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PERFORMANCE IMPROVEMENT FRAMEWORK

Follow-up Review of New Zealand Police

FEBRUARY 2014

State Services Commission, the Treasury and the Department of the
Prime Minister and Cabinet

**Performance Improvement Framework
Follow-up Review: New Zealand Police**

**State Services Commission, the Treasury, and the Department of the Prime Minister and Cabinet
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AGENCY RESPONSE

Eighteen months on from our 2012 Performance Improvement Framework (PIF) Review, this follow-up exercise offers a progress report on New Zealand Police and the contribution we are making for kiwis, as well as for those who visit our shores.

Happily, the report card is a positive one. Challenges remain, of course, several of which are spelt out in the pages that follow but even with all our successes, it would be wrong to become complacent.

Nevertheless, it's gratifying to have our direction endorsed, especially when that judgement rests on an assessment of our performance across dimensions, informed by interviews with a wide range of stakeholders and staff, multiple District field visits, and indepth analysis of data and a raft of documents.

I'm particularly indebted to the author of this report Paula Rebstock, and Expert Advisor Simon Murdoch, for their insight, their energy and the comprehensiveness with which they approached this assignment. The Police Executive had full confidence in the review team, based on their constructive involvement in the 2012 PIF, confidence that has been reinforced through this follow-up exercise. We are truly thankful for the review team's active and ongoing interest in Police's future.

I particularly welcome the pointers given about where things could benefit from adjustment, or in some cases, additional impetus. So, while the transformations New Zealand Police has undergone in recent years have been profound, and we must ensure we fully embed the changes that are already in train, this report is telling us more needs to be done in certain areas.

I'm confident the men and women of New Zealand Police are up to the task and that in a further 18 months or two years, further tangible progress will have been made towards the vision of Policing Excellence.

Peter Marshall MNZM
Commissioner of Police

FOLLOW-UP REVIEW

In undertaking the original PIF Review and the Follow-up Review the Lead Reviewers and Expert Advisers considered: “What is the contribution that New Zealand needs from the New Zealand Police and, therefore what is the performance challenge?”

The Follow-up Review considered whether Police’s direction remains appropriate and whether it is on track to fulfill its Four-year Excellence Horizon. The overall conclusion is that the Four-year Excellence Horizon remains largely valid and the direction remains appropriate. The one area that warrants updating relates to risk. Few agencies would be exposed to such a high level of inherent risk as Police. With careful attention and focus from Police and its partners and stakeholders, it should be possible for Police to manage and mitigate these risks to achieve its Four-year Excellence Horizon.

Context of Follow-up Review

The key challenge from the 2012 New Zealand Police PIF Review was the need to systematically manage the rollout of Policing Excellence and Prevention First through a comprehensive implementation plan to:

- embed strong financial and performance management systems throughout Police
- lift productivity across the board to free up taxpayer resources for reallocation to more preventative activities
- align Police culture, values and behaviours with the Police strategy
- strengthen people management
- implement knowledge management systems
- strengthen Police strategic partnerships
- achieve savings to enable Police to live within baseline
- implement supporting information technology (IT) systems, eg, the mobility project and the victim identification register, to enable the availability of further resources for improved preventive activities.

Since the last review, there have been changes in Ministerial responsibility, although Government Priorities are broadly unchanged.

Scope of Follow-up Review

The focus of this Follow-up Review is on the progress New Zealand Police has made since the 2012 PIF, including in the following areas:

- Progress towards Policing Excellence goals of a 13% decrease in recorded crime, 19% drop in prosecutions and 4% increase in prevention activities by June 2014; and the progress towards achieving Better Public Services goals for 2017
- Progress on hardwiring finance and human resources and aligning resources to the Police operating model
- How Police is positioned in regard to an outward-looking approach and sector relationships, acknowledging the role of Police in not only the justice sector but the social, intelligence, emergency services, transport and international/border sectors
- The opportunity to look at demand on Police services and cross-cutting issues that continue to impact policing now and in the future, such as mental health, suicide, alcohol and other drugs.

This Follow-up Review, to the extent possible in the time available, has considered the work undertaken by Police since the 2012 PIF Review. In addition, the Follow-up Review has considered whether the Police's direction remains appropriate. Finally, consideration has been given to Police's future performance challenges and Four-year Excellence Horizon.

