

# THE ROLE OF CAPACITY-BUILDING IN POLICE REFORM



Mission in Kosovo

Department of **P**olice **E**ducation and **D**evelopment

# **THE ROLE OF CAPACITY-BUILDING IN POLICE REFORM**

**Frank Harris**

*Dedicated to the staff of the  
Department of Police Education and Development,  
OSCE Mission in Kosovo*



**Mission in Kosovo**

**Department of Police Education and Development**

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Department of **P**olice **E**ducation and **D**evelopment

# Contents

Foreword	7
Introduction	8
<b>1 Police reform and institution-building</b>	<b>15</b>
Introduction	15
Key principles of democratic policing	16
Thinking about police reform	23
Launching the reform process	24
Policing plan and strategy	25
<b>2 Preconditions of capacity-building in police reform</b>	<b>33</b>
Introduction	33
The role of capacity-building in the reform process	34
The challenge of structural change	36
Critical issues in restructuring	37
Critical issues in a police staffing strategy	41
<b>3 A systematic approach to capacity-building</b>	<b>49</b>
Introduction	49
The nature of capacity-building	49
The need for a systematic approach to capacity-building	53
- Establishing capacity-building priorities	55
- Analysing police tasks and identifying standards	56
- Identifying gaps in police performance	57
- Creating training specifications	57
- Selecting design and delivery systems	58
- Evaluation	59
- Developing an overall capacity-building strategy	60
The challenges of implementing the systematic approach	61
<b>4 Establishing capacity-building priorities</b>	<b>65</b>
Introduction	65
Categories of capacity-building needs	66
Collecting data that indicate capacity-building needs	67
- Objectives and performance indicators	68
- Critical incidents	71
- Performance management systems	71
- Staff planning	74
- Succession planning	75
Prioritising capacity-building needs	76
<b>5 Establishing new standards in core police functions</b>	<b>81</b>
Introduction	81
The importance of job profiles	82
Deciding on a job profile structure	83
Job profile development	85
The role of job descriptions	93
<b>6 Identifying the gaps in police performance</b>	<b>97</b>
Introduction	97
Gathering data about police performance	99
Questionnaires	100

Interviews	102
Observation	107
External sources of data	111
<b>7 Creating a capacity-building specification</b>	<b>117</b>
Introduction	117
Specifying the performance need	118
Specifying the selection criteria	119
Specifying the capacity-building aim	121
Specifying learning objectives	122
Specifying the performance, conditions and standards	127
Specifying performance tests	132
<b>8 Selecting the design and delivery systems</b>	<b>137</b>
Introduction	137
Types of capacity-building intervention	138
Formal capacity-building	140
Semi-formal capacity-building	141
Delivery strategies	143
Training and development methods	144
The critical role of instructors	148
<b>9 Evaluation models and methods</b>	<b>155</b>
Introduction	155
Pivotal role of evaluation	156
Models of evaluation	160
Critical issues in evaluation design	162
Methods of data collection	165
Validity, reliability and relevance	170
<b>10 Basic evaluation levels</b>	<b>175</b>
Introduction	175
Reaction level evaluation	176
Training level evaluation	181
<b>11 Advanced evaluation levels</b>	<b>193</b>
Introduction	193
Barriers to workplace transfer	194
Implementing performance level evaluation	196
Analysing the evaluation results	204
Results level evaluation	206
<b>12 Developing a capacity-building strategy</b>	<b>211</b>
Introduction	211
Developing a capacity-building policy	213
Developing a capacity-building plan	218
Acting on capacity-building priorities	221
Constraining factors in capacity-building	223
Developing a capacity-building budget	225
Developing an implementation schedule	226
<b>Final thoughts</b>	<b>231</b>
<b>Appendices</b>	<b>235</b>
European Code of Police Ethics	235
Patrol officer's job profile	243
Index	262

# Abbreviations

CoE	Council of Europe
DPED	Department of Police Education and Development
ECPE	European Code of Police Ethics
EU	European Union
ICITAP	International Criminal Investigative Training and Assistance Program
ICG	International Crisis Group
KPS	Kosovo Police Service
KPSS	Kosovo Police Service School
OMiK	OSCE Mission in Kosovo
OSCE	Organization for Security and Cooperation in Europe
PMS	Performance management system
PPR	Personal performance review
UN	United Nations
UNMIK	United Nations Mission in Kosovo

# Foreword

The publication of this book is timely. As we enter 2006 the Department of Police Education and Development (DPED), OSCE Mission in Kosovo, will reach a critical juncture in the history of its mandate. In the next twelve months we will transfer executive authority for the *Academy of Public Safety and Development* (formerly, the Kosovo Police Service School) to the Provisional Institutions of Self-Government and the Kosovo Police Service will assume full responsibility for policing. It is appropriate that we take time to reflect on what has been achieved thus far and consider the challenges that lie ahead.

In 1999 the OSCE took on the significant challenge of assisting UNMIK in the task of creating an indigenous police service for Kosovo. At the time there were no available blueprints or proven paradigms to guide us in this complex task. The work proved arduous and taxing. It involved converting a derelict and degraded site at Vushtrri/Vucitrn into a modern and fully-equipped adult education centre, capable of accommodating the needs of over 10,000 student placements per annum. At the same time, we had to develop and implement a range of capacity-building programmes in response to the needs of a new and evolving police organisation and other public safety groups in Kosovo. All of these programmes – basic, advanced and specialised – had to be designed from scratch, tailored to the needs of the culture, language and history of Kosovo, and attuned to the principles of democratic policing. Lastly and perhaps most importantly, our mandate involved the development of a team of local staff – police and civilians – who would acquire expertise in the myriad functions that are required for a sustainable institute of education and development.

Our success is the result of the effort of many people over the years since 1999. It was sustained by the long-term commitment of the OSCE member states, driven by the dynamism and expertise of the many police officers and civilian specialists seconded by the member states, and rendered viable by the hard work of local staff members in a truly unique collaboration. It is impossible to record the unique contribution of each person in this enterprise. However, there is a real obligation to record the corporate strategy and methodology that evolved in the process of helping to create the KPS and the role of DPED in building its capacity. This is what this book attempts to achieve.

Our history in DPED is one of trial and error, success and failure. It is the product of a unique fusion of ideas and human effort over a considerable period of time. It is our fervent hope that the legacy of the OSCE's work in Vushtrri/Vučitrn will continue to assist police reform programmes in other transition states around the globe. It has already assisted such work in FYR Macedonia, Serbia and Montenegro, Afghanistan and Iraq, through the provision of expertise and capacity-building programmes. This book seeks to capture and record certain aspects of the legacy and articulate the lessons that have been learned for the benefit of police organisations in other transition states, as well as the international organisations that seek to assist them in police reform.

Steve Bennett  
Director, Department of Police Education and Development  
OSCE Mission in Kosovo

# Introduction

***'Police training, which shall be based on the fundamental values of democracy, the rule of law and the protection of human rights, shall be developed in accordance with the objectives of the police'<sup>1</sup>.***

This book is about the nature of police capacity-building and its specific role in support of the process of reform in police organizations in transition states, particularly those in a post-conflict period. It is written by a practitioner and is primarily intended for practitioners (*capacity-building specialists*) and the international organizations and states that fund or provide the practitioners. It is hoped that the beneficiaries themselves, the police organizations undergoing a reform process, might also benefit from the ideas and experiences contained in this book.

This book does not pretend to be the definitive word on this complex subject or an exhaustive comparative study. What is offered is a strategy based on my own experiences and reflections whilst working with the *Organization for Security and Cooperation in Europe* (OSCE), and the experiences of other specialists working in this field. It is acknowledged that police reform in transition states and the potential role of capacity-building are complex subjects, areas that have only come to attract the interest of international organisations in recent decades. It is an area in which few claim expertise and not enough has been written. The lack of literature and expertise is a product of the policy of often short-term and poorly planned interventions by international organisations that rely on police personnel drawn from stable and established police organisations for relatively brief periods 'in mission'. This book is an attempt to condense into a coherent framework the ideas, experiences and reflections of a number of individuals and groups, particularly those who have contributed to the work of the OSCE in Kosovo, Bosnia Herzegovina, Former Yugoslav Republic of Macedonia, and Serbia and Montenegro. Where possible I have acknowledged the contribution of other specialists.

This book is an attempt to inspire and perhaps help to guide the ongoing debate on the role of capacity-building in police reform. It is ironic that the principle of 'reflecting on experience' – a tenet of modern adult education – seems to have been undervalued or overlooked in the capacity-building programmes that support police reform in many transition states. There is a surprising dearth of literature on this subject in spite of the enormous interest and investment by donor-states in recent decades. Police reform and related capacity-building has and continues to be the focus of considerable investment. The European Union Police Mission in the Former Yugoslav Republic of Macedonia (EUPOL 'Proxima'), which included the reform of the police and Ministry of Interior, involved a budget in excess of EUR 14 million in

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<sup>1</sup> Article 26, Recommendation (2001)10 of the Committee of Ministers to member states on the European Code of Police Ethics



2003/2004<sup>2</sup>. In 2000 the International Criminal Investigative Training and Assistance Program (ICITAP), part of the U.S. Department of Justice, provided police training and development in over 50 countries worldwide with an annual budget of about \$50 million<sup>3</sup>. At the same time the OSCE has and continues to invest tens of millions in police capacity-building programmes in Eastern Europe and the Caucasus. Individual states around Europe and beyond are also actively targeting police capacity-building as part of much broader development programmes. This considerable investment demands greater effort on the part of capacity-building specialists in recording experiences, identifying best practice and achieving consensus about the most effective strategies. This book seeks to assist in that effort.

This book is about police reform in pursuit of democratic principles. As observed by others, there must be a distinction drawn between reform that seeks to make a police organization more effective in terms of general policing objectives (e.g. crime reduction, tackling drug abuse, maintaining public order, etc) and reform that seeks to make a police organization more democratic<sup>4</sup>. This distinction is important. Whilst there is a good degree of consensus among the community of world nations about what the police 'do', there is far less agreement about 'how' the police should do their work. The advent of the *European Code of Police Ethics* (ECPE) marks an ambitious and welcome step forward in the search for wider agreement on 'how' the police should operate and realise their objectives. According to the Code the objectives of a police organization in a democratic society include:

- to maintain public tranquility and law and order in society;
- to protect and respect the individual's fundamental rights and freedoms as enshrined, in particular, in the European Convention on Human Rights;
- to prevent and combat crime;
- to detect crime;
- to provide assistance and service functions to the public (EPCE 1).

Inserted between the more traditional objectives of maintaining order and dealing with crime, the Code includes an objective that concerns the *modus operandi* or mode of conduct of the police in all its activities. The Code recognises and promotes the philosophy that modern policing in a democratic state demands that police officers respect the law and the fundamental rights and freedoms of all citizens. It is no longer acceptable that the police simply seek to achieve core policing objectives 'by any and all means'.

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***This book is about police reform in pursuit of democratic principles.***

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A reform process that addresses the mechanics of achieving core objectives in a more efficient and effective manner is of course a legitimate and worthwhile exercise in organizational change. However, in many police organizations – particularly those in post-conflict transition states – there is a far greater need for reform in the way the police operate and in their relationship with the public they serve. This reform objective is more profound and complex because it relates to changes in

<sup>2</sup> Council Joint Action 2003/681/CFSP of 29 September 2003, in *Official Journal of the European Union*, 1.10.2003.

<sup>3</sup> Bayley, D.H (2001) *Democratizing the Police Abroad: What to Do and How to Do It*, Washington, National Institute of Justice, 4

<sup>4</sup> Baley, *ibid.*, 3

organizational culture, group attitudes and individual character traits. This is the reform objective that is the concern of this book.

This book is concerned with the potential role of capacity-building as *one* means of effecting this type of change within a far greater framework of structural reform. Probably the most important conclusion to be drawn from the experience of capacity-building efforts in transition states in recent decades, is that there are no easy or quick 'fixes' in a police reform process. Too often the emphasis has been on short-term capacity-building interventions that focus on a single theme and ignore the need for more profound changes to the structure, staffing, legislation and procedures of the host organization. In the majority of cases the investment has been wasted because, in the absence of concomitant structural changes, the capacity-building measures have proved unsustainable and ineffective.

Capacity-building measures can only effect sustainable changes if they are consciously linked to a comprehensive and long-term reform strategy. That strategy is initiated and sustained by a determined political will on the part of the Government, articulated in appropriate changes in legislation and given direction by a Policing Plan with clear, realistic and achievable priorities and objectives. Next the organization's structure and staffing will be reviewed in the light of these priorities and objectives and, where necessary, subject to carefully managed changes. Within this context of institution-building measures, capacity-building provides police staff with the necessary knowledge, skills and character traits to achieve the priorities and objectives through a systematic process of establishing 'desired' performance standards and identifying gaps in 'actual' performance.

The process starts with organizational priorities and objectives and what is happening in the police organization that indicates a need to change individual or group performance. It then moves to identifying a gap between the desired performance and the actual performance, then investigating whether capacity-building is an appropriate and viable solution to bridging that gap. If the answer is yes, the process continues by identifying the relevant skills, knowledge and character traits that require development and then moves to specifying the learning objectives that will address those development needs. In this way, there is a continuous loop that links organizational objectives to performance gap identification to the final evaluation of the capacity-building programmes that strive to bridge the gaps.

This book is concerned with capacity-building as a means of providing the increased human potential to effect the desired changes envisaged by the institution-building steps in a reform process. That increased potential relates to each and every layer of the policy implementation in the institution-building programme – from the task of building understanding of the application of reforming legislation, to improving skills in change management, from increasing planning skills for senior officers to changing attitudes in support of a desired police culture. In this sense capacity-building is a structured and measured process of improving the ability of a police organization's employees to meet its objectives. The process occurs in several inter-related and inter-dependent stages, culminating in the provision of targeted training and development measures that are designed to improve performance at the individual and group levels. The term *training and development* will be used to mean capacity-building as it applies to the improvement of performance at the individual and group levels, rather than at the level of the whole organization.

This book attempts to provide a vision of an integrated and systematic approach to capacity-building in police reform. The complexity and scale of this task is not, I hope, understated. What is offered is a framework for success, one that can be used

by international organizations and transition governments to guide and integrate the efforts of capacity-building specialists.

Frank C.P. Harris



# 1

## **Police reform and institution- building**



# 1

## Police reform and institution-building

### INTRODUCTION

Policing is not an exact science. This is not to say that there is a complete absence of principles and patterns in the many thousands of organizations around the world that describe themselves as 'police', merely that there is no universal consensus on the nature of policing. In 2001 the Council of Europe produced the *European Code of Police Ethics* (ECPE) in response to the need to establish 'common European principles and guidelines for the overall objectives, performance and accountability of the police to safeguard security and individual's rights in democratic societies governed by the rule of law<sup>5</sup>.' This document marks an important step forward in achieving a broader consensus about the values and standards required of a police organization in a modern and democratic society. Recognising the role of the police in helping to sustain the values of democracy in modern states, the Code provides a framework of values and standards for reforming organizations throughout Europe and beyond. At the heart of the Code stands the principle that policing in a democratic society is characterized by an organization that upholds the rule of law, both in the sense of enforcing the law of the state and thereby securing public tranquillity, and at the same time only acting within the constraints of the law and thereby respecting the rights and freedoms of all citizens. This principle is fundamental to the meaning and purpose of policing in a democracy - those who apply the law must be subject to that same law. In this way, the condition of a modern democracy may be appraised by observing the behaviour of its police officers. It was the stated intention of the Committee of Ministers that the Code should be used as a guiding framework for member States when considering the process of police reform.

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***Police reform is  
acknowledged as a  
pivotal element in the  
development of a stable  
democracy***

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Police reform is an issue of concern for many organizations throughout the world. However, the precise context of police reform that concerns this book is that which faces police organizations in transition states, particularly those that are in a post-conflict phase. Police reform is acknowledged as a pivotal element in the development of a stable democracy, the creation of political and social structures that reflect the values and needs of society, and the evolution of an open market economy.

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<sup>5</sup> Introduction, Council Joint Action 2003/681/CFSP of 29 September 2003, in *Official Journal of the European Union*, 1.10.2003.

In order to explain the role of capacity-building in police reform, it is first necessary to characterise the nature of police reform itself and, in basic terms, the process whereby it is achieved. What is offered is a paradigm of police reform inspired by the guidance of the ECPE and broadly based on the experience of police organizations in the former Yugoslavia and other European states. It is readily admitted that, as with policing in general, there is no single remedy to reform. What follows is an attempt to condense into a meaningful framework a number of successful strategies in achieving those reform goals that enjoy a degree of consensus among the various stakeholders of the transition states of Europe.

The key points of the chapter can be summarised as follows:

- Identifying the key principles that underpin democratic policing
- Identifying the general meaning of reform in transition states
- Identifying how reform is initiated and
- Describing in outline, the process of reform based on a Policing Plan.

## **KEY PRINCIPLES OF DEMOCRATIC POLICING**

Much has been written in recent decades on the subject of democratic policing, yet there appears to be a general lack of consensus as to its meaning in concrete and practical terms. Whilst the hunt for universal criteria based on an agreed set of principles goes on, the framework offered by the ECPE and the exigencies of post-war Yugoslavia and other transition states have produced some concrete paradigms of what might gain more universal approval. The experience of these post-conflict societies has brought into sharp focus the debate about the nature of democracy and the pivotal role of police organizations in the success or failure of building sustainable democratic institutions. What was formerly a theoretical debate for students of constitutional law, has become the practical objective of a number of societies assisted by various international organizations.

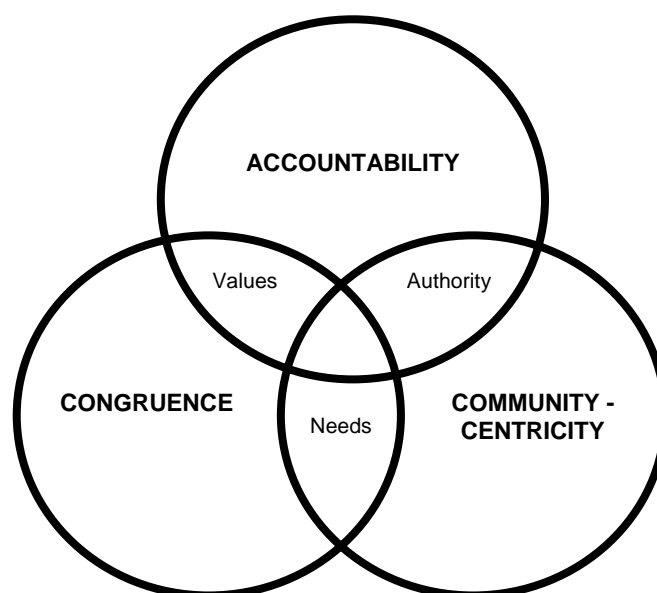
In many cases the effort to identify and implement the key ingredients of an acceptable form of democratic policing has proven extremely difficult. That difficulty emerges from several facts. First, there are several legitimate models of democratic policing and no single model enjoys universal acceptance as the best possible model. Second, organizations evolve in an organic manner and it is simply unrealistic to expect a sudden and complete shift from one model of policing to another in a period of a few years. Third, whatever model is chosen (or parts of differing models) it must be heavily adapted to the culture, experience and expectations of the transition organization if there is any hope of success.

Viewed as a key component of government administration, the police organization must be governed by three principles: accountability, congruence and community-centricity. These principles – as part of a reform process – must be translated into real qualities that characterise every aspect of the police organization. Its governing legislation, mission, organizational priorities and objectives, staffing structure, recruitment and promotion systems, operating procedures, practices and outputs must all conform to these democratic qualities. As depicted in Figure 1.1, the three principles of democratic policing do not operate independently but overlap and coalesce organically as governing qualities in each aspect and at every level of the



organization. Each principle will be considered in turn, indicating their interdependent nature and application to the various aspects of the police organization.

