

## APPENDIX 4: COMMISSION OF INQUIRY



### Commission of Inquiry change management progress report, 2015/16

#### State Services Commission comment

Dame Margaret Bazley's 2007 report from the Commission of Inquiry into Police Conduct (COI) made recommendations for actions by Police over a ten year timeframe. This is SSC's final annual report on New Zealand Police's progress in relation to COI recommendations 37, 51 and 59, which asked SSC to:

- *review the Police approach to performance management and discipline to ensure their systems and processes are adequate, standardised and managed to a standard that is consistent with best practice in the public sector;*
- *carry out an independent annual "health of the organisation" audit of the police culture (in particular, whether the organisation provides a safe work environment for female staff and staff from minority groups);*
- *help ensure the range of projects and initiatives described in recommendation 58 take account of best practice in the public sector.*

In 2011/12, after a series of annual reviews conducted by SSC, Police and SSC developed a framework of objectives and targets to allow Police to assess themselves for SSC's review in the areas of opportunity and advancement for women, diversity and inclusion, leadership, performance management and lifting public trust and confidence in the Police. The framework was designed to be challenging, progressive, far-reaching and ambitious; reflecting the New Zealand public's rising expectations regarding diversity and equality. In the five years since the framework was developed, Police has made significant progress, although there is still a way to go on some measures. As this is the final SSC/Police report against this framework, we have asked Police to frame its assessment of progress against the indicators as "Achieved", "Expected to Achieve" or "Not Expected to Achieve".

SSC has reviewed the following report and the underlying evidence Police has provided to support its self-assessment. We consider that the report is consistent with that underlying evidence and focuses on the priorities we agreed in the 2011/12 report.

The overall intent of the recommendations above has been delivered. Police has already achieved or expects to achieve its targets in focus areas 3 and 4 (performance management capability/ systems and trust and confidence in complaints investigations) and is deservedly recognised for its talent management and development approach. We are pleased to see Police broadening the perspective of its senior leadership through targeted use of secondments, particularly to the social sector which connects so closely to Police's prevention focus. We also note the work on diversity that led to Police winning the 2016 Diversity Awards and topping the 2015 Superdiversity Stocktake.

Some of the more ambitious measures and indicators look unlikely to be achieved by 2017. Police recognises that improving workforce perceptions in area 2.2.1 (performance measurement and assessment, and promotions on merit) will take more effort on several fronts, including the current emphasis on values-based leadership. Police has improved its retention and progression

of women, and is working on issues of unconscious bias throughout the organisation, although there is still more work to do on integrating career structures, understanding what drives women's advancement and communicating career pathways. Retaining, developing and progressing staff on merit will help both women and officers from different ethnicities, and ultimately improve the quality of Police's work.

We look forward to assisting Police and the Office of the Auditor-General in the 2017 ten year review process, and continuing to support Police to develop and maintain a best practice approach to performance management and discipline, diversity and organisational health and culture.



**Debbie Power**

Deputy State Services Commissioner

### **Police Commissioner's comment**

In the pages which follow, we present the eighth review of New Zealand Police's progress in managing the changes called for in the 2007 Commission of Inquiry into Police Conduct (COI).

As well as offering a mid-2016 snapshot of our progress, this report also shows how we are tracking to the April 2017 end of the Office of the Auditor-General's mandated 10-year COI monitoring period. We will report more comprehensively on our decade-long COI journey as the mandated monitoring period draws to a close.

That 10-year anniversary, in early April 2017, will offer us an opportunity to take stock and celebrate the distance we have travelled; but also to recommit to providing the best possible policing service to victims of sexual assault, and to foster an inclusive and increasingly diverse Police culture that truly allows us to win the trust and confidence of all.

For now, as will be evident from the following pages, we have come a long way since the COI report came out, but there is more still to do. As Commissioner, I look forward to leading the 12,000 women and men of New Zealand Police to live up to – and go beyond – the challenges Dame Margaret set for us all those years ago.



**Mike Bush MNZM**

Commissioner of Police

## Background

In 2004, a Commission of Inquiry was established to investigate serious allegations involving a small number of Police staff and their associates. The Commission's final report was published in April 2007 ([www.parliament.nz/resource/0000055162](http://www.parliament.nz/resource/0000055162)), making 47 recommendations which required action by New Zealand Police.

Police is a very different organisation in 2016. Real strides have been made in identifying and embedding solutions to the COI's recommendations, and Police is well on track to deliver the required cultural and other changes identified in the COI report. The wider context in which such changes are being managed is covered in detail in Sections 1, 2 and 6 of this *Annual Report*.

This summary is the eighth annual review of progress in managing the change process associated with the COI, and the fourth carried out as a self-assessment against a set of measures and targets baselined in 2011/12. For the past three years, this self-assessment has been published as an appendix to Police's *Annual Report* to promote greater visibility and enhanced transparency.

This point-in-time view is part of a series of reviews and reports that highlight changes made since 2007. As in previous years, it draws extensively on the findings of Police's Workplace Survey. The results of the 2016 survey can be accessed online at: [www.police.govt.nz/about-us/publication/new-zealand-police-workplace-survey-results-2016](http://www.police.govt.nz/about-us/publication/new-zealand-police-workplace-survey-results-2016), and COI-specific data are set out in the tables at the end of this appendix. Of note, weighted mean survey scores are primarily used to report on progress.

For those wishing to see more detail on the COI in general, a range of COI-related material is accessible from Police's public website (go to [www.police.govt.nz/about-us/nz-police/commission-inquiry](http://www.police.govt.nz/about-us/nz-police/commission-inquiry)).

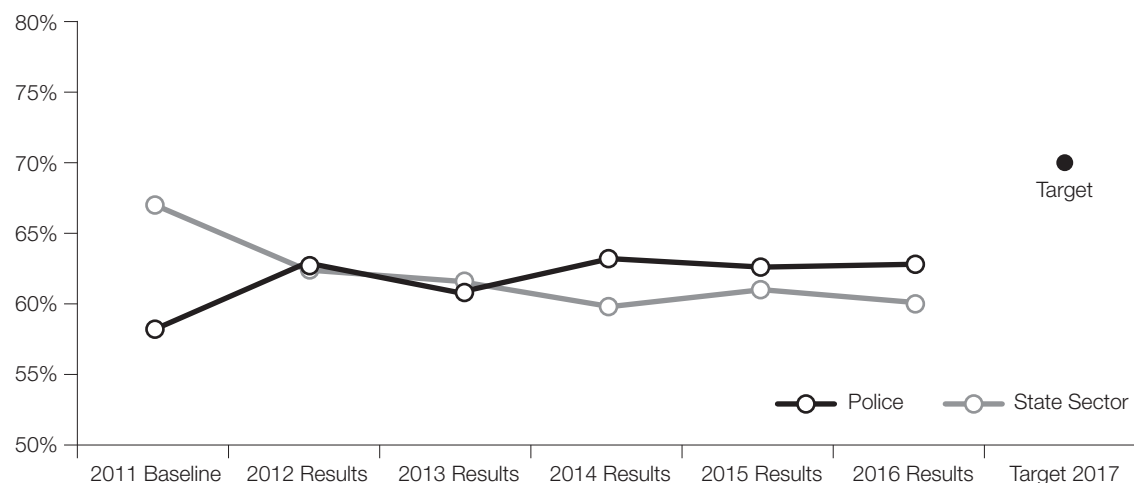
## Summary dashboards

The fourth SSC review in 2011/12 ([www.police.govt.nz/sites/default/files/publications/state-services-commission-coi-report-into-police-conduct-2011-12.pdf](http://www.police.govt.nz/sites/default/files/publications/state-services-commission-coi-report-into-police-conduct-2011-12.pdf)) identified priority areas for the COI, and set performance baselines for future reporting. The measures review progress in the following areas, based on Workplace Survey scores:

