



Her Majesty's Inspectorate of Constabulary national inspection of performance management 2007

Lessons learned



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FOREWORD

WHAT IS PERFORMANCE MANAGEMENT?

There is no single accepted model of performance management across the police service but any such model or framework must be fit for purpose. Strong performance management at the front line of service delivery is crucial to winning public trust and confidence. Forces must demonstrate flexibility and optimum levels of public inclusion, as well as delegation and devolution to the front line, underpinned by clear systems of accountability.

WHY IS PERFORMANCE MANAGEMENT IN POLICING IMPORTANT?

"Being busy does not always mean real work. The object of all work is production or accomplishment and to either of these ends there must be forethought, system, planning, intelligence, and honest purpose, as well as perspiration. Seeming to do is not doing."

Thomas A. Edison

Performance management is important because it is fundamental in ensuring the efficient and effective delivery of policing.

Good performance management will help get the most from available resources. It helps a force and its staff:

- understand and communicate force, department and team priorities;
- get the most from available resources;
- identify areas where priorities are not being achieved – and take steps to address this shortfall;
- learn from both success and failure; and
- embrace risk as a process linked to identifying priorities and informing management actions.

PROTECTIVE SERVICES

HMIC's *Closing the Gap* report* highlighted significant vulnerabilities across the country in relation to forces' capacity and capability to deliver some key services, known collectively as protective services. These are:

- major crime
- serious and organised crime
- counter-terrorism and extremism
- civil contingencies
- critical incidents
- public order
- strategic roads policing

* <http://inspectorates.homeoffice.gov.uk/hmic/inspections/thematic/ctg/>

- protecting vulnerable people:
 - child abuse investigation
 - missing persons
 - domestic violence
 - public protection.

Because many of the challenges of protective services – and in particular the need to deliver performance beyond force boundaries using collaborative arrangements – are not easily captured by metrics, this area does not fit easily into most force performance management processes. These have tended to be focused on performance within the force area and oriented towards quantitative measures. The key gaps with regard to performance management were identified as follows:

- Forces are not fully aware of the risks they face from (in particular) terrorism and serious and organised criminality.
- Most forces possess little performance information concerning the delivery of their protective services.
- Few forces have detailed costs for each of their protective services.

This challenge is still to be met by the service as a whole, but HMIC commends those forces which have seized the initiative and made useful inroads on the issue of measurement and monitoring. The current Phase 2 inspections by HMIC of serious and organised crime and major crime will add additional evidence and learning in this area.

NEIGHBOURHOOD POLICING

The aims of Neighbourhood Policing (NHP) are to improve satisfaction and confidence, to reduce the fear of crime and to resolve local problems of crime and anti-social behaviour.

In 2007 the Neighbourhood Policing Programme Team published guidance around performance management as it related to NHP. This guidance was published following the conclusion of in-force inspection activity, and at the time of HMIC's inspection there was a high level of awareness among forces that the guidance was imminent, with a consequent reluctance to implement any changes lest they be contradicted by national guidance.

The 2007 inspection of NHP identified significant variations in performance management processes, both within and between forces. The subsequent guidance publication should go some way to resolving these differences.

In 2008 HMIC will again inspect NHP, at the request of the Association of Chief Police Officers (ACPO) and the Home Office. One theme of the inspection will be to ensure that the new guidance has been implemented by forces.

At the time of the inspection, the majority of forces were found to be monitoring the performance of their neighbourhood teams in resolving local problems of crime and anti-social behaviour. Neighbourhood teams were routinely set targets for obtaining detections, for reductions in some crime types, and for tackling anti-social behaviour – achievement was monitored regularly through reviews of the numbers of reported incidents in targeted areas.

Some good practice was evident in effective use of local surveys covering confidence issues, particularly instances where surveying was carried out prior to, and following, intervention activity to identify what works.

Avon and Somerset Constabulary

Processes and mechanisms are in place to recognise and reward good work. Staff are aware of these processes but do not always know that awards are being made. Financial payments such as special priority payments and bonus payments are made where officers' contributions are above the norm. The force has awards for the neighbourhood beat manager and NHP team of the year. In one basic command unit (BCU), recognition via a certificate and financial award occurs on a monthly basis.

Performance management around the other aims of NHP – improving satisfaction and confidence and reducing the fear of crime – was found to be more isolated. The collection of such data at neighbourhood level is not a requirement and most forces only have the appropriate data available at BCU level.

Satisfaction and confidence data is generally collected by way of survey; to enhance local surveying programmes to the level where data was available for each neighbourhood would require a significant financial input. The collection of satisfaction and confidence data at a neighbourhood level merits further consideration and financial investment by most forces. There is a danger that teams are undertaking intervention activity in neighbourhoods, without baseline information or gathering data afterwards, rendering evaluation of the activity ineffective.

The inspection process took account of some nationally available outcome data from statutory performance indicators and key diagnostic indicators in the areas of public satisfaction and confidence. Historically, police performance management systems took little account of such measures, focusing instead on levels of reported crime and sanction detections. Although this picture is changing gradually, the inspection found that the focus of performance management remains predominately on quantitative rather than qualitative measures.

THE FUTURE OF PERFORMANCE MANAGEMENT IN THE POLICE SERVICE

Performance management will remain important for policing. National and local media rightly continue to take an interest in the performance of policing, particularly in areas of high risk. This will continue to generate greater public expectation for greater levels of service delivery. To meet this demand with a fixed resource, forces will need to identify every available opportunity to increase efficiency while maintaining, or in key areas improving, delivery.

HMIC's inspections have identified that there are opportunities for forces to get more out of the resources they have. However, in the future forces and police authorities will need to make difficult decisions about what their priorities should be. An effective performance management framework will allow priorities demanded by the public to be transparently selected and driven through to delivery within a risk-controlled environment.

INTRODUCTION AND METHODOLOGY

1. For a century and a half, Her Majesty's Inspectorate of Constabulary (HMIC) has been charged with examining and improving the efficiency of the police service in England and Wales, with the first HM Inspectors (HMIs) being appointed under the provisions of the County and Borough Police Act 1856. In 1962, the Royal Commission on the Police formally acknowledged HMIC's contribution to policing. HMIs are appointed by the Crown on the recommendation of the Home Secretary and report to HM Chief Inspector of Constabulary, who is the Home Secretary's principal professional policing adviser and is independent both of the Home Office and of the police service. HMIC's principal statutory duties are set out in the Police Act 1996. For more information, please visit HMIC's website at <http://inspectorates.homeoffice.gov.uk/hmic/>
2. In 2006, HMIC conducted a broad assessment of all 43 Home Office police forces in England and Wales, examining 23 areas of activity. This baseline assessment followed a similar process in 2005 and so created a rich evidence base of strengths and weaknesses across the country. However, it is now necessary for HMIC to focus its inspection effort on those areas of policing that are not data-rich and where qualitative assessment is the only feasible way of judging both current performance and the prospects for improvement. This, together with the critical factor that HMIC should concentrate its scrutiny on high-risk areas of policing – in terms of risk both to the public and to the service's reputation – pointed inexorably to a focus on what are known collectively as 'protective services'. In addition, there is a need to apply professional judgement to some key aspects of leadership and governance, where some quantitative measures exist but a more rounded assessment is appropriate.
3. Having reached this view internally, HMIC then consulted key stakeholders, including the Home Office, the Association of Chief Police Officers (ACPO) and the Association of Police Authorities (APA). A consensus emerged that HMIC could add greater value by undertaking fewer but more probing inspections. Stakeholders concurred with the emphasis on protective services but requested that Neighbourhood Policing (NHP) remain a priority for inspection until there is evidence that it has been embedded in everyday police work. Between March and September 2007 HMIC conducted an inspection in every one of the 43 Home Office forces covering the following themes:
 - performance management;
 - NHP; and
 - protecting vulnerable people.
4. Performance management is an activity largely hidden from public view, although members of the public are directly affected by poor performance on the part of their local force. This inspection has focused on the need for forces to maximise the opportunities for performance improvement. It also posed questions as to whether forces have an accurate picture of how they are doing and the capability to respond to changing priorities. This area was selected for inspection because it is a key factor in delivering good performance across the board.

5. HMIC uses a rigorous and transparent methodology to conduct its inspections and reach conclusions and judgements. All evidence is gathered, verified and then assessed against an agreed set of national standards, in the form of specific grading criteria. However, the main purpose of inspection is not to make judgements but to drive improvements in policing. Both professional and lay readers are urged, therefore, to focus not on the headline grades but on the opportunities for improvement identified within the text of this report.

DEVELOPING PRACTICE

6. In addition to assessing force performance, one of HMIC's key roles is to identify and share good practice across the police service. Much good practice is identified as HMIC conducts its assessments and is reflected as a strength in the body of the force report. In addition, each force is given the opportunity to submit examples of its good practice. The key criteria for each example are that the work has been evaluated by the force and the practice is easily transferable to other forces (each force has provided a contact name and telephone number or email address, should further information be required). HMIC has not conducted any independent evaluation of the examples of good practice provided.

HOW TO USE THIS REPORT

7. The key aim of this report is to improve performance management within the police service. HMIC is aware that the police service remains a demanding environment where time is at a premium for all staff. The report has been kept deliberately succinct, and we have made a working assumption that readers will already have a working knowledge of police performance management. Much of the content consists of direct quotes from force reports, which in the vast majority of cases speak for themselves without the need to surround them with additional supporting text.
8. An update to the 2004 document *Managing Police Performance: A Practical Guide to Performance Management* is shortly to be released by the Home Office Police and Crime Standards Directorate. This revised guidance has been put together with the help of expert practitioners from forces, as well as input from HMIC, ACPO, APA, the Audit Commission, the Superintendents' Association, the National Policing Improvement Agency and others. It will complement this report and, as well as providing an invaluable reference for anyone involved in police performance management, will expand on many of the opportunities for improvement outlined here. The new guidance will be circulated to all forces and will also be available on the Home Office police website (www.police.homeoffice.gov.uk/performance-and-measurement/managing-police-performance).
9. As the focus is on identifying improvement and moving the service forward, where areas for improvement have been identified the examples from forces quoted in these areas are positive ones, where a force has found an effective solution to the issue. The report deliberately focuses on innovative ideas with the desire to expose them to other professionals in the same field of work.

10. To assist readers the following colour coding has been used throughout this report:

QUOTES FROM FORCE REPORTS: These are direct quotes from individual HMIC performance management force reports. The full reports can be found on the HMIC website at http://inspectors.homeoffice.gov.uk/hmic/inspections/programmed_inspections/phase_1_reports_2007/

Developing practice

Red boxes contain more in-depth developing practice examples provided by forces. HMIC considers these to be good examples of innovative practice.

11. It is hoped that readers will be able to cover the contents of this document fairly quickly, and if each one finds two or three potential opportunities for improvement in their force then the efforts of HMIC will have been rewarded.



1. Leadership

1. LEADERSHIP

INTRODUCTION

- 1.1 Leadership is without doubt one of the most important factors in delivering effective performance within any organisation. In this section references to leadership span the whole organisation from the chief officer to front-line operational staff, who are required to lead not only within the force but often with partners and the community. Because of the importance of this area HMIC is currently conducting a thematic inspection into front-line supervision which will report in May 2008.
- 1.2 Leadership styles vary from force to force and, of course, from one individual to another. Styles also need to change to meet the needs of the particular task to be undertaken: for example, the type of leadership needed to command a spontaneous public order event is different from that needed as a member of a strategic partnership. It would be neither possible nor appropriate for HMIC to attempt to set a model for leadership behaviour in this document. Instead, it sets out some of the approaches and methods that inspection suggests are working well in forces. It is for readers to use or adapt these ideas if they fit well into their own environments.

WHAT ARE THE KEY STRENGTHS OF FORCES?

- 1.3 Staff must be involved in the development as well as the delivery of priorities.

Cambridgeshire Constabulary

Internal feedback is mainstreamed in force business, and a range of mechanisms to obtain the views of staff were evident. These include Executive Board 'starburst' events, 'back to the floor' days and automated feedback links built into the force intranet.

- 1.4 The effective use of senior officers to act as champions for key themes has produced significant results. The champion should be senior enough to carry projects through, but have a detailed knowledge of the subject area. Generally speaking, the rank of chief superintendent is often the most effective for this champion role.
- 1.5 Systems are effective where the deputy chief constable leads on performance, for example, chairing the regular performance meeting; but the Chief Constable must have a clear and visible role in the process.
- 1.6 The strongest performance is evident in forces where staff feel high levels of personal responsibility. In essence, motivation to do one's best and provide quality services to local communities drives staff far more than pressure from a line manager. What line managers therefore need to focus upon is supporting and promoting staff self-esteem and highlighting how their work impacts in practical ways on the community.
- 1.7 The best-performing forces have relatively few key priorities, which are clearly defined and upon the delivery of which everyone is focused.

