They have an important role to play in raising awareness of the experiences of their members around many issues, including how performance management is exercised and perceived, and what can be done to improve the application of performance management principles in the service.

B. Priorities, policies and partnerships - the 'performance management cycle' at the national level

Performance management is a crucial element of the public sector modernisation agenda and a number of mechanisms and structures have been put in place nationally to promote successful delivery. Some of this is evident from the roles and responsibilities of the organisations discussed above.

Very broadly, it is possible to consider the national-level parallels to local performance management processes, in terms of:

- Planning - strategy, priority setting and policy making
- Performance measurement - what data is used nationally
- Performance monitoring - how assessments are made of progress against priorities
- Performance management - how, nationally, resources are marshalled to support delivery of priorities

This section provides a high level overview of some of the key elements of national context around police performance management at time of writing. There are a number of key developments in progress, and the landscape will continue to evolve, particularly over the short term.

B1. Planning, strategy and priority setting

B1(a). The Crime Strategy

www.homeoffice.gov.uk/documents/crime-strategy-07

The Government's Crime Strategy published in July 2007, Cutting Crime: A New Partnership 2008-11, set out a renewed vision for crime and community safety, building on the huge amount that has been achieved since 1997. It outlined a differentiated approach to tackling the spectrum of crime, from anti-social behaviour, through to volume crime, serious violence and organised crime and terrorism. It also introduced an end-to-end framework that covers early intervention, situational prevention, enforcement and reducing re-offending. And it set out a new, more mature relationship between the centre and local delivery partners, recognising the need for flexibility to tackle local priorities, and for local accountability for those priorities.

B1(b). Public Service Agreements

www.hm-treasury.gov.uk/pbr_csr/psa/pbr_csr07_psaindex.cfm

Public Service Agreements (PSAs) set out the key priority outcomes that the Government

wants to achieve in each Spending Review Period. They are essentially a statement of the priorities than will be addressed with the money provided to each government department from public funds. The key strategic objectives from the Crime Strategy are reflected within a new set of PSAs that were agreed between government departments and the Treasury as part of the Comprehensive Spending Review for the period 2008-11. The police service has a key role to play in delivering several PSAs, most notably:

- PSA 23 - Make communities safer
- PSA 24 - Deliver a more effective, transparent and responsive Criminal Justice System for victims and the public
- PSA 25 - Reduce the harm caused by alcohol and drugs
- PSA 26 - Reduce the risk to the UK and its overseas interests from international terrorism

These new PSAs represent a significant shift in focus from those employed during the 2004-07 Spending Review period. For example there will no longer be high profile national targets to reduce the number of volume crimes and increase the numbers of offences brought to justice. Instead, the new PSAs support a more balanced approach to crime reduction and community safety - including a focus on the most harmful crimes, tackling the drivers of crime, and focusing on local priorities.

PSAs set out key national objectives and, importantly, how progress against those objectives will be made and measured. Each PSA is supported by a detailed 'delivery agreement' that outlines the delivery strategy, the key indicators that will be used to measure progress, the implications of the PSA for the wider national performance framework (see below), and the governance arrangements.

B1(c). The National Community Safety Plan

www.crimereduction.homeoffice.gov.uk/activecommunities/activecommunities088.htm

The National Community Safety Plan 2008-11, published in December 2007, brings together for the benefit of local partnerships a summary of the crime strategy, the PSAs relevant to crime reduction and community safety, and national performance arrangements. To support local planning, it sets out more detail on the policies and programmes that underpin national objectives, and the implications of those locally.

Implicit in the presentation of the National Community Safety Plan is the need for the police to work in partnership with others - be that with CDRP/CSP partners, Criminal Justice System (CJS) partners or others.

The plan also sets out the Home Secretary's strategic policing priorities and key actions for the police in 2008/09, which tie in closely with the Crime Strategy and PSA objectives.