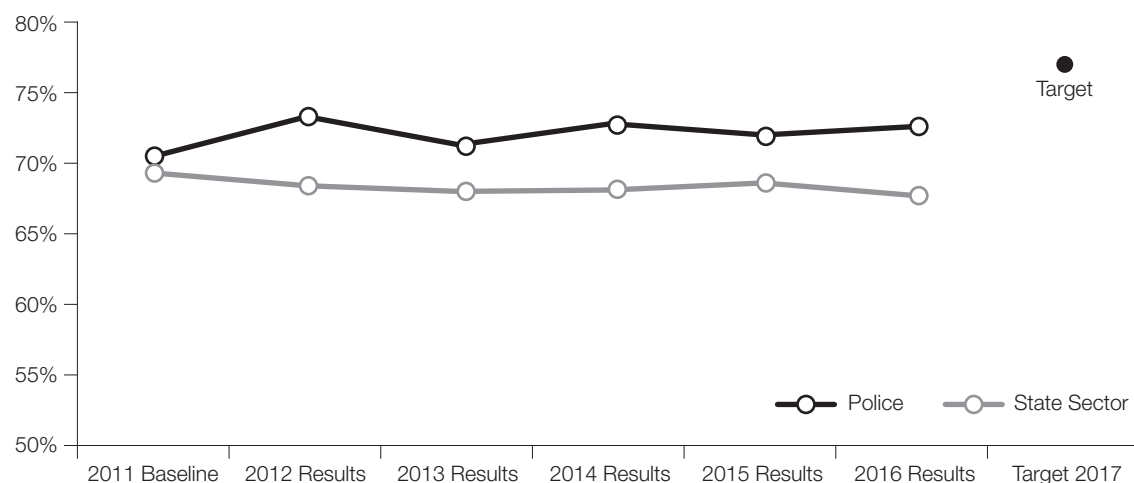
- Leadership and change
- Human resources (HR) strategy and capability to support integrated change
- Performance management
- Lifting trust and confidence in complaints investigation.

The dashboards provide the current state of Police against the baseline measures and ambitious targets set for each of the focus areas' key indicators.

### 1.1 Workplace Survey overall employee Engagement Index score



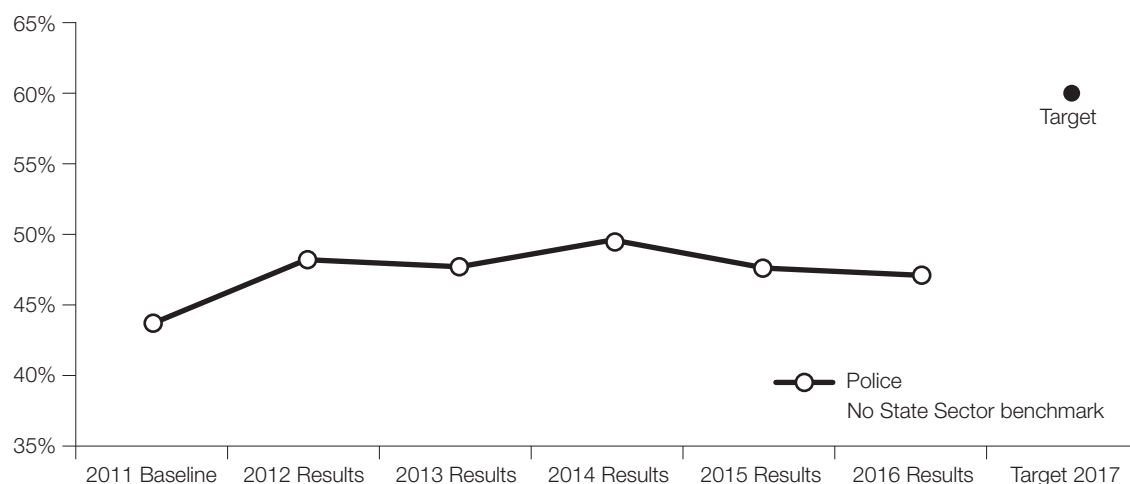
### 1.2 Workplace Survey overall employee Engagement Index score



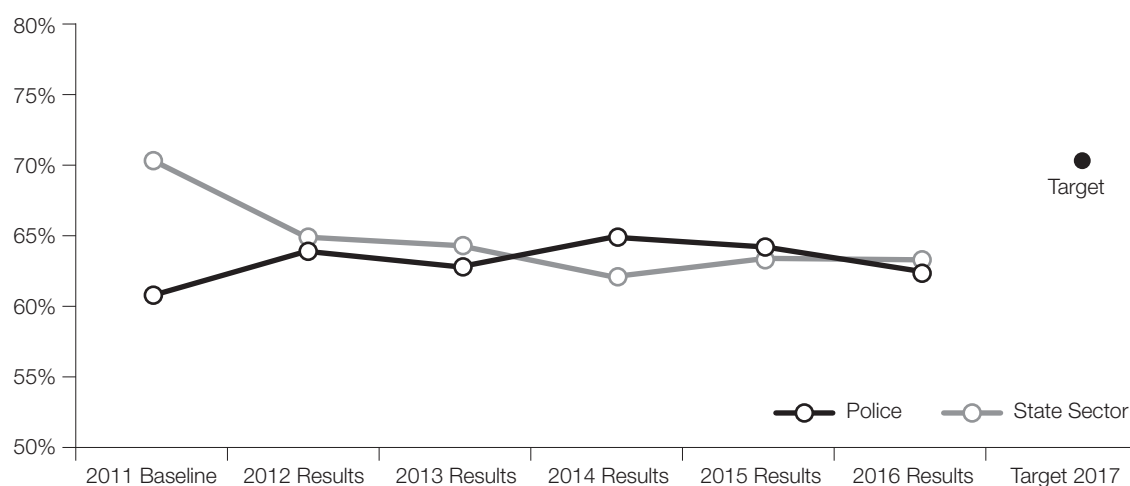
## 2 Women's composition of the constabulary workforce

