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Tēnā koe J A Harris

Request for information

Thank you for your Official Information Act 1982 (OIA) request of 14 April 2023, seeking information relating to performance monitoring, measurement and management of Police staff.

The response to each of your specific requests is as follows:

Documentation describing Police's approach to monitoring, measuring, and managing performance of Police staff

Details of the overall performance management process within Police. This includes but is not limited to 1:1, 360, team feedback, manager feedback

Refer to document 'Performance Management' attached.

Details of the current KPIs or OKRs in place for staff, broken down by team or function or whatever level these are set at

Police uses Key Result Areas for performance management of its staff. Please refer to 'Protected information relating to Performance Management at Police' below, as well as the attached document 'Summary information about Strategic Performance Template™ and Annual Performance Reviewer™'

Data showing the aggregate performance of staff as measured by Police. For example, number of staff per region with each rating at appraisal time, number of staff per region currently on a PIP

The information requested is not able to be supplied without substantial collation or research. This part of your request is therefore refused pursuant to s18(f) of the OIA.

Provide information on how Police assess when a staff member is not performing adequately and the processes that are undertaken

Refer to document 'Performance Management' attached.

Details of how Police assess the efficacy and suitability of their performance management approach

There are no specific documents which outline how Police assesses the efficacy and suitability of their performance management approach. This part of your request is therefore refused pursuant to s18(e) of the OIA, as the documents requested do not exist.

Protected information relating to Performance Management at Police

Police's integrated employee performance process is delivered under licence from Steel Performance Solutions. Police is unable to disclose two documents which fall within the scope of your request, being the Strategic Performance Template and Annual Performance Review tool, as doing so would breach Police's contract with Steel Performance Solutions. Police must therefore refuse your request for these documents pursuant to:

- s9(2)(b)(i) and (ii) to protect information where making it available would disclose a trade secret, and be likely unreasonably to prejudice the commercial position of Steel Performance Solutions; and
- s9(2)(ba)(i) and (ii) to protect confidential information where making it available would be likely to prejudice the supply of information from the same source, and otherwise damage the public interest.

Police considers the interests requiring protection by withholding the information are not outweighed by any public interest in release of the information.

As an alternative to these two documents, Police has agreed with Steel Performance Solutions to release the information in the attached document 'Summary information about Strategic Performance Template™ and Annual Performance Reviewer™'

If you are not satisfied with this response to your request for information, you have the right to ask the Ombudsman to review Police's decision. Information about how to make a complaint is available at: www.ombudsman.parliament.nz.

Nāku noa, nā



Superintendent Andrew Mortimore
Director: Leadership & Development, High Performance
New Zealand Police

Performance management

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Summary

Purpose

The purpose of this policy is to provide a framework that:

- guides the interactions between a supervisor and an individual as they discuss performance related matters
- fosters the development and alignment of individual and group capability enhancing organisational performance over time.

The policy focuses on the context within which successful performance management occurs and provides a guide to practice.

Application of the policy

This policy applies to all Police employees.

Policy objective

The policy objective is to define the parameters within which Police:

- recognise the contribution of individuals
- encourage excellence in service delivery, productivity and professionalism
- raise the quality and consistency of leadership and supervision in the NZ Police
- build capability and enhance health and safety
- recognise, record and address performance that requires improvement.

Principles

The fundamental human resource principle that underpins this policy is that all actions should primarily develop or improve performance. Human resource principles that support this include:

- individual responsibility - individuals are responsible for their own behaviour and for maintaining high standards of integrity and professionalism, and concern for public interest.
- fairness - the process must be consistent with EEO/Diversity and Treaty of Waitangi principles, transparent, true to purpose and with no surprises.
- decisions affecting employees must be timely, supportable and informed by specific examples of action or behaviour.
- relevance - performance objectives and training, education and professional development opportunities should be achievable and applicable to the individual and the work context.

