

Police Service of Northern Ireland

HQ Ref: OCC 04/08

PD 08/08

POLICY DIRECTIVE

PSNI PERFORMANCE MANAGEMENT AND DEVELOPMENT SYSTEM ANNUAL PERFORMANCE REVIEW (APR) (POLICE OFFICERS AND POLICE STAFF)

1. POLICY IDENTIFICATION

POLICY TITLE: PSNI Performance Management and
Development System
Annual Performance Review (APR)
(Police Officers and Police Staff)

DEPARTMENT Human Resources
BRANCH Reward and Recognition

POLICY APPROVED BY:

CCF REF/OTHER
DATE OF APPROVAL

IMPLEMENTATION DATE: 22 July 2008

DATE OF ISSUE: 22 July 2008

DATE VERSION 2 ISSUED: 3 November 2008

REVIEW DATE: 4 November 2009

INDEX

Section	Subject	Page
1	Policy Identification Page	1
2	Policy Statements	3
3	Introduction	3
3(1)	Summary	3
3(2)	Legal Basis/Drivers for Change	3-4
3(3)	Aims	4
3(4)	Objectives	4
3(5)	Distribution of Performance Ratings	5
3(6)	Application	5
4	Implications of the Policy	5
4(1)	Financial Implications/Best Value/Continuous Improvement/Efficiency	5
4(2)	Human Resources/Training	5
4(3)	Internal Policy Links	5-6
4(4)	Risks	6
4(5)	Bureaucracy	6
4(6)	Consultation	6
5	Human Rights/Equality/Integrity/Freedom of Information	7
6	Review	7

SECTION 7

Paragraph

1.	Introduction	8-9
2.	Smart Objectives	9-10
3.	APR Cycle	11
4.	APR Timetable	12
5.	Equal Opportunities/Equality and Diversity	12-13
6.	Roles and Responsibilities	13
7.	Annual Performance Review – Police Officer	14
8.	Roles and Responsibilities	15-20
9.	APR Documentation	21
10.	Equality and Diversity	21
11.	Personal Performance Agreement (PPA)	22-23
12.	Personal Development Plan (PDP)	24-25
13.	Annual Performance Review Report (APRR)	25-27
14.	Assessment of Overall Performance	27-32
15.	Selection and Promotion	32
16.	Unsatisfactory Performance Procedure/Regulations	32-33
17.	Periods of Absence and Mitigating Circumstances	33
18.	The Professionalising Investigation Programme (PIP) Policy Directive 02/08	33
19.	Competency Related Threshold Payment Scheme (CRTP)	33-34
20.	Career Development	34
21.	Core Leadership Development Programme (CLDP)	34
22.	Service Procedure No 9/2004 – Service Confident Procedure	34
23.	Policy Directive No 11/2007 – Integrity and Professional Standards	34
24.	Cancellation	34
Appendices		
Appendix 'A'	Indicative Distribution of Performance Ratings	35
Appendix 'B'	Improving Performance – A Practical Guide to Police Performance Management – Home Office	36

2. POLICY STATEMENT

The Annual Performance Review (APR) is Police Service of Northern Ireland's (PSNI's) Performance Management and Development System for both police officers and police staff. The APR process strongly encourages the rigorous and robust appraisal of performance and will support the development of a high performance culture within PSNI.

3. INTRODUCTION

(1) Summary

- (a) Performance management can be defined as a process for linking individual objectives and development needs to the overall targets/goals of the organisation and measuring performance against these.
- (b) The development of this Policy Directive took account of the 'Hallmarks of an effective performance management framework' as outlined in Home Office, Police Performance Management Guide (Appendix 'B').
- (c) The overall aim of the PSNI Performance Management and Development System (APR) is to establish a high performance and quality culture in which individuals take responsibility for the continuous improvement of their performance and development within a framework provided by effective leadership, management and communication in relation to key priorities.
- (d) PSNI is committed to reviewing individual performance and development needs in a fair, consistent and structured way.
- (e) The development and introduction of an effective performance management process for police officers and police staff is a key element of PSNI's Human Resource Strategy.
- (f) By explicitly linking individual objectives with the achievement of Policing Plan objectives it will reinforce PSNI's integrated planning process and provide a robust mechanism for aligning individual and organisational performance. This should help to ensure that improved personal performances lead to improvements in the whole organisation. Doing what is needed and doing it in the right way benefits the individual, the organisation and in turn the service we provide to the public.
- (g) APR will also emphasise the requirement on each individual to demonstrate PSNI's core values as a key underpinning aspect of effective performance, which in turn are underpinned by the appropriate behavioural competencies from an individual's role profile.
- (h) APR strongly encourages the robust assessment of individual performance and the awarding of a performance rating based on verifiable evidence. The APR should encourage the best possible performance from individuals, whatever job they are doing.

(2) Legal Basis/Drivers for Change

- (a) 'Best Value Review of Patrol Policing 2005/6' outlines the need to reinforce the role of the police APR in identifying performance objectives and addressing development needs.
- (b) HMIC Thematic and Audit Reports have identified issues regarding the current APR System; the value placed on the process, inconsistencies in the approach to monitoring, evaluating and reviewing APRs, and the lack of integration with other areas of HR Policy.
- (c) NIPB Human Rights Report 2005.
- (d) Home Office Circular 14/2003, Performance and Development Reviews.

- (e) Feedback from police officers and police staff regarding the need to make the process meaningful by linking it to other policy areas.
- (f) The need to make the documentation more accessible and straightforward to complete while minimising the time spent administering the process.

(3) Aims

- (a) The purpose of the APR is to ensure that all individuals are working on objectives that are clearly linked to those of the Policing Plan and that relevant support is provided to ensure that individuals are equipped with the skills required to carry out their roles effectively.
- (b) The APR system provides a mechanism through which specific responsibilities (objectives) can be allocated at individual, team, and departmental or organisational level eg newly promoted sergeants will have 2 compulsory objectives in their PPA namely:
 - (i) To ensure successful completion the three National Occupational Standards (NOS) outlined in the Sergeants Development Portfolio (SDP) within the 12-month probationary period;
 - (ii) To successfully complete four Core Leadership Development Programme (CLDP) modules within the 12-month probationary period.

(4) Objectives

- (a) To encourage continuous improvement in performance across PSNI by aligning individual performance with the achievement of Policing Plan and District/Departmental objectives.
- (b) To provide a mechanism for communicating organisational performance standards and identifying how an individual's work contributes to achieving these standards.
- (c) To encourage and support the development of leadership and management skills.
- (d) To provide a robust mechanism for monitoring, reviewing and evaluating progress against the achievement of jointly agreed objectives that apply SMART principles.
- (e) To ensure that each individual has an opportunity to address their development needs in relation to the requirements of their role.
- (f) Ensure individuals have regular and constructive feedback on how effectively they are performing.
- (g) To provide a mechanism for identifying and dealing with instances of under-performance.
- (h) To help identify effective and exceptional performance and allocate performance bonuses (police staff).
- (i) To provide a system, which strongly supports the rigorous assessment of performance and the awarding of realistic performance awards (ratings) based on assessment of evidence.
- (j) Performance ratings for both police officers and police staff are identified on a 5-point rating scale (please see the Police Officer and/or Police Staff APR Service Procedure for information on awarding performance ratings).
- (k) Support promotions processes/staff movement.

(5) Distribution of Performance Ratings

- (a) Guidance on the 'normal' distribution of performance ratings is provided in this document - see Appendix 'A';
- (b) PSNI will monitor the distribution of performance ratings across Districts and Departments. Areas where individual performance ratings vary significantly from the normal distribution, or where there is a poor correlation between individual and Unit/Team/Section performance will be examined.

(6) Application

The APR will apply to:

- (a) Police officers from Constable, who have successfully completed their probationary period and have been signed out locally, up to Chief Inspector;
- (b) Superintending ranks having regard for Service Procedure No 3/2006 and Police Negotiating Board (PNB) Circular 06/02;
- (c) **Superintending Ranks** Service Procedure No 3/2006 outlines the process for determining performance pay for Superintending ranks. It also provides a description of the performance ratings to be used. Having regard to the above Service Procedure and PNB Circular 06/02, Superintending ranks may use the revised Police APR Forms, however **the performance award section (5) of the revised forms is not intended for use by Superintending ranks;**
- (d) Police staff up to Unified Grade 6 (and Equivalents).

4. IMPLICATIONS OF THE POLICY

(1) Financial Implications/Best Value/Continuous Improvement/Efficiency

The APR will encourage continuous improvement in performance at individual level and contribute to the economic, efficient and effective use of Human Resources (HR).

(2) Human Resources/Training

Training to support the introduction of the APR system will be made available using e-learning technology.

(3) Internal Policy Links

- (a) Promotion Regulations;
- (b) Unsatisfactory Performance and Attendance Regulations;
- (c) Policy Directive 09/04 - Service Confidence Procedure;
- (d) Policy Directive 06/07 - Probationer Management;
- (e) Policy Directive 08/07 - Management of Sickness Absence;
- (f) Policy Directive 11/07 - Integrity and Professional Standards;
- (g) Policy Directive 14/07 - Sergeants Promotion;
- (h) Competency Related Threshold Payment Scheme (CRTP);
- (i) Professionalising Investigation Programme (PIP);

- (j) Service Procedure No 3/2006, APR and Performance Related Pay (PRP) for Superintending Ranks;

(4) Risks

This Policy will address the following corporate risk, 'Failure to optimise the use of HR'.