Cumbria Constabulary

The Performance Development Conference process has been in existence for 18 months and is well established in the constabulary. The conference takes place on a quarterly basis and is attended by all ACPO officers and senior managers. Police Authority representatives also attend. The process allows the chief officers to drive key messages regarding performance, and to scrutinise operational performance across all basic command units (BCUs) against set targets. The assistant chief constable (ACC) (operations) encourages a 'just one more' approach to crime detections and to drive performance improvement; this has had notable success over the past 12 months with almost all crime categories showing improvement.

- 1.8 Good forces use different methods to engage meaningfully with all their staff, to ensure that the corporate vision is clear and delivered.

Dorset Police

Some 86% of managers have taken the opportunity to take part in the 360-degree peer assessment process which is intended to improve individual managers' performance. The computerised results have just been published, covering comparisons with others and average scores across ability areas, giving participants a personal leadership profile. It is the intention of the force to offer personal coaching to those managers who took part and think that it could be beneficial to their future development.

Dyfed-Powys Police

In October each year the force holds a Futures Workshop, designed to bring department heads together to discuss future strategic direction. In October 2007 this workshop will be further informed by the National Intelligence Model (NIM) strategic assessment, which will ensure that the NIM strategic product is fully taken into account in the force planning processes.

Greater Manchester Police

Peer reviews are being encouraged between divisions as part of the quarterly review process. This is seen to work in an environment where there is pressure to achieve short-term results. The force is looking to develop this in a way that encourages a meaningful longer-term view of business process re-engineering.

South Wales Police

A systematic approach encourages officers and staff to feed back views on many issues beyond policies and strategies; methods used include the staff survey 'Got a question, ask the Chief', Seren broadcasts, the communication champion structure, staff support groups, mediators and the first contact scheme.*

* South Wales Police Change and Development Programme

- 1.9 Formal staff recognition schemes need to be seen by all staff as clear and fair, although informal thanks and letters were found to be just as effective.

Hertfordshire Constabulary

In Hertfordshire Central BCU, staff are awarded a small silver clothes pin in the shape of a starfish for the first 'quality of service' letter from a member of the public. Subsequent letters generate a BCU commander's letter for their personal file. The award is based on a story attributed to Loren Eiseley (1907–77) of a small boy systematically returning to the sea some of the thousands of starfish washed up by a storm, pointing to the truth that each small deed makes a difference. The scheme, initiated by the BCU commander, has captured the imagination of staff and genuinely promotes a customer-focused approach.

- 1.10 'Innovations fairs', for example in Staffordshire, have proved a useful mechanism for identifying and developing new ways of working.

Sussex Police

There is a clear process of engagement and assessment of performance risk on a monthly basis, whereby a nominated BCU or specialist department is selected for performance monitoring and accountability.

The framework is transparent in that the relevant BCU or department is selected in advance and an independent review team examines key business areas in accordance with the force assurance process (which is modelled on HMIC's Going Local 3 template for inspection). The relevant BCU or department is fully consulted at key points in advance of the force performance meeting.

West Mercia Constabulary

Performance is monitored against three dimensions: (a) against targets as applicable; (b) against most similar forces and most similar crime and disorder reduction partnerships; and (c) continuous improvement. According to force standards, achievement of one represents the bronze standard, two the silver standard and three the gold standard.

WHERE ARE THE MAJOR OPPORTUNITIES FOR IMPROVEMENT?

- 1.11 A number of staff associations raised concerns during various inspections about excessive pressure on front-line staff to concentrate almost exclusively on numerical targets. This was particularly true in respect of targets for sanction detections and issuing fixed penalty notices. Leadership is needed to focus effort on doing a good job, not chasing numbers.



2. Quality and quantity

2. QUALITY AND QUANTITY

INTRODUCTION

- 2.1 In recent years the police service has delivered high levels of performance across many aspects of policing; in particular, volume crime levels nationally have been significantly reduced (working with partners), while detection rates have increased markedly. These achievements have been underpinned by a strong performance management focus on quantitative outcomes. The challenge in extending the focus to service quality and customer satisfaction is to ensure that good quantitative performance is not sacrificed.
- 2.2 It is now fully accepted within the service that, in future, additional effort needs to be placed on ensuring that the public is satisfied with, and confident about, the service they receive. Commendably, all forces demonstrate a full awareness of this issue and most are adapting their systems to embrace the new qualitative regime.
- 2.3 The evidence drawn from inspection reports points to innovative ways that forces have developed to deliver a quality focus. Obviously, quantity and quality are not mutually exclusive – citizens want to be treated professionally and courteously when they need a police response but would much rather not be victims of crime in the first place.

WHAT ARE THE KEY STRENGTHS OF FORCES?

- 2.4 The shift towards a greater emphasis on quality will require forces and authorities to invest resources, notably training, in the quality agenda.

West Midlands Police

The force is widely perceived to be a 'Beacon' force and in the last 12 months has been visited on numerous occasions by other forces and outside bodies, looking specifically at their use of Six Sigma, Signals from Noise software, and the customised Balanced Scorecard.

West Mercia Constabulary

Surveys are conducted by West Mercia using British Crime Survey (BCS) methodology, to provide information that is more detailed and timely than that available nationally. The bespoke Speaks Quality programme – designed to embed changes in behaviour, attitude and language that will improve customer service – has been delivered to all call management centre, front desk and public service desk staff. A significant financial investment was made in this programme, with 36 trained coaches able to provide staff with mentoring and guidance and reinforce learning.

- 2.5 Robust, timely and comprehensive survey data is a key requirement for delivering quality outcomes. Forces need to have confidence in their data, down to the smallest geographical area of delivery, and operationally to individual officers.

Northumbria Police

Northumbria has built a capability to support Area commands in developing satisfaction and confidence measures and performance management. A survey-based approach has been used to identify local priorities, measure confidence linked to the BCS and monitor perceptions on service delivery. A recent survey, involving over 30,000 questionnaires sent to the public, had a return rate of 53%. This has allowed the force to provide information to its 38 sector inspectors, informing the development of the area profiles and helping to set local priorities, using authenticated and detailed information gathered to a corporate standard.

- 2.6 Forces need to identify appropriate mechanisms to benchmark satisfaction and confidence within their communities; one example would be citizen panels. Police authorities also have an important role to play in this area; for example, Suffolk Police Authority holds regular 'business breakfast' meetings with members of the local business community.
- 2.7 Forces that have effectively moved their focus towards quality outcomes have underpinned the move with more in-depth analysis of key diagnostic information.

West Yorkshire Police

Having already identified that a focus on the offender rather than the offence will lead to quantitative performance improvement, West Yorkshire is acquiring a more sophisticated appreciation of what promotes customer satisfaction and what enhances public confidence. This learning will be central to performance management scrutiny in the future.

The EXCEL programme has been introduced to help staff to understand the qualitative aspects of their role and the importance of customer focus and positive outcomes, both internally and externally. This programme was introduced after a force-wide audit that focused on performance, quality and diversity.

Lancashire Constabulary

Lancashire experienced corporate pressure to respond to the constant demands from operational leaders for better and more meaningful information and processes to help them better to manage their part of the business. The current demand is less about high-level indicators and more about relevant diagnostic information, which is particularly relevant to the management of quality of service.

The PROBE system (surveying members of the public about the quality of services provided and reporting actionable information to frontline staff) is designed to ensure that the public's voice makes a real difference and that services reflect better what the public want.

Developing practice: West Yorkshire

TITLE: Quality assurance dip sampling (QADS)

PROBLEM: West Yorkshire Police needs to capture and show the quality of the public-facing service that it delivers. Managers at all levels need to be confident that front-line police officers are delivering a professional, competent and polite service to the public. The third-party solutions available would be a significant cost to the organisation.

SOLUTION: An IT-based system, QADS, was developed in-house to provide a workable solution to the problem, whereby supervisors can monitor and influence service delivery:

- Sergeants access an intranet page, which is populated with the most recent command and control incidents relating to individual officer attendance.
- Sergeants make telephone contact with the reporting person, and ask ten standard questions relating to the quality of service received.
- Constables receive feedback from their respective sergeants on areas for improvement or are informed of positive results.
- Data is collated by the HQ performance review department for further analysis.

OUTCOMES:

- Sergeants are required to undertake regular dip samples of officer/public interactions.
- Comments from sergeants have been positive, as it has given them the ability to review officer performance.
- Other departments, such as scenes of crime and CID, are keen to use the system in the future.
- In 2005/06 the Police Performance Assessment Framework (PPAF) showed a Fair/Improved grade for the citizen focus domain – improved from Poor in 2004/05.
- In the 2006 HMIC baseline assessment the force achieved Good/Improved for customer service and accessibility – improved from Fair in 2005.

While the PPAF and HMIC results cannot be directly attributed to QADS, there is confidence that QADS has assisted in improving front-line customer service, as delivered by West Yorkshire Police.

FORCE CONTACT:

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- 2.8 A balanced scorecard approach is a good method of ensuring the correct balance between quantitative and qualitative outcomes. However, other methods can be adopted.

West Midlands Police

West Midlands produces a comprehensive strategic assessment of performance on a monthly basis. Performance review department information is a strategic overview of current force performance, which provides managers with up-to-date, accurate data and helps in identifying current and future opportunities and challenges. It highlights those categories of crime that offer the greatest leverage and allows managers to benchmark their team's performance and achieve real improvements over time. The force has shown innovative practice in incorporating data which relates to locally based community reassurance, tackling issues of safety, harmoniousness and confidence.

- 2.9 Greater confidence is likely to be achieved if forces use partners to tap into additional data.

Leicestershire Constabulary

Finance has been invested in a comprehensive confidence, reassurance, accessibility, visibility and evaluation (CRAVE) survey and the force is engaged in a multi-agency approach to surveys. This is overseen by the community safety programme board, chaired by the Chief Constable. CRAVE has been mapped geographically to identify communities where confidence and satisfaction need to improve.

Merseyside Police

The Merseyside Policing Plan for 2007/08 was formulated, with the Police Authority, following comprehensive analysis and consultation with communities. Using the local perspectives gleaned from local authorities, crime and disorder reduction partnerships, voluntary organisations and criminal justice partners, the force gains a wider understanding of community safety needs. Operational intelligence gathered throughout the year also feeds into the planning process. Using the feedback from internal and external agencies' audit and inspection reports, the force and the Police Authority discuss the impact of the findings through the inspections sub-committee, formed in July 2006. Supporting the planning process is the development of the strategic risk register, which informs the risk management group meetings between the force and the Authority.

Avon and Somerset Constabulary

In Avon and Somerset, customer satisfaction and public feedback surveys inform the force's progress within the citizen focus arena. For example, data regarding Neighbourhood Policing (NHP) is provided through a group of 900 respondents who are surveyed on a quarterly basis. The data/results are fed into, and are considered by, the citizen-focused policing programme board in order to drive service delivery improvements. The deputy chief constable and a member of the Police Authority chair this board jointly. The performance planning and information unit also has responsibility for business planning, which drives the creation of the annual policing plan, sets targets and identifies enablers. Strategic environmental scanning feeds information directly into strategic planning via the strategic risk register.

- 2.10 The delivery of quality outcomes is a key area where police authorities can add value – in particular, working with the force to clarify public priorities and expectations.
- 2.11 Forces and authorities should strive to maintain a constant dialogue with their communities, who are the ultimate arbiters of whether the force is genuinely delivering improved quality services.

Cumbria Constabulary

Cumbria makes effective use of survey data, with demonstrable evidence that survey findings inform service delivery. KIN surveys are undertaken on a regular basis across the force to identify local priorities. The force's investment in the KIN process informs local priorities from which local policing action follows. Revisits are then used to identify the success of activity and to influence continuing action where necessary. Every problem-solving approach at a neighbourhood level includes specific results analysis.

- 2.12 Forces have benefited from appropriate use of mystery shoppers to evaluate levels of customer service.
- 2.13 A quality-focused force needs to develop more sophisticated models of how its activities impact on local communities.

Leicestershire Constabulary

Leicestershire has successfully resolved conflicting targets – for example, the nationally recognised initiative on 'first time entrants into the criminal justice system' addresses contradicting targets for sanction detections by seeking to deflect young people from entering the criminal justice system.