Progress since the 2012 PIF Review

A comprehensive Policing Excellence and Prevention First transformation programme has been rolled out across the country. The major features of this strategy and operating model include workstreams signaled at the time of the 2012 PIF Review, as well as additional innovations, including:

- deployment (District Command Centres, Critical Command Information, Demand Profiles, District Tactical Plans, Tasking and Coordination, District Workforce Management Group, Neighbourhood Policing Teams)
- case management (File Management Centres, Investigation Support Units and Criminal Justice Support Units)
- mobility (6,500 iPhones and 3,900 iPads)
- victims focus (Victim Managers, Graduated Response Model, Victim Intervention Plans and updates provided to victims)
- a Crime Reporting Line (nationally available, 24/7 service)
- alternative resolutions (Pre-charge Warnings, Written Traffic Warnings and Community Justice Panels).

An aspect of the Police operating approach is the manner in which it collaborates with other agencies in developing strategies and operational execution. Some recent examples include:

- the Gangs strategy, where Police have been working with Central Agencies in developing the strategy

- playing an active role in the regional leadership pipeline project for Auckland based senior public servants
- working with Corrections across eight workstreams to identify operational, training and facilities management improvements
- working with the Ministry of Health to co-design better ways of responding to incidents involving people in psychiatric distress
- contributing extensively to the cross-government Injury Prevention Strategy, particularly where it relates to family violence, sexual violence and road crashes.

A range of organisational developments have supported Policing Excellence and Prevention First, including:

- a Performance Management Framework (District Balanced Scorecards)
- District Command Assessments
- a Continuous Improvement Framework (design and trial of a Centre for Continuous Improvement);
- cost recovery (consultation on recovering vetting costs)
- Policing Act opportunities (increased use of Authorised Officers)
- support services (human resources (HR), Finance and Project Management Office)
- recently, the Enterprise Portfolio Management Office (EPMO).

Police has demonstrated strong performance during the implementation period of Policing Excellence and Prevention First. Changes implemented have supported its focus on the five drivers of crime – alcohol, families, youth, road policing, and organised crime and drugs. Police is well advanced to comfortably meet its three core targets by 30 June 2014: a 13% reduction in recorded crime; 19% drop in prosecutions; and a 4% increase in prevention activities. Road policing contributed at national and district levels and outcomes reflect this, with the achievement of the lowest annual road toll on record.

Police PIF Action Plan Progress

New Zealand Police has made the following progress since the 2012 PIF Review against its PIF Action Plan, as follows:

a Consolidated, Overarching Operating Model and Implementation Plan

Police developed an integrated implementation plan to oversee the rollout of Policing Excellence and Prevention First. While Police has achieved considerable lifts in performance as a consequence of the changes, there are considerable synergy benefits to be realised as the different streams mature and embed and Prevention First becomes second nature to frontline staff. To achieve this, behaviours and culture need to align with and reinforce the strategy.

Given the scale and scope of the changes, which is significant by any standards, it is not surprising that some of the changes are more advanced than others in terms of the degree to which they have matured and embedded. There is variation across components, within and across work groups/job families, and across regions.

b Hardwiring Strong Financial Performance Management Systems

Police's Finance Group has been restructured and there is a better alignment of budgets and desired benefits. New financial controls and processes have been introduced and capability expanded. A newly established Enterprise Portfolio Management Office is operating and principles have been developed to guide its work. It is anticipated that the EPMO will result in better integration of funding and strategic priorities.

Performance management has been improved through the development of a national balanced scorecard, featuring crime reduction targets and other key indicators. Each district management team receives a balanced scorecard populated with local figures. District Command Assessments have been undertaken across the country. Finally, trials of a new senior managers' performance management system is under way in a number of districts.

A resource model is under development to improve links between staff deployment, budget allocation and strategic priorities. At the same time, Police is revalidating its output cost model.

c Aligning Police Culture, Values and Behaviours with the Police Strategy

Progress has been made on aligning Police culture, values and behaviour as there is evidence that frontline staff have bought into the Policing Excellence Strategy and Prevention First operating model, because they have seen benefits from the strategy. When thinking about how to address the five drivers of crime, districts increasingly approach it in terms of prevention and reducing victimisation. In addition, national initiatives have reinforced these improvements. For example, a new adult sexual assault training framework has been introduced, alongside better information for victims.

Surveys of public satisfaction with Police services, and trust and confidence in Police reached an all-time high as this Follow-up Review was undertaken, albeit month-by-month tracking data shows some volatility. Public concern regarding the 'Roast Busters' investigation has highlighted the need for Police to meet public expectations regarding victim focus and treatment. It has also underscored the fact that Police are now addressing a wide spectrum of social issues that will take community-wide responses to adequately address. These events have confirmed the relevance and benefits of fully embedding the Policing Excellence strategy and Prevention First operating model – especially ensuring that Police culture, values and behaviours are aligned with it.