**Figure 1.1: Three principles of democratic policing**



The three basic principles of democratic policing may be characterized in the following way:

- Accountability - the degree to which the organization subordinates itself to the *authority* of the law and society;
- Congruence – the degree to which the organization’s *values* correspond to those of society;
- Community-centricity - the degree to which the organization’s *achievements* correspond to and meet the needs of society.

It can be readily seen that the three principles are both interdependent and, to a large extent, overlap with each other. They are not absolute categories, since they are always relative to the nature of the society in which the police organization operates. Thus, the values, needs and legal authority of New York are likely to be different in many respects to those of Belgrade and their respective police organizations must operate in a correspondingly different manner. In order to explore the significance of each principle in the context of police reform, each will be discussed in more detail.

### **Accountability**

The first principle of democratic policing, that of accountability, relates to the *modus operandi* or manner in which the police organization operates. Accountability only results from a relationship of subordination of one person, group or organisation to another. That relationship, based on a legal obligation and characterized by an

attitude of duty, demands that the subordinate entity furnishes an account of its activities to the other entity and, when required, justifies the manner in which certain activities are conducted. It demands that the police organisation - at the individual, group and organizational levels – subordinates itself to the authority of the law, society and those lawful institutions that have oversight responsibility. Policing in a democracy necessitates that a police organisation is bound by such a legal obligation and imbued with a corresponding attitude toward the rule of law and society in general.

This principle confronts and challenges the culture and working practices of every police organisation, but particularly one that has had a history of close alignment with the state or a political regime. Whether at the corporate or individual levels, the police must be seen to operate within the constraints of the law. This principle will require that the organisation demonstrates that it is law-abiding, disciplined, transparent and autonomous.

**Law – abiding** - A democratic and accountable police organization will not only seek to enforce the law but operate in total compliance with the law. The law applies equally to all citizens in a society governed by the rule of law: thus, it follows that police officers, just as any citizen, must be personally accountable for their own actions and fully comply with the provisions of the law. Respect for human rights and the presumption of innocence are cornerstones of an impartial and fair criminal justice system (ECPE 16).

**Disciplined** - It is only through an open and impartial approach to complaints of mistreatment by the public that the police can persuade the public of its intention to work in the service of all citizens, thereby increasing trust and confidence. This is best achieved by developing an independent institution with far reaching powers to investigate, supported by procedures that are clear and impartial. Professional disciplinary procedures must be in place to ensure a fair and impartial hearing for victims of police abuse, whilst protecting police officers from false allegations. These procedures must carefully balance the rights of the citizen and the rights of the officer (ECPE 59 – 62).

**Transparent** - The police should be as transparent as possible towards the public since a readiness to disclose information about police activities is crucial for securing public confidence<sup>6</sup>. The principle of accountability not only relates to dealing effectively with officers in breach of human rights standards and rigorous disciplinary procedures, it also relates to how the police organization conducts its business and informs the public about its activities. This depends upon the manner in which the organization works with the media in keeping the public informed and provides citizens with advice to increase their sense of security and safety (ECPE 12, 59, 62).

The media is the window into the inner workings of the government administration in democratic societies. In many transition states this critical role of the media in policing is ignored or misunderstood or underestimated. What is required is a culture of openness in which the police media office coordinates all press statements through clear guidelines, media training for officers, and a clearly defined role for police spokespersons. In place of

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<sup>6</sup> Bayley, *ibid.*, 14

suspicion and secrecy a healthy openness will characterize relations with the media and the public, balanced by a respect for confidentiality in areas that compromise investigations or police effectiveness or the presumption of innocence. This will result in informing the media about matters that build public confidence in the police, issues that are in the public interest and providing details about how the police work (ECPE 19).

**Autonomous** - A central tenet of the principle of accountability requires that control and responsibility should rest with an independent and professional police organization. Whilst the police belong to the executive power from which they receive instructions, in executing their duties the police must follow the law in a manner that is free of any instructions of a political nature. Operational independence is an important feature of the rule of law, as it is aimed at guaranteeing that the police operate in accordance with the law and in a way that makes the police fully accountable for their actions. A police organization cannot be a political tool. In order to respond to public needs and expectations the police must have full operational independence (ECPE 15).

### **Congruence**

Congruence is a term borrowed from the world of mathematics and denotes a close or perfect correspondence between two or more shapes, such as triangles. Applied to democratic policing the word denotes the desirability of a close correspondence between the values of a police organization and the society in which it operates. At the heart of this congruence stands the necessity for the police to establish a mutual understanding and co-operation with the public – policing is best carried out with the consent of the population. Police officers require the respect and trust of the majority of the public if they are to achieve their lawful objectives and, in a democratic society, that respect must be earned. Through organizational structures that promote confidence building between the police and the public and a high level of professionalism, this respect and trust can be built within societies that have known widespread contempt for the police (ECPE 12).

The Kosovo Police Service School has a sign that dominates the space inside its main entrance and reads: ‘The police are the people, and the people are the police.’ This deceptively simple phrase encapsulates the essence of the principle of congruence in democratic policing. Congruence describes an essential quality of the relationship of police officers to the community they serve: namely, their ability to demonstrate and defend the values of the community in those areas that relate to policing. This close correspondence in the values of the police and the public is the basis of public trust and confidence, without which the police cannot function effectively. This principle relates to the representative nature of the police, its civilian image, the extent to which it is free of corruption and political influence, and has a merit-based promotion system and sound ethics.

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***‘The police are the people,  
and the people are the  
police.’***

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**Representative** - Whilst it ought to apply to every part of the administration, it is particularly vital that the police service reflects or mirrors the society it serves (ECPE 25). The composition of police staff – both uniform and support – must reflect as perfectly as possible the composition of society. This demands a fully representative police service, in terms of geographical deployment, percentage of population and

distribution throughout the ranks and specialist functions. This feature of congruence is absolutely essential in a multi-ethnic society in a post-conflict period. Where the organization does not reflect its society in this manner there must be a recruitment campaign that targets women, ethnic minorities, socially marginalized groups and, in some cases, university graduates.

**Civilian** - A police service must fully reflect in its ranks the society it serves – the police must be the people. A democratic police service must project a total image of being a 'civilian' rather than military organization<sup>7</sup>. Its uniform, emblems, badges, equipment, rank structure, and rank titles should all eschew military overtones and values. This philosophy allows police officers to become approachable and close to the public they seek to serve (ECPE 13).

**Non-corrupt** - Some police organizations are faced with the challenge of eradicating the pervasive and corrosive problem of low-level corruption. The practice of pocketing routine traffic fines or accepting small bribes from errant motorists does much to undermine public confidence in the integrity of ordinary officers. An effective solution must target both the root problem of low incomes and enhancing the efficacy of the discipline system, as well as increasing the sanctions against corrupt officers.

There is of course no common international definition of corruption and what might be classified as corruption varies from country to country. There is consensus in identifying police corruption as activity that necessarily involves an abuse of position - an abuse of being a police official. European member states consider corruption a real threat to democracy, the rule of law and the protection of human rights, and, as a result, the Council of Europe has developed a series of instruments for the fight against corruption<sup>8</sup>.

**Non-political** - Congruence demands that the police organization is free of political association and interference. Police independence is an important feature of the rule of law, as it is aimed at guaranteeing that police operations are conducted in accordance with the law. There must be a clear separation of Ministry of Interior competency in regard to policy and oversight and the operational management competency of the Police Commissioner. Political parties in some transition states must acknowledge that the police organization is not a politically useful tool that must be controlled. Politicians need to recognize that a democratic police organization must be independent of political influence in order to implement the law impartially and for the equal benefit of all citizens. Specifically, the practice of appointing police officers to positions on the basis of political preference - whether of the Ministry of Interior or of local political groups - must be eradicated as something that destroys public trust. Whilst accountability requires that elected politicians have the right to question and confirm the appointment of senior officers within a transparent selection process, it excludes political appointments and the practice of proposing candidates (ECPE 15, 60).

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<sup>7</sup> Bayley, *ibid.*, 39

<sup>8</sup> ECPE 21, Resolution on the twenty guiding principles for the fight against corruption

**Merit-based** - Promotion systems that are based on 'who you know' rather than 'what you know' destroy public trust and the ambition of reflecting the values of society. Congruence demands fair and impartial promotion policies that are based on merit and allow the organization to have the right officers in the right ranks and functions. Such an approach equally excludes the system of officers advancing in rank automatically solely on the basis of seniority in the rank. A police organization that is congruent with its society will have a promotion system that is based on objective evaluation, one that uses exemplary service records, examinations, and selection interviews as the means of selecting the best candidates (ECPE 22, 24, 28).

**Ethical** - More than any other feature of the process it is the visible changes in the policing culture that represents the critical test of reform for the public. A policing culture denotes the prevailing values, attitudes and corporate image of the organization. This relates to the operational and ethical behaviour of police officers. Police officers reveal their values in the way they carry out their duties and therefore their performance represents an important indicator of change in the organization. Congruence demands that the organization's culture is closely aligned to public values, thereby bringing the officers closer to the society that they seek to serve (ECPE 20, 26, 30). Whilst the police image can be changed with relative ease, the shared attitudes and professional values of police officers represent a significant challenge that is normally tackled through capacity-building in support of a revised Code of Ethics and an efficient discipline regime (ECPE 63). Bayley rightly points out that 'police culture can act as a powerful brake on change, but it is not the irresistible force often portrayed<sup>9</sup>'.

### **Community-centricity**

The final principle refers to the extent to which the police organization is centred on the needs of the community or is 'community-centric'. This quality of democratic policing places it in marked contrast with the 'state-centric' model of policing that is found in communist and totalitarian regimes. A community-centric organization will measure its success by the extent to which its achievements and outcomes satisfy the needs of the community. This principle requires that the organization is service-orientated, decentralized, empowering, and – in some transition states - focused on the fight against organised crime.

**Service-orientated** – This quality changes the role of the police from that of being a 'police force' that intervenes in areas of society into a 'police service' that attends to certain needs of society, thereby giving the police the status of a public service body rather than a pure law enforcer<sup>10</sup>. In order to make such a radical change the ECPE suggests that 'public service' should be included as one of the purposes of a modern and democratic police organization. Such a change has more to do with police attitudes towards the public than simply adding new police functions. Therefore, a democratic police service should be founded on the belief that it exists to serve the needs of the public rather than operating in the interests of a political or ethnic group. That belief also excludes an introverted organization which unilaterally decides what the public needs, rather than ask the public what they think they need. This approach is

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<sup>9</sup> Bayley, *ibid.*, 26

<sup>10</sup> Bayley, *ibid.*, 13

mindful of that sense of obligation to the tax-paying public and identifies a member of the public as a 'customer' whose needs must be met (ECPE 1, 12).

**Listening** - In order to act on public expectations, the organization must actively seek out the views of the public through public perception surveys and other methods of formal and informal consultation<sup>11</sup>. This characteristic of democratic policing excludes the aloof and sometimes arrogant attitude of an organisation that views itself as the sole means of eradicating crime and achieving public order (ECPE 12, 62).

**Decentralised** - A community-centric approach is not best served by a highly centralized police regime, wherein the bulk of resources and decision-making authority lie at the top of pyramidal structure. If the police exist to serve the needs of communities this cannot be achieved without a significant decentralization of decision-making and resources. By moving greater management responsibility to the local level the process of decision-making in relation to issues that affect the community is enhanced, whilst at the same time maintaining a unified organizational structure<sup>12</sup>.

**Empowering** - A critical component in making the police a 'service' for the people is the ability to empower local communities to actively engage in the issues that relate to their sense of safety and security. This is based on a recognition that the police, acting alone, cannot hope to resolve all those problems that prevent people from feeling safe and secure in their communities. This means that the police not only investigate crime and enforce the law, but also work with communities to help them in preventing crime occurring in the first place. However, this is not about the public becoming part of the police service, it is about the creation of a forum that allows communities to have an input into how their neighbourhood is policed and what issues are important to their safety.

**Focused against organised crime** - For many transition states organized crime represents a significant menace. Corrupt regimes, conflict and the disorientation that immediately follows the peace have created *lacunae* in the system which are actively exploited by determined and resourceful criminals. Their methods and success act to threaten the very fabric of a democratic society by undermining public confidence in the rule of law and eroding the basis of economic development. Of course organized crime can only grow and succeed with the active cooperation or acquiescence of those in authority, including police officers. Police organizations must enforce the law with total commitment whilst upholding human rights if the numerous gaps exploited by organized criminals are to be closed, one by one. This first requires that the police organization itself has 'clean hands' and is fully purged of those officers who collaborate or assist such criminals - the police service must be free from corruption and in a position to objectively tackle this problem

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<sup>11</sup> Bayley, D.H (2001) *Democratizing the Police Abroad: What to Do and How to Do It*, Washington, National Institute of Justice, 25

<sup>12</sup> Peake, G. (2004) *Policing the Peace – Police Reform Experiences in Kosovo, Southern Serbia and Macedonia*, London, Safer World, 33

## THINKING ABOUT POLICE REFORM

In its most general sense, organizational reform denotes a transformation from one state (the current state) to another state (the desired state) with the purpose of improving effectiveness. However, this definition only partly fits the meaning of police reform, as it applies to many post-conflict societies. The policy decision that launches the reform process and subsequent Policing Plan must contain a vision statement that encapsulates the central goal of the reform – democratic policing. Without the political will of the government, backed up by a commitment to providing the required funds and resources, the reform process cannot succeed<sup>13</sup>. In the most general terms the vision statement will enunciate the three principles that underpin democratic policing: accountability, congruence and community-centricity.

At the very outset, the Government, the Ministry and the Commissioner must be convinced of the need to reform, not simply because the European Union or wider international community believe that it is necessary but because they - the political and policing leaders - know that it is the right thing. This conviction must precede the initial process of translating reform ideas into concrete actions and results, because if these key players in the process are not convinced of the need for reform, they are unlikely to convince others of the need. At the heart of this conviction must stand an understanding of the central purpose of reform – a shift away from a ‘state-centric’ model of policing to a ‘community-centric’ model under the guiding principles of accountability and congruence.

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***The purpose of reform centres on the direct relationship between public confidence in and expectations of the police and police performance standards.***

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The purpose of reform centres on the direct relationship between public confidence in and expectations of the police and police performance standards. If the standard of police performance is below public expectations within a democracy, there is a corresponding absence of public confidence and trust in the police. Over time, the sense of distance between the police and the public is reinforced on both sides in a cyclic process - as public fear and suspicion of the police increases it breeds an aloofness in officers who identify more and more with the organization (and the State) and less and less with the public. As the police become more distant they target issues that they – the police – believe are important, ignoring the concerns of the public; as the public witness a more distant police organization, they become less inclined to assist and cooperate with the police in resolving even those issues which concern the public. As the police try to investigate crimes without the cooperation of the public they become frustrated and more inclined to use methods that are contrary to law and human rights. In this way, the cyclic process has an increasingly debilitating and corrosive effect on both police performance standards and public confidence and trust in the police<sup>14</sup>.

Breaking this cyclic process and reversing the forces that drive the police and public apart is the central challenge of the reform process. In addition to the general requirement under the principle of community-centricity, a police organisation cannot perform effectively without the trust and support of the public<sup>15</sup>. Although the degree of challenge is related to the depth of the rift between the police and the public, the

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<sup>13</sup> Bayley, *ibid.*, 35

<sup>14</sup> Peake, *ibid.*, 12

<sup>15</sup> Bayley, *ibid.*, 40

effort and commitment required in all cases cannot be overstated. Given the necessary commitment and effort, the Commissioner and others require a strategy that will include:

- Conducting a comprehensive reform needs analysis in terms of legislation, structure and staffing
- Implementing the appropriate changes in the law, structure and staffing
- Defining appropriate and realistic performance standards and indicators
- Matching resources to the achievement of the performance standards
- Monitoring the performance indicators and identifying performance gaps
- Analysing the cause of performance gaps and making intelligent remedial interventions (i.e. revisions in legislation and/or procedures, or structural changes, or additional training).

## **LAUNCHING THE REFORM PROCESS**

A decision to reform a police organization will, in most cases, be made by the Minister of Interior (or equivalent) unilaterally or as part of a collective policy of the Government. Whilst it is accepted that the implementation of the reform process will naturally rest with the most senior police manager (i.e. the Commissioner), the decision to transform the police organization from one model to another – or make a significant shift within a model – must begin as a government policy decision. Figure 1.2 depicts the successive layers of policy implementation, built on the foundation of the Government's initial vision statement. As in the construction of a wall, the durability and strength of the layers of policy implementation are directly contingent upon the strength of the Government's initial policy and solid commitment to the entire process.

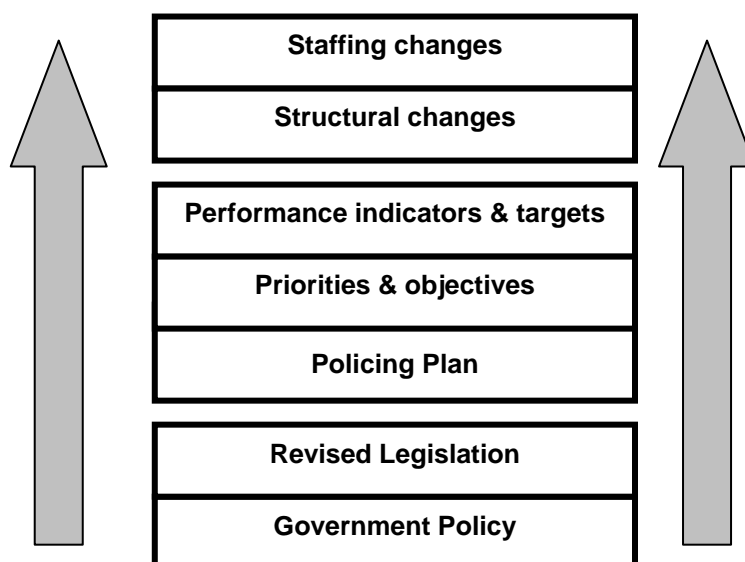
The implementation of the founding vision statement should be handed to the Commissioner, thereby reinforcing the divide between the political level (the Minister) and the authority to manage the administration of policing services (the Commissioner). The distinction between policy and operations must be clear and distinct throughout the process - responsibility for the reform process must rest with the Commissioner while ensuring that the police remain accountable to democratically elected representatives.

The necessity of a policy decision stems from the very nature of democratic government. Accountability applies to every area of government - the legislature, the judiciary and the administration – and every level within each area. Police accountability to the public operates in two ways – directly and indirectly. The organization is indirectly accountable through its line management to the parent Ministry within the administration, in terms of complying with the law and government policies, professional management of human and other resources and delivering quality services in return for public money. Secondly, the police organization is directly accountable to the public through a range of communication avenues, from the Policing Plan to local policing plans, from community policing conferences to individual encounters of police officers and members of the public. A decision to



reform the police starts at the highest level of government – the Ministry – and filters down through every organizational structure and medium of communication with the public.

**Figure 1.2: Layers of policy implementation in the reform process**



## **POLICING PLAN AND STRATEGY**

In an established and stable organization the Policing Plan will change from year to year, whilst the police mission and culture will endure over many years and be subject to little or no change. In a reform setting, the mission and culture are the subjects of a significant change that is described in the Policing Plan. The mission statement describes both the organization's vision and its underlying philosophical and ethical values.