Greater Manchester Police

A particular challenge for Greater Manchester Police is to communicate messages in a way which influences culture and ensures that the values of the organisation are consistently understood, including citizen focus and the drive to improve performance in that context. An example is the work to understand the links between volume crime performance and NHP and the impact that incidents such as criminal damage have on communities. Work in progress on 'Charting the Way' is recognition of this. There is a danger that members of staff believe that the strong drive to improve performance is unchecked by any intelligence or community considerations.

- 2.14 Forces are more likely to deliver quality if they see themselves as outward-facing, constantly looking to identify and meet public expectations. A good example is Gwent Police's 'Listen' programme.
- 2.15 The best forces are prepared to look beyond the police service for ways to improve customer satisfaction and confidence.

WHERE ARE THE MAJOR OPPORTUNITIES FOR IMPROVEMENT?

- 2.16 Not all forces are aware of the impact of their services on minority groups. Forces must ensure that, at the very least, they comply fully with their statutory obligation under equalities legislation.

Staffordshire Police

Survey data is used in Staffordshire to influence the thinking of the performance management group and find ways of improving user satisfaction. The force can break down customer satisfaction into all strands of diversity – race, gender, age, faith, disability and sexual orientation – in order to identify specific reasons for dissatisfaction with services provided and consider ways of addressing issues. A range of data, including MORI survey data, is used to influence force priorities on quality of life issues and service delivery at a community level.

- 2.17 There is evidence that, on occasions, some forces have lost sight of the qualitative outcomes of their quantitative performance, in a drive to achieve targets by whatever means. For example, the use of fixed penalty notices in cases of criminal damage has left some victims at a disadvantage in claiming for their loss.

Lancashire Constabulary

In conjunction with the Police Authority, Lancashire sets realistic targets and is aware of the risk of creating perverse incentives. To reduce the danger of criminalising proportionately more of the (young) population in chasing detections and offences brought to justice, the sanction detection target was set at 30% for 2007/08, lower than last year's outturn result of 34%. In successive years no increase, rather than reduction, has been set as a target for acquisitive offences. The Authority is strengthening structures in respect of scrutiny and is looking across all of the key quantitative and qualitative performance indicators.

- 2.18 Most forces tend to consult with their communities in a rather formal way, often at annual intervals and usually related to the development of their policing plans. A few forces maintain a full and ongoing dialogue with their communities, which is likely to lead to higher levels of public satisfaction.

Merseyside Police

Merseyside provides opportunities for the public to engage in 'web chats' with designated senior officers from across the force – BCU commanders and support departments. These web chats are publicised in advance; the public is encouraged to ask questions around policing issues and will be provided with answers. The Chief Constable also regularly takes part in this exercise.



3. Partnership

3. PARTNERSHIP

INTRODUCTION

- 3.1 Although partnership practice has improved greatly within the police service over the last few years, this is still an area where there are a number of opportunities to improve police activity and indeed wider performance outcomes. With the police service moving into a more difficult financial environment this area offers a number of opportunities for forces to make better use of their own and shared resources.
- 3.2 The Local Government and Public Involvement in Health Act 2007 set out the statutory basis for the development of new Local Area Agreements (LAAs) which will start to be agreed in 2008. The Act anticipates that local service deliverers including the police service will work more closely together to meet the needs of their communities.
- 3.3 The national picture overall is good, with most forces working well, particularly at basic command unit (BCU)/crime and disorder reduction partnership (CDRP) level. Few forces, however, have fully overcome the challenge of joint working and target setting at the strategic partnership level. From 2009 the Comprehensive Area Assessment led by the Audit Commission will assess the capability of partners (local authorities, health, housing, etc), to deliver LAAs. HMIC will be involved in this process to ensure that the police service plays a full role in developing and delivering LAA targets. Forces need to engage fully with the LAAs to ensure that relevant policy issues, beyond the narrow ambit of volume crime and anti-social behaviour (ASB), are included.

WHAT ARE THE KEY STRENGTHS OF FORCES?

- 3.4 The police service is a major driver within many partnership forums, and some of the most successful CDRPs and strategic partnerships are chaired by police officers.
- 3.5 The police service needs to be sensitive to the fact that other partners have different ways of getting things done. Partners may need to be pulled, not pushed.
- 3.6 Effective forces bring partners into the force policy-making and performance management processes, with partners attending tasking meetings and in some cases being tasked themselves.

Developing practice: Surrey

TITLE: Safer and stronger communities partnership board – 'dials and levers' report

PROBLEM: With the introduction of the LAA, it was hoped that greater partnership working would result, through the publication of shared targets and priorities for safer and stronger communities, specifically the reduction of crime as measured through the CDRP-based British Crime Survey (BCS) comparator crime reduction targets. However, it was recognised through the safer and stronger communities partnership board that CDRPs still did not have a great sense of ownership of the target (as measured through the BCS comparator), and were unsure how they could successfully impact on the areas which posed the greatest risk of not achieving their locally mandated reduction targets.

SOLUTION: The force has developed a BCS comparator crime risk assessment report, broken down by borough and each of the constituent BCS comparator crime categories. In addition, Home Office research into the economic and social cost of crime is factored into the risk assessment to ensure that priority is given to those crimes which have the greatest impact socially and economically.

The risk assessment ranks the constituent elements of the BCS comparator by economic and social cost of crime. Each cell within the grid (ie crime type by borough) has a colour-coded upper and lower forecast based on the CDRP's crime reduction target – green if the forecast indicates the CDRP will achieve the target, amber if performance has improved but is still short of the target, and red if the target either has not been, or is predicted not to be achieved.

To complement this report, a borough-based strategic and tactical assessment is produced by the head of intelligence analysis, using the risk assessment as a basis for a borough-based intelligence assessment of the areas of risk identified.

Finally a 'levers' report is produced which effectively evaluates the success or otherwise of tactics previously deployed in the pursuit of crime reduction across the county.

OUTCOMES: The approach enables a detailed risk assessment of how each CDRP is performing against its BCS comparator crime reduction target, and further identifies which constituent elements represent the greatest risk in terms of the target not being met.

The approach helps to highlight what works, where and why, and enables knowledge and learning around crime reduction initiatives to be formally captured and shared across and within CDRPs in the county. Consequently, CDRPs can be held to account for their performance and the effectiveness of the tactics (or levers) they are adopting in order to impact on their crime reduction targets.

The approach brings greater CDRP accountability for and ownership of the Home Office PSA1 target, where previously accountability has rested with police forces through iQuanta (ie the shapes and ladders and banding analysis).

FORCE CONTACT:

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Hertfordshire Constabulary

Consultation and engagement are established processes in the development of the local policing plan. Staff, partners, the community and the Police Authority are involved in the process, with the final stages of target setting being worked through in focus groups at a seminar convened for that purpose. Persistent young offenders specifically feature in the plan for 2007/08 as a result of a request from the Crown Prosecution Service, following a review of the Hertfordshire Criminal Justice Board.

- 3.7 More effective results and greater public satisfaction are likely to be achieved if partners are heavily involved in setting priorities. Partners hold extensive data on public opinion and needs which forces cannot access in any other way. This approach may also save a force a great deal of survey expense.

Leicestershire Constabulary

CDRPs and the local criminal justice board have performance regimes which are shared with the police members of the partnerships. The community safety programme board, a forum which enables strategic priorities to be agreed and managed jointly, is attended by executives of the strategic partners. Its objectives are to align priorities, co-ordinate county-wide community safety targets and provide performance measurement for all partners. The board is supported by full-time staff, including a strategic assessment intelligence officer who brings information from CDRPs into the force's strategic assessment.

- 3.8 Innovative forces review and implement changes to structure to enable more effective partnership working.

Merseyside Police

There is considerable evidence within the force of joint formulation of priorities with partners through the Neighbourhood Policing (NHP) Joint Action Group structures. This results in shared targets and accountability for delivery, with much evidence being provided from discussions with partners throughout the inspection into NHP. This joint prioritising had also developed to the point of joint resourcing of structures to deliver on key activities, for example in St Helens where finance and personnel had been realigned in both police and partner organisations to deliver the identified outcomes. This was also increasingly evident in Liverpool South in its revised neighbourhood management structures.

WHERE ARE THE MAJOR OPPORTUNITIES FOR IMPROVEMENT?

- 3.9 Integrated planning at CDRP and LAA levels is not fully in place across the service. Many CDRP and LAA targets are simply the sum of each partner's individual targets. This means that partners still remain focused on their own outcomes, rather than embracing the partnership as a true joint venture.

Developing practice: Leicestershire

TITLE: Achieving performance excellence in Leicester

PROBLEM: Co-ordinating multi-agency tasking and problem solving.

SOLUTION: Under the Wave One 101 pilot, the Leicester City and Rutland partnership decided to create two inter-agency community safety bureaux (ICSBs) to co-ordinate and monitor multi-agency tasking and promote partnership approaches to problem-solving issues arising from the analysis of data from the 101 call centre, combined with data obtained from existing police and local authority back office data systems.

In the city, the APEL board continually monitors the delivery of services under the 101 categories in the areas of community safety and ASB. By performance-managing those services, it aims to improve customer satisfaction levels for the police, the local authority and partner agencies. The board is chaired by the service director of Leicester City Council responsible for community safety, and the vice-chair is the Central Area BCU commander.

Using the concept of achieving policing excellence within the force and the CompStat/CityStat approaches originating in New York, APEL was created in partnership with the city council to ensure that service delivery performance, satisfaction baseline measurements and service level agreements form the basis of all reports generated by the ICSB. It has created a transparent approach whereby the police and partners receive the correct information about their respective department/organisation and identify solutions.

OUTCOMES: The APEL board receives presentations on a six-weekly basis from the community investigators in the ICSB on:

- areas of concern identified through the fortnightly ICSB tactical assessment; and
- innovative and successful work practices, schemes and interventions that have contributed towards tackling an emerging issue or problem profile, and which have then been adopted by the joint management group after being flagged up in the ICSB tactical assessment.

Results to date indicate that this new approach has strengthened existing partnership working practices, responsiveness to local issues and accountability. Public consultation and feedback to communities on progress and outcomes have shown improved public confidence in the commitment to tackle ASB in the city, and have encouraged individuals to ring 101 rather than always calling the police. Figures for January 2007 show that total ASB-related calls to 101 were up 28% while calls to the police were down 12%; drink- and drug-related ASB calls to the police were down 87%, while those to the 101 call centre were up a massive 273%.

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West Midlands Police

Analysts use multiple data sources to inform their assessments and products. These include data from local authorities, the fire and rescue service, the ambulance service, registered social landlords and drug action teams. Some analysts have access to enhanced 'open source' information via the internet.

- 3.10 Forces need to develop their relationships with the government office regional deputy directors to ensure better delivery and integration with national priorities. Government offices have a key role in supporting CDRPs and LAAs, which forces need to be aware of and foster.
- 3.11 Forces should ensure, at the very least, that none of their priorities conflict with those of their partners. Better forces ensure that force and partner priorities are supportive and complementary. Youth justice and drugs rehabilitation are two examples of areas where this issue is particularly important.
- 3.12 Few forces seemed aware of the implications on the new national indicator set, or the impact of the new Audit Commission-led Comprehensive Area Assessment.



4. Police authorities

4. POLICE AUTHORITIES

INTRODUCTION

- 4.1 The key pieces of legislation in relation to the police performance management duties of police authorities are intended: to secure the maintenance of an efficient and effective police service; achieve continuous improvements in police performance; and obtain the views of local people on policing matters. In practice this means that authorities must ensure that police resources are being directed to address the issues of greatest importance (this being determined by local consultation as well as operational and political priorities) and that these resources are achieving desired outcomes. On occasions, however, it is unclear where the line is drawn between an authority's statutory responsibilities and the Chief Constable's operational independence. HMIC does not currently have the statutory responsibility to inspect police authorities, although provisions in the Criminal Justice and Immigration Bill currently passing through Parliament would give the Inspectorate the power to carry out such inspections in the future. The inspection of performance management therefore focused on how well each force encouraged police authorities to engage with performance management processes and facilitated independent scrutiny.
- 4.2 There is evidence that forces benefit from a knowledgeable, independent and intrusive police authority.

WHAT ARE THE KEY STRENGTHS OF FORCES?

- 4.3 Individual authority members often have aligned responsibilities for basic command units (BCUs), forging working relationships with key staff.