Police has worked to improve the diversity of its workforce, and since the last review, women in Police have been promoted at a faster rate and the balance of intake at the Royal New Zealand Police College (RNZPC) better reflects the wider community. It is understood that several of the emerging group of women at Inspector and Senior Sergeant level are on the cusp of further advancement. Nevertheless, women, Māori, Pasifika and other ethnicities continue to be underrepresented in the constabulary workforce, particularly at senior level (including in highly visible roles, such as District Commander and on the national Police Executive). Diversity is a powerful driver of culture, values and behaviour and therefore it is vital that the Police workforce better reflects the community it serves, including at senior ranks. The leadership framework and career progression criteria have started to place explicit weight on role modeling values, behaviours and culture aligned to Policing Excellence.

d Stronger People Management

A workforce strategy has been developed and an employment relations strategy has been finalised for the 2015 wage negotiations and beyond. A new agreement with senior managers is in place that better reflects current and future requirements. 'Project C' has rationalised position descriptions and information in PeopleSoft has been improved. Finally, the Corporate Human Resources function was reviewed, resulting in greater strategic HR capability and greater centralisation of recruitment and HR administration.

A significant investment in training was made to support the rollout of particular aspects of Policing Excellence. The RNZPC is developing a strategy to support initial and ongoing training that better reflects current and future needs, based on a professional practice model. Similarly, the Prevention First Intelligence Operating Model Strategy that is being developed has taken a holistic, professional practice approach to workforce development.

e Developing Enabling Knowledge Management Systems

New information and communications technology (ICT) governance structures have been recently established and an ICT Delivery Plan and Information and System Strategy and Roadmap to 2018 (which includes support of knowledge management and intelligence) have been approved.

New capability for fighting cyber and organised crime is under development and Police is working with overseas agencies.

Police has developed 'RIOD' or new real-time intelligence for operational deployment systems, to support command decisions for emergency response and daily deployment. A 'drivers of crime' strategic intelligence assessment has been recently finalised.

f Strengthening Strategic Partnerships

Police contributes to a wide number of government sectors, reflecting the complexity and extent of the role Police plays in communities, including the justice, transport, intelligence, border/international, emergency services and the social sectors.

Police is often most readily-identified with the justice sector. The justice sector has evolved further in terms of its Four-year Plan, with agreement reached on strategic priorities and overall sector budget constraints. Police, however, faces an unsustainable financial position, with a projected deficit in 2015. To be an effective partner in the justice sector, Police will need to improve its ability to do medium-term planning and prepare investment proposals for government consideration.

Police plays a major role in the transport sector. The road toll reached an all-time low in the period under review. Police is also increasingly using risk to inform investments in reducing the impact of crashes.

The social sector is driving an increasingly significant demand on Police resources in response to family violence and violence against children, suicide, sexual assault, and alcohol and other drug-related crime. Indeed, while overall recorded crime is decreasing, upward pressure is being experienced in some serious crime categories, in part owing to these drivers.

Police also contributes strongly in the intelligence, emergency services and border/international sectors. Not all of these contributions are visible but they support New Zealand's national security and add to our international standing. Examples include long-running assistance to policing in Bougainville, Solomon Islands and Timor Leste and capacity-building projects elsewhere in the Pacific and South East Asia (shortly to include a deployment to West Papua). 'New Zealand Inc.' also benefits from Police's small network of overseas-based officers (soon to be boosted by placements in South China and Singapore) support to Gallipoli commemorations and various other offshore roles.

The rollout and implementation of Policing Excellence and Prevention First has been a significant transformation initiative for Police. Given the inherent risks, the progress to date has been well managed and significant performance improvement has been realised. Few government agencies of Police's size and complexity have been able to lead and sustain such a comprehensive change to its strategy and operating model, without major disruption to services to the public.