(5) Bureaucracy

- (a) APR's will be made available electronically to police officers using Employee Self Service (ESS) from April 2008. This will serve to reduce the administrative workload associated with processing APR documentation.
- (b) From April 2008 the APR will be made available to police staff on PoliceNet as a downloadable electronic form. It is envisaged that police staff will be migrated to Employee Self Service in April 2009.

(6) Consultation

The following stakeholders have been consulted in the preparation of this Policy:

- (a) Director of HR;
- (b) Deputy Director of HR;
- (c) Chief Officers;
- (d) Heads of HR;
- (e) HR Managers;
- (f) Police Federation for Northern Ireland;
- (g) Superintendents' Association of Northern Ireland;
- (h) Northern Ireland Public Service Alliance (NIPSA);
- (i) Unite the Union;
- (j) District Commanders/Heads of Branches;
- (k) Police College of Northern Ireland;
- (l) Head of Equality and Diversity;
- (m) Head of People Development;
- (n) Information and Communications Service (ICS);
- (o) Legal Services.

5. HUMAN RIGHTS/EQUALITY/INTEGRITY/FREEDOM OF INFORMATION

- (1) This Policy is deemed to be Human Rights compliant. Compliance with the contents and principles of the Human Rights Act (1998) are a fundamental requirement of all officers and form an integral part of the APR.
- (2) This Policy has been screened for Section 75 considerations.
- (3) Code of Ethics - All officers, regardless of rank, must comply with the Code of Ethics. Officers should ensure that they remain familiar with the Code of Ethics and its application. Integrity and Professional Standards – Policy Directive 11/07 sets out how the PSNI will deal with breaches of this Code. This document meets integrity standards. All officers must be mindful of Article 1 ‘Professional Duty’ in relation to record keeping, Article 7 ‘Integrity’ and Article 10 ‘Duty of Supervisors’ when completing their APR.
- (4) This Policy is suitable for Public Disclosure in accordance with the Freedom of Information Act 2000.

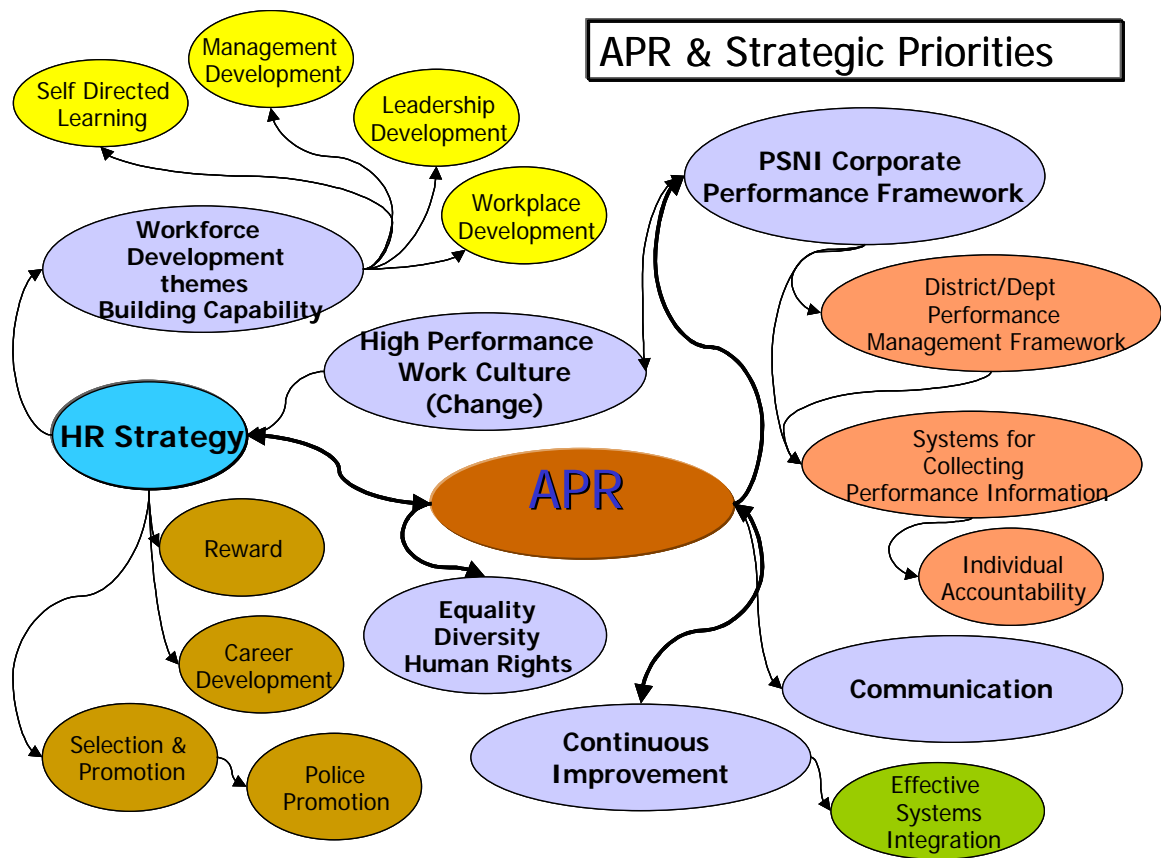
6. REVIEW

- (1) The Director of HR is responsible for implementing and monitoring the effectiveness of the APR Policy.
- (2) Reward and Recognition will review this Policy on an annual basis.
- (3) Feedback on the Police APR Policy should be forwarded to the Head of Reward and Recognition.

SECTION 7

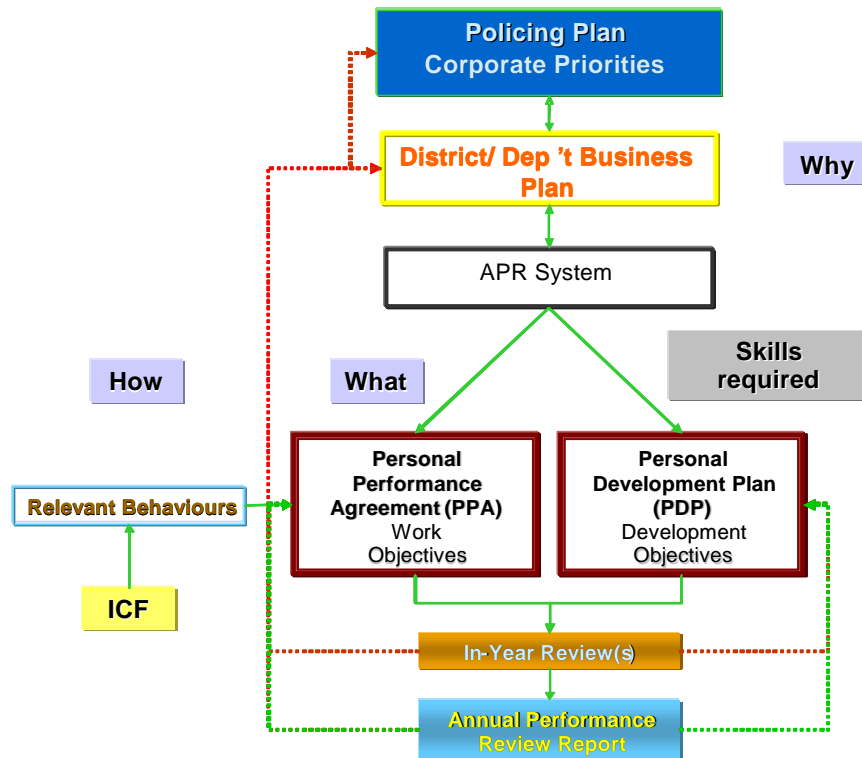
1. INTRODUCTION

- (1) Performance management and development system approach firmly anchors APR into supporting the overall strategic direction and priorities of PSNI. It also stresses the importance of how things are done as well as what things are done by ensuring that everyone has expectations defined and agreed in terms of role responsibilities, accountabilities, skills and behaviours.



- (2) The APR is a continuous process, which provides a framework that defines how we can advance towards improved individual performance, greater engagement and job satisfaction, skills development and ultimately more focused service delivery.

(3) APR Process



- (4) For both Service Procedures the documentation, whether this is the hard copy or electronic version, are tools for use in the management of individual performance, not the output or driver of the process. The process has been kept relatively simple to reflect the fact that regular conversation and contact between the line manager and police staff member is more important than copious notes/entries.
- (5) The onus of the in-year review is on the discussion rather than the completion of the documentation/computer entries. The conversation should recap on performance through the period – what has been achieved and what still needs to be done. The form/entries should contain a summary of these points at headline level.
- (6) At the annual review, the individual should be encouraged to think about the totality of their performance over the year. The conversation should be a confirmation of all previous messages relayed to the individual throughout the year and at the in-year review. **There should be no surprises.**

2. SMART OBJECTIVES

The APR states that objectives should be **SMART** Objectives:

- (1) **SPECIFIC** - Written in explicit terms, defining the output. There should be no doubt about what is to be achieved by the Jobholder;
- (2) **MEASURABLE** - Jobholders will need to know, not only what they will be accountable for, but also how achievement will be measured, and how achievement will be indicated. Objectives will obviously vary between Jobholders and, therefore a variety of types of measures will be necessary.

- (3) **ACHIEVABLE** - Objectives must be challenging and motivating rather than easy to achieve but they must also be reasonable. They should represent a degree of 'stretch' in terms of resources, personal challenge and authority;
- (4) **RELEVANT** - Ensure that the objectives are written to drive those actions and produce results, which are part of the strategic direction of the District/Department. These will be set out in the District/Departmental Business Plan;
- (5) **TIMEBOUND** - Objectives will have specific timescales and target dates. Key dates are important to ensure that activities are structured effectively and deadlines met.