Kent Police

The Kent Police Authority (KPA) has aligned police performance committee members with each of the force's six BCUs, and expects members to both liaise and work closely with the relevant commander. In order to develop this key relationship further, the force and the KPA have agreed that BCU commanders and KPA link members will (apart from any other meeting structure) meet formally once a quarter to discuss performance and other relevant issues.

Nottinghamshire Police

The force provides appropriate support to the Police Authority to enable it to scrutinise performance. This includes providing comprehensive management information and use of exception reporting in respect of volume crime, including attendance by volume crime 'silvers' at the performance scrutiny board. The Authority has also taken the initiative to invite partners – including members of the local criminal justice board, the Crown Prosecution Service and the road casualty reduction partnership – to the scrutiny board to assist the force, holding them to account for performance and encouraging joint target-setting.

- 4.4 Individual authority members have, in some areas, lead responsibility for key themes such as protecting vulnerable people and Neighbourhood Policing.

Surrey Police Authority

Surrey Police Authority (SPA) strives to ensure absolute clarity concerning the roles and responsibilities of the SPA and the force on performance matters. A joint authority/force calendar provides a route map for performance and target-setting agendas. The SPA regularly monitors force performance at its finance and performance panel, and all SPA members have unrestricted access to the SPECS (performance information) site, in order to be fully informed about performance on a quarterly basis.

Each BCU has an SPA member assigned to it, and these meet with BCU commanders on a regular basis to discuss performance. The deputy director of strategic support (who leads on performance) attends the finance and performance panel on a regular basis, and SPA members report that they have ready and unrestricted access to performance management data and information.

Metropolitan Police Authority

The Metropolitan Police Authority (MPA) has several themed sub-groups, which examine performance and practice within a given area. One example is the MPA domestic violence forum which is attended by key members of the community; each meeting receives presentations from two borough commanders who are invited to attend.

- 4.5 Authorities benefit considerably from their own internal performance analysis capability, which both allows them to exercise more effective scrutiny and challenge and equips them to identify and set targets for the force.

WHERE ARE THE MAJOR OPPORTUNITIES FOR IMPROVEMENT?

- 4.6 Not all forces use their authority's links with local communities to inform priority setting.
- 4.7 Authorities are not always involved at the very start of the priority-setting process.



5. Force structure and processes

5. FORCE STRUCTURE AND PROCESSES

INTRODUCTION

- 5.1 In the 43 forces of England and Wales internal arrangements vary from centrally controlled, CompStat-driven regimes to highly devolved systems of performance management. The inspection found that both ends of the spectrum correlate with good levels of outcome performance. The critical factor is to create room for local delivery within a clear corporate framework. *How* this is achieved is then dependent on the overall structure and leadership style of each individual force. Two distinct aspects to performance management are, first, to ensure the delivery of current targets and objectives, and second, to promote the development of new ways of working.
- 5.2 HMIC noted that, with regard to managing and delivering current objectives, the vast majority of forces had effective mechanisms in place. As a general rule, forces and their staff were aware of their priorities, monitored their delivery and took early effective action when necessary. It was noted that systems were far more developed around the basic command unit (BCU) business areas – and in particular crime reduction and investigation – which has created two unintended consequences. First, some other important areas of business do not receive sufficient focus, notably protective services. Second, an over-emphasis on volume crime matters has led to some perverse incentives – some staff experience significant pressure to deliver numerical results and feel that their operational discretion (for example, to resolve a situation without resorting to process such as a caution or fixed penalty notice) has been removed.
- 5.3 On developing and integrating new ways of working, the national picture is somewhat mixed. HMIC commends those forces that are prepared to examine and challenge their current processes and seek new ways of working. In fact, for a force to be graded Excellent in this inspection it had to show innovation and be a beacon to other forces. HMIC consistently finds a relationship between innovative forces and high performers.

WHAT ARE THE KEY STRENGTHS OF FORCES?

- 5.4 Arrangements work well when force performance management meetings include both BCU commanders and the heads of all other units who are being held to account through the same methods, and focused on the force's goals.
- 5.5 Assistant chief constables' (ACCs') portfolios need to be clearly aligned to delivery areas, with as little overlapping responsibility as possible.

Developing practice: Merseyside

TITLE: BCU performance management framework

PROBLEM: It was identified that the force, while monitoring BCU performance regularly, was not really able to identify and understand those policing activities that might be influencing performance, and thereby focus activity on improving it. Additionally, there was very limited identification and sharing of good practice.

SOLUTION: At the end of the month every command team attends a performance meeting, chaired by the ACC (operations). In addition to examining the performance for the previous month and year to date against the previous year and target, predictive analysis is used to identify emerging and approaching risks. Most similar force (MSF) and most similar BCU comparisons are made to provide context and there are opportunities to visit better-performing BCUs. Prior to the meeting, emerging (or continued) risks have already been identified and tactical inspection activity has been undertaken around specific crime categories; this includes checking National Intelligence Model (NIM) meetings, processes and accountability frameworks. Front-line officer understanding is checked through visits to shift briefings and personal interviews. Compliance checking and quality assurance of investigative activity is also carried out through dip-sampling crime files; forensic scene examination results and forensic package management are also scrutinised. Real-time operational reviews are also undertaken, involving plain-clothes staff patrolling the crime areas at key times, to visibly audit policing activity from a community impact perspective.

In the middle of each month a themed performance meeting is held, again with the same membership and chair.

This performance regime is complemented by quarterly BCU reviews built around the Going Local 3 (GL3) framework. A pre-inspection self-assessment, using questions taken from the GL3 handbook, is tested by an inspection team, through attendance at key meetings, briefings and interviews.

The ACC's inspection day follows a clear agenda, including command team updates on the previous quarter's action plan along with current and anticipated performance risks. Presentations from and interviews with key staff and focus groups inform the findings from the day as well as preparing staff for genuine GL3 inspections.

The findings from the inspection are produced in the format prescribed in the GL3 handbook, 'positive' and 'area for improvement' bullet points being captured within the relevant domains. There is a requirement for the BCU to develop an improvement plan, which informs the basis of the following review.

OUTCOMES: The performance management framework continues to develop. There have been significant reductions across all key crime categories compared with the same period last year, including the lowest all-crime and violent crime figures for over two years. However, a significant benefit has also been that the framework has generated a new approach to understanding performance at BCU level. Greater scrutiny is applied to examining those activities which influence performance (at individual and team levels) and there is a much higher awareness and degree of quality assurance and compliance checking on the part of the BCUs themselves, across reduction and investigative activity.

This thrust and relentless focus on performance has been underpinned by the development of a corporate performance booklet aimed at BCU commanders and their teams. This has been complemented by specific guidance from the ACC (operations) about his expectations in terms of the detail and preparation required for relevant performance meetings.

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Thames Valley Police

In Thames Valley there is consistent use of comparative analysis at force/BCU/ local police area (LPA) level during the performance group meeting. BCU and LPA commanders are encouraged to seek good practice from neighbouring BCUs and LPAs as well as those in their family of BCUs and crime and disorder reduction partnerships (CDRPs). At one BCU meeting attended by the inspection team, it was evident that much benchmarking with MSF BCUs and neighbouring forces has taken place and a number of learning opportunities used to good effect.

There is evidence of integration and correlation of performance review, strategic planning and the NIM (with the added advantage of the Chief Constable holding the national Association of Chief Police Officers NIM portfolio). Operations and business planning are aligned through the strategic assessment.

- 5.6 Forces that have mapped their processes were able to use this knowledge to drive performance or, if necessary, re-engineer the process to improve performance.
- 5.7 Performance management systems and processes need to be well documented and communicated to all staff, with appropriate training and support.

Developing practice: Hertfordshire

TITLE: Operational performance meetings (OPMs)

PROBLEM: There is a need to sustain the drive for continuous improvement in force performance, delivery of service and quality of service.

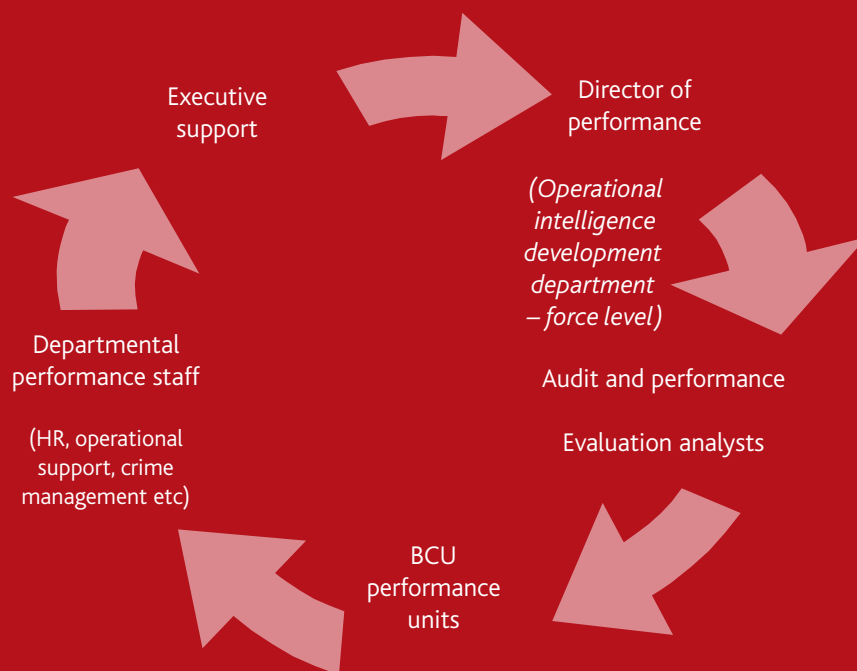
SOLUTION: The force established OPMs, which have been in place for over two years. These are held monthly and are chaired by a chief officer – the ACC (operations) – and attended by the Police Authority, other chief officers, BCU commanders and heads of department. Force performance is analysed and discussed at the meetings. BCU commanders and heads of department are held to account for performance and other departmental heads are tasked with support activities to help achieve goals.

The purpose of OPMs is to focus on business and operational performance processes that require improvement, to identify and tackle risks, and to identify and spread good practice – past, present and future.

For example, the OPM highlights crime issues at CDRP, BCU and force level, allowing the force as well as the BCU response to be initiated, and compares performance with both MSFs and most similar BCUs. The force performance analyst informs the meeting of emerging performance trends, enabling the force to identify good practice from around the country, eg a greater use of penalty notices for disorder reflecting directly on sanction detection rates.

'Search and Question' allows a clear examination of performance in a supportive manner.

The force has a director of performance role (a superintendent), who maintains an overview of force performance and co-ordinates activity between the force, audit and evaluation, force performance analysis, BCU performance units, departmental staff and executive support.



OPMs are supported by a performance management board that examines performance in detail and across the breadth of assessments, identifying changes in performance, focusing on risk and briefing chief officers on issues to be considered at the OPM. The meeting is attended by key staff involved in performance management: inspection and audit, the force crime registrar, the Chief Constable's staff officer and community, safety and crime reduction staff. The Police Authority also attends regularly.

OUTCOMES:

- Improving force performance.
- Chief Constable and senior officer focus.
- Force-wide knowledge and understanding of issues.

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Suffolk Constabulary

Suffolk's performance accountability framework document details with great clarity the method by which the force holds individuals and teams to account at every level – force, area, district, unit, safer neighbourhood team, individual level – and also the frequency of meetings. Evidence from focus groups suggests that the framework is well known and understood throughout the force.

- 5.8 A correlation with good overall performance can also be found where the whole of the force speaks with 'one voice', in that there is total unity of purpose and the methods of achieving it.
- 5.9 At the 'coal face', informal real-time performance management creates better results than sitting down formally at a later date. Therefore, effective frameworks provide up-to-date information to managers at all levels and cover the most recent performance as well as longer-term analysis.
- 5.10 Good practice and other organisational learning should be incorporated into the normal performance management meetings of the force, rather than feeding into separate good practice groups.

Developing practice: Essex

TITLE: Monthly performance improvement meeting (MPIM)

PROBLEM: The force was generating a large amount of performance information without it leading to an end-product that supported operational policing, but this was not presented in full to chief officers. This led to a degree of information overload which failed to underpin strategic management.

SOLUTION: The Chief Constable redefined chief officer portfolios to clarify ownership of performance areas and also inspections. The Chief Constable required that, along with targeted performance information, the imminence of inspections, their final reports and recommendations became a fixed part of the performance information agenda for chief officer meetings.