The content of the Policing Plan should include the following elements:

- A vision of the future that can be shared by all the employees, police and civilian support staff
- A commitment to accountability, congruence and community-centricity
- Clear priorities with realistic and achievable objectives
- Defined performance indicators and targets, that link directly to organizational objectives
- An objective and evidenced understanding of public expectations of the police
- Effective management and positive leadership within an organizational culture that encourages all employees to achieve their full potential
- A total commitment to improving the quality of life and freedom of movement of all members of the community, regardless of ethnicity or religion and

- A complaints and discipline procedure that wins public trust and confidence, and the means and commitment to eradicate police corruption at every level.

This list of attributes forms the essence of the ideal reforming police organization, and therefore is the vision of what must be achieved. Moreover, it provides benchmarks against which the Commissioner can judge the performance of the organization. It is assumed that the reforming organization lacks one or more (if not all) of these criteria and therefore has both the grounds and direction for change. The process of initiating change rests with the Commissioner using the Policing Plan as the management vehicle. At the heart of the Policing Plan stand the organizational priorities that will act as benchmarks and answer two key questions:

‘Where is the organization now?’ and

‘What needs to be achieved in order to move closer to the organization’s priorities?’

Of course the questions are never asked in a referential vacuum. They demand a framework of criteria or measures in order to have meaning and a prospect of answers. That framework of measures is provided by the matrix of performance indicators and corresponding targets. In this sense, the Policing Plan is both the primary management tool and guide to the reform process. Each of the two central questions above must be asked in relation to the key performance indicators and linked performance targets. During the process of developing the Policing Plan and performance indicators, the performance targets or measures of achievement and the agents who will bring them about will be identified.

The process of addressing these questions in this way will provide the organization with both a clear statement of the current performance and those factors that inhibit the achievement of the desired performance standards. Resources within the defined period may not allow all the performance targets to be achieved as desired and the Policing Plan must, therefore, prioritise areas of action in respect of the more important indicators. A refining process will allow the general policy to be translated into specific points of action to achieve the overall result. The first stage in this process is to define organizational priorities with the purpose of co-ordinating the efforts of every area of the police organization towards achieving the results that are required by the Policing Plan.

### **Priorities and objectives**

It is important that the distinction between priorities and objectives, as applied to the Policing Plan, is made clear. Organizational priorities have the primary purpose of giving a general structure and direction to the effort and resources of a police organization. They are general ‘signposts’ or directional signs that point in the desired direction. Priorities provide answers to the organization’s first question: ‘Where do we want to go?’ However, priorities do not get into the specific details of how the journey is to be achieved. Within a reform setting, an example might be: ‘To improve transparency in the process of investigating complaints against the police, thereby increasing public trust and confidence.’ Of course, such a general statement of intent begs further questions about the specific details of how this might be achieved - this is the purpose of objectives.

An objective is a specific and realistic point of action that is intended to facilitate the achievement of a more generalised priority. It is intended to answer the question: ‘How will the organization achieve a particular priority?’ The example of the priority above will have a number of related objectives, such as:

- Co-operate and assist in the process of revising the primary and secondary legislation that relates to complaints against police officers
- Fully implement the provisions of the new legislation, through the required structural and staffing changes
- Fully implement the provisions of the new legislation, through a comprehensive training and development programme for all officers

Note that these are merely given as possible examples of points of action that are realistic and achievable, and that will serve to realise the overarching priority. The test of what is 'realistic' and 'achievable' will vary according to the resources and management capacity of the particular organization. Whilst this cannot be used as an excuse to explain the organization's failure to achieve objectives under its Policing Plan, there is little point in setting objectives that rely on a non-existent budget or demand structural changes that lie outside the skill profiles of the senior management group.

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***An objective is a specific and realistic point of action that is intended to facilitate the achievement of a more generalised priority.***

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It follows that priorities should be inspired by the needs of the three primary principles of democratic policing and formulated on the basis of an analysis of shortcomings that affect both particular areas and every area of the organization. They will, however, be stated in a way that makes them generally applicable throughout the police organization. Priorities look in two directions: they result from both a consideration of the primary principles and the organization's needs in respect of those principles. Priorities provide the basis on which a detailed analysis can be made of the shortcomings that face local policing units and departments in respect of the three guiding principles. This basic analysis will result in the more specific and detailed objectives.

### **Objectives, performance indicators and targets**

Opposite the objectives stand their counterpart performance indicators and targets. If an objective seeks to define specifically how an organization will achieve a general priority, the related performance indicators will establish a benchmark for one or more objectives. In effect, a performance indicator answers the question: 'How will the organization know that it has achieved the objective(s)?' Therefore, the accent is on tangible and measurable outcomes of the process of setting objectives, allowing both the police staff and – more importantly – the public to know when a real change has occurred<sup>16</sup>. This demands that every performance indicator should be specific, measurable, achievable, realistic and timely – SMART.

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<sup>16</sup> Bayley argues that the use of performance indicators causes police officers to 'become preoccupied with meeting norms of activity rather than adapting their activity to produce desired results, which in turn discourages innovation and reduces operational flexibility' (ibid., 24). This observation is true where the use of indicators relates only to quantitative performance evaluation (e.g. categories of recorded crime, crime detection rates, and arrest and detention rates) and does not take account of more qualitative data (e.g. public perceptions and public satisfaction). As will become clear, this book advocates the use of both types of performance indicator. Without the use of performance indicators it will prove impossible to verify the success of reform initiatives in an objective manner that reassures the public, the Government and senior police managers that 'desired results' have actually occurred. A system of measuring performance is essential if senior managers are to identify and correct initiatives that fail to effect desired results and thereby avoid wasted investment of limited resources.

Following on from the above example, the following might be corresponding performance indicators:

- The level of public satisfaction with the complaints procedure
- The number of days that elapse before a complainant receives an initial response that describes what action will be taken to fully investigate the allegation of misconduct, from the date of receipt of a complaint
- The number of investigations of allegations of less serious misconduct (as defined within the revised law) finalised within two months of receipt of the complaint
- The number of investigations of allegations of serious misconduct (as defined within the revised law) finalised within four months of receipt of the complaint.

Every performance indicator must be measurable: i.e. it must be a benchmark that is capable of some measure, usually a quantitative measure rather than qualitative measure. This makes it a very meaningful tool in the reform process because it can identify areas where the organization's goals have resulted in tangible changes that can be verified and improve public confidence and staff pride. For this reason, each indicator should have a corresponding performance target – a realistic and achievable goal, in the form of a number or percentage increase or, as the case may be, decrease.

### **Co-ordinating the development of the policing plan**

The Commissioner, in co-operation with the Ministry, must oversee the process of developing the Policing Plan and properly consult the senior police officer group when developing the priorities, objectives and performance indicators. Someone must be accountable for ensuring that the reform process is maintained and developed – that person is the Commissioner. The importance of active consultation with senior officers cannot be overstated since they will be vital to its implementation. Unless this group take ownership of the Policing Plan at its very inception and is actively involved in its development the reform process will be severely handicapped from the outset<sup>17</sup>. The commitment to the reform process is as important in the framing of local implementation plans in respect of performance standards – the task of regional commanders - as it is in the development of the Policing Plan itself. Specifically, the Commissioner and senior officer group will be responsible for:

- Publishing and disseminating the Policing Plan (including priorities, objectives, performance indicators and targets)
- Developing a realistic and achievable implementation plan
- Developing and implementing a management process that will facilitate the implementation of the plan
- Meeting on a regular basis to discuss the effectiveness of the management process and agree remedial action
- Arrange for evaluation reports on the achievement of objectives and levels of performance and
- Collating the information to draft the Policing Plan for the next period.

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<sup>17</sup> Bayley, *ibid.*, 20

Without such a rational framework, followed in a logical sequence, the reform process will lack uniform progress, regardless of the degree of commitment.

<b>Chart 1.1: Reform planning checklist</b>		
<b>Key questions</b>	<b>Finding the answers</b>	<b>Point of action</b>
What are the organization's priorities?	The start of the process involves a definition – in broad terms – of where the organization wants to be in terms of general indicators	Define vision statement, based on the three principles
Where is the organization now?	The next step is to recognise the current status of the organization through a very brief audit of the same general indicators	Authorise audit of key indicators
How will the organization reach its priorities?	Based on an analysis of the current and desired indicators, define a list of objectives that target those areas that require change	Prepare a reform plan, based on a series of objectives that link to the desired priorities
When must the organization achieve its priorities?	Create realistic target dates for each core objective, mindful of constraints such as the budget.	Add target dates to the reform plan objectives
What is required if the organization is to achieve its priorities on time?	Identify the key requirements under the categories of legislation, budget, structure, staffing, and capacity-building.	Identify points of action to the reform plan objectives, using these categories

Chart 1.1 provides a checklist of the key questions in the reform planning process, as well as how to find the answers and move to specific points of action.



## **2**

# **Preconditions of capacity-building in police reform**





## 2

# Preconditions of capacity-building in police reform

### INTRODUCTION

Traditional approaches to the use of capacity-building in support for police reform programmes have tended to be piecemeal interventions that target perceived needs of individual officers in relation to a theme (e.g. community policing, organised crime). Some reform specialists recognise that where such training occurs outside the framework of a comprehensive reform plan with concomitant structural development, the training investment is unsustainable<sup>18</sup>. In this chapter the necessary preconditions to the successful use of capacity-building in police reform will be examined: namely,

- a) the necessity of clear and obvious links between a proposed capacity-building programme and organizational objectives; and
- b) the necessity of reviewing and, if appropriate, effecting changes to organizational structures and staffing prior to investing in capacity-building.

Police capacity-building programmes must be driven by the objectives of the organization defined under the Policing Plan, rather than a catalogue of training and development courses based on *a priori* assumptions about what capacity-building is required. Of course certain course catalogues will claim to have some source and inspiration in the workplace: there may have been some form of training needs analysis that gave rise to certain courses at certain times. However, as will be argued in this book, police reform programmes require a thoroughly systematic approach to capacity-building as a means to desirable organizational change. This runs contrary to the *ad hoc* and piecemeal approach in many transition organizations. In too many cases the organizations have been bombarded with a host of disparate and uncoordinated donor-assisted programmes, centring on contemporary themes such as community policing, organised crime and forms of police investigation without reference to organizational priorities or sustainability through structural and staffing changes.

Whilst driven by laudable and lofty ideals of police reform, the majority of these programmes have the common nature of short-term and external interventions, applied precariously to the outer skin of a much larger organizational need. As such

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<sup>18</sup> Downes, M. (2004) *Police Reform in Serbia – Towards of Creation of a Modern and Accountable Police Service*, OSCE Mission to Serbia and Montenegro.

they tend to be unsustainable in the long-term and exist as minor adjuncts to the police education portfolio of an organization that remains essentially unchanged. All of this has damaging consequences for the role of capacity-building in these organizations. Among senior officers and Ministers of the Interior there has been a growing scepticism that capacity-building is as important to organizational change as the consultants and the training departments say it is. Unless capacity-building is, at every step, driven by the needs of the police organization and accompanied by appropriate structural and staffing changes, it will remain a largely irrelevant and expensive item that is 'pasted onto' the organization. Once the link to organizational needs is firmly established, it will better ensure that police capacity-building is focussed on operational issues and demonstrates its relevance to the organization. This, in combination with a review of structures and staffing in terms of the organizational need, will allow the capacity-building to succeed in developing the human potential to achieve the relevant objectives under the Policing Plan.

The key points of the chapter can be summarised as follows:

- Describing in outline the role of capacity-building in the reform process
- Identifying the challenges of structural change
- Identifying some of the critical issues of restructuring and
- Identifying some of the critical issues in a staffing strategy.

## **THE ROLE OF CAPACITY-BUILDING IN THE REFORM PROCESS**

The central argument of this book is the need to firmly connect a systematic capacity-building programme to the general framework of a reform process. In isolation, capacity-building will lack significance and impact in the movement from the 'current state' to the 'desired state' of the organization. As depicted in Figure 2.1, the reform process can be characterised as an institution-building programme (1) and capacity-building is one of the critical means by which the desired institutional change is effected (2). Capacity-building provides the increased human potential to effect the desired changes envisaged by the institution-building plan. That increased potential relates to each and every layer of the policy implementation steps in the institution-building programme – from the task of building understanding of the application of reforming legislation, to improving skills in change management, from increasing planning skills for senior officers to changing attitudes in support of a desired police culture.

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***Capacity-building provides the increased human potential to effect the desired changes envisaged by the institution-building plan.***

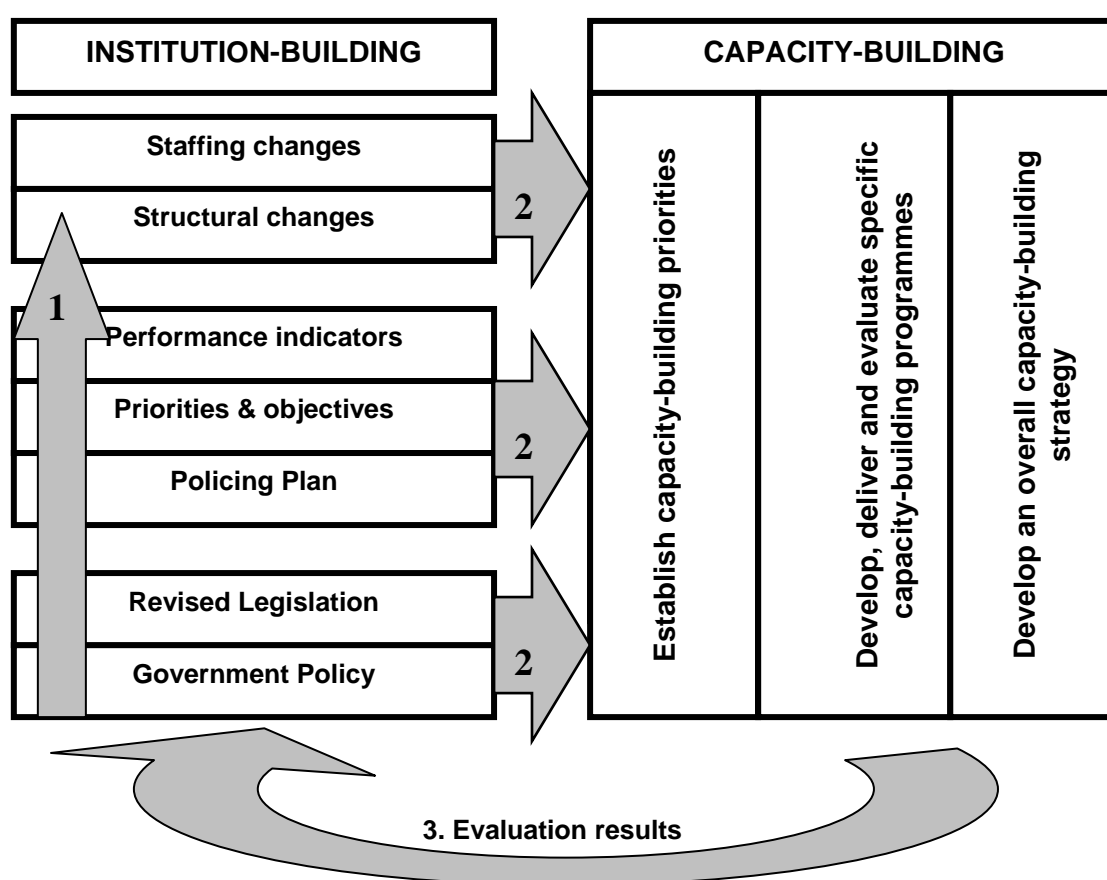
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This allows a degree of flexibility in the capacity-building effort. It is recognised that the reform framework described in the previous chapter is a complete and comprehensive approach that may be unattainable in every case, due to a lack of sufficient resources and/or political will. The systematic approach described in later chapters is capable of adaptation to a fragmented and incomplete reform process. Where identified steps in the reform programme exist, capacity-building can be used to implement them (2). This will involve a process of identifying performance standards and performance gaps within each reform programme step, then – if appropriate – designing and implementing capacity-building programmes that can bridge the gaps. Finally, the implemented capacity-building should be evaluated and

assessed at several levels and the resultant data fed back into the institution-building programme (3). If properly analysed, the evaluation data will assist in further improving steps within the programme, whether this means changes to legislation or procedures or structures or further capacity-building.

It will be emphasised throughout that capacity-building is only one of several measures required to support the institution-building programme. Weaknesses in any step may result from a host of causes and capacity-building is a viable solution in relation to only some of those causes. It must be viewed alongside further legal, financial, structural, staffing and organizational change options. This is not to ignore the potent role of capacity-building in certain areas of the reform process. As will be discussed in greater detail, capacity-building is an essential tool in achieving the 'desired state', but only if it is linked to other strategies in organizational reform.

**Figure 2.1: The role of capacity-building in the police reform process**



Before moving to a detailed description of a systematic capacity-building approach, it is prudent to consider the importance of structural change in the institution-building process. Often overlooked or poorly addressed, structural changes are a crucial if painful step in the reform process. In many organizations, there is a need to effect significant changes to organizational structures if the priorities and objectives under the Policing Plan are to be achieved. Of course structural change implies a multitude of ramifications for police employees and important capacity-building issues. What follows is a cursory glance at some of the more important elements of structural change and the links to capacity-building measures.

## THE CHALLENGE OF STRUCTURAL CHANGE

Structural changes to a police organization represent a very special challenge in the reform process, one that is often avoided by the international organizations as too costly and time-consuming to implement. In practice, such reform measures require a strategic implementation plan that spans several years and therefore necessitates a consistent political will and continued international support over that period – a difficult criterion in a world of changing governments, limited budgets and an appetite for quick results. However, without structural development the reform process remains fragmented and ultimately unsustainable.

A decision to embark on large-scale reform involves internal organizational changes that demand markedly different performances from officers and support staff in the future. As discussed earlier, the decision normally results from a shift in political policies at the highest level and in response to changing public expectations of the police and their role in society. Moreover, the decision has significant implications for the way in which officers and support staff at every level perform their roles. Senior officers and the Ministry of Interior will agree and implement a programme of structural and organizational changes that must, at every step, be supported by capacity-building and staff development. Capacity-building in support of reform is a strategy in which capacity-building closely matches a number of defined steps, corresponding to layers of policy implementation in the process of organizational reform.

What is probably the most complex task in the reform process will be examined: that of relating the general priorities and specific objectives in the Policing Plan to the organizational structure and staffing plan. Often the pre-reform structures, police staff skills and deployment are inadequate or inappropriate vehicles for the new priorities and objectives. Great care must be taken in analysing the current situation and particularly in the task of developing a strategy for change. Any changes in the structure and staff of a large established organization will be costly in terms of resources, time and energy. There are a number of critical questions about the existing structure that must be answered by the Commissioner and Minister of Interior in formulating a carefully considered strategy for such change:

- How clear is the current organizational structure?
- Does the organizational structure maximise operational resources?
- Does the organizational structure facilitate co-ordination of operational activities?
- How effective is the chain of command?
- How clear are the lines of responsibility?
- How can decision-making be moved to the local level?
- How can police headquarters be redefined in terms of only those functions that are necessary to support the delivery of services at the local level?
- How can local commanders be empowered to assume the maximum responsibility for solving local policing problems?
- How can the operational functions and central support functions be made free of political interference?

- How can the operational aspects of the organization be attuned to service delivery?
- How can the operational aspects of the organization be attuned to achieving the objectives of the Policing Plan?
- Does the structure facilitate horizontal development rather than vertical development?