Looking Forward: Embedding Policing Excellence and Prevention First

While a strong platform has been set for the future, there are a number of areas that will require consolidation, continued improvement and ongoing thoughtful development to embed the Policing Excellence strategy and Prevention First operating model, including the following:

- Police is aware the next focus for Policing Excellence is systematic mining of best practice, and leveraging new capabilities/new deployment machinery for integrated benefits (ie, improved performance in and across Police service delivery). Further benefits can be achieved as frontline staff fully absorb the 'how' of the new model as it applies to their functions and roles, and begin to drive practice innovations. The challenge for management is to help this emerge from the frontline. NCO (non-commissioned officer) level buy-in is critical; sergeants and senior sergeants are the principal link to frontline behaviour and practice adaptation. District Commanders need some practice guidelines at the job family level about best practice preventative policing interventions. Police needs to create user feedback loops and enable innovation. Future District Command Assessments could usefully test frontline alignment with the strategy
- It would be desirable to do further work to develop a more explicit organisational operating model that aligns areas such as workforce strategy, staff performance management, training and development and management/leadership practice. Aspects of a modified Police professional practice operating model are being developed separately in a few areas and, potentially, this presents a wider opportunity. For example, the Intelligence Strategy operating model considers rolling out practice guidelines for Policing Excellence and Prevention First to job families. A professional practice model is well suited to a top-down setting of the strategic framework with a bottom-up approach that ensures incremental improvements in policing practice
- Police's overall Performance Management Framework needs ongoing development. While there is good information to districts, focus needs to go on benefit realisation and prioritisation. Better information is needed to allow Police to understand what is working and why. The EPMO needs to be a real centre of excellence. Projects need to be managed through whole-of-life to ensure full project costs are not underestimated. Where savings are made, it is important they are reallocated and used wisely

- Police is considering setting up a National Command and Coordination Centre. This, along with a well functioning EPMO, could provide a systematic means to review Policing Excellence performance to date; address areas of variable performance; and identify areas to accelerate and those to stop;
- Resilience to change needs to be built up. Staff engagement is slipping in some parts of the country. Police need to keep explaining the 'why' to staff and provide a clear line of sight to outcomes. Alignment to Police's purpose and vision is the key driver of engagement
- Leaders, who set examples, set the culture. It is important to be clear what defines Police culture and not leave it to each person to judge. Agreement on culture needs to be reached and explicit strategies developed to deliver it. It is also important to find systematic ways to listen to staff and respond. Values-based leadership should reinforce the core values of professionalism, respect, integrity, diversity and empathy. While progress is being made in a number of areas, it is a concern that survey responses indicate most staff do not believe inappropriate workforce behaviour is dealt with adequately.

Specific Policing Excellence Opportunities

Throughout this PIF Follow-up Review a number of specific matters were highlighted, including:

- While there is scope to add to mobility, it may be important to ensure everyone is at a consistent level of current functionality before adding to it. In time, mobility needs to be integrated to backend intelligence. The appropriate mobility support to meet the needs of the CIB (Criminal Investigation Branch) is yet to be addressed, as are other aspects of Policing Excellence
- There is still more to be done to reinforce victim focus. Achievement could be reversed if not better embedded. Police leadership recognises that if Police were more victim focused, frontline officers and other staff would behave differently, deploy differently and there would be cultural alignment
- The creation of District Command Centres has supported the need to work across Area boundaries within, and sometimes between, districts. The roles of Area Commanders and Senior Sergeants in the new model still requires development. At the regional and national level, the proposal to set up a National Command and Coordination Centre means further opportunities, and consideration of the role of territorial Assistant Commissioners
- While the expanded use of alternative resolutions has generally been a successful component of Policing Excellence, there is a continuing need to guard against the potential for such diversion to mask poor practice
- Road policing has worked on a risk-based approach to measure success but there is a need to do more on investment logic mapping. Quarterly reports based on reliable data are needed. Dollars and improved interventions need to be allocated on a risk rather than population basis. As Police targets risk areas more, a more differentiated response will be required. Using new technology is the way forward

- The Policing Excellence strategy is dependent on quality back and middle office support but there is considerable variation in the rollout of some components, such as case management and file management. There is even greater variability in the state of these functions across work groups. Regarding intelligence, it is still difficult to seamlessly connect back, middle and front offices. Budget pressure has made it difficult to support this area with skilled, non-sworn staff. Nevertheless, intelligence strategy has reached a tipping point already where it is sharper, agile and on to the right thing at the right time with the right people
- Police has more flexibility to respond than other agencies it partners with. Police often take a wider view of outcomes than its partners – who are more siloed. Others have tight riding instructions, with little room to innovate, whereas Police has much more flexibility. It may be possible to try innovation hubs, whereby partner agencies drive a collaborative practice model to respond to chronic presenters. The rules of engagement would need to be clear, with guidance on how each agency is to respond when there is ambiguity. It should then support practice change;
- What has been the impact of social sector trials? We still do not know the extent of unmet demand regarding the social drivers of crime or the resources it would take to get on top of it. It is not clear what the state of readiness is of partners who must pick up the caseloads generated by Police’s prevention focus and, as a consequence, the rising tempo across districts in prevention policing operations.