The MPIM was introduced, chaired by the deputy chief constable and attended by all chief officers and some members of the Police Authority. The performance information unit makes in-depth presentations about performance against all force objectives and operational leads attend as speakers on specific issues of interest; forensics, arrests and complaints have each been presented as a specific issue. Quantitative and qualitative targeted performance information is presented as exceptional data, both positive and negative, enabling chief officers to capture best practice as well as identify areas for improvement. Chief officers task the development of action plans based upon performance information, assuring its value to the force.

The MPIM receives a report on inspections and the progress of action plans to deliver against areas for improvement at every meeting. Minutes and actions from MPIMs are published on the force intranet which can be accessed by all staff.

OUTCOMES: Performance information is better targeted to support progress on force performance.

The monthly meeting focuses the strategic direction of the force clearly upon policing objectives and areas for improvement identified by external audit.

Lines of accountability are clearer and managed more effectively.

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Northumbria Police

Northumbria Police has prepared an organisational assessment covering both crime and non-crime areas, including performance, finance, public consultation and business planning. Following chief officer consideration, the force sees the opportunity to merge the recommendations of the strategic assessment and the organisational assessment to identify priorities across all Police Performance Assessment Framework (PPAF) or Assessment of Policing and Community Safety domains.

- 5.11 HMIC GL3 methodology has been used as a powerful tool for reviewing and driving BCU performance.*
- 5.12 Centrally driven robust frameworks such as CompStat meetings can be an effective method of managing performance, but there are other approaches.
- 5.13 The training needs of staff could usefully be linked to the performance management regime, rather than considered afterwards or outside the process.
- 5.14 Strategic, operational and financial planning cycles are integrated into the force planning cycle.

WHERE ARE THE MAJOR OPPORTUNITIES FOR IMPROVEMENT?

- 5.15 PDR systems are still not properly aligned to force goals and used to drive change. They are unnecessarily bureaucratic and many staff feel that the process has little added value.

Sussex Police

Sussex's performance development review (PDR) process is managed on an electronic database that links individual objectives to the policing plan priorities. Adherence to the PDR process is maintained by making completion of an up-to-date PDR a benchmark for assessment in respect of lateral development or promotion.

- 5.16 Forces that have not clearly mapped their processes often endure inconsistencies in processes that should operate in harmony, leading to confusion and incompatibility.
- 5.17 Some forces focus their resources and processes unduly on obtaining high gradings in HMIC and PPAF assessments. While HMIC acknowledges the importance of these assessments in providing government, the public and key stakeholders with an assessment of performance, no framework can cover all areas of policing or properly reflect force priorities – and, in particular, local priorities. HMIC commends forces and authorities that are prepared to incorporate priorities identified within their own areas following community consultation.

A word about risk

- 5.18 Too many forces focus on passive learning – ie where lessons are learned retrospectively after mistakes have occurred. Better performing forces use a more proactive model which reviews processes regularly for risks, in addition to learning from 'near misses'.

* <http://inspectorates.homeoffice.gov.uk/hmic/inspections/bcu/>

- 5.19 Good forces have effective risk registers and risk processes so that the force and police authority can make effective decisions on prioritisation and resource allocation. This area will be particularly important in a climate of limited resources.

Dorset Police

An innovative risk assessment matrix has been developed by Dorset which is now used to develop strategic and tactical assessments. This matrix has been introduced to staff through practical demonstration at the policing plan launch events. Officers and staff now understand why certain areas of policing activity have become prioritised and are more aware of the implications of risk. Risk is also assessed against a probability rating. This matrix is seen by the National Policing Improvement Agency as 'best practice'.

Surrey Police

A comprehensive risk management process has been established in Surrey to capture business risk intelligence through both formal and informal networks, including (when appropriate) the use of risk consultants. These are members of police staff trained in this discipline as a secondary skill. It provides a formal rating of risks to performance, finance, reputation, safety and compliance. The whole process is overseen by a senior level joint force/Surrey Police Authority board. The resulting force-level and portfolio-level risk profiles are used to inform the force strategic assessment (ensuring NIM2 compliance), planning and budgeting processes, and the ongoing prioritisation of resources.

Kent Police

In Kent all available data is considered in relation to corporate risk. The force has an updated strategic risk register within which both probability and impact are considered. The level of perceived risk is regularly documented and reviewed, and addressed within both the tasking and policing plan development processes.

Leicestershire Constabulary

Leicestershire's project assessment planning process has been developed over the past 12 months, reporting to the Chief Officer Group. This involves the assessment of a range of force-wide projects against a matrix, measuring each project against a set of weighted criteria. These include law and national policy alignment, tackling crime, promoting community safety, satisfaction and confidence, and protective services. Projects are then scored relating to the perceived ability to deliver, and any organisational risk. This will then provide a list of the five projects which are considered to be the most important.

Norfolk Constabulary

Norfolk Police Authority has access to all risk registers maintained by the force, and also maintains its own. Twice a year the scrutiny and audit committee considers the status of current organisational/departmental risk.

DISMANTLING THE BCU STRUCTURE

5.20 HMIC notes that some forces plan to dismantle the BCU structure, notably Warwickshire, Norfolk and Gwent.

Developing practice: Warwickshire

TITLE: Removal of force BCU structure

PROBLEM: The force is undertaking a significant programme of modernisation to ensure the service provided delivers real protection from harm. Removal of the BCU structure is one element of this programme – '150 Forward'. Warwickshire took the decision to fundamentally review service provision, recognising the need to deliver the highest quality services and protection within an increasingly challenging financial arena. The HMIC *Closing the Gap* report and the decision not to pursue force amalgamations reinforced the need for services to be fit for purpose. The requirement for an increased protective services capability was identified. The force undertook a consultation process before designing a new vision and values, clearly focused on protecting people from harm. A project team undertook further consultation and developed a blueprint for the structure of a 'new' force. BCU structures were identified as building in a lack of flexibility, for example over wider resource management. Other constraints within the BCU structure included varying approaches to volume crime, performance management and partnership engagement. The provision of management and support services to the existing two BCUs presented efficiency opportunities by doing these things just once, or in one place, not twice or in two places. Against this backdrop the decision to remove the BCU structure was made.

SOLUTION: The blueprint the force developed laid out the new force structure, one built around three directorates. The 150 Forward project team led consultation and implementation of the change. Full engagement with the Police Authority at all stages has been vital. The three directorates, Resources, Protective Services and Local Policing, are now in place. The Resources Directorate encompasses finance, human resource, information technology (IT), media, procurement and estates. Services that used to be delivered on BCUs are now delivered once, centrally – for example, finance support. The Protective Services Directorate includes all crime specialist services including intelligence. The directorate has benefited from increased investment in many areas designed to deliver greater protection – one such example being in the protecting vulnerable people team, providing greater scrutiny around child protection and other vulnerable cases that present high risk. The force capability to respond to major crime has been notably increased. Within the Local Policing Directorate local policing districts, the force communication centre, community safety and judicial services now work closely together to deliver services. District/borough policing teams, led by chief inspectors, encompass response, neighbourhood teams and local partnership working.

OUTCOMES: The removal of the BCU structure and the centralisation of resource directorate functions provide efficiencies which continue to be realised. The blueprint identifies in detail financial benefits linked to reinvestment and other benefits, all of which are closely monitored by the Police Authority and the force. The more obvious benefits immediately apparent include streamlining of structures in a number of areas (BCUs being one), standardisation of practices and command within local policing, the ability of the Local Policing Directorate to use resources more flexibly than was previously the case and a consistent focus on the force vision at all levels. The increased investment and capability within Protective Services have already shown benefit as the force has responded robustly to a number of high-profile major incidents. The introduction of force-level tasking, involving the three directorates on a daily basis, is another notable step forward.

FORCE CONTACT:

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6. Force performance and improvement function

6. FORCE PERFORMANCE AND IMPROVEMENT FUNCTION

INTRODUCTION

- 6.1 In relation to performance management, two principal aims can be identified:
- to deliver the current priorities and other performance requirements of the force; and
 - to identify new priorities and different ways of working.
- 6.2 To deliver these aims, forces need a dedicated capability for managing both processes. This capability should include audit and review of current delivery processes, as well as identifying risks and opportunities. The function must also be able to identify risk and opportunities outside current processes and ensure that appropriate development activity is undertaken.
- 6.3 The capacity and capabilities of the audit/quality assurance function will vary in size and type from one force to another and there is no single, preferred model. There may be a small core team which brings in other force or external staff as and when needed for specific areas of activity. As a minimum, however, specialist units should have the capability to audit all key processes regularly, over no more than a five-year cycle. Audit/quality assurance should also have the resources to research and develop new ways of working, if there is no dedicated capability in the force to deliver this, and have access to appropriately skilled staff for specialist inspections.

WHAT ARE THE KEY STRENGTHS OF FORCES?

- 6.4 The best forces focus specialist quality assurance on the most important processes, taking into account risk and force priorities. However, some risks sit in non-priority areas and will not be identified without regular inspections covering all of their processes.

Humberside Police

Humberside's recently restructured corporate development branch is now focusing some of its resources on corporate risk and improving performance and service delivery. The branch has an action plan setting out the critical internal processes which it will examine through audit and inspection, as well as supporting chief officers in other key areas. An assessment and review function has been established to inspect internal processes and systems and recommend improvements.

- 6.5 HMIC noted a variety of ways in which forces organise their resources to deliver the required capability. The key elements are a sufficient level of resource, and clarity about how the framework operates to deliver the required outcome.

Developing practice: Warwickshire

TITLE: Corporate Performance Framework (CPF)

PROBLEM: How to ensure that every aspect of Warwickshire Police is performance managed, in order to clearly identify how each individual in the force contributes to the achievement of the force vision.

SOLUTION: A CPF has been designed and implemented to monitor the contribution of all functions to the force vision. Every function in the force now has strategic objectives, service delivery measures, targets and a set of corporate health measures. Ultimately, the CPF will be linked to the performance development review (PDR) process, which will allow contribution to the force vision to be clearly identifiable at an individual level.

Performance data resulting from the CPF is discussed at monthly departmental meetings and an exception report produced by the performance management unit is discussed at the force management group meetings.

All function heads were consulted regarding content and to secure buy-in from the outset. Other forces were consulted on their performance management approaches and the Home Office and HMIC were invited to comment on the alignment with national good practice. A 'guardian post' for the CPF was created to provide ongoing management and ensure it continues to develop and evolve, to reflect the ever-changing performance culture that exists in modern-day policing.

Part of the responsibilities of the guardian post involves organising and managing a force-wide marketing campaign to ensure that the CPF is fully embedded and understood. This, like the CPF, is an ongoing process.

OUTCOMES: For the first time in the history of Warwickshire Police, the force has management reports that clearly identify individual contribution to service delivery. This will ultimately lead to improved service provision to local communities and any functions that are underperforming will be clearly identifiable. All individuals are now accountable for their performance and the extent to which they protect people from harm, regardless of role, will be identifiable.

FORCE CONTACT:

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Metropolitan Police Service

The force inspectorate sits within the Metropolitan Police Service Performance Directorate and there is regular engagement with the Metropolitan Police Authority, HMIC and the Police and Crime Standards Directorate. Representatives of these organisations routinely attend performance meetings including the corporate performance review meetings, the crime recording oversight group and external inspection partnership meetings. A small central inspection team conducts inspections on strategic and cross-business group issues alongside performance-driven inspection activity. In addition, Territorial Policing/Serious Crime Directorate and Specialist Operations have a small inspection capability to focus on intra-business group themes, based on performance review and assessment of risk.

WHERE ARE THE MAJOR OPPORTUNITIES FOR IMPROVEMENT?

- 6.6 Audit/quality assurance/inspection activity should not be limited to checking compliance. The information discovered must be linked into change mechanisms that allow forces to act on what they have discovered. Knowledge of a risk creates a responsibility on the force to task reasonable actions to mitigate it.

Cambridgeshire Constabulary

An HQ-based quality assurance team examines key areas of business throughout the year and reports to the Association of Chief Police Officers (ACPO) team. The work of this dedicated internal inspectorate takes place across three 'tiers' and has attracted considerable interest from other forces.

- 6.7 Forces must be careful in the use of self-assessment. Where self-assessment is used, there needs to be some form of independent verification, for example by the central quality assurance unit or peer review. Assessment is not about finding out if everything is OK or not, it is about identifying and mitigating risks, and identifying opportunities for improvement. Self-assessment alone is unlikely to provide the rigour or, more importantly, independent challenge that is needed for an effective assessment process.