The answers to these questions should allow the Commissioner and Minister to frame a comprehensive and long-term strategy for change. This strategy ought to be summarised in the form of a vision statement with the primary goals of political independence and operational effectiveness. A strong emphasis on decentralizing decision making must be balanced by a facility to centrally co-ordinate national crime issues that affect the local regions. Following the pattern of most police organizations in Europe, the strategy should envisage a flat, uncomplicated and adaptable structure that lends itself to a 'community-centric' approach in which local police managers have the maximum discretion in responding to local community needs and expectations.

Target dates that are realistic and achievable must be included in the strategy. Many of the issues raised will demand changes in police legislation and operating procedures, phasing out unnecessary ranks and functions, redeploying staff, removal of unwanted tiers in the chain of command, and significant training and development of police managers. In some organizations that have a 'top-heavy' and centralised structure with long chains of command and poor management skills, the implementation of the restructuring programme is likely to take several years to introduce.

## CRITICAL ISSUES IN RESTRUCTURING

As with the reform process as a whole, the task of devising a strategy for structural change will vary according to the specific needs of the relevant organization. The needs of Kosovo will be quite different to those of Georgia, the needs of Serbia and Montenegro will be different to those of Macedonia. Whilst it is neither prudent nor feasible to suggest a universal paradigm for structural reform, there are a number of critical issues that all organizations ought to consider as relevant when formulating a strategy for structural change. These include secondary legislation, decentralisation, functional audits, public opinion surveys, new police services, and new technology and equipment. Each will be considered in terms of the links to capacity-building measures.

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***...the task of devising a strategy for structural change will vary according to the specific needs of the relevant organization.***

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**Secondary legislation** - In many cases a police reform process demands some significant change in secondary legislation in support of the primary legislation. Whilst the primary legislation leads the reform process (see Chapter 1) by defining a framework based on the principles of democratic policing, it must be followed by legislation that moves into greater detail in specific areas. Normally the focus will be the structure and organization of the police service or police powers and responsibilities – all of this must first be sanctioned through carefully crafted legislation. Additionally, the change in

law may relate to complaints and discipline and the introduction of something akin to a police oversight entity or police inspectorate. As seen in Chapter 1 this is the first and most critical test of the political will of a government in pursuit of a policy to reform the police.

A major concern in any shift toward a 'community-centric' model is the ability of the police organization to operate in a transparent and accountable manner. This is best achieved through fundamental changes in the law that regulates the way the organization is subject to inspection by an external entity, as well as allowing investigations into serious complaints of misconduct by officers to be referred to an independent authority.

Whatever the change in law, it must be fully supported by adequate capacity-building interventions. Simply expecting officers to inform themselves of the content and implications of the legislation is a failed strategy. At the same time, in many organizations it is not possible to contemplate a full residential course in respect of the new law – the cost of training and developing several thousand officers in this way would be prohibitive. An effective alternative is the use of distance learning guides, supported by workshops. This option will be discussed in greater detail later.

**Decentralisation** - Some reforming organizations operate within a highly centralised regime, wherein the bulk of decision making authority rests with the Ministry of Interior. However, reform objectives cannot be effected without a significant decentralisation of decision making. This facilitates greater local decision making in relation to issues that affect the community, while maintaining a unified organizational structure. This may involve redefining the role of the Ministry of Interior in order to separate it from active involvement in the operational management of the police.

A Ministry should be concerned with the development and implementation of policies, draft laws, long-term strategies and oversight mechanisms in respect of the police and policing issues. This will include the generation of resource and administration policies that highlight areas in which the police service can streamline its activities and allow cost savings to be reinvested in enhancing pay, conditions and the equipment of the police service. In this way a political line can be drawn between the policy-related work of the Minister and the operational management functions of the Commissioner and senior police officers.

**Functional audits** - An important component in an effective reform process is an internal or, better still, external entity empowered to conduct inspections of stations and other functional units. Such an entity or 'inspectorate' can perform periodic audits designed to examine and investigate the effectiveness of any functional unit in the police organization. These audits should identify unsatisfactory features of current police operations, warn of problems and draw attention to good practice. The remit of the inspectorate should be very broad and include a range of investigation methods. Using both observational and non-observational techniques, the inspectorate should be free to tailor its investigation methods to the nature of the individual organizational unit under consideration.

Periodic audits of the organization must also examine the role of capacity-building and the effectiveness of the Training Department. Driven by the desired outcomes of a revised Policing Plan and associated strategy, the

review is intended to assess the strengths and weaknesses of the extant capacity-building strategy and identify ways in which it might be made more effective. The audit will consider training and development plans, the quality of capacity-building programmes, the quality of police training and development specialists, the level of training and development standards, the cost of capacity-building, the attitudes of police managers to capacity-building, and the extent of the knowledge and commitment to organizational training and development policy among police staff. This data will be obtained using the wide range of evaluation techniques described later in this book: questionnaires, interviews, focus groups, direct observation and the examination of documents that link to capacity-building (e.g. policies and procedures, personnel records, capacity-building reports, complaints).

Since the Personnel Department and Training Department may themselves be the object of an inspectorate audit, they will not be directly involved in its work. However, these departments should be fully familiar with the inspectorate's findings, conclusions and recommendations: in this way they can respond quickly to potential problem areas that might have a capacity-building and/or personnel development dimension.

Police reform cannot consist of a single event in the history of a police organization - once an initial reform process is undertaken it should be followed by periodic reviews. Indeed the Policing Plan that leads the initial process should, as mentioned earlier, envisage a defined period of time (ideally 3 to 5 years, contingent upon the scope of organizational change involved). Upon expiry of the initial period of reform the Policing Plan should be reviewed and, where necessary, amended.

**Public opinion surveys** - The ultimate test of 'community-centric' policing is public satisfaction. However, too many police organizations ignore the most obvious method of discovering what the public actually think about the services their police provide. The cause of this reluctance is unclear: a fear of receiving negative feedback from the public or simply a blind arrogance that views the public as unqualified to express an opinion? However, an organization that embraces the principle of accountability must acknowledge the duty to seek out the opinion of those it serves and those who pay for police services through taxes.

Positive use can be made of feedback from the public by the use of surveys designed to gather data regarding the quality of police services. In some cases, senior officers perceive the public as being quick to complain but slow to praise the police for good work. This should not be a cause for concern. The public rightly expect high standards and a good quality of service in return for their taxes. Thus, the onus for seeking positive feedback lies with the police organization, rather than the public. A number of techniques can be used in ascertaining the views of the public. Officers who attend crime scenes or crime complaints can leave short questionnaires that ask questions about promptness, politeness, concern, quality of work and other values that relate to the provision of a good service. Following a point of contact with a member of the public, the organization can arrange for staff to make follow-up calls (in person or via phone) and use questionnaires to elicit data about the quality of the service provided.

Data gathered from such sources should be collated and directed back to different parts of the organization in such a way that the relevant stations and

departments can benefit. Ultimately, this crucial data should be fed back to the Training Department so that it can be used in the systematic model, as described in the next Chapter.

**New police services** - The introduction of new police services and related powers often imply structural changes and capacity-building needs in the affected areas of the organization. Such services can result from campaigns or new policing policies rather than new primary legislation. These campaigns usually target issues of concern to the public, such as an increase in the use of illegal drugs, trafficking human beings, road accident deaths, domestic violence. Often the policies and objectives that drive the campaign become the responsibility of particular police units with a specialist focus. These specialist units normally need to develop new skills and knowledge relating to the work procedures and legal powers that serve the campaign objectives.

Once the new service is fully developed it ought to be possible to conduct a more detailed performance gap analysis (see Chapter 4) that identifies whether the initial capacity-building inputs were sufficient to equip the officers and support staff with the necessary knowledge and skills. Failure to do so might, in the long-term, frustrate the objectives of the campaign and the efforts of the police organization to extend its services and respond quickly to public concerns.

**New technology and equipment** - Police reform will seek to make the organization more effective and efficient in achieving its priorities and objectives. The search for greater efficiency and effectiveness continues to be assisted by the application of new technology to a broad range of policing activities. From the ever-increasing sophistication of forensic techniques to border control computer systems, and from command and control systems in control (or 'dispatch') rooms to the use of covert surveillance equipment, modern policing is increasingly embracing the enhanced potential offered by technology.

Technology is not simply an 'optional extra' in policing work. In the fight against organised crime in transition states, a lack of certain technological methods continues to handicap the effectiveness of the police and increase the tendency to use unlawful methods to detect crime. A direct correlation can and should be made between instances of police abuse of powers and the lack of technical equipment and investigative methodologies that do not rely solely on interview. With the widespread lack of technical equipment, a police organization is left with little alternative but to revert to the only investigative methodology open to them, namely the police interview. If the only prospect of success is a confession, police officers are more likely to succumb to the pressure to ignore the requirements of the law and human rights.

New technological applications create capacity-building needs. The knowledge, skills and character traits required to operate the new technology create direct capacity-building needs, whilst the effects of introducing technology in the workplace (e.g. changed working procedures, relationships between managers, relationships between supervisors and operational staff) create secondary or related capacity-building needs. There will often be considerable ramifications for the style and role of police managers, the chain



of command and communication structure as the new technologies demand greater speed of response and openness.

## CRITICAL ISSUES IN A POLICE STAFFING STRATEGY

The effectiveness of the organization relies on having the correct number of skilled staff in areas of an organizational structure that is designed to best respond to organizational priorities and objectives. An important step in the process of improving police performance in line with the objectives in the Policing Plan is a review of the staffing plan and related strategies. The organization must ensure that it has the right number of staff in each operational and support function.

Police staff - uniform and support - represent the most important resource of a police organization. Although they rely on suitable equipment and buildings to do their job, it is the police personnel that deliver the critical services to the public. Once embarked upon a reform process, the organization should develop a long-term staffing plan that is based upon on the needs of the Policing Plan and results from a review of the number of staff, the areas in which they are deployed and their ability to perform present and future roles. It may well require reductions in the number of staff, changes in recruitment standards, redeployment, the elimination of certain roles and introduction of new roles. All of this has a significant capacity-building support dimension.

There are vital links between the corporate strategy in the Policing Plan, the staff planning process and the identification of longer-term capacity-building needs within the organization. Staff planning, once fully established, should operate at two levels

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***At a strategic level, staff planning will seek to anticipate longer-term requirements that are generated by the Policing Plan...***

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in support of organizational objectives. At a routine level, planning should provide information about current staff resources and capabilities, thereby allowing the development of short-term plans to meet those current needs that are created by changes in the organization. At a strategic level, staff planning will seek to anticipate longer-term requirements that are generated by the Policing Plan, such as restructuring, modification of policing priorities

and objectives. Capacity-building must support staff planning at both levels in order to ensure that the police organization has the correct numbers of officers (and support staff), equipped with the necessary knowledge, skills and character traits, deployed in the right jobs in the right places. All of this will be guided by those priorities and objectives enunciated in the Policing Plan.

It can be seen that this reform framework necessitates the acquisition of information that forecasts the supply and demand for staff in detail, prior to attempting to formulate future staffing plans. Staff planning can be effective only when it is an integral part of the organizational planning process (i.e. the Policing Plan). Therefore, the Personnel Department or office responsible for police staff planning must be fully familiar with crime reduction targets, public satisfaction targets, local policing plans, priorities and key objectives of the organization, and projected changes in the level, nature and organization of police services.

A staffing strategy must take cognizance of a number of critical issues if the priorities and objectives under the Policing Plan are to be achieved within the target periods.

These issues include *inter alia* the need to collect data on staffing and staff views, pay and conditions, personnel procedures, personal performance reviews, career development, recertification and management development. These issues and their relationship to the Policing Plan will now be examined in greater detail.

**Staffing Review** - If not available, a staffing inventory should be prepared in order to obtain an accurate picture of the current staffing situation. This is a type of audit or stock-taking that identifies the numbers of police employees deployed in departments and stations, as well as their length of service, qualifications, sex, age, salaries and associated costs. Ideally, the inventory should also take the form of a skills inventory that identifies the professional and technical skills of the staff, their related educational qualifications and work experience. If not available on existing databases, the necessary data can be gathered by using questionnaires and interviews.

Once this data is gathered, the staffing review proper can begin by analysing past and present ratios and trends in the staffing, particularly in those areas identified in the inventory of skills and experience. Properly conducted, this work will result in an analytical report that allows senior officers to see the potential problems and opportunities for staff development in connection with attrition patterns, gaps in skills, inexperience and promotion policies. This will then be used to determine the feasibility of the desired changes and initiatives under the Policing Plan and indicate how the shortfall in skills can be remedied through recruitment and capacity-building.

A staffing review may have to tackle more controversial and unpleasant policy issues. In some transition states there may be police personnel who are associated with the former regime in a post-conflict situation: often the presence of these staff members corrodes the new philosophy and values of the reforming organization<sup>19</sup>. Where such officers represent an obstacle to the reform process it may prove necessary to develop a strategy to remove these officers through a planned early retirement process.

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***In spite of the uncertainties, police organizations should attempt to predict staff supply and demand patterns...***

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**Recruitment issues** – Police organisations in post-conflict societies normally face a considerable challenge in ensuring that the organisation reflects the ethnic mix of society in all its ranks. In addition to a strong political will and commitment from senior officers, this challenge can only be managed through a long-term staffing plan that begins with a review of the recruitment system and addresses the implications of a decision to move ethnic-minority officers into every layer of the organisation without compromising the need for promotion based on merit. There may be a reluctance among ethnic minority members to apply to join the police: this problem and the inevitable resistance of ethnic majority officers to accept the presence of the new officers must be addressed by a carefully considered strategy.

In some organizations the external job market and availability of new recruits may be an issue for consideration in the staffing review. If a police organization finds itself in competition with other employers in a limited pool of potential

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<sup>19</sup> Bayley, *ibid.*, 56

employees within a defined educational or background category, the review ought to investigate the potential supply of the right people from outside the organization. Although it will be difficult to arrive at a high degree of certainty, particularly over the long-term, the review should identify the sort of people the organization wants, the sort of people the organization has and what the organization can hope to get in the near- to long-term.

In spite of the uncertainties, police organizations should attempt to predict staff supply and demand patterns and, if necessary, consider alternative measures to improve the supply of suitable people (e.g. police career promotions in schools and universities, pre-selection education programmes). However, the current staffing requirements must be fully understood first before moving to a projection of future needs, as well as timeframes, the level of detail, and the assumptions about crime and socio-political trends.

**Pay and conditions** - In some transition states there is a problem in keeping skilled officers and encouraging quality recruits from all ethnic groups to join the service. Frequently the problem centres on the fact that remuneration and conditions for police officers are wholly inadequate. Whilst this might be the case across much of the government administration, it is particularly critical within the police service. Society demands that police officers uphold higher standards of integrity than is normally expected throughout society in general. The effort to defeat petty corruption must balance the demands on integrity with assurances that officers will have sufficient income to support their families through their normal work. This entails a thorough review of police pay scales and conditions and more creative measures to acquire the extra police funds required.

**Staff-attitude survey** - A staff-attitude survey seeks to trawl a broad range of useful data from police staff throughout the organization. Using carefully crafted questionnaires, this type of survey seeks answers to questions about the way the organization operates, job satisfaction, job dissatisfaction, managers and their working styles, perceptions about how the organization might be improved. They can be useful tools in discovering the causes of failure in policy decisions to increase the number of ethnic minority officers in all ranks and specialist roles. Although capacity-building needs are not the main focus of interest, the data acquired through such a survey can be very useful in identifying such needs. Often such surveys reveal significant indicators of individual attitudes, group values, the working environment, the performance of police managers and other specialist groups in the organization. This data can highlight capacity-building needs that might not be discovered through other types of survey or evaluation study.

**Personnel procedures** - If not already present, an organization that has embarked on a reform programme will want to develop a number of personnel procedures that are intended to identify capacity-building needs or to explore workplace problems that might, at least in part, be remedied through capacity-building interventions. In a most basic form these procedures tend to focus on the problems and needs of individual officers (or support staff) and later evolve into more proactive and future orientated methods that can be used at the occupational and organizational levels. When fully evolved these continuing personnel procedures include probationer (or graduate) performance reviews, performance appraisal, career planning and development, promotion assessment schemes, succession planning, management development, workplace capacity-building and mentoring, and recertification.

Where they already exist, these procedural components should be subject to review in terms of the reform priorities and objectives, and the necessity of capacity-building support should be explored. If supervisors are properly developed in the use of such personnel procedures, they can become potent tools in the successful achievement of targets for female and ethnic-minority representation at all ranks, as well as the management of behaviour and attitudes in the workplace.

**Career development** - A police reform organization will seek, in the long-term, to make the best use of the potential of all their staff through a coherent career planning and development system. The latter will envisage specific stages or critical points in an officer's career when a number of issues must be addressed:

- What is the officer's performance to date?
- What knowledge, skills and character traits does the officer demonstrate?
- What are the officer's aspirations and ambitions?
- What sort of policing experience does the officer have?
- What are the possible career moves available to the officer?

Answers to these critical questions should result in a personal development programme that may include training and perhaps a period of secondment, to develop experience in a desired specialist area or management function.

**Personal performance review (PPR)** - The otherwise routine and periodic discussions of a police manager and a subordinate officer about the latter's performance are formalised and structured in a personal performance review system. A properly structured PPR will formalise and standardise the best features of the informal chat and result in one of two types of action plan: namely, remedial or developmental action plan. A remedial action plan is likely to include a new or remedial capacity-building initiative designed to assist an officer to meet the requirements of his or job and related standards. Developmental action plans can include capacity-building programmes as a means to enable an officer (or support staff member) to cope with new responsibilities or tasks. Such developmental initiatives are particularly useful when they form part of an officer's career development plan or leadership development plan.

**Probationer performance reviews** - It is common practice in police organizations for police recruits in their first year or so of service and certain ranks above the basic rank, to complete a probationary period before being certified or confirmed in that rank. The performance of these officers is closely monitored during the probation period and remedial capacity-building can be provided if the performance falls below the required standard. The monitoring process often closely mirrors the ordinary personal performance review except that it occurs at greater frequency and focuses on a broad range of basic skills defined in the job profile for that rank. These schemes should also include highly structured workplace capacity-building and mentoring. Such capacity-building should be guided by common standards and indicators that correspond to the defined knowledge, skills and character traits in the job profile for the relevant rank.

**Recertification** - Within the job profile of a patrol officer (the basic police rank) there are certain skills that relate to the safety of the public and police officers. These 'safety critical' skills include the use of firearms, self-defence techniques, emergency response driving and First Aid and must be recertified at regular intervals. Recertification involves proficiency tests that are used to assess the amount of knowledge and the level of skill of officers in these safety critical areas and are normally tasks that relate to likely operational demands. The rationale is simple: a lack of proficiency in such skills may result in a danger to lives, whether those of the public or those of police officers. The frequency of recertification is a matter of policy, devised within the very real constraints created by the costs in terms of resources and abstractions from the workplace.

**Management and leadership development** – As in other large and complex organisations, the organizational change implied by a long-term reform process in a police organization is directly contingent upon the capacity of its police managers<sup>20</sup>. The layers of policy decisions and objectives within the Policing Plan will remain dead and lifeless documents unless animated by a committed and motivated management team that can implement change through a range of leadership and management skills. Management development is a specialised form of career development, in which a police organization will try to ensure that it has sufficient managers of the best possible standard. It does this by introducing a systematic process of developing the performance potential of police managers through capacity-building, education and management experience plans.

In addition to a personal performance review procedures, the performance needs of managers are increasingly identified through the use of assessment centres that evaluate acquired skills and reveal gaps or weaknesses in performance. In spite of the name, an 'assessment centre' is a method or a process rather than a location. It normally consists of a series of individual and group activities, such as simulated exercises, interviews, case studies, discussions, work-related challenges and games. They are intended to generate information about an officer's personal and managerial strengths and development needs that are then collated and used to provide feedback to the participants and to suggest skill development programmes. Alternatively, assessment centres can be used to identify innate leadership qualities, such as personal initiative, problem solving, moral courage, and team building. These can be useful as a tool to identify natural leadership potential, as part of a much broader strategy to identify future leaders within the organization<sup>21</sup>.