Using SMART Principles

Question:

'What does a 'SMART' objective look like?'

TIP:

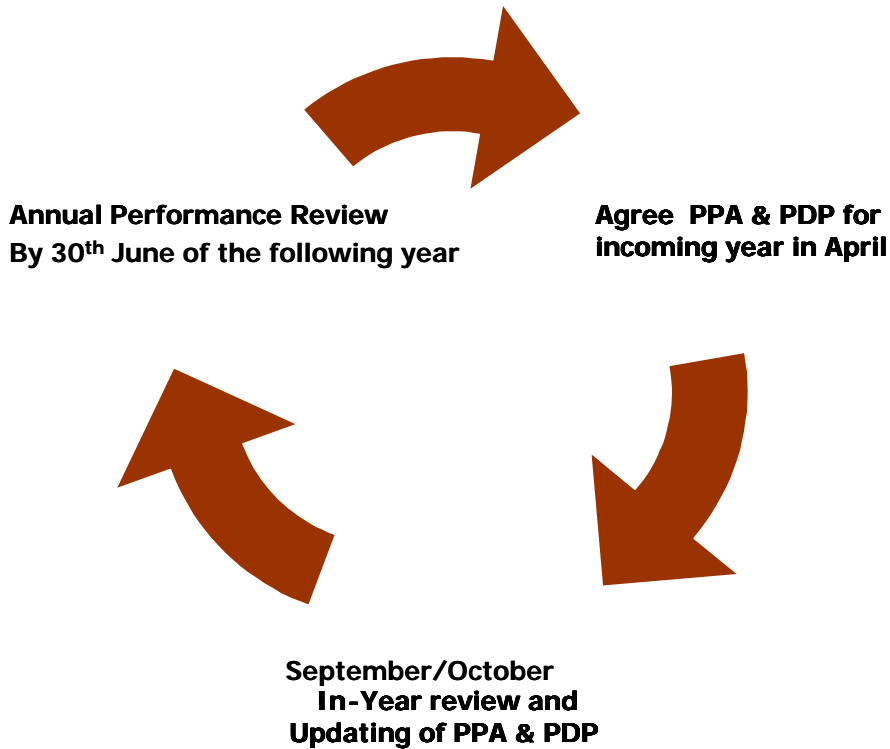
A suggested structure for a SMART objective is:

verb ... metric ... population/scope ... object ... from baseline value to target value ... timeframe.

e.g.: Increase the percentage of prosecution files completed within 1 month from 80% to 90% by June 2009

3. APR CYCLE

- (1) The APR cycle is the same for both police officers and police staff. APR is not a one-off event. It should be a continuous process throughout the year. The review cycle spans one year from 1st of April to 31st of March. All APRs will run throughout that period. At least one In-Year Review must take place during the reporting year. **This is an obligatory requirement of the revised APR process.**



- (2) Additional reviews can be held if they are considered beneficial, or if the Jobholder's performance is giving cause for concern. Reporting Officers and Jobholders should agree PPAs and PDPs by the 30th of April of the incoming year. APRRs should be completed by the Reporting Officer and Countersigning Officer and submitted to HR no later than the 30th of June each year.
- (3) The Jobholder and the Reporting Officer should meet regularly to discuss performance and identify development opportunities. At the beginning of the year (review period) it is important that the Jobholder has the opportunity to participate in identifying and agreeing their objectives for the incoming year.

4. APR TIMETABLE

The timetable is detailed below for both. The means of capturing the details is different. Police officers use an electronic version Employee Self Service (ESS) appraisal form and police staff use a downloadable form from PoliceNet.

Annual Performance Review:

Activity	Timescale
PPA.	Agreed by 30 April (within 1 month of reporting year).
PDP.	
Prepare for In-year Review.	
In-year Review .	To take place end of September/beginning of October. Additional reviews can be held as considered necessary.
Prepare for APR Discussion.	
APR Discussion.	To take place end of March/beginning of April - prior to completion of Performance Review Report.
APRR.	Completed by Reporting and Countersigning Officer.
Performance Review Report sent to local HR Department (police staff only).	
Personnel Branch carry out sample check on reports.	

5. EQUAL OPPORTUNITIES/EQUALITY AND DIVERSITY

- (1) PSNI is committed to equal opportunities for all staff. Reporting and Countersigning Officers must uphold this policy when completing the Performance Review Report.
- (2) Aims to ensure through good employment practice that employees are not discriminated against because of sex, race, colour, language, religion, political or other opinion, national or social origin, association with a national minority, disability, age, sexual orientation, property, birth or other status.
- (3) Diversity is recognising and respecting difference, whilst acknowledging that all social groups have not had similar experiences in society. Diversity respects differences within an equality framework.
- (4) A respect for diversity underpins the delivery of a quality police service to all sectors of our society, regardless of who they are, or what group in society they belong to.

Fairness is essential in any performance management framework. Reporting and Countersigning Officers should ensure that Jobholders have equality of opportunity to achieve their full potential. Reporting and Countersigning Officers must ensure there is no discrimination when agreeing objectives and assessing performance. It is important that assumptions about individuals based on stereotypes are avoided.

6. ROLES AND RESPONSIBILITIES

- (1) The Director of HR is responsible for implementing and monitoring the effectiveness of the PSNI Performance Management Framework.
- (2) The responsibility lies with the District Commander/Head of Department to ensure that the APR processes operate effectively in their area of responsibility. However all police officers and police staff who have a line management responsibility are equally responsible for ensuring that the APR is implemented and managed effectively.

Definitions:

Jobholder (JH): The individual who fulfils the role to which the APR process is being applied.

Reporting Officer (RO): The Jobholder's Line Manager responsible for agreeing the PPA and PDP with the Jobholder, reviewing progress, providing formal and informal feedback on performances throughout the year and providing an assessment of their performance at the end of the year.

Countersigning Officer (CSO): The Reporting Officer's Line Manager has responsibility for ensuring the consistent application of the APR process within their area of responsibility, providing a second opinion on the work programme details in the PPA, if necessary and ensuring that the standards of reporting have been consistently applied across their area of responsibility and finalising the APR. The CSO will also participate in the appeals process.

Please see the Police Officer or Police Staff APR Service Procedure for a further explanation of responsibilities.

- (3) **Compliance:**
 - (a) All police officers and staff must comply with the APR System. Jobholders, Reporting and Countersigning Officers are required to operate the APR System effectively within the timeframes outlined in this document and the appropriate Service Procedure.
 - (b) **Jobholders, Reporting and Countersigning Officers are personally responsible for ensuring that they comply with the responsibilities as outlined in this Policy Directive and appropriate Service Procedure. Failure to comply may be regarded as a failure under the competence of Personal Responsibility this may have an impact on the individual's overall performance award (rating) at the end of the reporting period.**

ANNUAL PERFORMANCE REVIEW – POLICE OFFICER

7. INTRODUCTION

- (1) The purpose of the Police APR is to ensure that all police officers are working on objectives that are clearly linked to those outlined in the Policing Plan and that relevant support is provided to ensure that police officers are equipped with the skills required to carry out their roles effectively.
- (2) The APR process provides a framework through which individual contribution to the achievement of District/Departmental objectives can be recognised. It is designed to assess performance against contribution to the achievement of District/Departmental Policing/Business Plan objectives, underpinned by the appropriate behavioural competencies.
- (3) From 1 April 2008, the APR (08/09) will be made available to police officers on line using the Employee Self Service/Manager Self Service (ESS/MSS) portal on the desktop.
- (4) Access to the online appraisal is gained through the **eServices** icon on the desktop. This is the same icon used to access the electronic Travel and Expenses forms. Further information is provided on PoliceNet.
- (5) Once logged into eServices, there is a short e-learning package to aid with the navigation through the APR screens and the inputting of APR information. **It is essential that everyone undertake this training prior to opening the APR screen.**

APR information on PoliceNet

- (6) All APR information can be accessed by logging on to PoliceNet homepage and clicking on the APR link, information is also available through the links from the eServices portal. This page also has links to the Integrated Competency Framework (ICF), the Code of Ethics and Human Rights competencies.
- (7) **Superintending Ranks** – Service Procedure No 3/2006 outlines the process for determining performance pay for Superintending ranks. It also provides a description of the performance ratings to be used. Having regard to the above Service Procedure and PNB Circular 06/02, Superintending ranks may use the revised Police APR Forms **available on PoliceNet**, however the performance award section (5) of the revised forms is not intended for use by Superintending ranks. **It is our intention to move the Superintending Ranks APR process to the electronic system in the future.**
- (8) **Please note that the ESS/MSS APR applies to police officers up to and including Chief Inspector rank. Probationary constables will enter the APR process when they have been signed-out of their probation locally by the District Commander.**
- (9) Further e-learning modules are available on the Police College's web page via Skillsoft (formerly NetG). The courses available are:
 - (a) In-Year Review;
 - (b) The End Year Review;
 - (c) Introduction to the APR;
 - (d) The ICF;
 - (e) SMART Objectives and the PPA;
 - (f) PDP.

8. ROLES AND RESPONSIBILITIES

(1) Definitions

(a) **Jobholder**

The police officer who fulfils the role to which the APR process is being applied.

(b) **Reporting Officer**

The Jobholder's Line Manager is responsible for agreeing the PPA and PDP with the job holder, reviewing progress, providing formal and informal feedback on performance throughout the year and providing an assessment of their performance at the end of the year.