The strategic policing priorities also include a key priority for the police service to ensure best use of resources. There has been a tougher financial settlement for the Spending Review Period 2008-11, and this requires forces and authorities to maintain their commitment to achieving significant improvements in efficiency and productivity. A **Police Efficiency and Productivity Strategy** for 2008-11 will set out a framework for the improvements that are needed. Efficiency and productivity is becoming even more of a core responsibility for forces and authorities in the planning, delivery and oversight of their business, and there is a drive to take better account of this in both local and national performance management arrangements.

Another strategic priority for the service is serious and organised crime and other **protective services**. This is an area in which there is much effort devoted to establishing more detailed and robust measures of performance, including as part of the work on APACS.

The **CJS Strategic Plan** for 2008-11 was published in November 2007. It sets out the Government's vision for a CJS which is effective in bringing offences to justice, particularly serious offences, engages the public and inspires confidence, puts the needs of victims at its heart and delivers simple and efficient processes. The plan also supports the commitments set out in PSA 24, and the broader strategies on reducing crime and re-offending and instilling local accountability set out in the Crime Strategy. It is available via www.cjsonline.gov.uk/the_cjs/aims_and_objectives

B2. Measuring, monitoring and managing performance

The above sections outline some of the key influences on priorities and strategy at the national level. The wider national performance landscape is shaped around the core principles of measuring, monitoring and managing performance and forms a link between the national priorities and local priorities, planning, action and review. Some of the key elements - explored in more detail below - include:

- **Assessments of Policing and Community Safety (APACS)** - a developing national 'performance assessment framework' built around indicators and other information that will provide assessments of service delivery in local areas, where the 'police work alone or in partnership'. These assessments will both provide management information for local practitioners and national bodies (via iQuanta), and underpin published performance assessments. APACS will also reflect the PSAs, and align strongly with the local government performance framework (below). At the national level, APACS will be used to monitor performance (e.g. through the Police Performance Steering Group) and as the starting point for decisions on where to focus central and regional support resources (e.g. through Regional Improvement and Efficiency Partnerships (below), the deployment of Partnership Support Programmes (above), or NPIA support)
- **The Local Government Performance Framework**- for England - indicators (the National Indicator Set), targets agreed between local partners and central government (through Local Area Agreements), published performance assessments (through the Comprehensive Area Assessment), and an associated improvement regime (the National Improvement and Efficiency Strategy) for 'local government working alone or in partnership'

Many aspects of these new arrangements are still in development (see below), and as such are subject to consultation and debate. Very broadly, although it is by no means straightforward to achieve, the aim is to arrive at one 'single', shared, system (albeit made up of interrelated parts) through which there is:

- One way of measuring performance against any given objective, shared between local partners and with national bodies (i.e. a single set of indicators and other information, albeit each of which might appear in several places)
- A single route through which targets against any indicator can be agreed between central government and those serving local areas, to ensure that local agencies are not faced with different targets for the same thing, derived from different routes

- One methodology for arriving at an assessment of the service being delivered in any given area, against any given objective (so that, for example, there is not more than one view on whether an indicator suggests that performance is good or not)
- A coherent mechanism through which under-performance is identified and action can be taken to address it

In principle therefore, a common understanding of performance issues will be established both nationally (i.e. between government departments, inspectorates and other bodies) and locally (i.e. between the police service, local authorities, CJS partners etc).

This is a complex area, and you are encouraged to explore more detail through the references given. Much of the material below has been adapted from the APACS strategic consultation document, released in December 2007.

B2(a). Assessments of Policing and Community Safety (APACS)
www.police.homeoffice.gov.uk/apacs
The Home Office and its partners have pledged to deliver a simpler performance framework for crime, drugs and policing. This single framework will help rationalise the central performance landscape in which local delivery bodies operate and better align work at both national and local level to improve performance in these important areas of community safety.

APACS is the new performance assessment framework for the police, working alone and in partnership. At time of writing the way the framework will produce assessments and be used to help performance improvement is subject to consultation. The information provided below is summarised from the introduction to the APACS consultation documents.