Percentage of women by rank	2011	2013	2014	2015	2016	2017 target
Commissioned Officer	8.1%	9.3%	10.7%	11.4%	13.3%	10%
Senior Sergeant	10.7%	9.2%	10.8%	11.2%	11.3%	12%
Sergeant	10.7%	11.9%	11.4%	11.2%	11.5%	15%
Constable	20.1%	20.4%	21.7%	21.3%	21.5%	23%

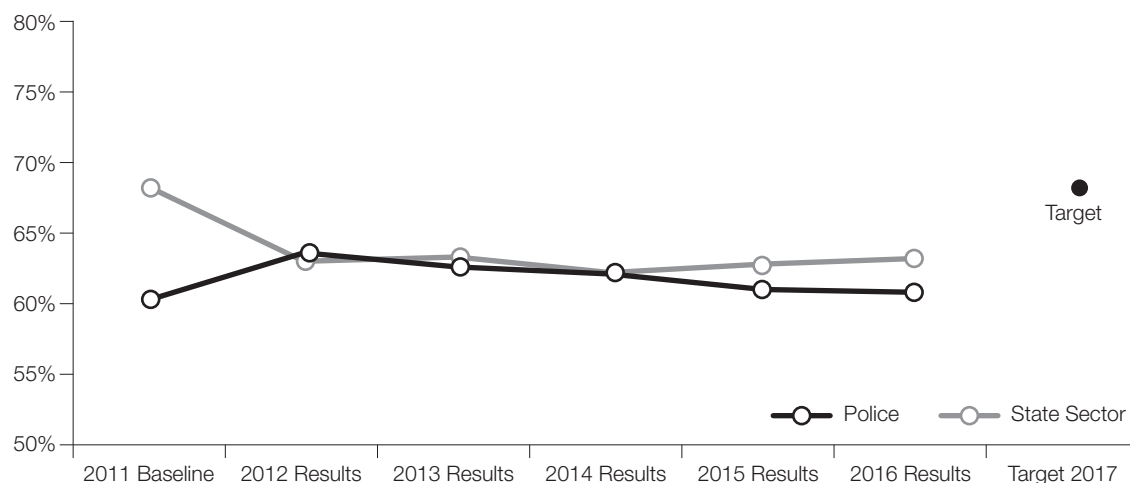
## 2.1 Positive responses to the Workplace Survey statement 'People here are appointed to positions based on merit'



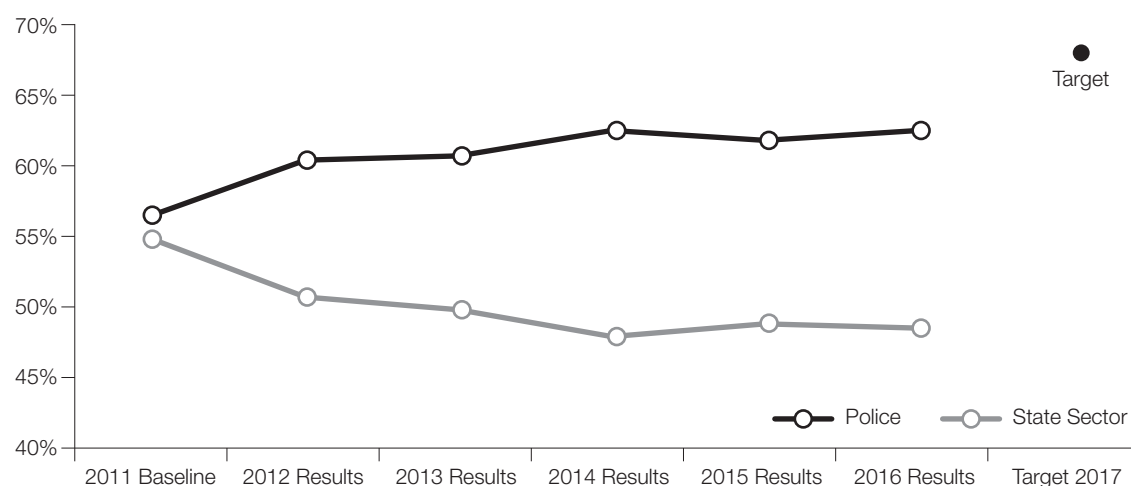
## 2.2 Positive responses to the Workplace Survey statement 'I understand how my performance is measured'



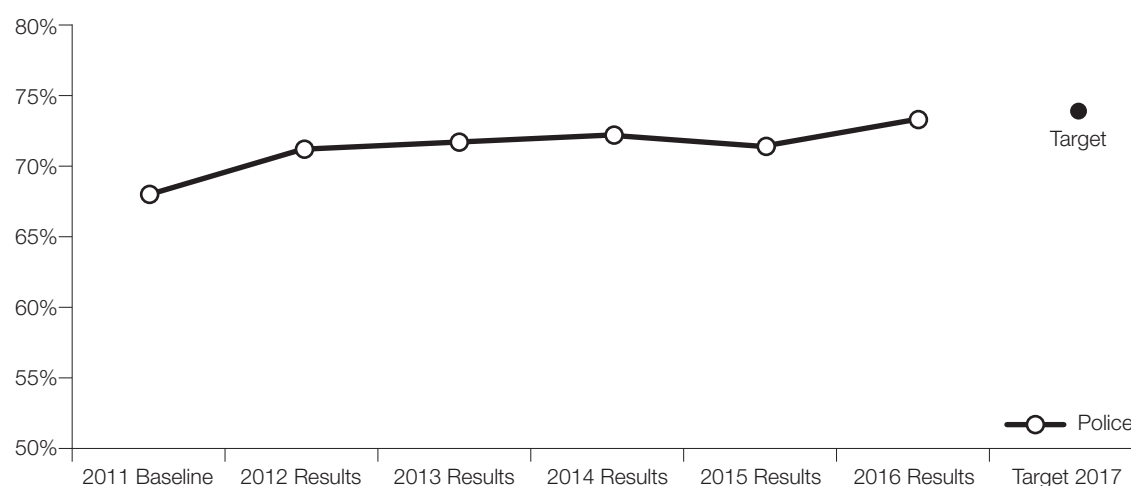
## 2.3 Positive responses to the Workplace Survey statement 'My performance is fairly assessed'



### 3 Positive responses to the Workplace Survey statement 'Poor performance is dealt with effectively in my work group'



### 4 Workplace Survey section score for Respect and Integrity questions



## Detailed commentary and tabular information

In the remaining sections of this self-assessment, we present commentary and table-based information that describes progress being made in the four identified priority areas for Police's COI implementation. To provide a more integrated picture, relevant tabular information appears directly after the commentary.