The data drawn from a consideration of these issues needs to be brought together and analysed in terms of the short-term and long-term change measures under the Policing Plan. The process will be assisted if the priorities and objectives are presented in a manner that can be easily interpreted in terms of police staff involvement: in other words, the number of officers and support staff required in specific jobs and the nature and level of the necessary skills. In addition, the process

<sup>20</sup> Bayley, D.H (2001) *Democratizing the Police Abroad: What to Do and How to Do It*, Washington, National Institute of Justice, 20

<sup>21</sup> The *Management and Leadership Development Division* of KPSS successfully implemented an assessment centre designed to identify such innate leadership skills in 2004. This was designed to assist KPS Personnel in the task of identifying officers with leadership potential. See KPSS Annual Report (2004).

must take account of other factors, such as the organization of staff deployment, and their working methods and procedures.

The supply of police staff to fill ranks and specialist functions is an area where statistical and diagrammatic techniques can be used to analyse the future availability of suitable people. This involves examining attrition rates, recruitment patterns, ethnic and gender mix, age distribution and trends, promotion and transfers, and succession planning. It is important to clarify the level of detail needed, the timeframe and underlying assumptions before such an examination is begun.

The next step requires a careful comparison of supply and demand in order to reveal potential problems and opportunities that might have an impact on the organization's staffing strategy over the defined period. This will, in turn, allow senior officers to develop sound personnel policies based on the strategy. These managers must exercise good judgement in order to achieve a workable balance between the various policies. This might include, for example, use of compensatory policies such as increasing capacity-building resources in order to balance the projected low quality of police or support staff recruits. Once implemented, staffing plans should be assessed as to their effectiveness and the data fed back, to allow further changes to be made as circumstances and demands change.

# 3

## A systematic approach to capacity-building





# 3

## A systematic approach to capacity-building

### INTRODUCTION

In the preceding chapters a broad framework for police reform and the potential role of capacity-building in support of reform was explored. That framework consists of succeeding layers of policy development and policy implementation in an institution-building process. In addition, the way the institution-building process necessitates a varying degree of capacity-building interventions at each layer of policy implementation was identified. This necessity arises from the nature of policing as an activity that is directly contingent upon the performance of individual employees in terms of their workplace knowledge, skills and character traits – reform demands that the policy implementation results in tangible and often substantial changes in the way police officers do their work. A capacity-building measure involves identifying where the changes are required, as well as the exact nature of the required changes and how best to effect those changes within the practical constraints of a limited budget and available resources. This is a complex task. In this chapter one method of tackling this complex task in an orderly manner and following a series of rational steps will be summarised. This method will be called the systematic approach to capacity-building in police reform and the remaining chapters will describe each step in greater detail.

The key points of this chapter can be summarised as follows:

- Describing the general nature of capacity-building
- Describing the systematic approach to capacity-building and the place of training in that approach
- Providing a summary description of each step in the systematic approach and
- Identifying some of the challenges involved in the use of the systematic approach.

### THE NATURE OF CAPACITY-BUILDING

Prior to considering a structured approach to capacity-building in support of a reform programme, it will be helpful to pause and consider the nature of modern capacity-building as it applies to workplace skills. In many police organizations, particularly those in eastern Europe, there is some misunderstanding of the terms ‘capacity-building’ and ‘training’ and how they relate to education in general. Such

misunderstanding appears to be rooted in a common conception of 'education' as a means of acquiring status and recognition - since 'capacity-building' and 'training' cannot bestow status they are deemed to be of little or no value and dismissed as a method of preparing public employees for the workplace. It will be argued that this misunderstanding can and does create barriers to organizational development. Capacity-building and education are not mutually exclusive approaches to human development - both have a value when applied to the appropriate context and for the right purpose. Within the context of police reform capacity-building has the greater part to play in an organization that is trying to achieve very practical objectives. Let's explore this issue more closely.

By capacity-building is meant a planned and systematic effort to develop or modify the knowledge, skills and character traits of police officers and support staff through a learning experience, thereby achieving effectiveness in a range of activities. The purpose of capacity-building is to allow police staff to acquire abilities in order to perform a given task to an adequate level or degree. It is a process whereby police staff acquire the necessary knowledge, skills and character traits through experience, reflection, study, instruction and practical assessment. When capacity-building is linked to clear organizational objectives and concomitant structural and staffing changes, it acts as a potent means of increasing the human potential to achieve those objectives.

In this sense, capacity-building should be sharply differentiated from education. In general terms, education consists of a process that enables a person to assimilate and develop knowledge, skills, and values that are not related to a narrow field of activity and allow a broad range of problems to be defined, analysed and solved. Moreover, there are significant differences in terms of objectives, content, and impact on the students, uniformity of outcomes, immediate benefits and the links to organizational objectives. In order to better understand the relative benefits of education and capacity-building in police development, each of these issues will be considered in greater detail.

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***Within the context of police reform capacity-building has the greater part to play in an organization that is trying to achieve very practical objectives.***

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**Objectives** - In general terms, capacity-building will seek to achieve very precise learning objectives and education will seek more general learning objectives. Capacity-building involves the acquisition of skills, knowledge and character traits that directly relate to a workplace setting or specific job context. In this sense capacity-building is a job-orientated process of development, rather than a person-orientated process of development. Education has objectives that tend to be less capable of precise definition and more difficult to analyse and specify in terms of human performance. For this reason it consists of educating a student more generally and in a way that provides a foundation of behaviour on which the student is expected to generalise or to transfer to similar situations.

**Content** – Probably the most obvious difference between education and capacity-building lies in the course or programme content. Capacity-building aims to provide knowledge and skills and to inculcate the attitudes and character traits which are needed to perform specific tasks. Whereas education in general terms provides more theoretical and

conceptual frameworks that are designed to stimulate a student's analytical and critical abilities.

**Impact on the student** – As will be clear in later chapters, capacity-building seeks to achieve tangible and observable changes in participants within a short period of time, as well as verify that desired changes in participants have occurred. For its part education is not understood as a means to effecting specific changes that might be measured in the same way. Clearly education will influence a student's value and belief systems often in an unquantifiable way, as well as his or her conceptual and analytical skills. However, these changes are more likely to influence the student over a longer time period and in a more profound way than the results of capacity-building.

**Uniformity of outcomes** - Capacity-building seeks to achieve a large degree of uniformity in the acquisition of specific skills, knowledge and character traits within limits imposed by the need for the individuality of the participants. The purpose of education tends to be quite different. It strives to increase the variability of outcomes by teaching in a manner that encourages individual students to behave or perform in a way that is particular to each.

This difference is linked to the nature of capacity-building as a means of developing workplace performance in a uniform manner in pursuit of organizational objectives. In this way capacity-building tends to adopt a mechanistic approach: it uses standardised instruction, reinforced by practice and repetition, in order to obtain uniform and predictable responses and outcomes. Education, however, utilises a more organic process of study, reflection, lectures and tutorials that seek to bring about far less predictable changes in students.

**Immediate benefits** – A range of potential benefits can be gained by organizations and individuals from properly planned and effectively conducted capacity-building programmes. Individual employees can benefit in many ways: greater job satisfaction - both intrinsic and extrinsic - can be gained. Intrinsic job satisfaction comes from being able to perform a job well, as well as gaining a new compliment of work-related skills. In terms of extrinsic satisfaction, there is the prospect or arrival of increased earnings, through enhanced career and promotion prospects, both within the current organization and outside the organization. In addition there are benefits for the organization: improved employee performance and productivity, shorter job learning periods and the reduced costs that follow, are among the benefits for the organization.

Other than its relationship to certain professions, the benefits of education are generally less specific and less tangible. It is true that in certain areas of professional life, the acquisition of a university degree continues to represent a distinct advantage or a necessary prerequisite. However, many employers now recognise that possession of a degree alone does not prepare employees for the workplace and additional capacity-building is required to bridge certain skills gap. This is increasingly apparent in the legal profession, teaching, areas of the medical profession, and management.

**Link to organizational objectives** - Capacity-building can contribute to the organization's ability to achieve its objectives through preparing employees to perform a task more effectively. Moreover it can play a more long-term strategic role, directly and indirectly. In terms of the direct role, the actual capacity-building content can drive specific objectives. Capacity-building can move away from a concern with providing specific skills and focus on leadership, group and organizational issues. This, it will be argued, is the area of primary concern in police reform programmes at the present time. Transition states will seek to achieve objectives and performance targets under the Policing Plan: these will be achieved by the police officers, working with and for the population. These police officers will often require capacity-building that is closely linked to the achievement of those objectives and targets. Organizational development can be viewed as a long-term, planned and universal effort to improve an organization's performance in respect of its key objectives.

Clearly, however, a police organization must make educational assumptions in two important areas. Firstly, the job profiles for junior ranks must assume certain basic educational requirements as a prerequisite to induction training (e.g. reading, writing and basic arithmetic). Secondly, the job profiles for more senior ranks can be greatly enhanced where the organization can make assumptions about higher education attainment in certain fields (e.g. management studies or law or criminal justice studies).

Thus, both education and capacity-building have a place in the staffing strategy of a police organization. It is a central argument of this book, however, that a strategy of police staff development that is only based on education cannot hope to provide the necessary skills to achieve organizational priorities and objectives. It is recognised that a model that views police development as being primarily driven by capacity-building is in conflict with traditional models of 'police education' in the former Yugoslavia and other eastern European countries. The latter model was inspired by a conviction that police officers, like other state employees, are best prepared for their work through a formal programme of education. For junior ranks this would involve entering a police high school at the age of fourteen and spending four years studying geography, history and other subjects that form the standard curriculum of secondary education. For senior officers it would involve a period two or three years in a police academy, pursuing higher academic studies.

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***...a strategy of police staff development that is only based on education cannot hope to provide the necessary skills to achieve organizational priorities and objectives.***

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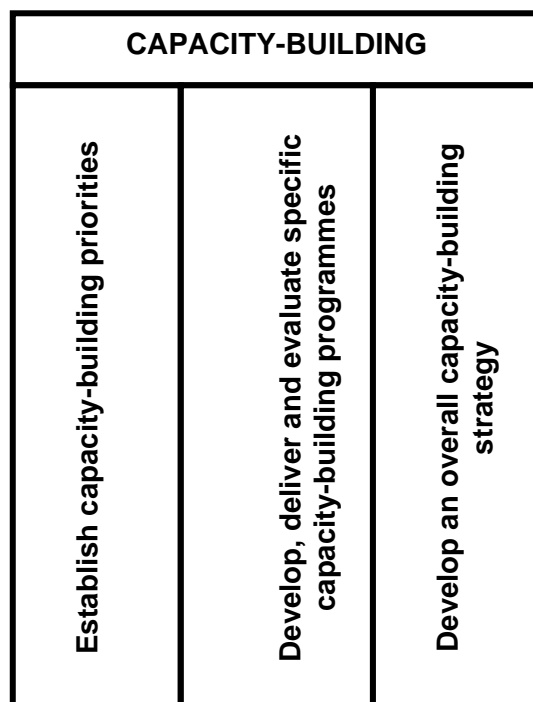
There remains a significant loyalty to this approach in many areas. Apart from those issues referred to above, the high school method of preparing recruits presents a democratic police organization with very important problems even if it is linked to modern training methods. The police high school model encourages a 'state-centric' tendency and defeats the principle of 'congruence'. Police recruits are isolated from the general public at a young age and tend to become detached from the values and expectations of society. As in a military organization, recruits lack experience of ordinary working life and develop an identity based on a set of values that are often idiosyncratic to the organization. Given that the educational programme of these high schools is based on a common curriculum in secondary education for teenagers, it is difficult to justify such an approach on the basis of the study programme alone.

An alternative approach – one that better serves a congruent and community-centric approach - is to recruit adults who have had the benefit of experience in other areas of work or university. This allows the police organization to better reflect the values and expectations of society in its ranks – officers will be more inclined to identify with society and less with the police organization as something removed and distinct from that society. An additional benefit – one that will be discussed in more detail later – lies in the nature of capacity-building as an adult education technique. Capacity-building programmes tend to be more productive when the target group comprises adults of varying ages, life experience and value systems. Democratic policing consists of a finite range of practical skills, many of which are found in different professions and in varying degrees in the majority of adults who are not police officers: communication, decision-making, problem-solving, conflict resolution. Developing these ‘life’ skills to consistent standards is much easier with groups of adults with disparate backgrounds since they can feed the learning process with their own life experiences. Clearly this is not possible with a group of teenagers who lack any significant life experience.

**THE NEED FOR A SYSTEMATIC APPROACH TO CAPACITY-BUILDING**

Most public and private sector organizations rely upon skilled workforces to achieve their objectives. Capacity-building is the primary means by which many of these organizations initially build, then develop and enhance the potential of their employees through the acquisition of skills. If it is to be cost-effective and rooted in organizational needs, such capacity-building must follow a rational and structured approach.

**Figure 3.1: The three pillars of capacity-building**



A police organization of more than 6,000 employees that is embarking on a reform programme must be equipped with a sophisticated and intelligent capacity-building strategy. Thus far such a strategy has been characterised as consisting of three essential pillars that correspond to critical tasks: establishing priorities within a potentially large pool of capacity-building needs, then developing capacity-building programmes in respect of the prioritised areas, and finally developing a management strategy that will allow these capacity-building programmes to be implemented within the context of the budget and resource constraints. This process, represented in Figure 3.1, is a composite approach: the capacity-building pillars are totally inter-linked and cannot operate independently. The pillars combine to achieve the desired capacity-building measures in a way that ensures that the Commissioner can focus on priority areas in a cost-effective way.

In this Chapter the way these three pillars operate will be elaborated on more fully. In essence our approach is a development of that traditional and proven approach to capacity-building which involves identifying performance gaps, developing and implementing capacity-building interventions in a staged and rational manner. According to this approach – often called the systematic model - a number of technical tasks are required to move an employee (or group of employees) from one level of performance to a more desirable level of performance. Much has been written about the systematic model and there are a number of variants in terms of the number and nature of technical tasks.

What is described in this book is a further adaptation of the model, one that will allow capacity-building interventions to be developed in support of the institution-building tasks in the reform programme. A capacity-building programme in support of reform consists of the following inter-related steps:

- Establish capacity-building priorities
- Analyse police tasks, create job profiles that identify performance standards
- Identify gaps in police performance
- Create capacity-building specifications
- Select design and delivery systems
- Evaluate and assess the impact of the capacity-building
- Develop an overall capacity-building strategy

The systematic model centres attention on the need to manage capacity-building interventions in a structured and disciplined way, and consists of a logical relationship between the sequential steps in the process of prioritising areas that need capacity-building, investigating performance gaps, designing and delivering capacity-building interventions, evaluating the programme and developing a management strategy for the whole process. The word systematic is used to characterise the emphasis on logical and sequential planning and action.

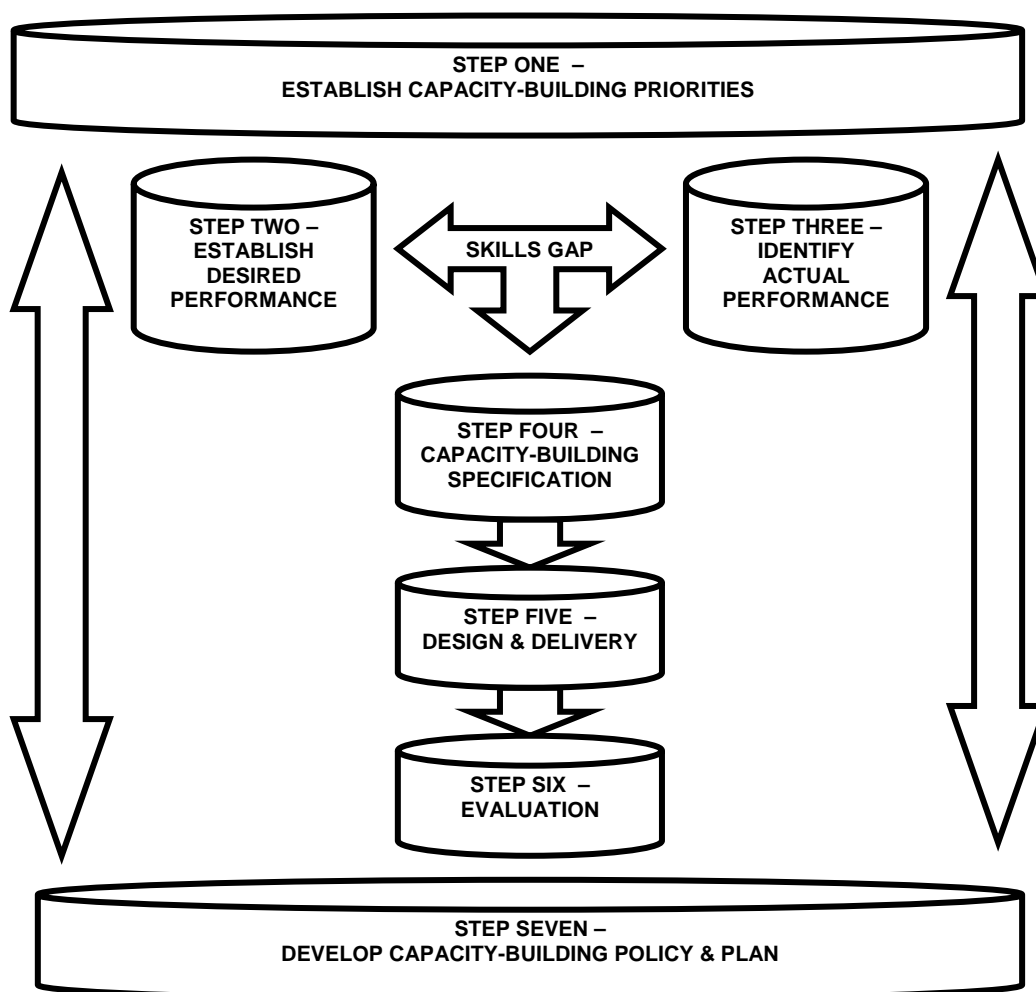
A police capacity-building specialist will only decide to apply a systematic approach to capacity-building when it is clear that this is the most appropriate way to overcome an existing or anticipated gap in performance. As discussed earlier, this is not a simple decision to make and police managers must employ a range of methodologies prior to making such a judgement. Each step of the process shown in

the model will now be described briefly: later chapters will describe the key areas in greater depth.

### Step One: Establish capacity-building priorities

Chapter 2 explored the critical role of structural change and its links to staffing change in the reform process. This ought to include a consideration of the strategic links between objectives under the Policing Plan, organizational structures and issues such as staffing reviews, recruitment, pay and conditions, staff-attitude surveys, personnel procedures, career development, probationer performance, and recertification.

**Figure 3.2: An overview of the systematic approach to capacity-building**



As indicated in Figure 3.2, a systematic approach to capacity-building will commence with a process of setting priorities in capacity-building. In a large police organization it is neither realistic nor prudent to attempt a capacity-building programme that seeks to remedy performance failures in every area of the organization at the same time. Resource constraints will make this impossible and, in any event, the Policing Plan objectives will tend to focus the effort and dictate that some areas of the organization will require more development than others. What is, therefore, required is a global

review of the organization's performance in terms of the Policing Plan objectives. This begins with data collection.