The Policing Performance Assessment Framework (PPAF) was introduced in 2004 and APACS is being developed as its successor. The main changes are:

- To cover policing and community safety issues in a balanced way which reflects relative seriousness. (For example, the previous framework did not give enough weight to important issues such as terrorism, violence, and protective services, and many people felt that set a perverse incentive and failed to give credit to improvement in these important areas.)
- To recognise that agencies other than the police service are crucial to success on the Government's crime and community safety goals; and to promote joint working through a single measurement framework agreed with those partners and aligned with other performance frameworks
- To reflect the priorities set out in the Government's new Crime Strategy and the Public Service Agreements
- To support a balanced regime of accountability, building on the roles of partners locally, regionally and nationally, and within the framework to allow a realistic balance between nationally and locally identified priorities
- To align with the performance frameworks for other public services

- To make the best use of performance data, diagnostic data, local data and professional judgements in producing analysis and assessments which:
  - show whether services are effective, equitable and provide value-for-money and whether they are perceived as such
  - reflect relevant PSAs and other strategic priorities and standards, priorities for improvement agreed between local partnerships and Government for inclusion in the Local Area Agreement, as well as performance against priorities for improvement selected locally
  - use data focused on results (outcomes) but with the capability to use data on inputs, processes or outputs
  - can monitor implementation of key operational strategies such as neighbourhood policing, alcohol misuse and drug enforcement

From April 2008, APACS will provide the set of indicators that the Home Office will use to monitor and track performance in local areas. Police and crime performance assessments for 2008-09 will be published in Autumn 2009 using the APACS framework. APACS includes all the relevant indicators from the National Indicator Set that apply to local authorities working alone or in partnership on crime and community safety. Performance against the whole of the National Indicator Set will form one element of the new Comprehensive Area Assessment (CAA) that will be introduced from April 2009, with first reports in Autumn that year. This performance will also be reflected in other elements of the CAA, including the annual risk assessments. The APACS and CAA regimes will be designed so that the areas where they intersect (particularly on outcomes secured through partnerships like Crime and Disorder Reduction Partnerships (CDRP) and Drug Action Teams (DATs)) are common to both.

It is envisaged that APACS will comprise five headline areas or domains - confidence and satisfaction; promoting safety; tackling crime; serious crime and protection; and organisational management. Within each of these domains are a set of indicators developed to capture the relevant performance management information for outcomes delivered locally. Some of these are directly related to the Public Service Agreements published as part of the Comprehensive Spending Review in October 2007. Others are carried forward from PPAF and will use the same data.

APACS is being developed with the guidance and support of the APACS Steering Group, which comprises the Home Office and 14 partner organisations.

B2(b). iQuanta

Login required - contact iquanta@homeoffice.gsi.gov.uk

The iQuanta website provides a large repository of statistical analyses on current crime reduction and community safety performance, by area, in England and Wales. It helps practitioners in the policing and crime reduction community to focus on performance management and to track progress in improving performance.

The analyses are provided in a range of graphical charts and tables. They allow users to compare performance against peers, identify significant changes in performance and track progress towards targets. Analyses are available at force, BCU and CDRP/CSP level. iQuanta currently supports the Policing Performance Assessment Framework (PPAF) with analysis of PPAF performance indicators and key diagnostic indicators, and is being adapted to align with the new APACS framework.

As well as access to specific individual charts, iQuanta is also used to provide all practitioners with access to the collective information that is used by the Police Performance Steering Group (and related review processes) to monitor the performance of forces and local partnerships against crime reduction and community safety objectives - for example through the PPSG 'banding analysis' and CRCSG's 'joint interim performance assessments' (an interim tool being used before the introduction of APACS). These reports are made available on iQuanta to help provide a common language for conversations about performance both locally and nationally.

iQuanta developments are guided by the iQuanta Management Board, made up of representatives from the policing, crime reduction and community safety areas of the Home Office. ACPO and APA representatives put their views to the board through the iQuanta Advisory Group.