Another change from previous reporting has been to the language used to describe the state of progress towards the stretch goals set four years ago. Given there is now less than 12 months remaining until the 10-year anniversary of Dame Margaret's report being published, SSC has asked Police to put a stake in the ground and indicate whether the specific objectives nominated in 2012 are either already "Achieved" or whether, at this stage, "Expected to Achieve" or "Not Expected to Achieve" is the most likely outcome. Traditional red/amber/green colour coding is also once again used to help support this self-assessment.

As one final point of introduction, it is worth restating Police's intention to report more comprehensively on the decade-long COI journey, once the mandated monitoring period comes to an end in April 2017. For this reason, the following text does not spell out in great detail what COI-related action is being taken in coming months. In any case, such forward-looking commentary has been a feature of Police's ongoing quarterly reporting ([www.police.govt.nz/about-us/publications/corporate/commission-of-inquiry](http://www.police.govt.nz/about-us/publications/corporate/commission-of-inquiry)).

## Focus area 1: Leadership and change

This focus area looks at how Police uses Workplace Survey results to re-present COI findings in the present-day context, drive improvements in staff engagement, and increase the visibility of Police's Executive team with the frontline.

Past gains for some indicators in this focus area reversed this year. More positively, in most instances, Police remains ahead of the state sector benchmark. It remains significantly ahead of the benchmark in being reported as an enjoyable place to work (+2.6%), making good use of employees' knowledge and skills (+6.3%), providing career development opportunities (+3.3%), providing a sense of 'common purpose' (+4.1%) and having open and honest communication in Districts and Service Centres (+3.8%).

Police's Engagement Index has increased slightly over 2015 results, up 0.6% to 72.6%. More tellingly, the current Engagement Index is well above where it was five years ago (+2.1%).

Notable points last year include:

- maintaining an overall 2016 Engagement Index that is significantly higher (+4.9%) than the state sector benchmark [1.2.3]
- a significant improvement (1.6%) in the percentage of respondents who felt a sense of belonging to their Districts or Service Centres, which is above the state sector benchmark.

In 2012, Police set some deliberately aspirational targets for 2017. Entering the last year in which to achieve these stretch targets, the reality is Police will be significantly challenged to reach the goals set in some areas:

- to achieve the 70% target for Vision and Purpose, and Communication and Cooperation, Police will need to record a climb of 7.2% over the next year.
- narrowing the difference between Districts for Vision and Purpose category scores, as well as overall Engagement [1.1.4 and 1.2.4] – noting that the range between the highest and lowest scoring Districts in 2016 was not narrowed for the Vision and Purpose category scores, and increased for overall Engagement.
- continuing issues with Police as a workplace in relation to a fairly small number of questions with set targets, notably acceptability of work-related stress (-10.6%), adequacy of training (-8.1%) and, despite the significant improvement over the last year, feeling a sense of belonging to the District or Service Centre (-4.4%) [1.2.1].

## Consistency across Districts

The gap between the highest and lowest scoring District for Vision and Purpose remained stubbornly constant this year, and there was a slight drop in the median score compared to the previous three years. Moreover, in terms of overall engagement, the gap between the highest (78.4%) and lowest (63.1%) scoring Districts widened to 15.3% in 2016 (up from 13.7% in 2015). Lifting engagement scores in the less-well-performing Districts remains a priority, and work to boost staff engagement across the board continues.

While challenges remain, the one bright spot in this regard is that Police's overall 2016 Workplace Survey engagement score has continued to be significantly higher than the state sector benchmark.

## Training opportunities

The Royal New Zealand Police College (RNZPC) continues to provide training opportunities across the country. The key areas of focus this year have been to build a health and safety culture across the curriculum to ensure the wellbeing of Police staff; increasing engagement with diverse cultures and communities; and enhancing diversity and inclusion initiatives to build greater understanding of Police's own people. This includes a review of all RNZPC curricula to incorporate the supporting pillars of the Policing Excellence: The Future transformation programme.

## Stress

Police's Wellcheck programme, which provides access to regular and confidential psychological assessment for Police employees working in specific roles with higher risk of exposure to stress, has been extended to include two further high risk groups.

The Speak Up programme was activated with training across the country to assist staff in addressing bullying, harassment and discrimination in the workplace. Speaking Up is encouraged, and can include reporting the behaviour, challenging it where appropriate, or raising concerns in a confidential discussion.

Police's Wellness and Safety group publishes a monthly e-newsletter on wellbeing. Stress management and coping techniques related to exercise, nutrition and relaxation are explored. In addition, in most Districts, Welfare Officers run resilience building training. This is an area of ongoing development.

## Inclusiveness

Police continues to record sub-par scores on three Workplace Survey questions related to inclusiveness:

- being encouraged to try new ways of doing things (question 2.2);
- interest in employee views and opinions (question 8.5); and
- being adequately involved in decisions affecting the way individuals do their job (question 9.4).

More positively, there was a significant increase in the number of employees who reported people in their teams respect employee diversity – 80%, up from 76.2% in 2012.

## Specific diversity initiatives

During 2015/16 the Police Executive formally approved even more assertive recruitment targets to increase the representation of women and ethnic minorities in the constabulary workforce. Police now explicitly aspires to recruit between 35% and 50% women. For ethnic minorities, the aim is to recruit between 100% and 125% of each group's representation in the community. In 2015/16 Police met this target range for Māori and Pacific peoples. Recruitment and attraction strategies are constantly being reviewed to enable Police to meet these ambitious targets.

Also of note in the last 12 months, Police was named at the top of the 2015 Superdiversity Stocktake, which surveyed all government agencies. Police was identified as a regular contributor to ethnic media, and commended for its website available in 13 languages. Opening a multi-faith prayer room at the RNZPC and patrolling areas of Auckland with Chinese volunteers were also singled out for specific praise.

**Table 1: Leadership and change**

Vision and purpose indicators	2017 objective	Status / Result
1.1.1 Change management momentum and coherence	A unified and dynamic communications and change management plan will have been implemented, connecting all COI-related change, Policing Excellence initiatives and key strategic initiatives	■ Achieved
1.1.2 Relating the Vision and Purpose to the frontline	Frontline staff will report that they understand the operational implication of the Vision and Purpose and how it relates to them day to day	■ Expected to achieve
1.1.3 Vision and Purpose engagement compared with the State Sector	Police will score at least 70% and be above state sector benchmark in the Vision and Purpose and Communication and Cooperation category.	<div>■ Not expected to achieve (62.8%)</div> <div>■ Expected to achieve (1.7% above benchmark)</div>
1.1.4 Consistency across districts	There will be higher average and narrower range of scores in the distribution of staff engaged with the Vision and Purpose across Districts and workgroups	<div>■ Expected to achieve (average 60.7%)</div> <div>■ Not expected to achieve (range 19%)</div>
Staff engagement indicators	2017 objective	Status / Result
1.2.1 Police as a workplace	Targets achieved in nine agreed Engagement Driver targets as well as seven additional drivers added in 2012/13	■ Not expected to achieve across the board (for example, 3/9 engagement drivers are tracking close to the 2017 targets, 3/9 above, but another 3/9 below)
1.2.2 Rewarding the right behaviours	Mechanisms will be in place and regularly used to celebrate Police successes, reward appropriate behaviours and to communicate these externally and internally.	■ Achieved
1.2.3 Workplace engagement compared with the State Sector	The Engagement Index target for Police will be at least 77% and will be above the state sector benchmark.	<div>■ Not expected to achieve (72.6%)</div> <div>■ Achieved (4.9% above state sector benchmark)</div>
1.2.4 Workplace engagement district wide comparison	All Districts will have an engagement index above 70%.	■ Not expected to achieve (only half of the 12 Districts are currently scoring at >70%)
1.2.5 Workplace engagement Sergeant and Constable comparison	There will be a greater positive shift in engagement for Sergeants and Constables. The engagement index targets will be 80% for Sergeants and 75% for Constables.	<div>■ Not expected to achieve target levels</div> <div>Sergeants – 73.1%</div> <div>Constables – 69.8%</div>