In Chapter 4 the data collection task will focus on five areas: staff planning, promotions and succession planning, performance management systems and critical incidents. Each of these areas must be closely examined as valuable sources of data about the ability or inability of police staff to achieve organizational objectives. This is the first step in the use of capacity-building as a potent tool in staff deployment, since it allows specialists to provide the Commissioner with valuable data about where the organization is in terms of its capacity to achieve objectives under the Policing Plan.

### **Step Two: Analysing police tasks and identifying standards**

A systematic approach then moves to a study of particular police ranks and functions and the way in which they link (or fail to link) with the objectives of the organization under the Policing Plan. This involves analysing police functions in terms of their purpose and the individual contributions required to fulfil that purpose. In Chapter 5 it will be seen how this task requires that job profiles (analytical studies of the skills, knowledge and character traits required to do a job) are devised and job descriptions are reviewed and revised in the light of these specifications. This process also relates back to structural and staffing changes when it results in recommendations that certain ranks or functions are abolished as obsolete or incompatible with organizational objectives. As will be seen, job profiles that are properly crafted provide an excellent framework of personal performance standards and indicators that allow capacity-building specialists, supervisors and the officers in question to identify areas of poor performance. In addition, a job profile provides a firm basis for the learning objectives used within induction, remedial and recertification capacity-building programmes.

A closely linked task of the capacity-building specialist is that of target group analysis – namely, identifying who needs to be developed, what their needs are and what their special characteristics are. In large police organizations these issues can often be overlooked or ignored. A lack of individual or group capacity in police organizations may result from a range of causes. Step two in the systematic approach demands that the specialist is accurate in targeting capacity-building inputs where they are required, in targeting the actual needs of the identified group and delivering the capacity-building in a way that fits with the special characteristics of that group.

Capacity-building is an expensive remedy to poor police performance, in terms of abstractions from the workplace and capacity-building provision costs. It is therefore incumbent upon specialists and police managers to demonstrate that capacity-building inputs are effective. Capacity-building is only effective if it can clearly demonstrate that it has moved the organization toward the achievement of its priorities and objectives. This necessitates the creation of objective standards and realistic methodologies for measuring the attainment of those standards. It is vital that the standard or level of performance expected of a competent police officer (in the relevant role) is properly clarified and is used in the capacity-building design phase. There is little or no value in using various forms of analysis to merely indicate the content of a police job: without an identification of a performance standard the subsequent capacity-building will – like a ship without a rudder - lack direction and efficacy. It is the job holder and his or her immediate line supervisor who will provide the most reliable data about the performance standards and measures for a particular policing job. Such criteria ought to be ascertained in the early stages of the investigation and the collected data should be fed into the objectives before



considering the exact capacity-building strategies. These issues are also addressed in Chapter 5.

### **Step Three: Identifying gaps in police performance**

The next step in the systematic approach involves a process whereby capacity-building specialists investigate and analyse the 'gap' between actual and desired police performance, in terms of the required knowledge, skills and character traits. Having identified in the previous step the 'desired performance', it is necessary to identify the 'actual performance' in the workplace. As will be seen in Chapter 6, this process entails collecting data about the conduct of a specific police job using a variety of sources and techniques, including observation, interviews, questionnaires, focus groups, and contact groups. These are among the more common methods employed and the choice of the most appropriate and suitable technique will depend on the nature of the policing job under consideration and the number of officers doing the job.

The various analytical tasks will accrue a substantial amount of data about the relevant police jobs and tasks and the performance of the staff that perform them. This should reveal a *lacuna* between the actual and desired performance of the staff and thereby identify the capacity-building need and the basis of the capacity-building content. In practice this is a necessarily selective process: it is often neither desirable nor practical to include everything. A skilled specialist will carefully select out those things which an officer ought to be capable of performing and those things which are less important but beneficial within a particular policing job. That selection process will be influenced by the perceived constraints that are identified, under the scope and objectives of the capacity-building project.

### **Step Four: Creating capacity-building specifications**

As a result of Steps 2 and 3 the capacity-building specialist will have identified the *lacunae* or gaps in police performance. These gaps are organizational needs or areas in which development of capacity is required in order to achieve organizational objectives. As stated earlier, these organizational needs will refer to a number of developmental areas: legislation, procedures, organizational structures, and capacity-building. The latter is only one possible remedy. Where capacity-building is identified as an appropriate and necessary means of achieving development, the specialist will create a capacity-building specification – the initial phase of developing a capacity-building programme and the subject of Chapter 7.

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***A skilled specialist will carefully select out those things which an officer ought to be capable of performing and those things which are less important but beneficial within a particular policing job.***

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At the heart of capacity-building lie the learning objectives. The latter demand a good degree of skill and care if the capacity-building programme is to prove effective. They are short and precise written statements that describe unambiguously what it is that the participating officers are expected to be able to do as a result of a learning experience. Properly drafted objectives will incorporate three components. Firstly, an objective must state the performance which is expected of the employees in terms of the skills and knowledge required for their job. Secondly, an objective describes the conditions under which the performance is carried out and includes details of equipment, aids and environment. Lastly, it lays down the standards of performance which officers are expected to achieve by the end of the programme.

### **Stage Five: Selecting design and delivery systems**

Once a capacity-building specification has been defined, the specialist must move to the process of identifying the most appropriate and cost-effective system of achieving the learning objectives: i.e. the best method of moving participating officers from one performance level to another. Modern adult education offers an increasing range of options. Chapter 8 will discuss some of the more commonly used methods in police organizations, as well as their relative merits and drawbacks. At this stage it is also vital that the capacity-building specialist considers the principles of learning and such factors as physical arrangements and resources. The ability to recognise and correctly apply learning principles is important in forming a rational link between writing objectives and selecting capacity-building methods that will prove effective. It is this link that will help to ensure that the objectives are fully realised.

The design of a capacity-building programme is a complex task and involves a curriculum development specialist. It involves the translation of objectives and strategies into a coherent programme of instruction and learning. This might not necessarily entail a residential capacity-building course, since the better option could be a distance learning package – a more appropriate approach when the target group comprises a large number of officers (e.g. in the case of new police legislation). The curriculum specialist must be able to take a body of raw material from a subject matter expert and convert it into a coherent vehicle of learning, through use of a range of methods and strategies that use the principles of adult learning and adult learning styles. Where relevant and appropriate, the design should take cognizance of the possible need for pre-programme tests to ensure that the police staff can meet a common standard prior to starting the capacity-building programme (e.g. an ‘instructor development’ course might benefit from a selection test prior to starting the programme).

A closely related issue in the selection of appropriate capacity-building systems is the method of delivery. In most cases, a police organization will favour the use of residential programmes that rely upon police instructors to deliver the capacity-building. The intimate link between the efficacy of modern adult education techniques and the quality of the instructional staff will be examined in Chapter 8. Having the correct design and development of the programme subject matter is, of course, no guarantee of success if those tasked with the delivery lack the required skills. Success is largely contingent upon the use of technically competent instructors, something that is often overlooked<sup>22</sup>. Simply having knowledge of the subject, however comprehensive and technically competent, is not in itself sufficient. Instructors must be trained to use a range of teaching techniques, particularly student-centred and facilitative techniques.

Experience demonstrates that too often the importance of the instructor has been overlooked in otherwise excellent capacity-building programmes. Without the correct level of training and development investment, instructors fail to utilise the techniques envisaged in the capacity-building design. The deployment of effective instructors is problematic in some reforming police organizations. Police capacity-building (or ‘education’) in certain organizations has largely focused on a single method – the didactic delivery of information and facts. Within the context of a system that prepared graduates and the officer corps by ensuring that a quota of facts were acquired through a lecture-based regime, the didactic method was appropriate. However, a competency-based approach to capacity-building, as opposed to pure

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<sup>22</sup> Peake, G. (2004) *Policing the Peace – Police Reform Experiences in Kosovo, Southern Serbia and Macedonia*, London, Safer World, 40

education, places additional demands on a police instructor and requires specialist training and development if he or she is to succeed in achieving the learning objectives. Facilitation and the correct use of debriefing – critical instructor skills – are ignored and lessons become dry and lifeless lectures based on a purely didactic approach. As will be seen, this tendency frequently means that those learning objectives that relate to police attitudes and values – a critical area in the reform process - are not achieved.

### **Stage Six: Evaluation**

Too often capacity-building programmes are devised and implemented at great expense with no verifiable result. Evaluation is the most frequently omitted component of capacity-building initiatives in reform organizations – an ironic if sad fact, given the general intention of these exercises. If it is not possible to verify the efficacy of the capacity-building intervention through evaluation, the success or otherwise will always remain unknown. There are, no doubt, many reasons for this omission. Many police organizations do not evaluate their capacity-building or, if they do, they lack a systematic method. Although it might add a further tier of technical requirements to the specification, it will be strongly urged in Chapter 9 that the capacity-building should be fully evaluated in order to verify whether the objectives have been met. In order to be made effective, the evaluation methods ought to be designed early on in the developmental phase of the capacity-building programme. Thus, it is vital that the type of evaluation and persons responsible for design and implementation are identified in the specification.

As will be discussed in Chapters 10 and 11, there are four levels of evaluating whether a particular capacity-building programme has achieved its objectives: reaction level, training level, performance level and results level. The first level – the reaction level – is one in which the specialist will obtain the views of the officers about the capacity-building programme through questionnaires that look at factors such as the instructors' performance, the methods and the learning materials used. Whereas training level evaluation is a process whereby the participating officers' performance is measured to assess whether they have achieved the learning objectives, using a series of assessed exercises, assessment instruments and tests that objectively examine and verify progress. The data derived from the first two levels ought to assist in identifying areas of failure and success, as well as provide guidance on useful alterations, additions and modifications to the capacity-building programme as a whole.

Performance-level evaluation is perhaps the most important test of the effectiveness of the training as a capacity-building measure. Performance level evaluation is an external validation process that assesses whether the learning objectives have met

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***Many police organizations do not evaluate their capacity-building or, if they do, they lack a systematic method.***

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the needs of the officers, in terms of being able to perform specific tasks to identified standards. The whole purpose of the capacity-building intervention in a reform process is to enhance workplace performance and police officers should, therefore, be in a position to apply their knowledge and skills to the job. If capacity-building requirements have been properly identified within the framework of performance

standards, the officers' performance after the programme should meet an acceptable standard. A process of external monitoring, assessment and validation should be considered once the officers have had sufficient opportunity to put into practice what they have learned during the capacity-building programme. Where problems are identified in the workplace, the data gathered should lead to amendments and

changes being made to the programme, particularly in terms of methodology and content.

An additional benefit of evaluation at this level is the potential to acquire useful data about problems within the structure and organisation of a police service. For example, a programme focussed on decision-making and problem-solving skills for police managers might reveal poor workplace performance results because the prevailing management culture or existing chain of command procedures defeat the capacity-building objectives. This data should be fed back into the policy making process under the institution-building programme in the form of clear and appropriate recommendations that relate to legislation, procedures, organisational objectives, structural and staffing changes, and capacity-building for other groups.

Results level evaluation is perhaps the most important level since it attempts to measure the final impact of the capacity-building on the organization, in terms of its achievement of key priorities and objectives. It is also the most difficult level in terms of verification. This level requires the identification of concrete links between positive and verified improvements in the organization's performance and the capacity-building intervention. If the appropriate means of isolating the impact of various intervening factors are employed, there is scope for success in assessing the benefit of capacity-building at this advanced level.

### **Stage Seven: Developing an overall capacity-building strategy**

As indicated in Figure 3.1, there are strong and obvious links between the initial step of prioritising capacity-building measures and the final step of developing an overall capacity-building strategy. The first step is necessary in order to allow the process to focus on areas that the Commissioner considers to be of strategic importance under the Policing Plan – it is physically impossible to tackle every objective in the first year or two years! Once the priority areas are identified, the capacity-building specialists can set to work on the tasks of defining the desired performance levels, identifying the actual performance levels, and creating a capacity-building specification on the basis of the identified gaps between the actual the desired performance levels. The capacity-building specification will then inform the design and delivery of specific programmes that are intended to close the performance gaps. Evaluation methods will assess the extent to which these programmes close the gaps and build capacity in support of the reform process.

All of this effort will result in a catalogue of capacity-building programmes that compete for a place within a finite pool of resources – capacity-building facilities, training and development, instructional staff and limits placed on police staff abstractions from the workplace for capacity-building purposes. A further constraint is placed on capacity-building specialists by senior police managers who are frequently keen to see police staff developed quickly and tend to set difficult if not impossible deadlines for capacity-building delivery. These competing demands require the development of a detailed capacity-building strategy. Chapter 12 will discuss the various issues that must be considered when finalising a capacity-building strategy within the constraints of a reforming organization in a transition state. Each police organization will have its own set of resource problems and unique set of constraints and, since there can be no universally applicable paradigm for a capacity-building strategy, what is offered is a framework of critical factors that must be balanced against the policy priorities set forth in the Policing Plan.

## THE CHALLENGES OF IMPLEMENTING THE SYSTEMATIC APPROACH

Throughout this book the term ‘capacity-building specialists’ will mean the key actors and animators in the capacity-building process. It is appropriate to consider briefly who these specialists are. Most representations of the systematic approach to capacity-building do not refer to the need for the organizational prerequisite that allows the entire process or model to operate – a team of technical support staff. Yet this prerequisite is essential if the process is to be a continuous and sustainable feature of capacity-building in a police organization. These are the staff who manage and co-ordinate the performance gap analysis, devise the learning objectives, design and implement the capacity-building programme, develop instructors, and evaluate the programmes. They make the model work!

As those police organizations that have a technical support team will know, it is not easy to acquire or develop such staff. The necessary skills involved are not easily obtained in most parts of the world and, like policing itself, much of the necessary expertise is only obtained through experience over a number of years. Whilst the content of this book looks at the various tasks of these support specialists, the significant task of building all the skills they require lies well beyond its scope. The decision to refer to the support team is based on a desire to emphasise its importance in a police organization that wishes to use capacity-building as a pivotal tool in the reform process.

What has been covered so far amounts to a very brief sketch of those steps that, taken together, comprise a systematic approach or model of police capacity-building. In later chapters each step will be discussed in greater detail. At a first glance this model may appear to be an overly complex and lethargic remedy to poor performance in the policing workplace. The number of steps and the complicated tasks undertaken at each might seem both slow and costly in terms of resources.

In some cases, senior police officers may feel intimidated by the technical jargon and obscure language that is applied to an area that was formerly straightforward and simple – making police officers more effective on the streets. Throughout the EU and North America, capacity-building has developed its own technical language and jargon, thereby attracting criticism in the way that such jargon creates barriers and renders the whole process too complex for many in the world of policing. Of course, as in other areas of development in policing performance, the final test rests with public opinion – whether police performance meets the expectations of those they serve. It is argued here that, once properly understood and implemented, this approach can deliver results that meet public expectations.

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***...as in other areas of development in policing performance, the final test rests with public opinion – whether police performance meets the expectations of those they serve.***

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Used correctly, moreover, the systematic process is neither time-consuming nor obscure. With the support of a technical team, this model offers the specialist a framework in which to plan and work realistically within the constraints placed on resources, time and staff. It provides a structured approach in which nothing is overlooked and, where short cuts must be taken, it allows the capacity-building specialist to be aware of the changes and likely results. Moreover, it allows a flexible approach. Although the model has been described as a series of sequential and interdependent stages, there is no necessity to follow this sequence in every capacity-building programme. Contingent on the nature of the programme, a

specialist can start at any point in the model once a clear scope and objectives have been established in the capacity-building plan.

A programme that targets a large number of officers to perform a particular job for which no capacity-building exists (e.g. use of a new command and control computer system) is likely to require the specialist to work through every step of the process. Whereas, a specialist who is confronted with a problem in which police officers are performing tasks badly after a capacity-building programme (e.g. civil disturbance management), is advised to move to the step that reviews the learning objectives and programme content. Once this model is adopted, a police organization will, on the basis of growing experience, allow its capacity-building philosophy (evolved as part of its Policing Plan) to guide capacity-building specialists in their use of the systematic process.

# 4

## Establishing capacity-building priorities





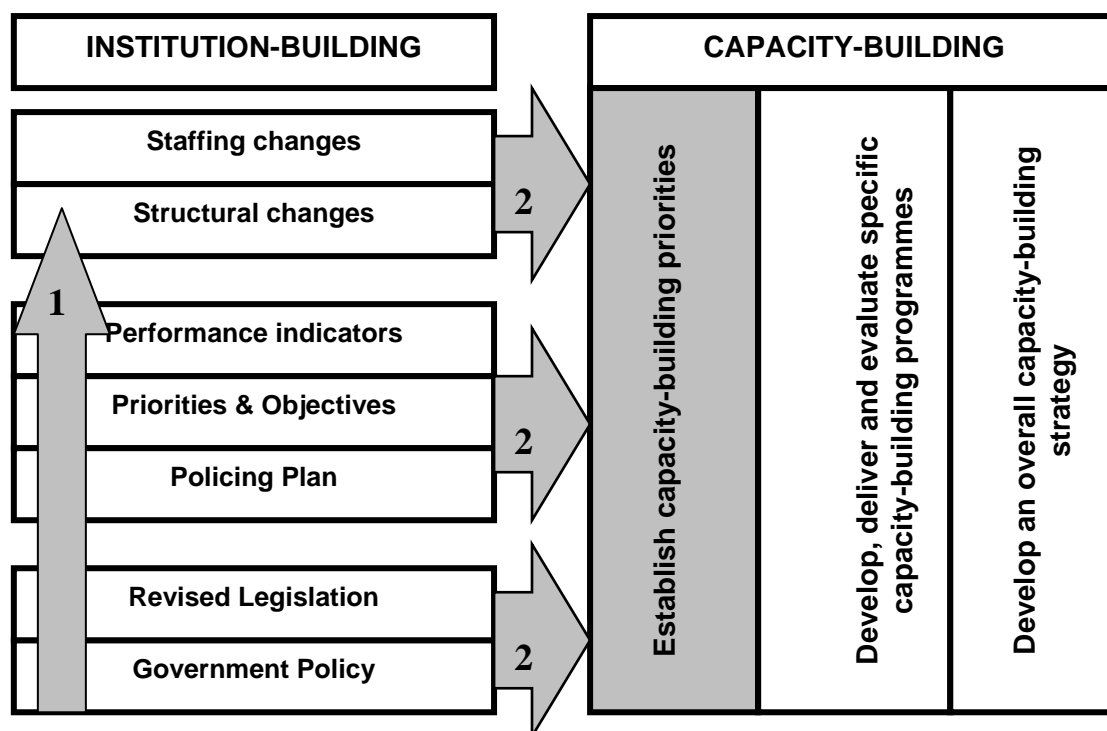
# 4

## Establishing capacity-building priorities

### INTRODUCTION

An organization is only as good as the people it employs and this is especially true of police organizations. Like many service sector companies, a police organization relies almost completely upon the skills, abilities and motivation of its staff in order to achieve its corporate objectives. Although police officers and support staff might use machines and technology in order to perform their functions, a cursory examination of their tasks reveals their nature as structured and skilled human activities. Where there are gaps in the skills of individuals and groups, a police organization will be less rather than more efficient in achieving its objectives.

*Figure 4.1: The pivotal task of setting priorities*



Performance indicators and corresponding targets will provide the Commissioner with vital data about the ability of the organization to achieve these objectives. Where there are failures in performance and reasonable standards are not being met, the

Commissioner must look for a strategy to remedy the poor performance in the most rational and cost-effective manner – a capacity-building strategy.