B2(c). The Police Performance Steering Group

The tripartite Police Performance Steering Group (PPSG) provides a national-level governance group, chaired by the Home Office, that receives information on police performance, assesses and interprets its meaning and then makes decisions about what action may be required (if any) based on its findings. The group co-ordinates much of the targeted performance support provided to forces from the Home Office PCSD, HMIC, NPIA and others.

The group brings together in one forum HMIC, the Home Office, ACPO, the APA, the NPIA, the Prime Minister's Delivery Unit (PMDU), HM Treasury, Government Office representation, and OCJR. It ensures that Ministers receive sound and considered advice on individual force performance concerns and it reports on more general, national-level performance matters to the National Policing Board.

PPSG's purpose is to oversee a regime where forces are supported to improve performance where necessary, not just held to account for under-performance. Experience has demonstrated that those forces that welcome (or even seek out) support are often able to made rapid improvements with access to external expertise and resources.

PPSG links also to the Home Office Joint Performance Review processes for monitoring CDRP/CSP performance across key crime and community safety business (including Drug Interventions Programme and PPO performance). Updates on local (CDRP and BCU-level) performance, including areas and partnerships that are highlighted for strong performance at the Joint Performance Review, are regularly provided to PPSG. Going forward, as APACS and other new arrangements are implemented, it is expected that PPSG will continue to form part of the governance arrangements for national-level performance review, albeit the links it makes with other structures may develop.

B2(d). The Local Government Performance Framework

www.communities.gov.uk/localgovernment/performanceframeworkpartnerships

The 2006 Local Government White Paper ('Strong and Prosperous Communities') promoted changes to bring about better partnership working and better outcomes at the local level in England.

One of its key commitments was to reduce the number of indicators against which local government is required to report, avoiding multiple requests for the same information

and making better use of information that is already available. It was identified that 1,200 existing indicators were being reported to central government by Local Authorities and these have now been reduced to a **National Indicator Set** (NIS) of 198 (subject to final approval following consultation), covering the full range of national priorities delivered by Local Authorities working alone or in partnership (in England). All the NIS indicators relevant to crime and community safety are also included in APACS.

Local Authorities and partners in England will be expected to continue to deliver across all of the national priorities monitored through the NIS. However, from April 2008 **Local Area Agreements** (LAAs) for every area in England will contain a maximum of 35 improvement targets, set against NIS indicators, agreed between central government and the Local Strategic Partnership. The Chief Officer of Police and police authority will be required by law to 'have regard' to the targets within LAAs to which they can contribute.

A new **Comprehensive Area Assessment** (CAA) will be introduced from April 2009. CAA is a new performance assessment framework for local authorities working alone or in partnership with others such as police authorities and forces. It will provide the first holistic independent assessment of the prospects for a local area the quality of life for people living there. It will replace existing regimes like Comprehensive Performance Assessment (CPA) and Childrens Services Joint Area Reviews (JARs). It will have four elements:

- an assessment of risks to outcomes being delivered locally (including LAA targets)
- a scored use of resources judgement for local authorities, police authorities, PCTs and fire and rescue authorities
- a scored direction of travel judgement for local authorities
- publication of performance against the NIS

At time of writing a joint inspectorate consultation on CAA is currently in progress and can be viewed at www.audit-commission.gov.uk/caaconsultation.

Furthermore, there will be a co-ordinated approach to intervention and support in England, which aims to tackle under-performance by local authorities and partners and support the development and delivery of excellent LAAs. This includes the establishment of **Regional Improvement and Efficiency Partnerships** (RIEPs) as a first line of support for local partners, and will help develop their own capacity to take responsibility for and deal with an increasing range of performance challenges, giving them the opportunity to improve before any central government support becomes necessary.

APACS and the new performance arrangements for local government and its partners will be developed alongside one another to ensure alignment of the two frameworks. The White Paper made clear that the new arrangements will need to recognise the different accountabilities of police forces, and said that "separate performance frameworks will continue to operate for partners for example Primary Care Trusts, the police and Job Centre Plus… However these separate arrangements will, where necessary, be reformed to ensure that they align with the performance framework for partnership-working with local authorities."