(c) **Countersigning Officer**

The Reporting Officer's Line Manager has responsibility for ensuring the consistent application of the APR process within their area of responsibility, providing a second opinion on the work programme details in the PPA, if necessary and ensuring that the standards of reporting have been consistently applied across their area of responsibility. They will also finalising the APR by reviewing the APR documentation for the reporting period and 'Approving' it in the ESS/MSS system. The CSO will participate in the appeals process when required.

(2) The Part the Jobholder will Play

- (a) The Jobholder is required to play an active part in the APR process and work constructively with their Reporting Officer to deliver their performance objectives and to pursue and development needs identified.
- (b) At the beginning of the reporting period and following a discussion with the Reporting Officer, it is the Jobholder's responsibility to enter their Role Profile information and the agreed PPA and PDP objectives onto the electronic APR document and send to the Reporting Officer to be 'Accepted'.
- (c) The responsibility for pursuing any training or development needs identified lies with the Jobholder, it should be remembered that the Jobholder 'owns' the PDP and that the Jobholder is responsible for their own personal development.
- (d) These objectives should apply SMART principles (for a definition of SMART objectives please see the APR elearning modules or the Performance Management and Development System, Policy Directive).
- (e) Pursue performance and development objectives, update PPA and PDP throughout the reporting period.
- (f) Participate proactively in the In-year and APR discussion(s).
- (g) Reflect upon their performance during the reporting period; undertake a self-assessment of performance (using the Self Reflection Form) prior to the APR discussion with the Reporting Officer. The Self Reflection Form can be found in the list of attachments available from eservices portal. This form is used as an aid memoir to help the jobholder prepare for the APR discussion at the end of the reporting year.
- (h) It is the Jobholder's responsibility to gather and present evidence to indicate achievement of performance and development objectives.

- (i) After the APRR meeting, add any comments to the e-documents and submit the e-document.

(3) The Part Reporting Officers will play

- (a) Each Jobholder has a line manager (Reporting Officer). The Reporting Officer is responsible for agreeing the PPA and PDP with the Jobholder, reviewing progress, providing formal and informal feedback on performance throughout the year and providing an assessment of performance at the end of the year.
- (b) Responsibility lies with the Reporting Officer and the Jobholder to implement the agreed PDP. The responsibility for pursuing any training or development needs identified lies with the Jobholder, it should be remembered that the Jobholder 'owns' the PDP and that the Jobholder is responsible for their own personal development.
- (c) Comply with the APR policy, and the timeframe(s) outlined in this document.
- (d) Ensure that all objectives agreed with the Jobholder are based on SMART principles.
- (e) Encourage, support and empower the Jobholder in the achievement of their performance and development objectives. Develop an effective working relationship with the Jobholder, which builds trust and encourages open two-way communication regarding performance and development.
- (f) In relation to addressing 'development' objectives the local HR Manager or PDU Manager may assist/advise the Reporting Officer.
- (g) Ensure that at least one In-year review takes place.
- (h) Complete the APRR and the Assessment of Overall Performance e-documents.
- (i) Explain to the Jobholder the grounds upon which the APRR and the Assessment of Overall Performance were arrived at. Ensure that a realistic performance rating is awarded, based on evidence of performance. The rating will be subject to the appropriate evidence being presented and will be subject to a dip sample by local and/or central HR.
- (j) Agree corrective action plans where required to improve performance.
- (k) Deal immediately and effectively with any instance(s) of underperformance in their team or section.

(4) The Part Countersigning Officers will play

- (a) The Countersigning Officer (normally the rank up from the Reporting Officer) has responsibility for ensuring consistent application of APR within their area of responsibility, providing a second opinion on the work programme details in the PPA, if necessary and ensuring that the standards of reporting have been consistently applied across their area of responsibility. The Countersigning Officer will also participate in the Appeals process with the assistance of the local HR Manager.
- (b) Good practice suggests that the Countersigning Officer should convene a meeting of Reporting Officers (from within their area of responsibility) at the beginning of the reporting year, to discuss the District/Departmental Business Plan objectives and the performance required from each section/team to deliver these objectives.

- (c) They should also convene a meeting of the Reporting Officers prior to the completion of the APRR to discuss the standards and distribution of performance ratings so as to ensure consistency in reporting. This is to ensure that realistic performance ratings are awarded based on evidence of performance. The performance rating will be subject to the appropriate evidence being presented and will be subject to a dip sample by both local and central HR.
- (d) It is the responsibility of the Countersigning Officer to ensure that Reporting Officers are operating the APR system effectively for the Jobholders they report on.
- (e) The Countersigning Officer, once notified, should confirm acceptance of the APRR via the MSS on the e-portal.

(5) The part the local HR Unit will play

- (a) Prompt the District/Department to ensure that each stage of the APR process is completed within the specified timeframes.
- (b) Provide advice and guidance to the Jobholder, Reporting and Countersigning Officer on the APR process.
- (c) Assist the Jobholder and/or the Reporting Officer co-ordinate actions relating to development plans.
- (d) Assist the Reporting Officers to identify local development opportunities such as mentoring, coaching, etc.
- (e) Liaise with PCNI if a development plan objective cannot be met locally.
- (f) Where necessary, assist the Jobholder or Reporting Officer to identify external development opportunities to meet an identified development need.
- (g) Ensure that Exit APRs take place prior to transfer or exit from the Service. Update SAP HR System on the new management structure.
- (h) Update SAP HR System on the any changes to the reporting or countersigning management structure for any police officer.
- (i) Monitor a sample of APR e-documentation (locally) during the reporting period to ensure timely completion and that reporting standards are being adhered to.
- (j) Bring to the attention of the Reporting and Countersigning Officers any inaccuracies/inconsistencies found in relation to the application of the APR.
- (k) Ensure that the SAP (HR System) system is updated with the relevant information from the APR process.
- (l) Provide statistical reports to District/Departmental Commanders/Senior Managers, Central HR on the local APR, eg APR's completed/outstanding, performance awards (ratings) etc.
- (m) Assist/advise the Reporting/Countersigning Officer with the appeals process.
- (n) Advise the Reporting Officer on the setting of Corrective Action Plans, where a Jobholder has been awarded a performance award of 'Weaknesses In Performance'.

(6) The part that Central Personnel will play

- (a) Send out an organisational wide email to remind everyone of the APR timetable at various points throughout the year.

- (b) Provide advice and guidance to HR Managers regarding the APR process.
- (c) Prepare service wide statistical reports regarding the APR process, completion rates, and performance awards.
- (d) Review and evaluate the effectiveness of the APR process.
- (e) Monitor a sample of APR e-documentation (centrally) during the reporting period to ensure timely completion and that reporting standards are being adhered to.
- (f) Following review, feedback and consultation, make further revisions to the process to ensure that it continues to meet the needs of officers and the organisation.

(7) Compliance

- (a) All police officers must comply with the APR System. Jobholders, Reporting and Countersigning Officers are required to operate the APR System effectively within the timeframes outlined in this document.
- (b) **Jobholders, Reporting and Countersigning Officers are personally responsible for ensuring that they comply with the responsibilities as outlined in this Policy Directive. Failure to comply may be regarded as a failure under the competence of Personal Responsibility this may have an impact on the police officer's overall performance award (rating) at the end of the reporting period.**

(8) APR Timetable

Timeline	Step	Activity	Purpose
March/April	1	Jobholder and Reporting Officer prepare for APR discussion	To aid discussion on and agreement of performance and development objectives
By the 30 th of April	2	<p>Jobholder and Reporting Officer prepare draft objectives for the incoming reporting year. These are then discussed and agreed.</p> <p>Jobholder and Reporting Officer identify and agree training and/or development needs.</p> <p>Agree PPA and PDP.</p> <p>Jobholder to submit the agreed objectives onto the e-documentation and submit for approval</p>	<p>To help the Reporting Officer and Jobholder clarify how the Jobholder’s role contributes to the achievement of the District/Departmental Business Plan.</p> <p>The behavioural competencies from the police officers role profile should be identified by indicating A, B or C from the drop-down box.</p> <p>Agree Evidence of Achievement, the evidence, which the Jobholder and the Reporting Officer agree will indicate that the performance ‘work’ objectives have been achieved.</p> <p>Jobholder and Reporting Officer agree a PDP, outlining how the training or development need will be addressed. A maximum of 4 development objectives should be agreed.</p>

September/ October	3	Jobholder and Reporting Officer meet for In-year review	Jobholder and Reporting Officer review progress against objectives set in the PPA and the PDP. Objectives are updated, revised or removed as required. The Jobholder and Reporting Officer note changes.
1 st April – 30 th June	4	APR Discussion preparation (year end) Jobholder Reporting Officer	Jobholder reflects on their performance and development for the outgoing year and prepares evidence to indicate achievement of objectives. Considers the Jobholders performance throughout the reporting period.
	5	APR discussion takes place	To complete the APRR and the Assessment of Overall Performance for the outgoing year.
	6	APRR and Assessment of Overall Performance forms submitted to Countersigning Officer	To review APRR report and Assessment of overall Performance via e-portal To ensure consistent standards of reporting. To countersign the APRR and the Assessment of Overall Performance for the outgoing year via e-portal.

9. APR DOCUMENTATION

Role Details Section

(1) **Does the Jobholder have Staff Management Responsibilities?**

If 'Yes' an objective related to the effective management of staff should be included in the Jobholder's PPA. If the Jobholder needs to develop skills in this area, a staff management related development objective should be included in their PDP.

(2) **Role Profile and the Integrated Competency Framework**

A competency framework is a model or template outlining the behaviours and attributes relating to any role. It is designed to underpin all HR functions including recruitment, selection, training and development, promotion, succession planning and appraisal. It provides a common language for describing effectiveness in an organisation and increases objectivity in assessment of performance.