Avon and Somerset Constabulary

In partnership with Thames Valley, Avon and Somerset has commissioned a former senior officer from another force to mentor district/department senior management team members in performance management. The intention is to scrutinise performance management structures and practice at all levels, particularly around crime management issues.

Developing practice: Essex

TITLE: Management of the external audit and inspection process

PROBLEM: Until recently, and with the exception of baseline assessments, Essex Police had no formal process for the management and co-ordination of external audits and inspections conducted by bodies such as HMIC, the Audit Commission or the Health and Safety Executive. Auditors made contact directly with operational leads, which generated successful reviews, but there was no central co-ordination of key issues. There was no formal process to develop action plans to address areas for improvement (AFIs) and hold managers accountable for delivering against AFIs. The force failed to identify or address AFIs ahead of inspections and, more importantly, returning inspectors raised concerns that AFIs were not being addressed in a formal and co-ordinated manner after the inspections.

The incoming Chief Constable required the corporate development department (CDD) to develop and implement an effective solution.

SOLUTION: CDD deployed the head of compliance and review to develop a cohesive approach that would improve the force's management of external audits. A team of two (part-time resources) was appointed to develop a process for the administrative management of inspections and to establish a sound working relationship with all external bodies, thereby creating a clear entry point to the force for all auditors as well as a clear reference point for Essex Police personnel in areas that were to be inspected.

The team, located within the programme and planning unit to place it at the heart of CDD operations, was tasked with:

- representing Essex Police to auditors in a positive, professional and organised manner, demonstrating the value that the force places on inspection;
- developing a process for managing external audits and inspections and then managing performance against them;
- generating a diary of all external audits and inspections to inform the force;
- communicating with chief officers and key personnel in relation to inspections and their outcomes;
- supporting and conducting pre-inspection to Specific Grading Criteria, including the research and writing of self-assessments, where required;
- briefing chief officers, enabling them to drive performance and compliance;
- providing a single point of contact able to respond to demands before, during and after the inspection;
- co-ordinating the programme of visits and interviews;
- ensuring that all papers requested are delivered to the inspection by the deadline, before, during and after the inspection; and
- generating an AFI tracker to drive the force response to AFIs identified in inspections as part of a monthly performance meeting, chaired by chief officers.

OUTCOMES: The force manages inspections professionally and has a more effective working relationship with external regulators as a result. This cohesive approach delivers clearer co-ordinated communication between key personnel and has enabled performance to be managed more effectively and efficiently at all levels.

A single document incorporates all AFIs; lead responsibility for responding to AFIs; and timescales for implementation. The AFI tracker is presented monthly to chief officers, enabling operational leads to be held accountable directly to chief officers. The AFI tracker is reviewed fortnightly within CDD.

The AFI tracker is shared with Essex Police Authority, creating a better relationship with members while also creating a conduit for more effective involvement in overseeing the response to inspections and participating in operational progress.

The force has benefited from the new process and welcomes inspection as a positive contribution to continuous improvement.

FORCE CONTACT:

Dick Madden, Head of Compliance and Review – 01245 452218

Developing practice: West Mercia

TITLE: Force inspection template

PROBLEM: The performance department compared the structure and function of internal inspection arrangements in ten other forces. The findings demonstrated that West Mercia Constabulary (WMC) employs fewer staff, on lower grades, than the majority of the sampled forces and that inspection work undertaken by WMC is limited in comparison. Issues to address include the following:

- WMC needs to develop a more risk-based approach to inspection/audit and improve identification of vulnerabilities across the force.
 - Divisions have developed local inspection/audit templates but these cannot provide consistency in the criteria inspected, the standards to which they are inspected, and interpretation of standards.
 - Issues cannot be easily viewed or compared corporately.
 - WMC needs to improve corporate insight into problems and weaknesses prior to external audit or inspection.
 - Addressing the audit requirements of management of police information requires a more structured approach.
-

SOLUTION: With no resources available to recruit new staff, the proposed solution is for WMC to:

- manage itself by monitoring skills, methods and resources and identifying shortfalls through front-line supervisors undertaking quality assurance checks;
- create a second check and safeguard, through objective evaluation against standards, using divisional and central audit;
- uncover areas of vulnerability by making judgements based on observation, measurement and testing by force thematic inspections; and
- promote the corporate application of standards and the use of a corporate memory.

This is being addressed by the introduction of the force inspection template (FIT), which is essentially a database administered centrally that holds all external and internal quality assurance audits and inspections to which WMC is subject.

The FIT is loaded with templates, which will be made available to departments and divisions so that they can undertake quality assurance checks against fully scoped standard criteria. They can also use the templates to undertake audits prior to any force or external audit. The templates and responses from all divisions and departments will be monitored centrally to identify areas for improvement and areas of effective practice.

The FIT will support other force performance processes, such as the balanced performance framework, which stores departmental goals and initiatives, and the actions database, which tracks actions and progress from performance meetings and supports force plans in a variety of ways. This will ensure a focus on priorities and outcomes and provide an overview of force issues. It will also link to a number of other plans, such as the HR plan and the efficiency plan.

The FIT will be comprehensive and dynamic, continually updated by current work that supports continuous improvement. This aims to ensure that innovation and creativity are captured and shared.

OUTCOMES: The FIT will enable the centre to view corporate information and identify areas of vulnerability through trends or emerging issues and enhanced analysis. This will allow the performance department to adopt a proactive, risk-based approach to audit and inspection, deploying limited resources to where they are most needed. It will also promote the early identification of problems and help to prevent poor practices becoming entrenched.

Common minimum standards will be developed and quality assurance made more consistent across the force. Supervisors can take responsibility for their business areas with better information and standards to guide them as to acceptable levels of performance. Effective practice will be identified and 'what works' will be shared for the benefit of the force.

FORCE CONTACT:

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Developing practice: Kent

TITLE: Performance review and self-inspection

PROBLEM: The need for an all-encompassing, comprehensive and joined-up regime of review and self-inspection capable of identifying areas for improvement and strengths across all aspects of the organisation.

SOLUTION: Over the last year, a series of interlinked inspection processes have been developed across the entire spectrum of organisational business. Based on a corporate model and reporting to the deputy chief constable (DCC), these enable the identification and monitoring of areas for improvement, along with the promulgation of best practice.

- A programme of performance and operational reviews (PORs) has been put in place across all basic command units (BCUs) and HQ directorates. Adopting both qualitative and quantitative methodologies, PORs address core themes relevant to the area inspected. The senior management team of the inspected area is present to answer questions and explain performance, while other stakeholders such as Kent Police Authority (KPA), the Crown Prosecution Service and district councils also attend. Each POR is followed by a six-month review that monitors progress.
- A compact POR process has been introduced which is attended by all BCU commanders, and department heads as appropriate, and chaired by the DCC. This forum, which examines the key performance risks for each BCU and focuses on particular aspects of performance for each, holds area commanders to account for their current performance, seeks solutions to current issues and highlights best practice in order to apply it more widely.
- A monthly BCU inspection comprises analysis of dip-tested documentation across all BCUs to identify potential vulnerabilities and areas for improvement across key themes and to close any gaps. While the themes change to reflect key business needs (currently including custody records, stop and search/account records and victim code compliance), there is also a degree of continuity in order to monitor force and BCU progress over time. The findings are reported to performance managers, with quarterly analysis reported to the force performance committee.
- Thematic inspections are also carried out on behalf of ACPO sponsors to cover any gaps or emerging issues. During the current financial year, these have included reports on disproportionality and the criteria for recording harassment offences.
- A separate strand of the inspection process comprises post-implementation reviews of significant projects. Carried out on behalf of the KPA across all business areas, these evaluate projects according to their business case and the delivery of benefits, while also identifying points of learning.

The findings from each inspection process are considered when setting criteria for further inspections, ensuring a complete feedback loop.

OUTCOMES:

- The integration of self-inspection processes within all aspects of organisational business – both BCUs and HQ departments.
- Self-inspection being seen as 'business as usual' rather than as a separate entity, with the flexibility to respond to changing issues.
- Improved performance management through the dissemination of results from self-inspection processes at a variety of force and Police Authority forums and committees.
- Greater dissemination and sharing of best practice through a variety of different inspection and performance forums.
- Enhanced scrutiny of BCUs across a broader range of themes based on intensive and probing research incorporating both quantitative and qualitative assessment.
- Greater accountability of area commanders and department heads through POR and compact POR processes.
- Ongoing and continued development of inspection processes:
 - A new performance managers' forum promulgating organisational learning is planned.
 - The current inspections will be enhanced with individual ownership of the inspection process in local areas.

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7. Efficiency

7. EFFICIENCY

INTRODUCTION

- 7.1 Efficiency is a theme that runs through all areas of service delivery; all levels of performance have associated costs. Police authorities and forces need to enhance their awareness of the costs of policing and support activities if they are to manage performance cost effectively.
- 7.2 In recent years efficiency has focused on delivering higher levels of performance – reduced crime, more offences brought to justice, improved customer/victim satisfaction – to reflect the increased resources made available through relatively generous financial settlements. Now, many business areas are challenged to continue securing improvements but with the same or fewer resources.
- 7.3 Underpinning efficiency gains is a better grasp of the cost of inputs and processes so that the relative benefit of different outputs and outcomes can be assessed and prioritised. This is fairly straightforward in a manufacturing process that can calculate with precision the costs of inputs (labour, materials, overheads etc) and the value (ie sale price) of outputs. But policing is far more complex; we may be able (though not easily) to calculate the cost of bringing a single burglar to justice and yet the value of the outcome goes far beyond the worth of any property recovered – perceptions of satisfaction and confidence are key factors to which we cannot assign a financial value.
- 7.4 Like all other public services, police forces must demonstrate that they are spending taxpayers' money in an efficient and effective way to deliver agreed priorities – in short, that value for money is being achieved. This requires forces to understand the financial architecture of policing processes and make them as efficient as possible. Ultimately, forces should work with their authorities and communities to identify where they want resources to be focused.

WHAT ARE THE KEY STRENGTHS OF FORCES?

- 7.5 Forces have made savings by sharing services such as HR, estate management, transport and financial services with other agencies such as neighbouring forces or local authorities.
- 7.6 A few forces have integrated activity-based costing (ABC) into their core processes to inform decision-making (although many others find ABC too bureaucratic and historic to be a useful information tool).

Cleveland Police

Cleveland is keen to develop innovative initiatives that challenge traditional approaches to policing. One example is the force's commitment to, and use of, ABC which has been highlighted by the Audit Commission as good practice. The strategic assessment of efficiency and effectiveness through the force's ABC framework is integrated into the corporate performance framework as a key feature of performance improvement. The approach has withstood scrutiny by a number of bodies including ACPO, HMIC, the Audit Commission, the Home Office and the Association of Police Authorities, as well as peer review by other forces.

Cheshire Constabulary

Cheshire completes the (Home Office-prescribed) minimum two-week ABC exercise in February each year. Before and after the exercise, a team from Corporate Services visits each basic command unit (BCU) management team to establish what they wish to identify/analyse and to help them interpret results. This information is used, for example, to identify the impact of changes in IT provision on availability for front-line patrol.

- 7.7 ABC provides some information on which the force can then take action to help secure the most from its resources.

Lincolnshire Police

Lincolnshire Police is part of a regional ABC collaboration and has already implemented good practice from this. Evidence shows that ABC is used to assess and improve productivity and efficiency. The force has developed a comprehensive breakdown of force activity linked to budget codes, and has mapped this against every baseline assessment grade of the October 2006 report.

- 7.8 Activity analysis data should be collected across all areas of policing and used at both front-line operational and strategic levels.

Northumbria Police

Additional ABC work has been undertaken in Northumbria to link activity inputs to outputs in relation to burglary dwelling performance and double- and single-crewing of staff. Ad hoc survey work has also taken place outside the scope of the national guidance for the training department and in relation to police staff.

ABC data features in the work of the force efficiency group and the workforce modernisation programme. It also features in modelling activity by the corporate development department in developing implementation plans.

- 7.9 It is important not only that force-wide resources are allocated appropriately but also that the process is seen as transparent and fair.

Metropolitan Police Service

A new Metropolitan Police Service (MPS) productivity board has been established to promote efficiency, productivity and value for money across the various business groups.

To promote improved productivity through fiscal accountability in the MPS, the deputy commissioner has recently required every chief superintendent and police staff equivalent to include an objective on financial management within the 2007/08 performance development review objectives. This sits alongside other performance-related objectives upon which annual pay awards are based for these ranks/grades.