Definitions

For the purposes of this policy, the following definitions apply:

Term	Meaning
Performance management	Performance management is the total process of observing and working with an employee in relation to their performance and associated job requirements over a period of time. These interactions provide information that informs decisions about options for improving, developing or stretching the performance of employees and actions needed to address environmental issues.
Performance appraisal	Appraisal is a performance management tool that is designed to facilitate regular dialogue between supervisors and individual employees. It is a cyclical process that involves defining, developing and assessing staff performance in line with stated expectations and organisational goals.
Performance information	Refers to the information on standard appraisal forms, and any performance meeting minutes, memos, letters relating to behaviours, attributes and competencies that inform management decisions in relation to performance. Initiatives associated with electronic information management will increase employees and supervisors accessibility and use of the information.
Core competencies	<p>Core competencies describe the particular combination of knowledge, skills, behaviours, attributes and characteristics required by an organisation and within particular positions. It is used to inform HR processes enabling individual performance to be aligned with organisational strategies and values.</p> <p>The Police values and competencies makes explicit the desired behaviours expected of all police employees. Along with functional and technical competencies they form a 'pool' of performance management indicators.</p>
Career planning	Career planning is an integral part of the performance management process for all employees. The appraisal provides a formal opportunity for discussion about career options and career development. Career development involves any activity, course, experience or other innovative method that may achieve mutually beneficial outcomes for the individual and the organisation.
Succession planning	Organisations have a responsibility to build capability in order to meet future leadership or business capability requirements. Succession planning is the management process of identifying potential successors for key positions and actively developing them. Performance appraisal and career planning information informs succession planning decisions.

Related information

This policy is to be read and applied in conjunction with the following:

Type	Title/ Description
Legislation	<ul style="list-style-type: none"> - Policing Act 2008 - Employment Relations Act 2000 - Privacy Act 2020 - Human Rights Act 1993 - Health and Safety in Employment Act 1992
Contract / Agreement	<ul style="list-style-type: none"> - Collective Agreement for Constabulary Employees - Police Employee Collective Agreement - Police Managers' Collective Agreement Grades 20-24 - Individual Employment Agreement (Band A-J) - Police Managers' Individual Employment Agreement Grades 20-24
Police Manual	<ul style="list-style-type: none"> - Core competencies - Exit Interviews - Recognition of Learning or Recognition of Current Competence - Health and safety and rehabilitation policies - Leave management - Qualification and certification requirements - Awards and commendations - CSI (Competency Service Increment) Policy

Responsibilities for performance

Responsibility for performance rests with each individual employee with the management/supervisors having direct responsibility for enabling others and ensuring performance standards are met.

These people...	is/are responsible for...
Each manager / supervisor	<p>providing leadership and effective performance management (consistent with the principles) to all teams and staff under their supervision. This includes:</p> <ul style="list-style-type: none"> - creating the right environment for people to perform in - one that values and respects diversity - modelling the Police values and core competencies and best practice - coaching and guiding career development - recognising and encouraging high quality performance - ensuring employees know what is expected and how they will achieve those expectations - providing timely feedback on how they are doing and identifying development needs and job opportunities to broaden experience - identifying and promptly addressing all performance issues
Each employee	<p>their performance and for contributing to the performance of their team/area by:</p> <ul style="list-style-type: none"> - delivering a high quality service and contributing to the achievement of results - acting promptly to highlight and/or address issues that require attention - meeting the requirements and expectations of their position, portfolios and or assignments - actively working to improve and maintain performance standards - actively participating in the performance appraisal process
Human Resources Group	<p>providing performance management advice and guidance in relation to policy and practice.</p> <p><u>HR</u> Managers are responsible for:</p> <ul style="list-style-type: none"> - providing leadership in the field of performance management - providing or seeking high quality advice and guidance (e.g. in areas of managing poor performance, health and safety, training and professional development) - overseeing the co-ordination of performance appraisal activities - recording and reporting on compliance with requirements and milestones.

Performance appraisal

Performance meetings

Performance meetings should occur sufficiently often to promote dialogue and to enable an employee to gauge their progress. A meeting could focus on any one or more of the following:

- hearing how things are going - from the perspective of employee and supervisor
- discussing health and safety issues
- reviewing leave plans
- reviewing progress against core competencies or objectives
- providing feedback on recent performance i.e. reinforcing strengths, addressing particular performance issues
- reviewing career plans, i.e. the outcome of training and development opportunities, identifying training and development opportunities and certification renewals
- reviewing direction and fit with relevant strategic objectives.

Employees should be made aware of the purpose of any meeting and the outcome should be documented and agreed by both the supervisor and the employee.

Supervisors should meet with new employees (including those on transfer) as part of the induction process. The purpose of this meeting is to establish expectations, set objectives, address health and safety issues and identify any training needs associated with the new position.