Leadership (visibility at the frontline) indicators	2017 objective	Status / Result
1.3.1 Police leadership as role models	Police leaders will be excellent role models and will inspire their staff.	■ Achieved
1.3.2 Engagement of Police leadership with the frontline	Senior leaders will be visible for staff and people will feel more connected to Police as an organisation.	■ Achieved 65.6%
1.3.3 Police leadership as models of the right behaviours	Senior leaders and frontline managers will consistently model the right behaviours and will be perceived to be doing so by their staff.	■ Achieved 81.5%

## Focus area 2: HR strategy and capability to support integrated change

This focus area is aimed at enhancing the career progression of women within Police, and more generally building and developing talent within the organisation.

Most indicators for this focus area are on track to meet the 2017 goals. Highlights last year include:

- Promotion levels for women during 2015/16 were at or above that for men of similar service levels at all ranks from Sergeant to Inspector. Women made up 28.4% of recruits in 2015/16. The percentage of women applying to become police officers is mirrored in the recruitment pipeline and in the recruit wings.
- Continuing significant investment in women across all Police leadership development programmes.

On a less positive note, Police is at risk of not achieving its 2017 goals with respect to women's perceptions in relation to their learning and development, as well as career development, opportunities.

### Career progression of women

Retention rates for male and female constabulary employees were equal during 2015/16, leading to ever increasing numbers of women officers with significant service levels, offering a better springboard for career progression. In fact, promotion levels for women during 2015/16 were at or above those for men of similar service levels at all ranks from Sergeant to Inspector.

Of particular note, the ambition to see a higher representation of women in senior operational positions has been achieved, with significant numbers of women now holding District and Area Commander roles, as well as other highly-visible leadership positions in operational settings, such as Road Policing Manager. By way of illustration, in mid-2007 only one of the 12 District Commander positions was held by a woman (with only three women in total holding Superintendent rank); fast forward to mid-2016, and one quarter of all current District Commanders are women, and seven women hold the rank of Superintendent (with there being a further 35 women Inspectors, versus only 10 in mid-2007).

## Development programmes

Police continues to deliver initiatives to support women to develop and progress within the organisation, including two women's development programmes: Connect and Aspire. As well, a Women's Leadership conference was held in December 2015, bringing together more than 100 female Police employees for three days of workshops at the RNZPC. Indeed, investment in women across all leadership development programmes in general also remains significant. The majority of employees attending leadership courses in the last year were women.

Building on past success, the Women's Advisory Network (WAN) has also established visible and inclusive networks of guidance and support. It provides channels for staff to give feedback and suggestions about women's professional development and influences positive change by challenging perceptions and behaviours.

In response to recent academic and industry research confirming gender bias still exists, particularly at senior leadership levels, Police also commenced delivering workshops on unconscious bias. The Executive completed a workshop with an external provider and recruitment specialists have had targeted training in this area. Roll-out to other leadership groups is under way. The success of these approaches is evident in the fact that Police is often approached by other agencies for advice on best practices in this area.

## Talent management

Police employees were less positive about their performance being subject to a fair assessment last year. Perceptions of fair performance assessment are also below the state sector norm. However, such perceptions are expected to improve once a new Police High Performance Framework (PHPF) is fully implemented throughout the organisation.

The PHPF was introduced to help Police deliver on targets in 'Our Business', setting the groundwork for a high-performance culture. It consists of five frameworks to enable better alignment of strategy, culture, leadership, capability and performance to Police's strategy. Police started a progressive roll-out of the PHPF programme via a series of workshops in March 2016. Each framework will be introduced at senior levels and then cascaded through all leader levels to every employee in Police. The aim is that the frameworks provide leaders with the tools to help them and their teams excel in their roles.

While it is expected to take two to three years for all five PHPF frameworks to be rolled out, various other complementary talent management initiatives remain well embedded. For instance, Police continues to operate Development Boards at District level and provide forums for discussion of talent development at a national level. The boards provide governance and direction regarding the investment in individuals. They are comprised of senior leaders from within the organisation as well as external representatives, to ensure diversity of perspectives and input into this process.

Police has also worked with SSC to identify appropriate senior talent to contribute to the State Sector Career Board programme. During 2015/16, there were a number of examples of senior Police leaders taking up external secondment opportunities to further build their leadership skills (for example, one Deputy Chief Executive was seconded to the Ministry for Women as Acting Chief Executive for a two-month period). In addition, one Deputy Commissioner's secondment to the Ministry of Social Development continued throughout 2015/16, while in June 2016 another Acting Deputy Commissioner was seconded to the Northern Territory Police in Australia for a period of six months.

## Emphasising values-based leadership when making merit-based appointments

Finally in relation to this focus area, one poorer-than-expected result in the 2016 Workplace Survey was the number of Police staff who did not positively respond to the statement: 'People here are appointed to positions based on merit'. Whilst demonstrating effective performance in a new role will often be the only way to overcome negative perceptions about a person's suitability for a job they are promoted into (especially for those who were unsuccessful applicants for the vacancy themselves), Police is consciously placing greater emphasis on integrity declarations, Professional Conduct vetting and referee checks as part of its Career Progression Framework (CPF), to ensure that when candidates for promotion progress to more senior roles, other staff can be confident the person's past conduct has been consistent with Police values, and he or she is not disqualified from higher office on suitability grounds. As this emphasis on living Police's values every day gains greater prominence in the CPF and appointments process, it is hoped there will be a positive impact on perceptions of the merit-based nature of Police appointments.