(3) Each police officer should have access to a copy of the relevant role profile, either PSNI or ICF. PSNI role profiles are currently being amended and updated, if a PSNI role profile is not available for the Jobholder's role, please refer to the 'best fit' profile in the ICF. The HR Manager should be consulted if there are any difficulties identifying or accessing a role profile.

(4) The role profile section of the ESS/MSS APR should be used to clearly identify which role profile is being used and any comments on the responsibilities of the role. Where a generic ICF role profile is used, any differences between the activities in the ICF profile and the Jobholder's current role should be listed.

Please Note:

The aim of this section is to provide the Jobholder and the Reporting Officer with an opportunity to identify any activities or responsibilities that the Jobholder currently has which are not captured in the 'generic' role profile. This **WILL NOT** change the Jobholder's role profile.

10. EQUALITY AND DIVERSITY

(1) Aims to ensure through good employment practice that employees are not discriminated against because of sex, race, colour, language, religion, political or other opinion, national or social origin, association with a national minority, disability, age, sexual orientation, property, birth or other status. Article 6 of the Code of Ethics for PSNI refers.

(2) Diversity is recognising and respecting difference, whilst acknowledging that all social groups have not had similar experiences in society. Diversity respects differences within an equality framework.

(3) A respect for diversity underpins the delivery of a quality Police Service to all sectors of our society, regardless of who they are, or what group in society they belong to.

(4) Fairness is essential in any performance management framework. Reporting and Countersigning Officers should ensure that Jobholders have equality of opportunity to achieve their full potential. Reporting and Countersigning Officers must ensure there is no discrimination when agreeing objectives and assessing performance. It is important that assumptions about individuals based on stereotypes are avoided.

11. PERSONAL PERFORMANCE AGREEMENT (PPA)

The PPA is used to record the Jobholder's work objectives against which performance will be assessed at the end of the reporting year. The PPA is used to establish a link between organisational, District/Departmental and individual objectives.

(1) Format of the PPA

(a) Objectives

District/Departmental:

The District/Departmental objectives, which the Jobholder is expected to help achieve, should be listed. Any objectives should be SMART objectives. (See PD for explanation.)

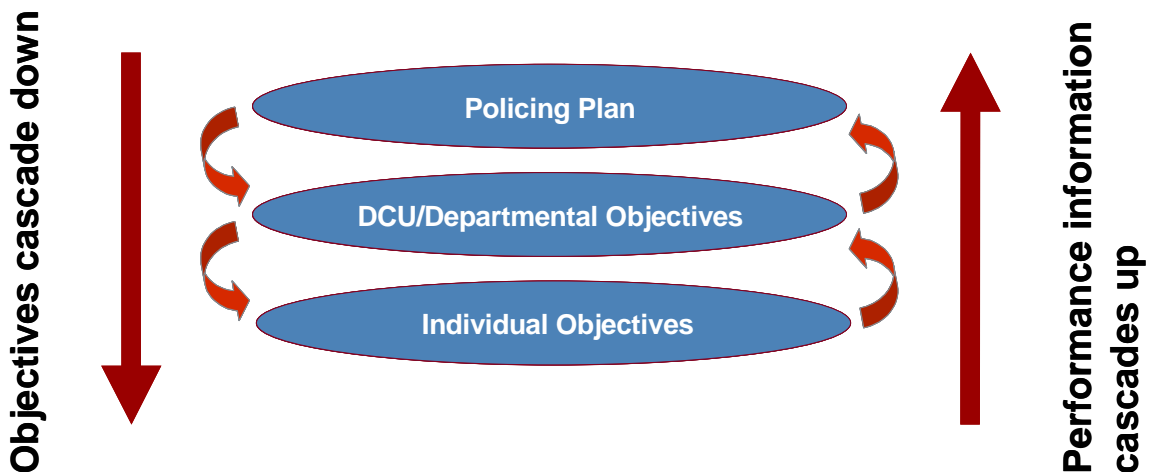
(b) Individual

Individual performance objectives, a minimum of 4 and a maximum of 6 objectives should be agreed between the Jobholder and the Reporting Officer. These objectives should be clearly linked to District/Departmental priorities and identify the Jobholder's work programme for the incoming year. They should also reflect the Jobholder's ongoing core responsibilities.

(c) Professionalising Investigation Programme (PIP)

From April 2008 in-role officers will be required to evidence PIP Level 1 and Level 2 activities through their APR. This is required to maintain PIP L1 and L2 Registration. Police officers will have a specific performance objective relating to PIP included in their APR PPA and will be required to complete separate PIP Evidence Sheets, which they will attach to their electronic APR, once completed. The PIP objective for inclusion in the APR and the Evidence Sheets will be made available as attachments from the eServices portal. Please see Policy Directive No 02/08 - The Professionalising Investigation Programme (PIP).

(d) Linking Organisational and Individual Objectives



(2) **Evidence of Achievement**

- (a) The Jobholder and Reporting Officer should identify the evidence, which will indicate that the performance 'work' objectives have been achieved. Evidence of achievement should focus on the *standards* the Jobholder will be expected to achieve in terms of quality of work, quantity and time.
- (b) Evidence supporting the Jobholder's achievement of their personal performance objectives will be used to assess overall performance at the end of the reporting year. **It is the Jobholder responsibility to collect this evidence during the reporting period.**

Please Note:

Achievement of the personal performance 'work' objectives (what you do) on its own is not enough; performance must be underpinned by the appropriate behaviours (how you do it). Failure by the police officer to demonstrate the relevant behaviours will result in a police officer receiving a lower performance award (rating).

- (c) **The intention of the APR ESS/MSS is to reduce bureaucracy; and reporting should be by exception. Therefore Jobholders and Reporting Officers are not expected to input actual evidence onto the APR e-documentation. The evidence should be referred to by eg file/case reference etc. Enough information should be provided to the Reporting Officer so that if they wish to check the evidence they can find it easily.**

(3) **Behavioural Competencies:**

The relevant behavioural competencies from the police officers' role profile should be identified, by selecting either **A**, **B** or **C** from the drop-down box.

(a) **Mandatory Competencies:**

Respect for Race and Diversity must underpin every objective set for police officers and therefore is automatically selected at level A. Information of the additional Human Rights components of each behavioural indicator can be found by clicking the 'Info' button to the right of the behavioural level box.

Important:

It should be noted that if the Jobholder demonstrates ANY of the negative indicators related to the behavioural competencies in their role profile this may impact on the Assessment of Overall Performance (Performance Award/Rating) awarded at the end of the reporting period and should be noted by the Reporting Officer in the APRR.

(4) **Disagreement on the setting of the PPA objectives at the beginning of the reporting period**

If the Jobholder and the Reporting Jobholder cannot reach agreement on the PPA objectives at the start of the reporting period, they should seek the assistance of the Countersigning Officer whose decision will be final.

12. PERSONAL DEVELOPMENT PLAN (PDP)

(1) The PDP should be completed once the PPA has been agreed. The PDP should focus on development in the current role. The PDP is used to record the actions the Jobholder will take to address any gaps in their knowledge, skills or capabilities. 'Development' objectives recorded in the PDP should be linked to the achievement of the personal performance 'work' objectives recorded in the PPA, so that the Jobholder develops the capabilities they require to deliver the 'work' objectives. The best method of addressing any development gaps should also be identified and incorporated into the PDP. A maximum of 4 development objectives should be agreed for the Jobholder.

(2) Staff Management

If the Jobholder manages staff and needs to develop skills in this area, a staff management related development objective eg effective communications should be included in their PDP.

(3) Development Needs

(a) Development needs will be discussed/identified during the objective setting process. Generally areas for development will be discussed and agreed to enable the Jobholder to deliver on the agreed 'work' objective. There should be a clear distinction between 'needs to have' in terms of development and 'nice to have.'

(b) 'Needs to have' could be defined in terms of what is necessary to enable the Jobholder to deliver on their performance 'work' objectives. 'Nice to have's' could be thought of in terms of enabling the individual to achieve personal ambitions in terms of learning and development and career path. With finite resources it follows that 'needs to have' must be targeted in the first instance.

(c) (i) **It is the responsibility of the Reporting Officer to manage the expectations of the Jobholder in relation to development opportunities. They must ensure that the PDP does not become a wish list of training courses, which the Jobholder would 'like' to do. Formal training courses must not be viewed as the only means of addressing development needs. Opportunities to develop skills through, mentoring, coaching, elearning, distance learning eg Core Leadership Development Programme, or work shadowing of a more experienced colleague should also be considered.**

(ii) **The opportunity to pursue a personal development opportunity must take into account operational need in the first instance. Both Jobholder and Reporting Officer must seek to minimise the potential operational impact of any development opportunity identified. The identifying of a personal development objective in the PDP DOES NOT GUARANTEE that the police officer will have this objective met within the reporting period.**

(d) The PPA and PDP are live documents and any changes to either should be recorded throughout the year. By the end of the year an accurate summary of the year's work and development activities will have been recorded.

(4) Change of Reporting Officer In-year

(a) Where there is a change of Reporting Officer during the reporting period the 'new' Reporting Officer should meet with the Jobholders in their 'new' section/team to familiarise themselves with the objectives set for each Jobholder. This meeting can take place at any time during the reporting year. If necessary the Reporting Officer can use this meeting to agree new performance or development objectives with the Jobholder. Any changes should be noted in the PPA and PDP.