Final appraisal meeting

At the end of the appraisal year a supervisor/manager meets with each employee to review the year's performance against the KRAs / objectives / core competency targets set at the beginning of year. Both the supervisor and the employee should prepare for this meeting.

The meeting must contain 'no surprises'. A 'no surprises' environment is achieved by regular dialogue with an employee and the provision of sufficient relevant, useful information about performance.

New objectives and development goals should be set at or subsequent to this meeting.

Appraisal documentation

Each employee forwards a completed self-review form to their supervisor prior to the final performance appraisal meeting. The purpose of the form is to assist both the employee and the supervisor prepare for the appraisal discussion.

The supervisor is responsible for completing the end-of-year appraisal document. Once agreed and signed this document is to be forwarded to Human Resources for filing on the personal file. The employee should be provided with a copy.

Appraisal documentation and forms for Bands A-J and Grades 20-24 employees can be accessed from the [Police High Performance Framework intranet page](#).

Supervisor or staff changing duties

Supervisors must review performance progress and document this information on the appraisal form prior to either his/her leaving or an employee leaving to take up another position within Police. In the case of the supervisor moving to a new position the information should be made available to the incoming supervisor.

Where an employee is leaving the appraisal form should be forwarded to HR for filing in the personal file.

Training and development

Each employee is responsible for their career development. During the appraisal process supervisors identify and agree training and development needs.

Improvement and professional growth opportunities should be aligned with the:

- needs of the organisation
- aspirations of the employee
- resources available
- the position or stage of an employee's career (relevance)
- capabilities of the team within which the individual works.

Where significant development opportunities are provided, employees should be clear about the purpose and then provided with an opportunity to apply the knowledge and skills.

The information gained from staff appraisals should enable each supervisor to contribute to the identification of future capability thus contributing to more effective management of succession planning.

Gaining agreement about performance issues

Employees and supervisors have a responsibility to resolve performance issues early. Disagreement about performance can arise in regard to:

- achievability of objectives
- substance or accuracy of information
- fairness of treatment

If the employee and the supervisor are unable to gain agreement then the supervisor's manager should be advised. The supervisor's manager should then work with both parties to resolve the issue seeking guidance from HR Managers where required. If agreement is not achieved the issue should be referred to a member of the Executive.

Use of performance information

Dependant on employment agreements, some employees are eligible for a competency service increment (CSI) on the anniversary of their appointment. This increment may not be authorised where an employee has an unresolved competency-based performance issue or where an employee has not met all certification and qualification requirements. Performance notings, appraisal documentation and information from the HR information system should be used to inform this decision.

All performance management information should be accurate, verifiable and accessible to the employee. The storage of personal information must comply with the requirements of privacy legislation.

Career and development information will be entered on-line and used to inform career planning and succession planning.

Agreeing performance benchmarks

District/Service Centre management may bring supervisors together to discuss and agree what constitutes effective performance. In the case of high performance they may wish to agree who are the high performers so that appropriate recognition can be made. This process should inform district, service centre and national succession planning decisions.

Workforce and workload management

Environmental factors such as workload can undermine or enhance performance.

All employees have a responsibility under the Health and Safety Employment Act for identifying hazards, acting safely and for managing their health and welfare.

Performance meetings provide a forum for supervisors to identify environmental factors that may be positively or negatively impacting on performance. Every employee has a responsibility to assist this process by identifying factors that are assisting and raising as early as possible those issues that are negatively impacting on his/her performance. All issues should be addressed as soon as practicable.

Leave planning is a particular tool to assist employees plan for sufficient rest and recreation and for supervisors to support the health and well being of staff while ensuring they have the resources required to deliver Police services.

Wellness and Safety policies provide the policy context for accepting responsibility and for managing the impact of environmental

factors.

Managing poor performance

The process of managing poor performance is about seeking improvement through dialogue, it is not a disciplinary process. Improvement is achieved using standard processes of plan and review. The supervisor and the employee should be guided by the principles and responsibilities outlined at the beginning of this policy.

Performance meeting

Performance issues must be addressed with an employee as close to the event, or to when poor performance is observed, as possible. Prior to arranging a meeting with an employee to discuss poor performance the supervisor defines the problem with reference to the standards of performance expected. The expected standards should be benchmarked against competent performance for the particular position.