The importance of the alignment of APACS and CAA is recognised by government and other stakeholders. There should be no conflicting judgements in the assessment of local community safety outcomes. CAA and APACS will use the same evidence sources, treated in

the same way, with inspectorates co-ordinating their activity so that evidence is only collected once and consistent judgements are delivered. CAA will reflect the joint assessment of the Audit Commission, HMIC, and where appropriate other inspectorates such as HMI Probation.

There is more work to be done to develop the detail of how the interface between the national/regional monitoring and support arrangements for crime reduction and community safety (including APACS), and the Local Government Performance Framework (including the CAA). For more information, including the latest position, please see the websites referenced throughout this section.

Local Area Agreements and Regional Improvement and Efficiency Partnerships do not apply in Wales, where arrangements differ due to devolution and the role of the Welsh Assembly Government. There is a similar move towards greater local determination, however, and six Local Service Boards have been established to facilitate this. Each of these boards will have a Local Service Agreement by April 2008, encapsulating a limited number of priorities for delivery across service boundaries and which reconcile national and local priorities. The intention is for Local Service Boards and Local Service Agreements to be in place in every area in Wales by 2010. Work is also ongoing to ensure alignment between APACS and arrangements in Wales.

B2(e). Inspection of policing

HM Inspectorate of Constabulary (HMIC) has been adjusting its approach to prioritisation in the last year. In future, this will be heavily risk-based, with a programme of targeted inspections conducted in areas of service delivery which carry the highest risk, notably on protective services. This will mean re-inspection in forces where underperformance is identified and closer scrutiny where quantitative data and analysis indicate significant cause for concern due to sustained underperformance. HMIC will also participate with other criminal justice inspectorates in inspecting key aspects of the criminal justice system, working to determine priority issues for joint inspection, and be a key player in the community safety element of the CAA.

B3. Flanagan Review of Policing and the Green Paper

www.police.homeoffice.gov.uk/police-reform/flanagan-police-review

Sir Ronnie Flanagan was invited to undertake an independent review of policing, the interim report of which was published September 2007. The final report was published in February 2008, and focused on the need to better manage risks in order to reduce the threat to the public and reduce the harm caused by crime, by:

- freeing up space by improving and strengthening the structures and systems that support policing
- improving performance and developing the workforce through better management of resources
- freeing up space by reducing unnecessary bureaucracy
- delivering in partnership through neighbourhood policing and involving local people

The Government intends to publish a Green Paper in spring 2008, engaging stakeholders in consultation about options for making further improvements to the police service. The Green Paper will also set out the Government's response to the report of the Flanagan Review. This process will provide further clarity about the future strategic development of the police service, aspects of which may need to be reflected in future performance management arrangements.

PERFORMANCE MANAGEMENT

WHAT?

Performance management is the practice of **reviewing** current performance and the factors that might affect future performance; and **taking decisions** in response to that information; so that appropriate **actions** are taken in order to make future performance better than it might otherwise be.

WHEN?

Following performance management principles is always relevant. The frequency with which performance is reviewed and new plans put in place should be **appropriate to the activity in question and the level of the organisation** – from formal processes at the strategic level through to day-to-day individual activity.

WHY?

Performance management is just good management

It goes to the heart of how resources are used to deliver results

HOW?

A performance management framework should be built around three key enablers:

People & Relationships
Structures & Processes
Data & Analysis

Characterised by the 12 Hallmarks of effective police performance management.

WHO?

Responsibility for effective performance management lies with all working in policing. Everyone must understand their role and potential contribution - the force executive and police authority, BCU commanders and heads of department, to team leaders, front line officers and support staff - whether performance management 'specialists' or not.

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If you require additional copies of this guidance, please go to:
www.police.homeoffice.gov.uk/performance-and-measurement/managing-police-performance