**Table 2: Human resources strategy and capability to support integrated change**

Career progression of women indicators	2017 objective	Status / Result
2.1.1 Gender composition of Police's ranks	The proportion of women at senior ranks in Police will more closely reflect the proportion of women across the entire organisation	■ Expected to achieve (13.3% vs 31.2%)
	Annual recruitment for constabulary women will be above 30% of total constabulary recruitment	■ Expected to achieve (28.4%)
	Women's attrition rates will remain similar to or lower than those of men	■ Achieved
	Women's promotion rates will match those of men	■ Expected to achieve
	Women will make up at least 10% of total Commissioned Officers	■ Achieved (13.3%)
	Much higher representation of women in senior operational positions	■ Achieved
2.1.2 Engagement profile of men and women	Women's engagement profile will be equal or higher than that of men, reflecting women feeling more positive about their career and development opportunities within Police	■ Achieved (74.1% for women vs. 71.9% for men).
	Scores for women are on par or higher than those for men regarding career and development opportunities within Police	■ Expected to achieve 56.8% (F) vs 60.5% (M)
2.1.3 The drivers of women's advancement	100% of women leaving Police at non-Commissioned Officer level and above will be offered and actively encouraged to have formal exit interviews	■ Achieved
	The incentives to advance women in Police will be understood and strategies will be in place to mitigate or remove barriers to the advancement of women. Women at Sergeant or Senior Sergeant levels will have clear career paths towards senior operational roles, including the use of short-term secondments to round out experiential shortfalls.	■ Expected to achieve

Career progression of women indicators	2017 objective	Status / Result
2.1.4 Development of women staff	100% of woman at Senior Sergeant level and above will be offered and actively encouraged to have an Individual Development Plan (IDP) and an individual mentor (internal or external) relevant to their career aspirations.	■ Expected to achieve
	Development interventions and IDPs for the advancement of women into senior positions will be in place and regularly reviewed.	■ Expected to achieve
2.1.5 Communication of women's career pathways	Women staff will be supported through IDPs and mentors to gain the right exposure to the right operational experience in order to progress.  Support programmes for women will be based on best practice talent management approaches and will be informed by leadership development programmes for women and other minority groups from other jurisdictions.	■ Expected to achieve
Talent management indicators	2017 objective	Status / Result
2.2.1 The merit of promotions and advancements	Police will score at least 70.3% and be above the state sector benchmark on understanding how performance is measured.	■ Not expected to achieve 62.5%
	Police will score at least 68.2% and be above the state sector benchmark for the question that assesses perception of performance being fairly assessed.	■ Not expected to achieve 60.8%
	Police will score at least 60% and will show continuous improvement relative to the 2011 score for the question that people are appointed to positions based on merit.	■ Not expected to achieve 47.1%
2.2.2 Composition of Police's skill base – constabulary staff and other Police staff	There will be a wide range of career pathways and programmes for the development of constabulary staff.  The diversity of the workforce's skill base will be better captured and utilised	■ Expected to achieve
2.2.3 The identification and management of talent	Integrated career structures will enable movement between different roles.  There will be a base rate of skills defined for staff at different levels, and this will be reflected in a competency framework.	■ Expected to achieve
2.2.4 Alignment of talent management and HR strategies	A dynamic workforce management plan will be agreed and continually refreshed with senior Police leaders.  The workforce management plan will be regarded as best practice in State Sector terms.	■ Expected to achieve

## **Focus area 3: Performance management**

This focus area concentrates on the active management of poor performance at all levels within Police.

While several elements remain under action, the 2017 goals remain achievable. Highlights from last year include:

- Implementing a new performance development process for roles at Inspector level and above.
- Police significantly outperforming the state sector benchmark with respect to poor performance being dealt with effectively.

### **Building managerial capability**

As part of the new performance development process for role holders at Inspector level and above, Police competencies have been refreshed – first, to incorporate behaviours linked to Police's values; and secondly, to provide a clearer picture of what is expected at different levels of leadership in Police.

### **Coaching**

Embedding coaching as a managerial skill remains a challenge, but an essential component of the career progression framework (CPF) that governs promotion to rank. The CPF applies an organisational filter on prospective candidates for promotion – particularly Sergeant to Senior Sergeant – and will complement and improve the level of individual performance management in frontline Police managers.

### **Performance appraisals**

Performance appraisal and management systems are to be fully aligned in 2016/17, with the introduction of an electronic performance appraisal system incorporated in a new HR Management Information System. The focus is to improve the effectiveness of the appraisal system overall, remedying the 'form heavy' nature of the present system, and creating a culture in which supervisors and staff exchange feedback on performance much more routinely.

### **Early intervention**

Early Intervention (EI) uses information from several different sources – including HR, operational and workload data – which is then assessed and analysed against pre-set thresholds, in order to develop a comprehensive picture of an employee. Taking the form of a conversation between the employee and their supervisor, the objective of EI is to intervene before someone's conduct escalates to the point that formal action is required. It takes a collaborative approach, with a view to reducing the likelihood that employees will engage in misconduct or unethical behaviour.

Uptake of the EI system has more than doubled since it was introduced – with the number of early interventions increasing from 80 in 2013 to 169 in 2015. In 2015, Police focussed on reducing the number of complaints made against police officers. All officers who had received two or more complaints in the previous 12 months were identified for EI meetings, leading to a 63% reduction in complaints received about this cohort. In order to maximise the reach of the initiative, an EI analyst has also recently been appointed to assist the EI Manager identify those who could benefit most from the EI programme. The EI Manager also continues to attend all recruit and Sergeant and Senior Sergeant development courses to ensure EI is well-accepted and understood in Police, and that interventions change behaviour effectively.

**Table 3: Performance management**

Performance management Indicators	2017 objective	Status / Result
3.1.1 Consistency of performance management practices	There will be consistent performance management practices across the districts and workgroups.	■ Expected to achieve
3.1.2 Role of performance management in career development	<p>Performance management will be seen in a positive developmental context. Staff at all levels will view performance management as constructive and necessary for their career path and development.</p> <p>Managers will see performance management as a core part of their role.</p> <p>There will be a focus on relationships and constructive and regular performance conversations between managers and their staff at all levels.</p> <p>Poor performance in Districts will be identified and dealt with as it happens.</p> <p>Police will score at least 70% for the question 'I get regular feedback on my performance from my supervisor (formal/informal) in the Workplace Survey.</p> <p>The CLC survey will show Police performing on par with the benchmarks</p>	<p>■ Expected to achieve</p> <p>■ Expected to achieve</p> <p>68.0% agree</p> <p>The CLC survey was not repeated in 2016</p>
Performance management Indicators	2017 objective	Status / Result
3.1.3 Effective coaching	Coaching will be established as a 'critical leadership behaviour'. Leader's demonstration of this behaviour will be measured through the performance development process.	■ Achieved
3.1.4 Dealing with poor performance	Police will at least score consistently better year-on-year than the state sector benchmark measure 'that poor performance is dealt with effectively in work groups'.	■ Achieved 62.5% vs 48.5%
3.1.5 The disciplinary process and early warnings data	The desired future state is for Early Intervention (EI) to be an accepted and understood system in Police and that interventions change behaviour effectively.	■ Achieved

## **Focus area 4: Lifting trust and confidence in complaint investigations**

This focus area looks at the outcomes of the Police disciplinary process, particularly as they relate to key aspects of integrity, such as managing risks associated with the formation of inappropriate relationships.