In the first few years of a police reform process in a transition state the areas of poor performance will be more profound and numerous than in later years, given that the correct institution-building and capacity-building measures are put in place and there is the political will to pursue the reform over the long term. The poor performance revealed in the initial stages may seem daunting in terms of the scale and complexity of capacity-building effort. This problem of scale will be compounded by the often all too finite range of resources available to tackle the capacity-building effort and demand a carefully considered strategy that spans years rather than months. As discussed in the last chapter, the first step involves three tasks:

- a) gathering key performance data at the organizational, group and individual levels;
- b) analysing the data and evaluating the areas of capacity-building need within the broad framework of the objectives under the Policing Plan;
- c) prioritising those needs in terms of their importance under the Commissioner's policy guidelines.

This chapter will further explore these tasks as components of a prioritising process that will allow the Commissioner to focus the effort of the available resources in those capacity-building areas that will maximise the opportunities for success. As indicated in Figure 4.1, this prioritising process has a pivotal role in the entire reform programme. Unless the finite capacity-building resources are properly focused in accordance with reform objectives and policy priorities, the effort will become fragmented and dissipated. This in turn will result in a poorer response to capacity-building interventions and threaten a withdrawal of political will for the reform programme in the long term. It is vital that capacity-building measures reap tangible results in the first few years, thereby capturing and maintaining the support of the public, police officers and politicians.

The key points of this chapter can be summarised as follows:

- Describing some categories of capacity-building needs
- Identifying useful sources of data on capacity-building priorities
- Identifying criteria for prioritising capacity-building needs.

## **CATEGORIES OF CAPACITY-BUILDING NEEDS**

In general terms, police capacity-building is used in response to two kinds of organizational need: reactive needs and proactive needs. The former arises out of an immediate and urgent performance gap that has a behavioural cause that has been identified and separated from other possible causes. For example, a European police organization in the 1980s experienced a string of incidents in which officers fired warning shots into the air to stop fleeing hand bag thieves, resulting in the death or injury of innocent members of the public who were struck by ricocheting bullets. This demanded an urgent response in terms the relevant police procedures and reactive development in the use of firearms.

For its part, proactive capacity-building is the product of a police organization's Policing Plan and related performance standards. It takes the long term view, seeking to service organizational needs over a number of years rather than months. It will result from a growing understanding of changes in police culture, the ethnic and gender mix of the organisation, the demands of human rights legislation, crime patterns, the prosecution system, technical developments, public expectations and succession planning. The police reform process, as discussed, is essentially a 'top-down' process. Once the long term Policing Plan is agreed, capacity-building specialists will assist senior officers in clarifying capacity-building needs according to the level at which the needs occur within the organization. In a structured approach, performance needs are classified at the three levels indicated in Chart 4.1.

<b>Chart 4.1: Levels of capacity-building needs</b>	
<b>At the organizational level</b>	Universal performance gaps are identified throughout the organization, as in a transfer from a 'state-centric' to 'community-centric' model of policing.
<b>At the rank or group level</b>	Specific ranks or specialist teams of officers (or support staff) are identified as having particular performance needs.
<b>At the individual officer level</b>	Individual officers (or support staff) display poor or inadequate performance in a particular rank or specialist role.

This classification might seem facile at first glance, but it offers a schema whereby senior officers can properly manage the capacity-building components of a large-scale reform process. An attempt to create a capacity-building strategy to move an established organization from one model of policing to another will first focus on the organization level in an effort to prioritise certain areas. However, in later stages it will include the group and individual levels as a means of dealing with teams and individual officers whose insufficient performance is tracked through a personal performance review process.

## **COLLECTING DATA THAT INDICATES CAPACITY- BUILDING NEEDS**

Capacity-building specialists must find readily accessible sources of data about organizational performance in terms of the Policing Plan objectives, then evaluate that data and present the findings in a manner that allows the Commissioner to prioritise areas of capacity-building need. The sources of useful data will vary from one organization to the next and specialists may have to think 'outside the box' in the effort to exploit formal and informal sources. Contingent on the structures of the particular organization, the following may be available and useful sources of performance data:

- Objectives and performance indicators

- Critical incidents
- Police performance management systems
- Staff planning
- Succession planning

Each of these will be examined in turn.

### **Objectives and performance indicators**

In Chapter 1 objectives and performance indicators and their critical role in a police reform process were briefly discussed. This structured approach to managing police resources and focusing them on areas of public concern is increasingly popular in democratic police organizations. Whilst there are a number of variants in this approach, it can prove a very potent police management tool in a reform process because it offers a framework for measuring performance that both the police and public can readily understand. For a transition state it has the added benefit of providing a useful structure for significant change in its police organization, as well as providing critical data on poor performance areas that can become the focus of capacity-building effort. It is worth exploring further the opportunities that this approach creates in allowing the Commissioner to identify and prioritise capacity-building interventions.

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***...it can prove a very potent police management tool in a reform process because it offers a framework for measuring performance that both the police and public can readily understand.***

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Since there can be no universal model for a performance indicator framework, a useful model that incorporates certain common features of this approach will be examined. This will help to explain the rich potential of the use of performance indicators and their link to capacity-building. This model has four main features:

- Reform principle/priority
- Reform objective
- Performance indicator
- Performance target

As discussed earlier, three key principles are identified in democratic policing – congruence, community-centricity and accountability – and they act as the governing principles of a police reform process. Closely associated to these principles are the priorities under the Policing Plan: these are signposts that point toward the desired state of the organization in the future and answer the question, ‘Where do we want to be?’ Thus, under the principle of congruence, a priority might be: ‘To fully reflect the society we serve in the composition of our staff.’ In order to achieve the priority under the Plan there will be one or more objectives that state points of action. The objectives must be both specific and realistic in order to move the general ambition contained in the priority toward a tangible reality.

As indicated in Chart 4.2, the priority of fully reflecting society in the police ranks might have two objectives in an organization that is moving from a ‘state-centric’ model to a ‘community-centric’ model. Such an organization (as in Serbia and

Montenegro in 2001) might be starting with very few minority officers and no female officers and this requires that the two issues of gender and ethnicity be managed as separate objectives.

The next step involves formulating one or more performance indicators in respect of each objective. This component of the matrix must be very carefully thought through since it is a device whereby police managers, the public and the government can measure progress in achieving the associated objective – it must be both realistic and readily capable of quantifiable measurement. Lastly, there must be an indication of the organization's current performance in relation to the indicator and a target which the organization will work towards. As in the example, the target must be realistic and achievable: if the starting point is 0.5% ethnic minority officers the target must take account of the need for a recruiting campaign, selection process and the time taken in an induction programme. The process of building toward an ultimate target of 15% - if this is the minority percentage in society – will take several years of concerted effort to achieve at every level of the organization.

**Chart 4.2: Example of a performance indicator matrix**

Principle/ Priority	Objective	Performance indicators	Performance (Previous 12 months)	Target (Next 12 months)
Congruence/ To fully reflect the society we serve in the composition of our staff	To increase the number of ethnic minority staff in the organization	Number of minority officers as a percentage of total number of officers	0.5%	3%
		Number of minority officers in junior ranks as a percentage of total number of officers in junior ranks	NIL	0.5%
	To increase the number of female staff in the organization	Number of female officers as a percentage of total number of officers	0.2%	3%
		Number of female officers in junior ranks as a percentage of total number of officers in junior ranks	NIL	0.5%

What is not addressed in the matrix example in Chart 4.2 is the capacity-building issue. Specialists will have to work with senior officers in identifying capacity-building needs both at the time the objectives are introduced and during periodic reviews. The introduction of ethnic minority staff may require a range of structural and capacity needs to be addressed, such as:

- Police procedures and insignia in two or more languages
- Changes to the organization's Code of Ethics so that discipline procedures can deal with ethnic-based and gender-based prejudice and harassment
- All police training and development provided in two or more languages
- Mixed gender accommodation in residential training sites
- Capacity-building of ethnic minority officers as instructors

- Ethnic diversity development for all officers
- Managing ethnic diversity in the workplace development for police managers
- Gender awareness development for all officers
- Managing gender issues development for police managers.

The capacity-building issues should not be underestimated or ignored. In the above example, it would be foolhardy to ignore the need to tackle the attitudes of the majority of officers in a majority male organization that is dominated by one ethnic group<sup>23</sup>. Simply recruiting and providing induction training and development to ethnic minority and female officers and allowing them to sink or swim in a potentially hostile workplace is not enough. What is required is a significant shift in the attitudes of the majority of officers at all ranks through a structured and intensive capacity-building programme over a number of years. As a final step, the capacity-building measures should be included in the matrix of objectives and performance indicators under the main Policing Plan, thereby recognising and reinforcing their critical role in the reform process. Chart 4.3 provides an example of how this might be done and again recognises that the targets must be realistic and recognise the constraints imposed by limited capacity-building resources and staff abstractions from the workplace.

**Chart 4.3: Example of performance indicators that relate to capacity-building**

Principle/ Priority	Objective	Performance indicators	Performance (Previous 12 months)	Target (Next 12 months)
Transparency/ To fully reflect the society we serve in the composition of our staff	To increase the number of ethnic minority staff in the organization	Number of minority officers as a percentage of total number of officers	0.5%	3%
		Number of minority officers in junior ranks as a percentage of total number of officers in junior ranks	NIL	0.5%
		Provide ethnic diversity training & development for all officers.	NIL	40%
	To increase the number of female staff in the organization	Number of female officers as a percentage of total number of officers	0.2%	3%
		Number of female officers in junior ranks as a percentage of total number of officers in junior ranks	NIL	0.5%
		Provide gender awareness training & development for all officers.	NIL	40%

Each objective and corresponding performance indicator under the Policing Plan should be carefully scrutinised by specialists in terms of the capacity-building needs they create. As the reform process moves into its second and subsequent years, this work will increasingly focus on the performance in the previous twelve months.

<sup>23</sup> Peake, *ibid.*, 14, 33

Where performance proves very poor against the target, senior officers must explore all the actual and potential causes. This will include examining the possibility that the poor performance is related to a lack of knowledge, skills and appropriate character traits in some or all officers, contingent on the area(s) of the organization responsible for the objective. For this reason it is essential that capacity-building specialists are consulted at the time of reviewing performance and setting new targets.

### **Critical incidents**

Whilst the use of objectives and performance indicators belong to the realm of planned organizational needs, critical incidents occupy that ominously large domain of unplanned policing needs. Such incidents and occurrences usually take a negative form: riots, civil unrest, inter-ethnic violence, or a new form of organised crime. They may also arise from a new piece of legislation that demands a significant shift in police resources or restructuring. All of these are critical incidents within a police organization and, as often as not, they give rise to the need for a review of performance and sometimes a reactive capacity-building measure.

Can critical incidents be used to identify and prioritise capacity-building needs in a proactive sense? The use of the word 'critical' indicates that these events in the life of the organization are significant at the organizational and group levels. However, there are occasions when the poor performance of one individual can generate a critical incident, such as a fatal traffic accident caused by an officer speeding to an incident or the shooting of a member of an ethnic minority community by border police officers. In many cases these incidents reveal *de facto* performance failures that are linked to current capacity-building needs: e.g. a failure to introduce a recertification programme in relation the use of firearms or managing unlawful border migration.

In view of the urgency of these events there is a natural instinct to turn to a 'quick fix' solution. In other words, senior officers demand a remedy in an impossibly short timeframe, one that usually fails to rectify the root causes of the problem. The resulting capacity-building intervention tends to have unclear objectives and an impossibly large target group. Unless the real causes of the critical incident are properly identified and understood, it will be unlikely that an appropriate course of action will be adopted. A structured and objective analysis is required. This should look at the root causes and an identification of those causes that relate to police performance, police equipment and procedures. A thorough analysis of the problem will allow senior officers to properly prioritise the required remedial action, whilst taking into account the scale of the need (organizational or group level) and the consequences of taking no remedial action or making only a modest institution-building or capacity-building response (another riot or another accidental death).

### **Performance management systems**

Performance management systems are a relatively recent development in many police organizations. In essence a personal performance management system attempts to create links between the strategic goals of the organization and individual and group performance, helping to ensure that the criteria for evaluating individual performance encourages the behaviour required by the reform objectives under the Policing Plan<sup>24</sup>. This is achieved through developing competencies that clearly serve the priorities and objectives under the Policing Plan, thereby improving individual, group and therefore organizational performance. This is done by identifying objectives and indicators that are contingent on individual competences and then supporting police staff to attain the necessary skills through capacity-building

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<sup>24</sup> Bayley, *ibid.*, 24

measures and constant monitoring. The use of personal performance plans and development reviews are essential components of the process.

Marchington and Wilkinson offer a useful model that consists of a process in four stages in the process<sup>25</sup>:

- a) Identifying performance requirements;
- b) Providing active support to performance;
- c) Evaluating and reviewing performance;
- d) Identifying and fixing any gaps in performance.

Whilst stages (a) and (c) are often readily dealt with, stages (b) and (d) are often poorly addressed in police organizations. The third stage involves meetings between the individual and his/her line manager to evaluate and review the officer's job performance and agree any action required to improve that officer's performance in the future. It will also, in some cases, involve identifying actual development needs. Such meetings occur once or twice a year and should have the following components:

- A review of how the officer performed in meeting agreed targets and objectives over a defined period
- A review of performance in a number of specified competency areas
- Identification of any significant gaps in performance
- Discussion and agreement of required action plans in respect of poor performance areas
- Agreeing objectives for the next review period.

Under point (b) there will be a degree of variation according to the officer's rank and specialisation area. So, for example, a middle ranked officer might have to consider management skills, such as planning, decision-making, problem-solving, delegation, developing teams, motivation, resilience, and motivating others. Point (d) is the area where capacity-building may be considered as an appropriate remedy.

There is a danger that such personal performance review meetings can become too rigid and formal. Hopefully, both the appraiser and appraisee will already enjoy a good professional relationship, one based on mutual trust and respect. There should be no 'big surprises' in the review meeting. Any 'critical incidents' at the individual level should be dealt with at the time and not simply stored and archived until a formal performance review meeting is due. With the correct development all staff members should view these meetings as a natural component of good personnel management, one that views the individual as a valued asset within the organization.

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***The ability to acquire useful data about capacity-building needs from personal performance reviews is directly contingent on the quality of the data.***

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The main focus of interest in such personal performance reviews for the specialist is in discovering capacity-building needs: they should expose and highlight

<sup>25</sup> Marchington, M. and Wilkinson, A. (1996) *Core Personnel and Development*, London, CIPD



performance deficiencies that can be remedied through capacity-building interventions. In order to ensure a rounded view of each individual there should be, in addition to the immediate line supervisor's assessment, a mechanism whereby others who work with the officer can provide useful data. How this can be done in practice is more complex and requires a carefully thought out set of procedures backed up by adequate staff development.

The ability to acquire useful data about capacity-building needs from personal performance reviews is directly contingent on the quality of the data. In too many police organizations there is reluctance on the part of supervisors to be seen to be negative or overly critical of poor performers among their staff. It is easier to avoid confrontation or unpopularity by writing up a mediocre and sometimes patently false appraisal. Much has been written on this subject and there are many reasons for the inability of police managers to provide accurate and truthful assessments of their staff. However, in a police reform programme they cannot be ignored as a potentially valuable source of data. Where the existing scheme suffers from a lack of credibility senior officers are advised to review the procedures and need for further capacity-building: with the right effort and commitment they can be made a useful tool in developing individuals and the organization.

It is well noted that there is a real conflict in many policing organizations between two primary purposes of the personal performance review system: that of identifying capacity needs and that of assessing performance with a view to reward (i.e. promotion or a move to a specialist role). Whilst the latter might incline an officer toward hiding his/her performance shortcomings, the former will involve an honest discussion on areas of personal performance and the need for improvement through capacity-building. There is no doubt that the personal performance review – as used in practice – can be a far from transparent tool for the capacity-building specialist in the task of acquiring accurate data on capacity needs. Much work must be done in obviating the risk factors in the way the scheme operates and heightening the likelihood of obtaining quality data. It will help to consider the following points:

- Scrutinise the quality of the appraisal system as an engine of accurate, useful and relevant data about staff performance, as well as areas that need improvement
- Scrutinise the design of the procedures and forms as vehicles that identify (or otherwise) capacity needs
- Scrutinise the extent to which the procedures and forms encourage managers to identify the link between poor performance and the need to take action through capacity-building in a specific way
- Scrutinise the extent to which the procedures and forms encourage managers to identify the link between poor performance and the need to take action through measures other than capacity-building, and
- Scrutinise the extent to which the procedures and forms encourage managers to state the degree of urgency in the need for capacity-building.

As can be seen, much will depend upon the performance of the line manager in his/her appraisal function, as well as the quality of the procedures and forms.

The capacity-building specialist will need to consider appropriate systems so that capacity needs can be extrapolated from the performance review process. The mass

of data accrued through the PPR system must be properly recorded, analysed and actioned. Depending on the size of the organization this may necessitate the introduction of computer-based systems as the only effective method of analysing and storing such large amounts of personnel information. In a reform programme it is the data drawn from stage (d) (Identifying and fixing any gaps in performance) that is most important. If this data can be collated and analytically related to the organization's objectives, senior officers will have another important source of information in the task of prioritising capacity-building measures.

### **Staff planning**

As discussed in Chapter 2, staff or human resource planning must lie at the very heart of a police reform programme. A strategic planning process will be required to define the scale and character of activities that will be conducted by the police organization and this *inter alia* will identify the competencies the organization needs in order to achieve its objectives. Thus there must be a known and defined correspondence between the staffing plan and the needs of the overall Police Plan. A process of phasing out obsolete functions, creating new functions and redeploying officers to the new functions, will create significant capacity-building demands that must be prioritised by senior officers at an early stage in the planning process.

A critical aspect of any reform process is an assessment (or re-assessment) of the staffing levels across the organization. This may reveal some unwelcome indications that the organization is over-staffed in terms of its core objectives: this will present senior managers with difficult and unpopular decisions about staffing cuts and redeployment. What is required is a rational approach to the task of analysing staffing needs. Four key questions should be answered:

- How many police staff (operational and support) are required in order to meet its known objectives over a defined period?
- What sort of skills and competencies do the staff need in order to meet those objectives?
- Given the known wastage rates over the same defined period, how many staff will remain?
- What is the gap in terms of skills and numbers?

This simple analysis will reveal two general indicators for senior managers: (a) what is the level of the skills gap, and (b) the need to reduce or increase staffing levels in certain sectors. The data revealed in this analysis will form the basis of the personnel, recruitment and capacity-building plan. A well formulated staffing plan will be seen to integrate the central priorities of the organization and the values, attitudes and behaviour of the police staff. It will, moreover, consist of a carefully designed formula of policies and priorities that complement the quantitative analysis of skills and numbers. The desired outcome of this approach is a committed and competent group of officers who know how to translate organizational objectives into action.

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In many reforming organizations the task of analysing the work demands and the required numbers presents a major challenge, particularly where these organizations

are emerging from a state-centric model of policing in which operational police numbers were based on a perceived need to protect the key interests of the state from those citizens who would, knowingly or otherwise, subvert its authority. This resulted in large numbers of officers in the lowest ranks working with little or no personal initiative. In this sense, the state-centric model was more akin to that of a military organizational model: a large and armed organization designed to translate major policy decisions into action over a grand scale, through a disciplined rank and communication structure. Since the model could rely upon cheap labour, it tended to be extravagant and inefficient in terms of human resources. The human resource reform process must start with the middle to senior ranks within the organization. Their assessed ability to understand the reform process and translate it into action is a critical first step in the process<sup>26</sup>. However our concern here is not to deal with human resource planning but to explain how staffing plans can be used to as a potent source of data to identify capacity-building needs. The concern is to identify needs at the organizational and group levels, with a focus on the future needs of the reforming organization.