- (b) The ESS system will store the e-documents for the individual and the Reporting Officer. It is the Jobholder's responsibility to agree any changes in the course of the year with the Reporting Officer.

(5) Jobholder changes In-year

If the Jobholder changes job during the reporting year a new PPA, and PDP should be drawn-up within 1-month of the change.

(6) In-Year Review

- (a) At least one In-Year Review must take place during the reporting period (September/October). This is an obligatory requirement of the revised APR process. Additional reviews can be held if they are considered beneficial, or if the Jobholders performance is giving cause for concern.
- (b) Evidence gathered by the Jobholder to indicate progress-to-date on the achievement of Performance and Development objectives will be examined. Each objective will be marked either '**On-Target**' '**Changed**' or '**Not-on-Target**', For those objectives which are 'Not-on-Target' the Jobholder and Reporting Officer should identify what action(s) will be taken by the Jobholder to 'get back on track' and ensure that the objective is achieved by the end of the reporting period. The Reporting Officer should also consider if there are any circumstances, which are beyond the Jobholders' control contributing to the non-achievement. For those objectives which have 'Changed' or are no longer relevant this should be noted in the drop-down box provided. Following a review, the PPA and/or PDP should be updated.
- (c) The In-Year Review helps the Jobholder and Reporting Officer to:
 - (i) Monitor progress towards the achievement of objectives;
 - (ii) Reset priorities if necessary;
 - (iii) Alter or replace objectives which may no longer have to be achieved or which cannot be achieved; and identify any additional needs for training and/or development.
- (d) An In-Year Review should not be allowed to become a lengthy, drawn out interview. It is simply a planned opportunity for both the Jobholder and the Reporting Officer to discuss and give open and frank views and objectively assess progress and performance to date. It is important that such meetings allow for a two-way discussion to take place between the Jobholder and the Reporting Officer. It is important to discuss progress pressures and challenges being faced. Reviews should be useful to both the Reporting Officer and the Jobholder in managing their work. It is an opportunity also to enhance the trust relationship.
- (e) Regular reviews are particularly important for those whose performance is not meeting requirements. If performance begins to fall short of requirements at any point in the year, Reporting Officers must take action immediately, and bring this to the attention of the Jobholder.

13. ANNUAL PERFORMANCE REVIEW REPORT (APRR)

(1) APR Discussion

- (a) Reporting Officers have a responsibility to ensure they discuss performance with Jobholders and that annual reviews take place, but Jobholders should formally request a review if this is not happening. The Reporting Officer can instigate a formal review at any time during the reporting year if a Jobholders performance is giving cause for concern.

- (b) It is the Jobholder's responsibility to present the evidence to indicate that they have achieved their objectives.
- (c) The comments made by the Reporting Officer should be specific; evidence based and indicates whether each objective set for the Jobholder was, **Exceeded, Achieved or Not Achieved**. Examples should be used to back up comments made; this will make the process meaningful and objective.

(2) **Self Reflection Form**

The Self Reflection Form is used by the Jobholder to prepare for the APR discussion. The Jobholder should reflect on their performance and development during the reporting year, any gaps in performance and how these might be addressed during the forthcoming year. The Self Reflection Form should form part of the APR discussion with the Reporting Officer. **The Self Reflection Form is available to download from the ESS/MSS portal.**

(3) **What the Jobholder should do to prepare for the APR discussion**

The Jobholder should prepare for the APR discussion by reflecting on their performance throughout the reporting period and making notes in the Self Reflection Form on the following:

(4) **Personal Performance Agreement**

Which performance 'work' objectives were achieved and what evidence will be used to support this; was the achievement of the objectives underpinned by the appropriate behaviours? Were there any weaknesses in performance that lead to objectives not being achieved? What were the reason(s) for this and how might this be addressed.

(5) **Personal Development Plan**

Which personal development objectives were achieved and how this development contributed to the achievement of the performance objectives. Are there any development needs, which need to be discussed with the Reporting Officer for the forthcoming year?

(6) **What the Reporting Officer should do to prepare for the APR discussion**

- (a) As part of the assessment of an individual's OVERALL PERFORMANCE over the last 12 months, the Reporting Officer should consider the following factors:

Has the Jobholder achieved their objectives, to the standards required?

- (i) Have they presented sufficient evidence to indicate achievement of objectives?
- (ii) To what extent has the Jobholder considered and respected Human Rights in all work they complete and actions taken?
- (iii) Have they considered and adhered to the Code of Ethics in all work they completed and actions taken?
- (iv) Have they demonstrated the relevant behaviours and activities related to their role/rank profile?

- (b) In arriving at the overall assessment award the Jobholder should not be penalised for work factors outside their control that may have hindered their performance.

(7) **Personal Performance Agreement**

The Jobholder's performance related to their Personal Performance Objectives, the achievement/non achievement of performance objectives. The Reporting officer should identify which objectives they believe have been **Exceeded, Achieved or Not Achieved**.

(8) **Personal Development Plan**

Consider the Jobholder's performance related to their Personal Development Objectives. The Reporting Officer should comment on the Jobholders achievement/non achievement of development objectives.

(9) **APRR - Evidence of Achievement**

- (a) What evidence will be used to indicate that the Personal Performance 'work' or Development objectives have been achieved? Remember reporting should be by exception. Therefore Jobholders and Reporting Officers are not expected to fully transcribe all evidence onto the APR e-documentation.
- (b) Each performance objective must be indicated as having been '**Achieved**', '**Not Achieved**' or '**Exceeded**', by selecting from the drop-down box.

(10) **Awarding a Performance Rating**

- (a) Where the Jobholder is being awarded a performance award (rating) of, 'Outstanding Performance', 'Exceeds Expectations', and 'Weaknesses in Performance' or 'Unacceptable' (following corrective action), comments made by the Reporting Officer in the APRR should refer specifically to the evidence in support of the performance award.
- (b) Where the Jobholder is being awarded a Performance award of 'Acceptable Performance' comments made by the Reporting Officer should refer in reasonable detail to the evidence in support of the performance award.

(11) **Assessment of Overall Performance**

- (a) Once the evidence has been considered, the Reporting Officer should consider which performance award is appropriate for the Jobholder (**see Appendix 'A' for an indicative distribution of performance ratings**).
- (b) Having completed the APRR discussion, the APRR Report and the Assessment of Overall Performance should be written up by the Reporting Officer, agreed with the Jobholder (in the event of a disagreement see section 10 of this document) and submitted to the Countersigning Officer.

14. ASSESSMENT OF OVERALL PERFORMANCE

(1) **Criteria**

The assessment of overall performance (the awarding of a performance award) must consider the behavioural competencies relevant to the Jobholder's role. Only those behavioural (and associated Human Rights) competencies identified in the Jobholders Role Profile should be considered when awarding a performance award. Realistic performance ratings are awarded based on evidence of performance. The performance rating will be subject to the appropriate evidence being presented and will be subject to a dip sample by HR.

(2) **Award Guidance- Performance Ratings**

Outstanding Performance

ALL objectives set in the PPA are Exceeded.

The police officer has consistently demonstrated exceptional performance and has demonstrated the behavioural, human rights competencies relevant to the role, when carrying out their duty.

Exceeds Expectations

The majority of objectives set in the PPA are Exceeded; the remainder are Achieved.

The police officer has consistently demonstrated very good performance and has demonstrated the behavioural, human rights competencies, relevant to the role, when carrying out their duties.

Acceptable Performance

All of the objectives set in the PPA are Achieved.

The police officer meets the requirements of the role and has demonstrated the behavioural, human rights competencies relevant to the role, when carrying out their duties.

Weaknesses in Performance

A number of the objectives set in the PPA are Not Achieved.

Corrective action is required to avoid further deterioration in performance. This is a transitional award, and should not be used in 2 consecutive APRRs. Corrective action must be taken to ensure that the Jobholder achieves an award of 'Acceptable Performance' in their next assessment. The cause(s) of the weaknesses should be discussed with the Jobholder and a corrective action plan put in place to address identified weaknesses. Consideration should be given to how long the police officer has been in post. If corrective action fails to improve performance, the Jobholder should be awarded a performance award of Unacceptable.

Unacceptable

Corrective Action has failed, all or the majority of Corrective Action objectives are Not Achieved.

The police officers performance has deteriorated further. The police officer has failed to deliver the objectives set out in the Corrective Action Plan or has failed to demonstrate the behavioural, human rights competencies relevant to the role. Further action should be managed under the Unsatisfactory Performance Procedure/Regulations.

Disagreement on the content of an APRR/Assessment of Overall Performance

Please see Appeals Procedure of this document.

(3) **Changes to Role/Rank During Reporting Period; Selection, Promotion and Transfers**

- (a) Where a police officer changes role during the reporting year they must complete an APRR and Assessment of Overall Performance (performance award). The Reporting Officer must conduct the exit APRR before the date set for transfer and submit the e-documentation. This does not apply to temporary transfers of less than 6 months. If a police officer is subject to an exit APRR 2 months or less before the APRR date they should be exempt from the APRR (in their new role). Likewise if a police officer is transferred less than 2 months after the APRR has been completed they do not have to complete an exit APRR. However in both cases they must meet with their new Reporting Officer and agree a PPA and PDP for the incoming year.