Four-year Excellence Horizon

The Four-year Excellence Horizon written at the time of the 2012 PIF remains largely valid. There are a few points to note:

- The rollout of Policing Excellence and Prevention First was completed in July 2013 and the focus is now on embedding the new operating model and aligning Police culture, values and behaviours
- While Police is successfully achieving against its targets, some serious crime categories are on the rise and the full dimensions of the key drivers of crime remain unknown, in particular, in sexual violence, family violence, alcohol and other drugs, gangs and organised crime
- While the economic environment has improved, the Government’s fiscal position is still tight and likely to remain so for a considerable period
- Police has significantly lifted its system change capability, driven largely from the top. There have been changes to structure and accountabilities and a range of sophisticated tools have been put in place. Further resilience is required and will need to be driven by being clear about what Policing Excellence and Prevention First means at a job family level, so that Police professional practice consistently improves. This will need to be driven through improvement in Police craft, as well as through changes in culture, values and behaviours at the front line
- The fixed staff and physical asset levels at Police increasingly mean these critical components of the Police infrastructure and operating model are increasingly out of step with what is required to achieve the full potential of Policing Excellence and Prevention First.

One area of the Four-year Excellence Horizon that warrants updating relates to risk. Police has a current risk register with 12 items, ten of which are rated as high risk. Few agencies would be exposed to such a high degree of inherent risk. As Police focuses on embedding Policing Excellence and Prevention First, several risks to achieving its Four-year Excellence Horizon need to be managed and mitigated, including:

- A significant projected 2015 budget shortfall and unsustainable long-term financial position. The current mix of sworn and non-sworn staff, given the current employment agreements and the spread and mix of property, is unsustainable to 2020
- Many of Police's cost drivers originate in the social sector. As Police focuses on prevention, it is clear that the scale, scope and cost of what it will confront is still unknown. Furthermore, the extent to which partner agencies are operating effectively in the prevention space varies considerably and therefore Police's ability to hand matters on to appropriate agencies is also variable
- Changes in Police leadership and possible direction
- Setbacks to public trust and confidence from Court decisions and other matters, and legacy issues relating to the Commission of Inquiry into Police Conduct. At times, there can appear to be a disjuncture between the stated focus on victims and prevention on the one hand, and some instances of Police conduct on the other hand. Where things go awry, Police needs to act early with an acknowledgement and apology from a senior level; timeliness and proportionality matters. It is also important to ensure Police is not perceived to have different standards when investigating its own
- Police needs to keep Central Agencies well informed of its strategy, performance and risks, without unduly diverting the focus of its leadership from embedding Policing Excellence practice at the front line. To do this, Police will need to become better at medium-term business planning
- According to its *2014 Statement of Intent*, Police contributes to many cross-cutting public policy targets and goals, all of which seem to be of equal priority. As a consequence, there is considerable pressure for outward-facing responsiveness and compliance with stakeholders and partners. While Police contributes to several high-level sectoral goals beyond the justice sector, Police will need to prioritise and manage expectations as it transforms its services to communities. Stakeholders and partners should expect Police leadership to be focused on embedding frontline practice and partnering effectively with others, including local government and the voluntary sector, delivering frontline services
- Performance management, project management and prioritisation are an ongoing challenge. Benefit realisation is critical to Police's ability to continue to shift resources into prevention activity. When planning, it is important for Police to have some uncommitted resources to deal with unanticipated events.

With careful attention and focus from Police and its partners and stakeholders, it should be possible to manage and mitigate these risks.

Conclusion

Police's strategy and operating model continue to be fit-for-purpose, though the operating model can be expected to continue to evolve. The direction remains appropriate. Fully integrating the various streams of Policing Excellence and Prevention First, and enabling consistent take-up and innovation at the front line, should see the accrual of considerable additional benefits. The accomplishments to date should not be understated nor should the challenges and opportunities ahead.

I would like to acknowledge the expert assistance and advice provided by Simon Murdoch throughout this Follow-up Review. The Report has benefited from the challenge and insight that Simon's knowledge and experience brings. I would also like to thank the Police Commissioner, Peter Marshall and New Zealand Police for the manner in which they embraced this Follow-up Review as an opportunity to further improve policing practice. Catherine Cotter and Michael Webb, at Police National Headquarters, provided professional support and thought-provoking guidance throughout the Review.

Paula Rebstock

Lead Reviewer