Highlights from this focus area last year include:

- Successful pilots working with the Independent Police Conduct Authority (IPCA) and the Government Centre for Dispute Resolution to develop an early resolution process for complaints
- A significant increase (3.5%) in the number of respondents who reported that they know who to contact to report instances of workplace harassment, bullying or discrimination.

### **Raising the profile of the Police Professional Conduct function**

Efforts continue to be made to communicate the role of Police Professional Conduct (PPC) in keeping employees safe. PPC staff speak at Sergeant, Senior Sergeant and Inspector qualifying courses. PPC managers continue to be part of each District's visibility roster, which brings them onto the frontline at peak times to engage with and advise staff.

PPC staff have been instrumental in implementing Tactical Communications 'train the trainer' courses in three Districts (Waitematā, Central and Waikato). Plans are in place to deliver training in Bay of Plenty, Wellington, Tasman and Canterbury Districts.

District PPC Managers are rotated from other management positions in District to ensure the role is experienced by a variety of senior leaders, and senior staff are exposed to the PPC work and understand its value. When positions are advertised in PPC both at PNHQ and within Districts, there are a number of quality suitable applicants applying for the roles. As a result, the skill-set of PPC staff has broadened. And in turn, when staff rotate out of PPC positions, they take the learnings from the experience into the wider organisation.

### **Consistency of outcomes**

A working party comprising representatives from Employment Relations, Human Resources and PPC has considered a wide range of issues that impact on the consistency of processes and clarity of roles. Detailed process maps have been produced by an external expert to clearly outline processes and responsibilities for each stage.

In addition, Police and the IPCA are working with the Government Centre for Dispute Resolution on developing an early resolution process for suitable complaint matters. Pilots to test this new process have been running in three Districts (Counties Manukau, Eastern and Canterbury) since March 2016. Early indications are that it is very successful with more effective communication between parties, faster resolution times, reduction in resource required and more satisfied complainants.

Since January 2015, all Policy, Practice and Procedure reviews in relation to significant events and deaths have been provided to Police's Operational Advisory Committee, which considers the recommendations and endorses them where appropriate. The decisions are recorded in Police's Lessons Learnt Database, so actions taken can be tracked. The Lessons Learnt Database is becoming a library of resources for supervisors to present to staff at training opportunities.

## **Disciplinary speed and outcomes**

In the year to 30 December 2015, Police had 22 non-criminal matters that were viewed as possible serious misconduct. These matters took 254 days on average to be completed, up from 176 days in 2014 (although still markedly down on equivalent timescales from several years earlier – for instance, non-criminal serious misconduct matters took an average 313 days to run their course in calendar year 2013). As well as being a function of low numbers, the year-on-year deterioration in timeliness during 2015 reflects the complexity of the cases, a number of which also involved multiple employment investigations and/or personal grievance processes.

A revised disciplinary process policy and guidelines (replacing the old *Supervisors' Guide*) were developed for release in early July 2016. The revisions allow for greater flexibility and remove duplication and unnecessary steps from the serious misconduct process. Timeliness results are expected to improve as a consequence of the new streamlined process.

## **Respect and integrity in the workplace**

There has been a significant increase in the percentage of respondents to Police's Workplace Survey who reported that they know who to contact to report instances of workplace harassment, bullying or discrimination (78.4%, up from 74.9% in 2014). Disappointingly, however, the percentage of respondents who were confident that they could raise concerns about workplace harassment, bullying or discrimination (69.1%) or other inappropriate conduct (68.4%) without fear of reprisal have yet to lift. Similarly, employees' confidence that such concerns would be dealt with appropriately dipped slightly last year to 65.5%.

## **Understanding barriers to reporting on integrity matters**

An evidence-based programme, Speak Up, rolled out in late 2015. It has been widely promoted and may be responsible for the significant increase in the number of staff who know how to report workplace harassment, bullying or discrimination. As trust in the Speak Up process increases, we expect to see rises in respondents' confidence in their ability to raise concerns without reprisal.

Speak Up is a fresh approach to helping staff and managers challenge or report all forms of inappropriate workplace behaviour including bullying, harassment and discrimination. Key features include:

- Support and protection for employees who Speak Up about all forms of misconduct including bullying, harassment and discrimination.
- Mandatory actions for managers to support and protect staff who report misconduct.
- A new Speak Up Helpline, and user-friendly Speak Up information portal on the Police Intranet, which provide information on roles and responsibilities, as well as guidance and information on options for challenging, reporting and being supported.

**Table 4: Lifting trust and confidence in complaint investigations**

<b>Disciplinary speed and outcome indicators</b>	<b>2017 objective</b>	<b>Status / Result</b>
4.1.1 Reputation of and respect for the Professional Standards/ Conduct function	<p>The reputation of the Professional Standards function (now Police Professional Conduct) within and outside Police will be positive, and the group will be viewed as a guardian and guide on integrity and appropriate conduct.</p> <p>A period of work in the Professional Standards workgroup will be seen as desirable and a stepping stone to senior positions.</p>	■ Achieved
<b>Disciplinary speed and outcome indicators</b>	<b>2017 objective</b>	<b>Status / Result</b>
4.1.2 Consistency across management of employment based criminal or disciplinary processes	<p>Reviews of the complaints process will show greater consistency between Districts.</p> <p>Improved trends in technical and procedural correctness of employment based disciplinary or criminal processes.</p> <p>Consistent use of decision frameworks for complaints and their escalation.</p>	■ Achieved
4.1.3 Time taken for employment based disciplinary processes	The average elapsed time for all employment-based disciplinary processes will be reduced.	■ Expected to achieve
4.1.4 Respect and Integrity in the Workplace	There will be an increase in reports of sexual misconduct in the short-term followed by a downward trend in the long term.	■ Expected to achieve
4.1.5 Understanding of the barriers to reporting on matters of integrity	There will be greater understanding of what the barriers are to reporting on matters of integrity, such as inappropriate relationships, and explicit actions to resolve these will be in place.	■ Achieved
	Exceed the state sector benchmark for the question on the mechanisms for reporting breaches of integrity and conduct anonymously or confidentially.	SSC is not planning to repeat the Integrity and Conduct Survey during 2016
	In the SSC Integrity and Conduct Survey Police will achieve 75% and/or remain the leading agency in the state sector for the question, 'are you confident that you know where to get good advice about integrity and conduct'	SSC is not planning to repeat the Integrity and Conduct Survey during 2016
4.1.6 Effectiveness of protected disclosures policy	<p>The Protected Disclosures Policy and Challenging Police Misconduct (Integrity Reporting) Policy will be operating effectively and this will result in an increase in reports of misconduct in the short-term which will reduce over time.</p> <p>For the awareness of the Protected Disclosures Act in the SSC Integrity and Conduct Survey Police's score will be above its 2011 score and will exceed the state sector benchmark.</p>	<p>■ Expected to achieve</p> <p>SSC is not planning to repeat the Integrity and Conduct Survey during 2016</p>