Staffordshire Police

Staffordshire uses a resource allocation model, derived from the national funding formula, to determine BCU budgets. The process of negotiating budget allocation and resource headcount is managed through the Chief Officers Management Meeting (COMM), the business managers forum, the resource working group and the human resource development group. COMM ensures that the resource allocation model is tempered by professional judgement, and balanced with force priorities, as budget allocation is finalised in each financial planning round. This is then continually assessed through the year by COMM. It is a consultative process, based on some science and a degree of professional judgement, but ratified only after consultation and agreement through the necessary forums.

Surrey Police

The budget-setting process in Surrey is now more sophisticated, performance driven, and aligned to strategic priorities and targets. It is serviced by a joint Surrey Police Authority/force sub-group. This innovative approach has been commended as good practice by the Audit Commission. ABC has been used productively to improve effectiveness and efficiency. For example, the crime management ABC pilot has demonstrated that, by employing police staff to provide administrative support in the major crime investigation team (MCIT), a further 25% surveillance capacity can be created.

Since 2006 the force has conducted a daily ABC analysis pilot across all strands of its crime management department (ie MCIT, surveillance, and serious and organised crime investigation) and this is used for the costing of investigations and for resourcing units. This pilot has been extended to one BCU for testing. ABC has also been used at the workforce modernisation pilot site, linking with personal performance indicators to provide more focus on unit-based costings.

Warwickshire Police

Activity analysis data has been used to assess the proportion of time spent on patrol by police community support officers. Proactive use of this data increased patrol time by 8%. The performance team has been restructured to assign more time to activity analysis and ABC.

Developing practice: Northamptonshire

TITLE: How to make best use of ABC

PROBLEM: How to make the best use of activity analysis and ABC.

SOLUTION: In 2004/05 Northamptonshire redesigned the activity analysis (AA) paper form to make it easier to understand. In the same year, all officers and more staff members were asked to complete AA forms for ten tours of duty. After completion, the forms were manually checked for errors and inputted. The force achieved a 95% return rate (38% improvement) and a Good/Good audit rating. The following year (2005/06) a 96% return rate was achieved, with some areas achieving a return rate of 100%. Before the 2006/07 campaigns started, work was undertaken to look at other types of forms and systems for recording AA data. After consultation with three companies, the force decided on an electronic form system. Benefits included the fact that:

- the form could be saved and returned to;
- more role-specific activities could be included;
- there was flexibility on the minimum activity duration to be recorded (moving away from recording an activity every 15 minutes, even recording real time);
- there were built-in validation rules; and
- there was a quicker turn-around of getting data into the analysis software, which allowed feedback of data to the areas or departments more quickly.

Before writing reports, Areas and departments are consulted to establish what data they would find most beneficial. Questions are then posed to senior management regarding those results and feedback is sought. AA campaigns are not run exclusively for the Home Office. Departments are asking that AA campaigns be completed during specific times (eg during operations) to get a better understanding of how resources are helping to inform decision-making. The Police Authority receives regular updates regarding AA/ABC and the AA/ABC lead will also attend their meeting to provide updates. Regionally, the force led on a piece of work to look at robbery and burglary AA/ABC data for the five East Midlands forces.

OUTCOMES: The audit rating moved from Weak/Poor to Good/Good.

An initial 38% improvement in return rate from 2003/04 is now stable, well above 90%.

AA is used beyond the Home Office requirement.

More data is available to senior managers and they are more accountable.

Feedback from officers is that the e-form is easy to use.

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WHERE ARE THE MAJOR OPPORTUNITIES FOR IMPROVEMENT?

- 7.10 Forces should regularly review where their resources are being allocated. As priorities and demands are constantly changing so will the resource profile need to evolve. Resource reallocation must be managed in a measured and transparent way and take into account the impact on individuals.

Kent Police

Kent has a resource allocation model, designed by KPMG, which uses multiple data sources in order to increase sensitivity and reliability according to subtle differences at area level. The complex data, extracted over a 12-month period, included incidents attended, time spent dealing with incidents, other policing requirements (such as preparation of files), mix of crimes, numbers and pattern of incidents and crimes. The resource allocation model also takes into account data from the staff activity survey and Integrated Support and Intelligence System, such as abstractions for annual leave, training courses and sickness. It then generates optimal resource levels based on these factors. Notwithstanding the application of the model, there remains a perception among some staff that resources have not been allocated in a way that will improve performance.

- 7.11 Few forces have applied a clear and effective risk model to decide where they can safely maintain minimum levels of service, so that resources can be focused on force priorities.
- 7.12 While ABC can have value, it is undoubtedly a bureaucratic and somewhat flawed method of collecting data (for example, it is not auditable so accuracy cannot be guaranteed). Automatic data collection – for example through the command and control system/Airwave – reduces bureaucracy considerably. But clarity is still required in how activity analysis data is going to be used to improve resourcing decisions.

Developing practice: Staffordshire

TITLE: Establishing real-time demand-management tools to continually assess resource use and get the right people in the right place at the right time

PROBLEM: The challenge facing the force is to support its policing model, and the investment in Neighbourhood Policing and protective services, by the adoption of a performance methodology to promote best use of resources at all times. Also, to facilitate effective response and workload management through the provision of information to inform evidence-based decision-making.

SOLUTION: The force has established a unique tidal (2 2 2) shift pattern that has been assessed by Accenture as one of the most effective arrangements available for matching resources to demand. In an environment where efficiency targets and the optimal use of resources are paramount, continued improvement in shift systems and the facility to examine real-time demand for effective resource deployment are major priorities.

The response cycle of demand can best be managed by effective problem-solving and the use of demand data to give a full picture of demand, demand type, availability and use of resources. The reality that poorly managed demand will impede strategic priorities has been accepted by the force, and this work is being conducted in partnership with territorial divisions by corporate services. A series of trigger reports flow from this work and inform a historic performance view of resource use in previous weeks and the use of resources; further products provide a predictive modelling capacity to understand resource availability and demand at a strategic level and can be applied in tasking and co-ordination.

This work is complemented by the CARM 3 resource-planning project and performance tools, demand simulation work in Chase division, and the use of activity analysis data to provide a true picture of work in progress. Other significant and continuing developments are the use of the automatic vehicle location system and automatic personnel location system GPS data to support the effective deployment of staff, using data in 15-minute cycles. This is key work and is breaking the myths of demand, allowing informed decision-making to support front-line policing activity and quality of service delivery in the long term.

OUTCOMES:

- The establishment of new performance toolkits on real-time demand.
- The establishment of new performance toolkits on resource availability, including efficiency scores, by team, of staffing to demand.
- The ability to demonstrate transparent resource use efficiencies.
- Evidence-based decision-making on all resource use issues, supporting health and safety considerations for staff.
- Accountability structures for effective demand management and resource use.

FORCE CONTACT:

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Developing practice: Lancashire

TITLE: Activity sampling – Stratified Random Sampling (SRS)

PROBLEM: Activity-based costing necessitates a survey of the activity undertaken by both police officers and operational police staff. Typically, officers maintain a record of their activity at 15-minute intervals throughout each tour of duty over a two-week period. Activity sampling campaigns place a considerable logistical and administrative burden on forces.

SOLUTION: In 2006/07, the survey of activity was based on an SRS, which necessitates far fewer observations and consequently involves fewer officers and fewer tours of duty. In previous years, a blanket campaign has required approximately 18,000 activity cards to be completed (around 650,000 observations), whereas the SRS required 1,542 cards (56,000 observations). By reducing the burden on operational officers, the administration of the survey has been simplified and the savings in actual and opportunity costs have been estimated at approximately £90,000.

OUTCOMES: SRS is an expeditious solution for capturing the data for the costing model. The limits of accuracy achieved were comfortably within the $\pm 2\%$ requirements of the Home Office manual of guidance model and the results are comparable with previous campaigns. Although SRS does not eliminate the need for self-completion activity surveying, it has dramatically reduced both the operational and financial burden and has created the potential to further develop the use of activity data in the suite of performance products. The reduced intrusion is likely to increase the representativeness and accuracy of the data.

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8. Information technology

8. INFORMATION TECHNOLOGY

INTRODUCTION

- 8.1 Primarily, information technology (IT) in performance management is about the management of information for analysis which then drives effective decision-making. Forces are large and complicated organisations dealing with many diverse areas of business over time. No force can deliver an effective performance management system in that type of environment without the effective use of technology.
- 8.2 An excellent IT system will access information from across the force and also from outside sources, such as partners. This information will then be available to anyone who needs it. The information will allow analysis of all units within the force, and at levels of detail from the highest strategic analysis down to individual performance.
- 8.3 The force IT strategy must ensure that it delivers the priorities of the organisation. IT products should be selected with care to ensure that they match the force's needs. Force IT strategies also need to be integrated with national IT strategies to ensure synergy and prevent problems with interoperability.

WHAT ARE THE KEY STRENGTHS OF FORCES?

- 8.4 There is now a greater focus on the quality of data.

Metropolitan Police Service

The data accuracy team, positioned within the Performance Directorate, is responsible for promoting compliance with Home Office Counting Rules, National Standard for Incident Recording and the National Crime Recording Standard. This has included challenging work to identify issues surrounding the use of non-sanction detections, the product from which has greatly informed the positive action that followed at both force and national levels.

- 8.5 Data must be turned into information that allows effective analysis to be completed to underpin decision-making.

Lancashire Constabulary

The PROBE, Vic-Man system and TORA system of monitoring activity are major enablers and the availability of that information to managers is having an impact on how front-line policing is delivered. Lancashire consistently uses comparative data in order to identify good practice, an example being the use of the Vic-Man system, which is linked to PROBE and supports the work of the re-contact centre. When combined with the data generated by the constabulary's TORA system, a more comprehensive picture on the relationship between policing activity and confidence and satisfaction can be mapped. This information is now being mainstreamed via a greater emphasis on the data generated being presented at divisional quarterly reviews, which are conducted by chief officers.

Developing practice: Sussex

TITLE: Effective use of performance information

PROBLEM: Performance information within Sussex Police was produced on a monthly basis and was not widely used or understood. Attempting performance analysis on the substantial amount of data within the force's crime-recording computer system, introduced in the early 1990s, was a time-consuming and relatively manual task.

SOLUTION: Business Objects and the force's intranet were used to provide a stream of timely, accurate and relevant data. Performance information was democratised – made easily available to all and explained in accessible terms at the force performance meeting. Meanwhile an innovative system developed by an operational police officer brought substantial improvements to the management of active crime investigations.

Before the changes, a significant amount of resource was invested in producing Home Office returns and a relatively small set of month-end reports. For example, the main headline report was available only during the second week of the following month. Performance data is now refreshed daily, with the previous night's figures available in the early hours of the morning. Headline figures are now displayed on the force intranet's home page, reflecting the central role that performance plays in Sussex Police. In addition, divisional and departmental performance analysts have access to a range of source systems through Business Objects, enabling local, bespoke analysis in addition to the suite of centrally published reports.

Tight management of active crime investigations was identified as a barrier to improving detection performance, for example the need for supervisor reviews to be completed on time. A divisional sergeant developed the SMART (specific, measurable, achievable, realistic, timely) package to give fellow supervisors a close grip on their team's active workload, to identify teams lacking timely reviews. SMART was adopted across the force, and has now been updated and integrated with team- and individual-level performance data and Sussex Police's electronic crime investigation forms.

OUTCOMES: The improvement achieved in Sussex Police's performance in the past four years is the desired outcome. The Office for Criminal Justice Reform recognised Sussex Police's "effective use of performance information" as a main driver for detection improvements.

Users can 'personalise' their intranet page to show data for their local area, and three-quarters of police officers and staff have done this, demonstrating the current penetration of, and interest in, performance data.

SMART, combined with an intranet home page display showing each officer their 'active crimes under investigation', produced a much tighter grip on ongoing enquiries, including substantial reductions in 'live' crimes and a tighter process of supervisor reviews.

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West Midlands Police

Chief officer portfolios have been realigned so that information management is now incorporated into the intelligence portfolio. This means that the force can integrate the National Intelligence Model into information gathering from the outset of public contact.

- 8.6 The best forces look beyond their own systems to produce a richer picture for analysis.

Northumbria Police

Data-sharing relationships are strong. The Sunderland Area Command has a project in place (Vault) to develop an effective partnership data warehouse which is being driven by partners across the area command led by the Government Office. The force is using these means to widen the scope of its strategic assessment. A business planning database has been developed which tracks the progress of actions aimed at achieving goals and objectives identified in the force plan. An intranet-based version has replaced the original standalone system. Actions are prioritised, and some departments have extended its use into a programme management tool.