Supervisors should refer to the Police [values](#), employee's position description, employment agreement, any applicable best practice guidelines, standard operating procedures and the [core competencies](#) to assist them identify the relevant standard against which the employee's performance has been measured and found wanting. When necessary, supervisors should seek advice and guidance from the relevant [HR](#) Manager or the [HR](#) Group.

When initiating a meeting with an employee about poor performance the supervisor must inform the employee in advance of the purpose of the proposed meeting and ensure that the employee is given an opportunity to arrange for representation to be present. At the meeting the supervisor should explain to the employee the respects in which their performance has fallen below the expected standards and clarify for the employee the standards of performance expected.

It is the supervisor's responsibility to advise the employee that if their performance does not improve to the required standard of performance the employee's continued employment could be in jeopardy.

The supervisor should ask the employee whether there is any explanation for why their performance has not been satisfactory. The opportunity given to the employee to comment and respond must be genuine. The supervisor should make accurate notes of what is said at the meeting.

Performance Improvement Plan

The supervisor and the employee should then develop a performance improvement plan that details the remedial actions required to enable the employee to achieve satisfactory performance or attain the specified standard.

Remedial options should be relevant and timely and clearly documented to show what the remedial action is, e.g. training, coaching, who will provide it, when it is to occur, what the desired outcome is.

The plan must allow the employee sufficient time and opportunity to improve their performance and should state when there will be a further meeting to review the employee's progress. Ideally both parties should indicate their agreement to the plan which should be placed on the employee's personal file.

The employee has a responsibility to actively engage in the process, act on a performance improvement plan and work to improve their performance within agreed timeframes. The supervisor is responsible for monitoring progress.

At the time agreed for review of the employee's performance the supervisor provides feedback to the employee about whether their performance since the last meeting has improved to the required standard. Any areas of shortfall should be clearly identified to the employee.

Where there is not improvement in performance or the poor performance subsequently reoccurs despite the supervisor having set clear objectives, provided relevant support, and allowed time and opportunity for improvement, then ultimately disciplinary action against the employee may result. In this event consult the relevant [HR](#) Manager or Employment Relations Manager.

SUMMARY INFORMATION: STRATEGIC PERFORMANCE TEMPLATE™ AND ANNUAL PERFORMANCE REVIEWER™

Strategic Performance Template™:

The Strategic Performance Template is a cascade-able 'plan-on-a-page' that clarifies the outcomes each group, team and individual needs to deliver within the year to enable Police to achieve the outcomes we are committed to.

The template itself is designed to strengthen people's connection to the strategy (known in Police as 'Our Business') to identify how their role contributes to the strategic intent and, the relevance of their work to Police and to the community.

The content within the template was developed through a 'co-design' process involving Police personnel from different levels of the organisation. This aims to maximise the engagement of Police personnel both in the process and the organisation, and to enhance their performance and accountability. This is different to a compliance-based process whereby staff would be issued with a set of KPI's.

Annual Performance Reviewer™:

The Annual Performance Reviewer forms part of SPS' Performance Management Framework™.

Specifically, the Annual Performance Reviewer is the template managers use to appraise their people's performance at the end of the year against the Key Result Areas of:

- Leadership (for managers and people leaders only)
- Performance
- Behaviours.

Leadership (KRA 1):	Managers are asked to assess their people's leadership against SPS' Principal Responsibilities of Leadership™ in terms of the extent by which they lead and how they lead.
Performance (KRA 2):	Managers are asked to assess their people's performance against the outcomes agreed in their Strategic Performance Template and Level Purpose Statement.
Behaviours (KRA 3):	Managers are asked to assess their people's behaviours in terms of how well they uphold or embody our High-Performance Culture and Values.

Each KRA is assessed on an 8 point scale using SPS' 'straight-line' rating descriptors which allows both the individual and manager to select the descriptor that most accurately reflects their performance or contribution to Police and/or the communities they serve.

Please note:

Both managers and their direct reports assess the individual's performance after which they then meet to discuss their respective assessments in order to agree on the individual's final set of ratings for the year.

Because SPS' Performance Management Framework is what they refer to as a 'development-first' process, it focuses on people's development to ensure they have the skills and capability to deliver the outcomes they agreed with their manager at the start of the year as opposed to conventional systems that focus almost exclusively on the 'management' of people's performance.

After Individual Development Plans have been agreed, managers meet with their direct reports once a month to discuss their progress against their Strategic Performance Template and Individual Development Plan.