	Target 2017	Tracking against 2011 baseline
Engagement Index	77	↑

### The 16 Engagement Drivers

8.9: NZ Police is an enjoyable place to work	70	↑
1.7: My job gives me a sense of personal achievement	Remain in the top quartile	↓
8.7: I feel a sense of belonging to my District or my Service Centre	70	↑
8.10: I feel I am working for an effective organisation	65	↑
1.6: The work I do makes good use of my knowledge and skills	70	↑
2.2: I am encouraged to try new ways of doing things	60	↑
3.2: The level of work-related stress I experience in my job is acceptable	65	↓
2.4: There are career development opportunities for me in NZ Police	65	NA
1.5: NZ Police provides adequate training for the work I do	60	↓
7.5: I feel my contribution is valued in NZ Police	NA	↑
8.5: NZ Police is interested in the views and opinions of its staff	NA	↑
8.8: NZ Police cares about the well-being of its staff	NA	↑
8.4: There is a sense of 'common purpose' in NZ Police	NA	↑
8.2: Communication in my District or my Service Centre is open and honest	NA	↑
9.4: I am sufficiently involved in decisions that affect the way I do my job	NA	↓
9.1: Day-to-day decisions demonstrate that quality of services is a top priority for NZ Police	NA	NA

### Performance

1.3: I understand how my performance is measured	NA	↑
1.4: My performance is fairly assessed	NA	↑
4.7: People are held accountable for their performance in my team	NA	↑
4.8: Poor performance is dealt with effectively in my team	NA	↑
6.5: I get regular feedback on my performance from my supervisor (formal/informal)	NA	↑
7.2: People here are appointed to positions based on merit	NA	↑

Weighted Mean Scores*			Level of Agreement Scores*		
Police 2015	Police 2016	State Sector Benchmark 2016	Police 2015	Police 2016	State Sector Benchmark 2016
72.0	72.6	67.7	72.1	72.5	67.8

70.7	71.0	68.4	71.2	70.9	70.7
75.4	73.9	72.5	77.9	75.4	75.7
64.0	65.6	64.8	59.8	62.0	64.1
65.7	64.6	NA	62.8	60.5	NA
71.4	71.3	65.0	74.4	73.9	61.0
59.4	58.6	62.6	49.7	48.9	62.3
58.8	54.4	59.6	52.2	44.4	57.1
59.7	59.3	56.0	53.5	53.1	41.6
52.2	51.9	NA	40.0	40.2	NA
58.9	57.3	58.7	49.2	46.8	57.5
51.8	50.9	54.7	38.9	39.0	50.7
57.0	57.6	62.7	48.7	51.1	64.0
62.6	62.7	58.6	57.2	57.4	52.2
56.9	57.1	53.3	45.1	46.2	43.5
57.6	55.8	60.4	49.2	47.4	60.6
60.4	56.0	61.1	52.9	46.6	56.2

64.2	62.5	63.3	59.4	56.2	57.2
61.0	60.8	63.2	52.7	52.0	59.9
67.7	68.0	NA	65.7	66.1	NA
61.8	62.5	48.5	53.3	54.4	29.9
70.9	68.0	65.9	68.5	64.8	61.7
47.6	47.1	NA	31.3	31.2	NA

	Target 2017	Tracking against 2011 baseline
Engagement Index	77	↑

### Respect and Integrity

5.1: Staff in my team respect employee diversity	NA	↑
5.2: I know who to contact to report instances of workplace harassment, bullying or discrimination	NA	↑
5.3: I am confident that I could raise concerns I had related to workplace harassment, bullying or discrimination without fear of reprisal	NA	↑
5.4: I am confident that I could raise concerns I had about other inappropriate conduct in the workplace without fear of reprisal (inappropriate conduct may include any actions or behaviours that make you feel uncomfortable in the workplace)	NA	↑
5.5: I am confident that any concerns I may need to raise regarding harassment, bullying, discrimination or other inappropriate conduct would be dealt with appropriately	NA	↑
Respect & Integrity (Section Score)	NA	↑

### Rewarding the Right Behaviours at NZ Police

4.1: People in my team conduct themselves in accordance with the values expected by NZ Police	NA	↑
6.1: My supervisor behaves in a way that is consistent with the values of NZ Police	NA	↑
7.1: NZ Police has appropriate ways of recognising outstanding achievement	NA	↑
7.3: We celebrate success in NZ Police	NA	↑

### Vision and Purpose + Communication and Cooperation

8.1: NZ Police has a clear vision of where it's going and how it's going to get there	NA	↑
8.3: I feel informed about NZ Police and its activities	NA	↑
8.6: Teams within NZ Police work well together	NA	↑
8.11: I intend to continue working at NZ Police for at least the next 12 months	NA	↓
Vision and Purpose + Communication and Cooperation section score	NA	↑

\* Details of how the two scores are calculated were described in detail in the 2012/13 year's report ([www.police.govt.nz/sites/default/files/publications/state-services-commission-coi-report-into-police-conduct-2012-13.pdf](http://www.police.govt.nz/sites/default/files/publications/state-services-commission-coi-report-into-police-conduct-2012-13.pdf)).

\*\* There have been changes in questions that have benchmark-equivalents this year. To keep trending consistent, the 2016 Police score is calculated based on the same set of questions used in the previous years. When only taking into account the common questions between Police and the benchmark on this section in 2016, Police has a score of 61.4.

Weighted Mean Scores*			Level of Agreement Scores*		
Police 2015	Police 2016	State Sector Benchmark 2016	Police 2015	Police 2016	State Sector Benchmark 2016
72.0	72.6	67.7	72.1	72.5	67.8

78.3	80.0	NA	83.6	86.0	NA
74.9	78.4	NA	79.1	84.1	NA
69.2	69.1	NA	69.2	68.6	NA
68.6	68.4	NA	68.4	67.3	NA
66	65.5	NA	63.0	61.5	NA
71.4	72.3	NA	72.7	73.5	NA

79.4	79.7	NA	86.0	85.6	NA
83.0	81.5	78.0	87.5	84.8	81.8
56.8	55.7	NA	44.9	42.3	NA
58.6	58.7	59.5	47.5	47.6	56.6

64.9	64.3	63.6	60.0	58.4	59.9
62.7	61.9	61.5	56.0	54.6	59.6
60.8	61.4	57.1	54.1	54.9	48.7
82.9	83.6	NA	84.6	84.5	NA
62.6	62.8	60.1**	58.0	54.9	56.6