- (b) The APR covers a 12 month cycle from April to March. If a police officer transfers mid year - eg 7 months into the reporting year , the overall assessment for the year must reflect the assessment rating for these 7 months, providing this is backed up by appropriate evidence. An exit discussion and assessment must have taken place by the line manager covering the period in question and the system updated accordingly. In the new role, if an individual's performance is causing concern, and not down to 'learning the role', the new Reporting Officer (at the APRR review stage) should discuss the matter with the individual and agree a corrective action plan and review timetable for the incoming year. The new Reporting Officer should raise their concerns with the previous Reporting Officer and agree what they believe is the appropriate overall assessment rating. This should be agreed prior to sending to the Countersigning Officer for approval.
- (c) For a Probationer Constable signed out of their probation period, an APR should be started and completed for the remaining part of the APR cycle. The only exception to this would be if the police officer is signed out within 2 months of the end of the APR cycle.

Police officer signed out 31 July. An APR is started from 1st August through to 31 March. For a police officer signed out 10th February, an APR would not be started until 1st April. This however does not mean the individual does not have work objectives to achieve during this 2 month period, just not captured on the documentation.

(4) Exiting the Service

- (a) Where a police officer is retiring or leaving the service for any reason an exit APRR and should be conducted before the date set for exit, so that the Reporting Officer is up to date on the Jobholders work programme and what was achieved prior to the Jobholder leaving. The completed e-documentation must be submitted and accepted prior to the exit.
- (b) In all of the above cases the Reporting Officer is responsible for ensuring that an exit APRR takes place.

(5) Appeals Procedure

(a) Disagreement over the contents of an APRR

- (i) **Introduction** - This procedure deals with disagreements over the contents of an APRR or Assessment of Overall Performance (performance rating).
- (ii) **Purpose** - The APR is designed to ensure, that as far as possible, that APRRs are completed in a fair and objective manner. Thus a second line manager, who has along with the HR Department, has responsibility for monitoring reporting standards, countersigns the report. Greater openness allows for frank and constructive discussion between the Jobholder and the Reporting Officer(s).
- (iii) Although the system is designed to be objective, staff appraisal is not an exact science and there may be occasions when the Jobholder will not be satisfied with all or part of the contents of the Annual Report. This procedure sets out the steps to be followed in such cases.

(b) The APRR Discussion

- (i) The APRR should normally be with the Reporting Officer but in certain circumstances the Jobholder may ask to have the interview conducted by the Countersigning Officer. The Countersigning Officer in consultation with the HR Manager will decide if this is appropriate. If this occurs the Countersigning Officer's line manager will countersign the APRR.
- (ii) An appeal may only be made or considered after the Jobholder has had an ARRR, at which any areas of contention should have been raised and discussed with a view to resolving the dissatisfaction. If specific areas of contention are raised by the Jobholder at the APRR and remain unresolved, the Reporting Officer should prepare a written, agreed record of the interview which should be copied to the Jobholder within 10 working days.

(c) What the Jobholder should do

- (i) The inclusion of an in-year review as part of the appraisal process provides more opportunity for open communication between the Jobholder and the Reporting Officer. This should assist in ensuring that there is no disagreement at the end of the year on the content of the APRR or the Assessment of Overall Performance (performance award). There may, however, be occasions when agreement cannot be reached.
- (ii) In normal circumstances, if the Jobholder wishes to pursue an area/areas of dissatisfaction they must within 10 working days of receipt of the agreed written record of the APRR (electronic), apply in writing for an appeal interview with the Countersigning Officer, The appeal letter should specify:
 - (aa) which mark and/or comments in the report are disputed;
 - (bb) the grounds for disagreement; and
 - (cc) the marks and/or comments which the Jobholder regards are appropriate and the reasons.
- (iii) At the interview, which should take place within 10 working days of the request being received, it should be made clear to the Jobholder how assessments were arrived at and they should give reasons for disagreeing with the assessments.
- (iv) Police officers have the right to be accompanied by a serving police officer or Police Federation of Northern Ireland (PFNI) representative, known as a 'friend' at the Appeals interview,
- (v) The 'friend' may:
 - (aa) advise and assist the police officer concerned;
 - (bb) speak on the police officer's behalf;
 - (cc) produce documentation to assist the case.
- (vi) A written, agreed record of this interview should also be prepared by the Countersigning Officer and copied to the Jobholder within 10 working days. The Countersigning Officer will wish to be quite clear about the grounds for the dispute and in exploring these should consider the following:
 - (aa) Standards - was performance assessed fairly, with account taken of factors outside the Jobholder's control?

- (bb) Evidence - was evidence ignored, overlooked, distorted or misinterpreted?
 - (cc) Procedure - Were important stages of the appraisal process omitted or not carried out properly?
 - (dd) Other - is there some other reason for the disagreement?
- (vii) If the Countersigning Officer feels that, prima facie, the Jobholder's concerns have some grounds, the Reporting Officer should be invited in writing to reconsider, comment in writing and, if necessary, amend the report. The Countersigning Officer, however, retains the overriding right to amend the report if they consider it appropriate to do so. If they do so the reasons should be recorded and the Jobholder advised within 10 working days of the decision.
- (viii) In normal circumstances, if the Jobholder wishes to pursue an area/areas of dissatisfaction they must within 10 working days of receipt of report from the Countersigning Officer they can apply in writing for an appeal interview with the next line manager. The appeal letter should specify:
- (aa) which mark and/or comments in the report are disputed;
 - (bb) the grounds for disagreement; and
 - (cc) the marks and/or comments which the Jobholder regards are appropriate and the reasons.
 - (dd) new information, which was not available at the appeal to Countersigning Officer.
- (ix) At the interview, which should take place within 20 working days of the request being received, it should be made clear to the Jobholder how assessments were arrived at and they should give reasons for disagreeing with the assessments.
- (x) A written, agreed record of this interview should also be prepared by the next line manager and copied to the Jobholder within 10 working days. The next line manager will wish to be quite clear about the grounds for the dispute and in exploring these should consider the following:
- (aa) standards - was performance assessed fairly, with account taken of factors outside the Jobholder's control?
 - (bb) evidence - was evidence ignored, overlooked, distorted or misinterpreted?
 - (cc) procedure - Were important stages of the appraisal process omitted or not carried out properly?
 - (dd) other – is there some other reason for the disagreement?
- (d) **The Role of Head of HR**
- (i) The local Head of HR will not intervene where the Jobholder's dissatisfaction relates simply to a disagreement about the line management's assessment of their performance, in terms of either individual or overall marking or related comments. However where it is deemed necessary, based on the evidence received, the local Head of HR may consider intervention.
 - (ii) Examples of areas of disagreement may include, for instance, factual inaccuracies or comments, which are considered inappropriate and should not have formed part of the assessment, such as comments relating to:

- (aa) domestic, health, family or personal circumstances;
- (bb) performance outside the period of the report; or assessment of aspects of performance not appropriate to the duties or responsibilities of the Jobholder.
- (iii) In any discussions with the Head of HR police officers have the right to be accompanied by a serving police officer or a 'friend' (see page 30).
- (iv) It should be recognised by all parties concerned that the reason for disagreement over the content of an annual report should remain constant throughout this procedure and should not be changed solely with a view to seeking more favourable outcomes.
- (v) If after all the above steps have been exhausted and the report is unchanged or if the Jobholder remains dissatisfied with the any changes, the Jobholder will be entitled to submit a short statement setting out the reasons for disagreeing with the report. This statement will be attached to it and will remain an integral part of it, and will be used for any purpose for which Annual Report documentation is necessary.

(e) **Amended Reports**

If at any stage the APR is amended a full copy of the revised Performance Review Report will be given to the Jobholder, and the amendments noted/attached on the electronic version of the APR.

15. SELECTION AND PROMOTION

- (1) HR will issue specific guidelines in relation to future selection and promotion competitions. However, police officers should be aware that it is the intention that the APR will be considered as part of the application process for promotion. Where a police officer cannot present a completed APR for their most recent review period, or present mitigating evidence for non-completion, they may be excluded from the selection process.
- (2) Where a police officer has been assessed as having 'Weaknesses in Performance', they may be excluded from selection competitions unless as a result of corrective action, the police officer can prove that the situation has been rectified.

16. UNSATISFACTORY PERFORMANCE PROCEDURE/REGULATIONS

- (1) The Unsatisfactory Performance Procedure/Regulations provides a fair and open method of dealing with performance issues. They are designed to deal with patterns of poor work performance which do not fall within the bounds of the formal misconduct procedures.
- (2) Unsatisfactory performance procedures/regulations are designed to deal with **consistently** poor performance. The emphasis is on identifying and addressing the causes of the police officer's poor performance rather than administering punishment. However sanctions will be part of the process when circumstances require this.
- (3) Under the APR process a police officer being awarded a performance award of 'Weaknesses in Performance' will be given an opportunity to improve their performance (through the setting of a corrective action plan).
- (4) It must be emphasised that the Reporting Officer should not allow unsatisfactory performance to remain unchecked for 12 months, whilst awaiting the APR date. The onus is on the Reporting Officer to make the Jobholder aware at any time during the reporting period that their performance is below that which is acceptable for the role.

- (5) At the end of the reporting period where a Jobholder has been awarded a performance award of 'Weaknesses in Performance', the Reporting Officer, with advice from the local HR Manager will agree a Corrective Action Plan with a Jobholder. The frequency of meetings to review progress against the corrective action plan will also be agreed with the Jobholder, with the maximum period being 6 months.
- (6) If corrective action fails to improve performance, the Jobholder should be awarded a performance award of 'Unacceptable'. Further action should be managed under the Unsatisfactory Performance Procedure/Regulation.