- 8.7 The effective use of IT is a prerequisite for real time analysis.

Cleveland Police

The cornerstone of the framework is the team performance accountability mechanism (TPAM), an electronic, real-time, data-gathering and analysis system that can drill down to team and individual performance. The performance management framework in Cleveland has been reviewed by the Home Office which intends to use it to influence national guidance. The Police and Crime Standards Directorate and Audit Commission have highlighted TPAM as good practice.

- 8.8 The IT system needs to deliver information to the staff who then make the operational and strategic decisions; the greater the level of granularity, the more effective is the information. Some built-in analysis can also ensure that operational staff spend their time making decisions not collecting and analysing data.

Derbyshire Constabulary

Team and officer management information data is available to managers and supervisors and identifies performance at team and individual officer level. This can then be used to analyse performance and make improvements where required.

Developing practice: Northumbria

TITLE: Use of a combined database to manage business planning and corporate risk

PROBLEM: Business planning and corporate risk management have several shared requirements:

- recording local activity such that it is available centrally and to the rest of the organisation;
- evidencing progress made against activity, both locally and to the centre, to support performance management;
- clear structures and guidance to ensure sound planning and identification of corporate risks and to facilitate good management; and
- transparency of decision-making.

SOLUTION: Northumbria Police developed a local planning database in 2005 to capture business plan activity and updates. At the same time, risk management was embedded in the organisation through the use of local and central risk registers.

Both initial solutions were developed independently and were based on local databases. In early 2006 the need for an integrated approach was recognised, and so new, integrated risk and planning databases have been developed.

Key features of the databases are:

- integration of risk and planning – activities resulting from risks are reflected in business plans, and business plan activity can be 'mapped' across to mitigate risks;
- databases are intranet based, available to all staff, managers and chief officers;
- tasks (planning/risk) can be allocated to named individuals, with online reporting of progress (against each individual task if required) and status (of the action as a whole);
- clearly defined process steps (with compulsory information requirements), to ensure good-quality entries in the databases;
- risks and plans can be flagged up as contributing to several areas such as baseline, force aims, national quality of service or National Centre for Policing Excellence (now part of the National Policing Improvement Agency) doctrine, which in turn can highlight where the organisation may be vulnerable in terms of service delivery; and
- supporting committee structures have been developed to maximise the impact of the databases. Monthly reporting of progress to chief officers is a fundamental requirement.

OUTCOMES: The outcomes include:

- ready access to information about business risk management and business planning, including progress and status reporting;
- minimum duplication – updating business activity also updates risk activity;
- realistic and real-time presentation of local activity and status;
- named individuals are accountable for risk and planning, supporting performance development review (PDR) and performance management;
- updates are captured via the system, which maintains an audit trail and facilitates management across diverse sites;
- management reports can instantly be provided against a range of fields such as baseline, quality of service etc; and
- provides evidence of how business risk management dovetails with the business planning process.

FORCE CONTACT:

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Leicestershire Constabulary

The force has included the policing performance assessment framework domains and HMIC key issues in its performance regime, achieving policing excellence (APEX). These processes have been independently evaluated by the Audit Commission, which states: "The availability of force data down to LPU [local policing unit] level on one central website, providing up-to-date and accurate statistics, has allowed areas to focus much more quickly and closely upon issues of public concern or underperformance against targets, and thereby respond more swiftly with an appropriate reallocation of resources." Included in the APEX process is most similar force comparative data at both force and basic command unit (BCU) level. Police authority members sit as observers at APEX meetings, further strengthening the governance and rigour of these meetings.

Gloucestershire Constabulary

The 'Divisions' area within the force intranet gives access to electronic briefing bulletins that are updated daily. Bulletins are available at inspector-led neighbourhood area/ safer community team (SCT) level. All previous bulletins are archived on the force intranet for ease of reference. Local SCT priorities are also accessible on the internet for scrutiny by both constabulary employees and the wider community. These priorities are selected and resourced through consultation with the community and scanning, analysis, response, assessment plans are developed as a direct response.

- 8.9 Innovation in IT systems should be user-led. Forces should ideally have the capability to undertake significant development within the force.

Developing practice: Surrey

TITLE: Personal performance indicators (PPI)

PROBLEM: Performance in the force has historically been addressed predominantly via a top-down approach, with the use of aggregated data to hold divisional commanders and departmental heads to account. However, performance management and accountability also need to be supported with a bottom-up approach, for two main reasons. Firstly, a bottom-up approach helps make all individuals in the force aware of how they contribute to the strategic goals of the organisation in quantifiable terms; and secondly, such an approach provides line supervisors and managers with a tool that helps them objectively assess the performance of individuals, in support of both delivering the strategic aims of the force and personal development.

SOLUTION: The PPI project was initiated and sponsored by the Chief Constable. The project recognised that with the development of the new Oracle data warehouse and the recently installed MIS software (Oracle Portal – a web-based application), the force had the tools to supply individuals and supervisors quickly with secure, accurate and timely data on personal performance.

Individuals can easily access the PPI system from the Surrey Police intranet. After entering security information they are presented with the PPI portal, which displays their own HR information and, where relevant, details of the staff they supervise – a feature which, in itself, helps to improve data quality within HRMS. The PPI portal provides access to the PPI reports on individuals, as well as to aggregated reports on teams, departments, divisions and the force as a whole.

The indicators currently available include:

- incidents (road traffic collisions and signal crimes);
- crimes (including number of detections together with detection method breakdown; number of no crimes; and number of crimes filed undetected);
- number of arrests linked to crimes (together with a breakdown of the outcomes); and
- number of stop-and-searches (with breakdown).

The project is looking to include other contextual indicators such as absence, and to widen the suite of measures to encompass data quality PPIs and specific PPIs for neighbourhood specialist officers and police community support officers. In recognition of the fact that the data is essentially quantitative and has the potential to encourage perverse incentives, another strand of the project is looking at how weighting measures can help militate against this effect.

A particular intention of the project was to not set specific performance targets at the individual level, in recognition that such an approach would potentially favour quantity over quality.

OUTCOMES:

- Operational staff can now understand, and evidence in quantifiable terms, how they contribute to the strategic goals of the organisation.
- The system provides supervisors and managers with a tool which delivers a more objective and evidence-based approach to tackling poor performance and rewarding good performance in support of the PDR process.
- North West Division has implemented a PPI intervention strategy. This strategy uses the PPI system to recognise good performance, with various rewards such as nominations for the APEX scheme and letters of appreciation, but also agrees the channels through which action can be taken to address poor performance. Such a strategy is designed to encourage a positive and sensible use of the PPI tool in the context of other qualitative factors, in order to guard against the pursuit of purely quantitative outcomes. Since implementation, other divisions have taken on similar approaches.

FORCE CONTACTS:

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West Mercia Constabulary

An innovative geographical information system-based analytical tool has been introduced which enables analysis to be conducted on information and intelligence from various databases. It allows officers to identify inter-relationships between data, and is increasingly being used at both a strategic and an operational level.

WHERE ARE THE MAJOR OPPORTUNITIES FOR IMPROVEMENT?

- 8.10 Not all forces have integrated IT systems that speak to each other, which would enable the force to easily access the complete performance picture. HMIC found that many skilled analysts waste large amounts of time simply collecting and compiling data.
- 8.11 IT systems in many forces do not produce performance data for specialist units, as they do, for example, for BCU-focused delivery.
- 8.12 Data should ideally be collected automatically at the point of production and stored in a data warehouse for delivery to any part of the organisation. The more up to date information is, the more valuable it becomes.



Appendix

APPENDIX – PERFORMANCE MANAGEMENT FORCE GRADINGS 2007

THE GRADING PROCESS

Grades awarded by HMIC are a reflection of the performance delivered by the force over the assessment period April 2006 to July 2007. One of four grades can be awarded, according to performance assessed against the Specific Grading Criteria (SGC) (for the full list of SGC, see <http://inspectorates.homeoffice.gov.uk/hmic/methodologies/baseline-introduction/ba-methodology-06/?version=1>).

Excellent

This grade describes the highest level of performance in service delivery and achieving full compliance with codes of practice or national guidance. It is expected that few forces will achieve this very high standard for a given activity. To achieve Excellent, forces are expected to meet **all** of the criteria set out in the Fair SGC and the vast majority of those set out in Good. In addition, two other factors will attract consideration of an Excellent grade:

- The force should be recognised, or be able to act, as a 'beacon' to others, and be accepted within the service as a source of leading-edge practice. Evidence that other forces have successfully imported practices would demonstrate this.
- HMIC is committed to supporting innovation and we would expect Excellent forces to have introduced and evaluated new ways of delivering or improving performance.

Good

Good is defined in the Collins English Dictionary as 'of a high quality or level' and denotes performance above the minimum standard. To reach this level, forces have to meet in full the criteria set out in Fair and most of the criteria set out in Good.

Fair

Fair is the delivery of an acceptable level of service, which meets national threshold standards where these exist. To achieve a Fair grading, forces must meet all of the significant criteria set out in the Fair SGC. HMIC would expect that, across most activities, the largest number of grades will be awarded at this level.

Poor

A Poor grade represents an unacceptably low level of service. To attract this very critical grade, a force will have fallen well short of a significant number of criteria set out in the SGC for Fair. In some cases, failure to achieve a single critical criterion may alone warrant a Poor grade. Such dominant criteria will always be flagged in the SGC but may also reflect a degree of professional judgement on the level of risk being carried by the force.

PERFORMANCE MANAGEMENT GRADES 2007

Avon & Somerset	Good
Bedfordshire	Fair
Cambridgeshire	Good
Cheshire	Good
City of London	Fair
Cleveland	Good
Cumbria	Good
Derbyshire	Fair
Devon and Cornwall	Good
Dorset	Good
Durham	Good
Dyfed-Powys	Good
Essex	Good
Gloucestershire	Good
GMP	Good
Gwent	Fair
Hampshire	Good
Hertfordshire	Good
Humberside	Good
Kent	Good
Lancashire	Excellent
Leicestershire	Good
Lincolnshire	Good
Merseyside	Good
MPS	Good
Norfolk	Good
North Wales	Good
North Yorkshire	Fair
Northamptonshire	Good
Northumbria	Excellent
Nottinghamshire	Fair
South Wales	Fair
South Yorkshire	Good
Staffordshire	Excellent
Suffolk	Good
Surrey	Excellent
Sussex	Good
Thames Valley	Good
Warwickshire	Good
West Mercia	Excellent
West Midlands	Excellent
West Yorkshire	Good
Wiltshire	Fair



Glossary

GLOSSARY

A

AA	activity analysis
ABC	activity-based costing
ACC	assistant chief constable
ACPO	Association of Chief Police Officers
AFI	area for improvement
APA	Association of Police Authorities
APEX	achieving policing excellence
ASB	anti-social behaviour

B

BCS	British Crime Survey
BCU	basic command unit

C

CDD	corporate development department
CDRP	crime and disorder reduction partnership
COMM	Chief Officers Management Meeting
CompStat	Computational Statistics
CPF	Corporate Performance Framework
CRAVE	confidence, reassurance, accessibility, visibility and evaluation

D

DCC	deputy chief constable
-----	------------------------

F

FIT	force inspection template
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G

GL3	Going Local 3 (Merseyside)
GMP	Greater Manchester Police

H

HMIC	Her Majesty's Inspectorate of Constabulary
HMI's	Her Majesty's Inspectors

I

ICSB	inter-agency community safety bureau
IT	information technology

K

KPA	Kent Police Authority
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L

LAA	Local Area Agreement
LPA	local police area

M

MCIT	major crime investigation team
MPA	Metropolitan Police Authority
MPIM	monthly performance improvement meeting
MPS	Metropolitan Police Service
MSF	most similar force

N

NHP	Neighbourhood Policing
NIM	National Intelligence Model

O

OPM	operational performance meeting
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P

PDR	performance development review
POR	performance and operational review
PPAF	Police Performance Assessment Framework
PPI	personal performance indicator

Q

QADS	quality assurance dip sampling
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S

SCT	safer community team
SGC	Specific Grading Criteria
SMART	specific, measurable, achievable, realistic, timely
SPA	Surrey Police Authority
SRS	Stratified Random Sampling

T

TPAM	team performance accountability mechanism
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W

WMC	West Mercia Constabulary
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The report is available in alternative languages and formats on request.

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www.inspectorates.homeoffice.gov.uk/hmic

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