17. PERIODS OF ABSENCE AND MITIGATING CIRCUMSTANCES

- (1) The APRR should reflect the Jobholder's actual work performance. Where a Jobholder has been absent from work for whatever reason, either frequently or long term, and where their absence or absences has/have affected their performance, or their objectives have had to be adjusted to take account of absence, this should be taken into account when considering the overall Performance rating and comments should reflect what was achieved/delivered against the objectives agreed at the start of the year. The Reporting Officer should also add a brief comment to the APRR outlining the effect that the absence had on the performance and/or how the objectives were impacted upon and/or subsequently adjusted to take account of the absence(s).

COMMENTS REGARDING THE NATURE OF THE PERSONAL DOMESTIC CIRCUMSTANCES MUST NOT BE MADE ANYWHERE ON THE ELECTRONIC APR DOCUMENTATION.

- (2) Where a Jobholders attendance is giving cause for concern and is impacting on the delivery of their performance objectives, the Reporting Officer (line manager) should refer to the Managing of Sickness Absence Policy or the local Personnel Manager for guidance.
- (3) The Reporting Officer should take the opportunity at the In-year or the APR discussions to counsel the Jobholder about their attendance record. Likewise the Jobholder should avail of these opportunities to discuss any concerns they may have about their absence with the Reporting Officer.

18. THE PROFESSIONALISING INVESTIGATION PROGRAMME (PIP) POLICY DIRECTIVE 02/08

When an individual is assessed as competent under the PIP maintenance of performance and continuous development will be managed using the APR. '.... the Assessment Protocol is supportive of this principle and the use of an updated APR as the assessment tool for identifying and recording CPD opportunities once successful PDP (PIP) Assessment and Registration has been achieved'. Maintenance of competence and preparation for re-registration will be the joint responsibility of line managers and candidates. Managers should monitor that competence is maintained by using the supervision process and the APR with reference to the appropriate NOS, or relevant Activities of the ICF that are supported by the PIP Occupational Standards at that level. (National Assessment Protocol, PIP. February 2006.) Please refer to the PIP Policy Directive for further information.

19. COMPETENCY RELATED THRESHOLD PAYMENT SCHEME (CRTP)

- (1) This scheme is designed to recognise and reward experienced police officers who have completed at least one year at the top of their respective pay-scales and who are able to demonstrate a high level professional competence. In order to qualify initially, each police officer must evidence their performance against 12 criteria across 4 areas (referred to as 'National Standards') set by the scheme.

- (2) National Occupational Standards and the ICF:
- (a) A police officers Role Profile species the knowledge, skills and behaviours a police officer needs to do their job effectively. Police officers should utilise the evidence gathered for the APR in accessing the CRTP award.
 - (b) In accordance with Home Office guidelines, the APR will be used as part of the criteria to assess continued suitability to receive the payment. It is therefore important to ensure that the APR documentation is completed on time.
 - (c) The APR may also be used as part of the assessment for other allowances when introduced.

20. CAREER DEVELOPMENT

Career development and planning will be incorporated into the Police APR in the future.

21. CORE LEADERSHIP DEVELOPMENT PROGRAMME (CLDP)

The CLDP APR module will be revised to reflect the revised Police APR.

22. SERVICE PROCEDURE NO 9/2004 - SERVICE CONFIDENCE PROCEDURE

This Service Confidence Procedure applies to all police officers. The PSNI acknowledges that it is legally accountable and subject to public scrutiny in respect of the delivery of policing services. Please see Service Procedure 9/2004.

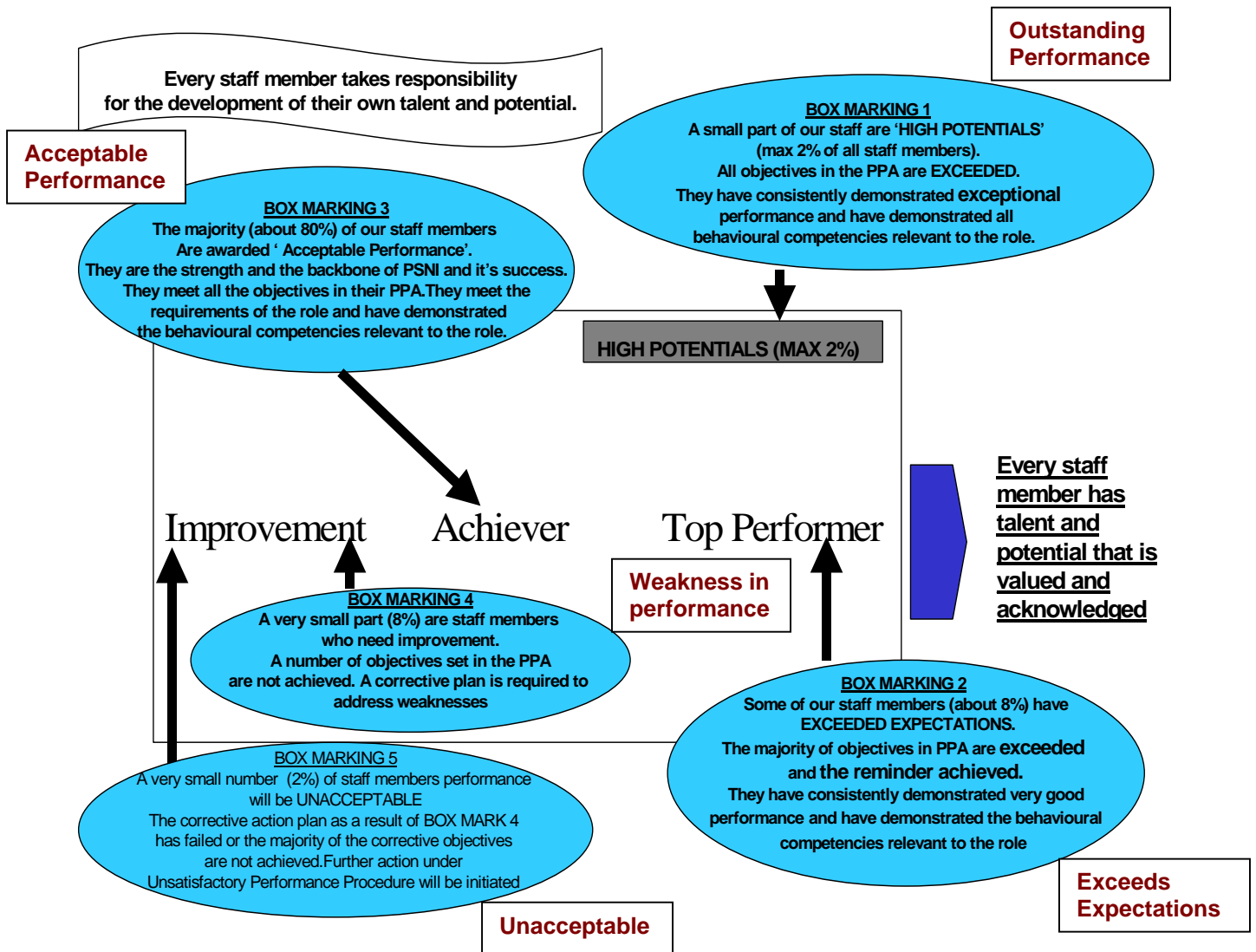
23. POLICY DIRECTIVE NO 11/2007 - INTEGRITY AND PROFESSIONAL STANDARDS

- (1) It is the aim of the PSNI through the agency of PSD, to generate pride and trust in the PSNI. It is intended to achieve this through the enforcement of the Code of Ethics, Service Policies, Procedures, and Regulations, as well as by the prevention of wrongdoing through education and increasing awareness of the issues involved.
- (2) The Code of Ethics for the PSNI published by the Northern Ireland Policing Board (NIPB) in pursuance of their obligation under the Police (NI) Act 2000 sets out the ethical standards required and expected of police officers. This Policy sets out how the PSNI will deal with breaches of this Code.

24. CANCELLATION

Policy Directive No 05/07 – ‘Police Annual Performance Review’ is hereby cancelled.

INDICATIVE DISTRIBUTION OF PERFORMANCE RATINGS



IMPROVING PERFORMANCE – A PRACTICAL GUIDE TO POLICE
PERFORMANCE MANAGEMENT – HOME OFFICE

<p>Hallmark 1: Everyone in the organisation understands and acts upon the basic principles of performance management as relevant for their role.</p>
<p>People and Relationships:</p> <p>Hallmark 2: Active, visible leadership and ownership of performance management helps to foster a culture of continuous improvement.</p> <p>Hallmark 3: Police officers and staff at all levels, and key partners understand their roles, responsibilities and relationships within the forces performance management framework.</p> <p>Hallmark 4: Priorities are clearly communicated, understood, and acted upon by all police officers and police staff.</p> <p>Hallmark 5: Learning and development equips police officers and police staff to improve performance.</p>
<p>Structures and Processes:</p> <p>Hallmark 6: A clear, integrated planning framework links force, police authority and wider stakeholder priorities with the NIM, corporate planning, budgeting, risk and resource management.</p> <p>Hallmark 7: The force pursues improvements in the efficiency and effectiveness of business processes that support delivery against priorities.</p> <p>Hallmark 8: Performance review structures serve all operational and support departments, linking with police authority and partners, and integrating with the NIM.</p> <p>Hallmark 9: Regular review of performance holds people to account against objectives, recognises good performance, and drives problem-solving and relentless follow-up.</p> <p>Hallmark 10: Good practice and lessons learned are quickly identified, shared and acted upon.</p>
<p>Data and Analysis:</p> <p>Hallmark 11: Timely, accurate and relevant performance data is easily captured and shared, meeting legal requirements and user needs.</p> <p>Hallmark 12: Insightful analysis, that is clearly communicated, supports intelligence led decision-making that directs day-to-day activity.</p>