Information technology offers a wide range of support opportunities in staffing plans. With appropriate software, a computer can very quickly analyse numbers and staffing categories in accordance with operational policing demands. Strategic options can be fed into the analytical programme in order to evaluate the likely outcomes and the degree to which they will satisfy the strategic priorities of the organization. Once the staffing changes are identified from the organizational changes, the task of predicting the performance needs and the concomitant capacity-building needs is all the easier.

Police staff planning can be as complex or as naively simple as senior managers wish to make it. However, if controlled and structured in a rational manner it offers capacity-building specialists an opportunity to work in direct support of organizational strategic priorities and occupy a dynamic position at the point of organizational change. In other words, it can allow capacity-building to act as a potent vehicle of organizational change rather than an irrelevant right of passage to ranks and specialist functions. As with other sources of data, the analysis of capacity needs that result from staffing plans are likely to outstrip the finite resources of the organization over a period of 2 to 3 years and senior officers must evaluate those needs against other competing priorities.

### **Staff succession planning**

The next area of focus is on a particular area of staff planning and one that is critical in a reform process. Succession planning, like staff planning in general, should be

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***Succession planning, like staff planning in general, should be firmly rooted in the organizational strategy, creating a vital link between organizational needs and capacity-building needs.***

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firmly rooted in the organizational strategy, creating a vital link between organizational needs and capacity-building needs. The aim of succession planning should be to ensure that the organization has a sufficient supply of police leaders and managers to fill vacancies created by retirement, promotion, transfer, resignation and death. In addition, it should seek to provide for newly defined roles and responsibilities demanded by the

reform process. This implies that succession planning is not simply about filling vacancies as they arise but also about making firm predictions about future needs –

<sup>26</sup> Bayley, *ibid.*, 20

namely, determining the quantity and nature of future management skills required in a reform process.

The process of predicting future needs in terms of management and leadership skills is complex and difficult, as are the attendant capacity-building needs of this critical group. This is a pivotal group of employees in the reform process, where failure to deliver on the promised aims and objectives of the police organization can have a significant impact on public perceptions of the police – the ultimate benchmark of democratic policing. Succession planning must also address the needs of specialist roles and functions, such as criminal investigation teams and juvenile offender teams. In these areas there may be a limited pool of suitable candidates and longer-term planning is required to ensure that capacity-building interventions are made at the right junctures.

Unlike private sector organizations, the police traditionally draw future leaders and specialists from within the existing ranks. This combined with promotion procedures that place too much emphasis on serving time within certain ranks or specialities, tends to frustrate the need for those dynamic, youthful and energetic leaders who can push forward a reform strategy. Thus, certain transitional organizations might well consider alternative schemes to identify potential leaders from all parts of the organization and introduce 'fast tracking programmes' that will allow these potential leaders to be tested and acquire experience. Such rapid promotion schemes might benefit from systems that provide individuals with a wide range of experience across the organization and in a range of specialities. In this way, a pool of future leaders could developed from this flow of high-potential officers for undefined senior positions in the organization.

The capacity-building needs of the rapid promotion groups are more generic in nature than in traditional succession planning; the required capacity-building interventions should be aimed at developing generic management skills, a broad knowledge of the organization and its functions and a wide range of work experiences. The critical role of police managers in a reform process demands that the Commissioner actively targets the capacity-building needs of this group and provides support to schemes designed to identify and develop future leaders. This must be highlighted as a priority area when deciding a long-term strategy to build the capacity of the organization to meet its objectives.

## **PRIORITISING CAPACITY- BUILDING NEEDS**

Police reform involves much more than human capacity-building. Each and every organizational need must be analysed carefully and objectively and the broadest range of possible solutions (both institution-building and capacity-building) should be considered. It should also be kept in mind that most institution-building solutions themselves involve capacity-building to a greater or lesser degree. New legislation and procedures must be understood and implemented, new reporting practices require training and development if they are to be properly implemented, and new equipment equally requires suitable capacity-building. Of course capacity-building cannot fix bad law or bad procedures. Poorly crafted operating procedures and legal provisions can only result in poor performance irrespective of the capacity-building

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***It should also be kept in mind that most institution-building solutions themselves involve capacity-building to a greater or lesser degree.***

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intervention. As discussed earlier, the reform process is a multi-dimensional effort that tackles legislation, working procedures and practices, effective reporting and communication of key performance data, meetings and other methods of gauging public opinion and advice. The reform objectives generate a number of organizational needs and capacity-building is but one potential area of need.

Of course, resorting to capacity-building where it is not required is equally foolish and wasteful. The decision making process must begin by defining what constitutes a capacity-building need. If the following three criteria are met then a capacity-building need can be judged to exist as a priority:

**First criterion.** Following an initial analysis, human capacity-building is deemed to be an effective and appropriate means of bridging a perceived gap in police performance, whether used alone or in combination with other institution-building measures.

As discussed earlier, police performance problems may be caused by one of a number factors other than the lack of ability of individual police officers (e.g. alack of suitable legislation or working procedures), and capacity-building is not always the correct solution to every problem. However, with the right level of investigation capacity-building might be identified as having a potent role to play in improving performance, at the individual and group level. It may be discovered that capacity-building measures alone are required or that these measures will only be effective when combined with structural changes or new working procedures.

**Second criterion.** Within the context of limited resources, a capacity-building remedy that meets the first criterion must be given priority under the Policing Plan objectives.

There will be many capacity-building needs that meet the first criterion in a reform programme, but the available resources are unlikely to meet all the demands. Even over a period of 3 – 5 years the capacity-building strategy will be limited by a finite budget and the constraints imposed by limited staff abstractions from the workplace and limited training and development resources. For this reason, the Commissioner must be in a position to prioritise certain capacity-building needs in relation to the Policing Plan framework of objectives. Those issues discussed in this chapter must be carefully studied and analysed in the process of creating a list of capacity-building priority areas.

**Third criterion.** Capacity-building will only be used to support policing roles and tasks that have objectives that are clearly linked to the organization's objectives, as stated in its Policing Plan.

This criterion highlights a painful and unwelcome role for senior officers in a reform process. Certain police jobs that had significance under a previous regime may be regarded as redundant or superfluous or unwanted in a reformed organization. It would be totally inappropriate to regard a performance deficiency in redundant policing tasks as indicating a capacity-building need. The Personnel Department will have the challenge of removing officers from such redundant roles, after explaining the rational behind the decision and offering alternative career opportunities. This criterion will be explored in greater detail in the next chapter.



# 5

## Establishing new standards in core policing functions





## 5

# Establishing new standards in core policing functions

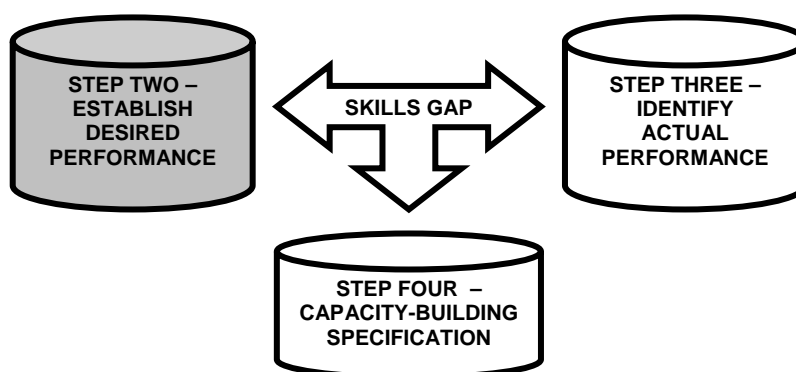
### INTRODUCTION

Except in the rare case of 'forming' a police service *de novo*, an organization is always in a formed and established structure, with broadly defined ranks and specialist functions. Where an organization seeks a radical approach to 'reformation', it will seek to review not just its structure but the functional roles of those categories of staff that operate within the structure. In this and the following two chapters a threefold process of reforming core police functions will be explored:

- establishing new standards in core policing functions;
- identifying current performance and comparing it with the new standards; and
- specifying the capacity-building needs of the relevant officers.

This process is depicted in Figure 5.1. The rationale behind this approach centres on the conviction that the organization cannot hope to properly specify what capacity-building measures are required without first identifying the skills gap at the group and individual levels. That 'skills gap' can only be known in a reforming organization through (a) establishing the desired performance in the form of detailed job profiles and (b) identifying those areas in which the actual performance of officers falls short of the desired performance.

**Figure 5.1: Threefold process of specifying capacity-building needs**



At the end of the process the organization will achieve a very precise capacity-building specification, one that delivers the correct training and development to officers and groups whose performance falls short of the desired standard. This chapter will commence with an exploration of the desired standard.

The key points of the chapter can be summarised as follows:

- Describing the nature and importance of job profiles in capacity-building
- Identifying a suitable structure for the organization's job profiles
- Describing a strategy for the development of job profiles and
- Identifying the key features of a job description.

## THE IMPORTANCE OF POLICE JOB PROFILES

A job profile has been defined as 'the combination of appropriate activities, knowledge and skills and relevant behaviours' (see Police Skills and Standards Organization, 2002, Competency Framework, [www.pssso.co.uk](http://www.pssso.co.uk)). Much has been written on the subject of job profiles (or job specifications as they are also known). However, experience has demonstrated that many of the available models prove too complex and unwieldy when applied to a police organization that seeks reform through an easily accessible programme of capacity-building. In this book the term 'job profile' is a compendium of skills areas for a particular rank or specialist police job - that which an officer or support staff member must be able to know and do in

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***Once a profile is in place it allows any performance gap to be identified and creates an objective basis for a detailed capacity-building specification to bridge that gap.***

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order to perform the relevant job to a certain standard. A skill area can be defined as that combination of knowledge, practical skills and character traits required in a given part of a policing job. Once a profile is in place it allows any performance gap to be identified and creates an objective basis for a detailed capacity-building specification to bridge that gap. A performance gap can be simple or

complex. It might compromise a whole set of skill areas (in the case of a police recruit) or a specific subset of character traits or practical skills or knowledge (in the case of a poorly performing probationer officer).

The process of identifying appropriate skills areas and their subsets is not arbitrary but driven by a desire to serve the organization's objectives under the Policing Plan. The general approach should be an analytical process that looks at the way in which particular policing functions relate – in terms of their purpose - to the overarching objectives of the organization. It is a technique whereby occupational areas are identified and described in terms of their overall purpose and the individual contributions that are required to achieve that purpose. Job profiles should be created accordingly in respect of every rank and specialist role or, in the case of existing profiles, re-shaped as a product of this process. Inspired by the general objectives in a Planning Plan, all policing functions are arranged in a hierarchy that directly or indirectly serve those higher objectives.

Of course the task of relating every policing job to the ultimate purpose of the organization requires the commitment and full cooperation of police staff at all levels. Once the Policing Plan is in place, the analysis will seek to identify those functions and roles within the police organization that are necessary to achieve its objectives,

such as community patrols, traffic patrols, border policing, criminal investigation, forensic investigation. As each function or role is analysed, its key skill areas can be identified and analysed in relation to actual work practices. Once the structure of the policing function is established, the analysis can address and identify the scope of the skill areas and list the different character traits, practical skills and areas of knowledge that apply to the performance of a task, as well as the performance criteria that define what amounts to competent performance.

There are essentially three main stages in the process of generating new job profiles in the reform process. Firstly, a reform organization must decide upon the structure of its job profiles – both staffing strategies and capacity-building programmes will rely heavily on a consistent structure that allows the interrelationship and links between skill areas to be readily identified. Secondly, the agreed structure will guide capacity-building specialists in the process of gathering the raw data required in developing initial profiles and refining them in response to changing organizational needs. Lastly, the draft versions of initial and amended job profiles will require an identification of suitable criteria that will allow the organization to verify whether an officer has initially achieved and continues to achieve a satisfactory performance in every skill area. Each of these areas will now be examined in more detail.

## DECIDING ON A JOB PROFILE STRUCTURE

A task analysis consists of a systematic analysis of the behaviour required to carry out a particular policing task with a view to identifying problem areas and the associated capacity-building techniques and programmes. It should result in a job profile - a detailed statement of the knowledge, skills and character traits required to conduct those tasks that comprise a particular policing job. The linkage to the capacity-building function is more obvious here than simply creating a job description.

A job profile may at first seem complicated to create and read, but it has a number of advantages within a police reform setting. Firstly, it will ensure that a capacity-building programme is relevant to the actual needs of participating officers and provides a basic measure of individual performance in the workplace that can be referred to in personal performance reviews (PPRs). A profile also provides the specialist with an overview of all the possible training and development requirements and an invaluable guide to identifying suitable capacity-building methods for a particular policing task. Chart 5.1 provides a summary of the components of a job profile.

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***Ascertaining the mandatory knowledge, skills and character traits required for the effective performance of a rank or specialist police function must involve a scrutiny of relevant documents and the assistance of subject matter experts in many cases.***

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A capacity-building specialist faces a significant challenge when compiling a profile and cannot act alone. This is particularly the case when the way a familiar policing task is performed is the subject of change, as part of the reform process. Ascertaining the mandatory knowledge, skills and character traits required for the effective performance of a rank or specialist police function must involve a scrutiny of relevant documents and the assistance of subject matter experts in many cases. In addition to the areas of knowledge or skill that are defined in primary and secondary

legislation and procedures, the capacity-building specialist must refer to those experienced in that rank or function.

#### **Chart 5.1: Structure of a job profile**

##### **Skill area (or Task)**

A policing job is divided into a series of tasks or skill areas that form part of a given rank or specialist function. Each task should be defined separately.

##### **Desired character traits**

Character traits refer to behaviours that are linked to personal attitudes and values. An attitude consists of one or more linked feelings or emotions about events or groups or persons. In general terms attitudes prompt either positive or negative reactions toward persons or events. Whilst the formation and nature of attitudes are complex and controversial, it is their effect in terms of behaviour that is the primary concern in police capacity-building because of the way in which they can affect police officer behaviour in a positive or negative way. Under this heading a specialist should list those positive attitudes that form part of the successful execution of the relevant task.

##### **Knowledge**

Under this heading the capacity-building specialist should list those things which an officer (or support staff member) must know and understand in order to carry out the job to an agreed standard. This will include *inter alia* related areas of legislation, standard operating procedures, work procedures, policing policies, organizational structures, vehicle and equipment rules.

##### **Practical skills**

A skill is an acquired ability to perform an activity that forms part of a task and which requires some practice if the overall task is to be performed satisfactorily. Skills are classified as cognitive (or intellectual), psycho-motor (manual), or socio-interpersonal. Those skills that are identified as comprising the task should be listed under this heading.

##### **Performance criteria**

The profile should indicate in summary form the types of performance criteria that will allow supervisors and managers to verify whether officers in the relevant rank or specialist role can perform to an acceptable standard.

An example of a job profile of a patrol officer, prepared by the author for the Kosovo Police Service, can be found under Appendix A at the rear of this book. The job of a patrol officer – the primary rank – is divided into 13 skill areas (or tasks):

1. Ethical and Professional Standards
2. Communication Skills
3. Patrol Skills - Community Policing & Crime Prevention
4. Patrol Skills – Arresting and Searching
5. Patrol Skills – Dealing with Incidents & Disputes
6. Patrol Skills – Road Traffic
7. Investigation Skills – Law and Procedures
8. Investigation Skills – Forensics
9. Investigation Skills – Intelligence, Trafficking and Drugs

10. Operational Skills – Use of Force Principles
11. Operational Skills – Pursuing and Searching Vehicles
12. Operational Skills – Use of Firearms
13. Operational Skills – First Aid & Safety

It should be noted that each of these skill areas is equally applicable to all the higher ranks in a democratic police organization. These are the core skill areas of every police officer, regardless of rank or specialist function.

Each skill area is divided into the four task fields: desired character traits, knowledge, practical skills, and assessment criteria. A task field will comprise a series of statements that describe work-related activities that a proficient officer is capable of demonstrating to a required standard. Thus, skill area 4 (Arresting and Searching) in the specimen job profile at Appendix A contains the following statements under the task field of desired character traits:

- Makes decisions that are devoid of personal bias in terms of race, ethnic group, language, gender, age, sexual orientation, marital status and disability
- Gathers the relevant and necessary information
- Checks for accuracy and validity of information
- Quickly and accurately assimilates information
- Applies knowledge and experience wisely
- Seeks advice from others when and where appropriate
- Remains rational and impartial under pressure
- Comes to decisions within time constraints
- Takes full responsibility for decisions
- Revises and amends decisions in the light of subsequent information
- Thinks through the consequences of his/her actions and
- Avoids anticipated problems through timely interventions.

The list is not exhaustive. It seeks to identify those activities that are considered essential – rather than merely desirable - to the proper performance of the duties that are grouped together under this particular skill area. A strategy is required in order to identify those activities that are truly essential under any given skill area and this again is an area of competence of the capacity-building specialist, actively assisting the Personnel Department. Once initially established by the specialist, it is the responsibility of the Personnel Department to maintain and further develop job profiles.

## **JOB PROFILE DEVELOPMENT**

As is now obvious, the development of appropriate job profiles in respect of every rank and specialist role is a critical capacity-building task in a police reform process. Reform often demands radical changes in the way police officers perform their functions, as well as introducing new functions and abolishing others. The process of developing job profiles will follow a threefold strategy:

- a) Scrutinise each rank and specialist role in terms of the Policing Plan objectives and identify those that are rendered obsolete
- b) Scrutinise each rank and specialist role in terms of the Policing Plan objectives and decide whether there is a need for a new rank or role
- c) Scrutinise those ranks and specialist roles that exist after conducting tasks (a) and (b) in terms of the Policing Plan objectives and identify which, in broad terms, require significant changes in order to properly align them to the organization's objectives.

As discussed earlier, the first two tasks should have occurred as part of the staffing strategy (see Chapters 2 and 3). They are referred to here in order to reinforce the importance of the process of removing functions that no longer serve the needs of the organization and, where necessary, introducing new functions. Since the majority of reforming organizations in transition states do not use job profiles, this chapter will focus on the task of developing job profiles *de novo*. However, it should be kept in mind that job profiles, like the organization in which they operate, cannot remain static and unchanged over a period of time. They should be reviewed at intervals and particularly when the Policing Plan is subject to revision, as the organization seeks to adapt to changes in the external and internal environments. The same development principles will apply whether the capacity-building specialist is creating new job profiles or amending existing profiles.

The process of developing job profiles should include the following steps:

1. Collect and collate data on those ranks and specialist roles that exist as a result of tasks (a) and (b) of the general strategy (above)
2. Identify core skill areas within each rank or role on the basis of the data
3. Create provisional drafts of activity statements under the four task fields, on the basis of the data
4. Amend or delete the draft activity statements as necessary under the requirements of the organization's objectives
5. Include new activity statements as necessary under the requirements of the organization's objectives
6. Define appropriate performance criteria that will allow the organization to verify whether an officer can perform to an acceptable standard in each skill area.

Whilst the first task can be dealt with by the capacity-building specialist working alone, it is vital that all of the later steps are conducted in close co-operation with senior officers.

### **Collecting data**

There are various methods of gathering data for job profiles: either interviewing the relevant officers and their line supervisors, or using direct observation of officers whilst they are doing the job. As will be seen later, these methods are equally effective when analysing the performance gaps in certain police staff. In addition, logical inferences must be made on the basis of the nature of the police work involved or as it is described in procedural manuals and standard operating

procedures. Job holders and their supervisors should be interviewed about the tasks and perceived problems in their performance. Reference should be made to those physical and psychological conditions under which the tasks are usually carried out.

Data collection relies heavily on the cooperation of police staff. It should be remembered that to many in a police organization, the process of skill area analysis may seem time consuming, dull and uninteresting. Alternatively, officers may view the exercise with suspicion and feel that there might be a hidden management agenda lurking in the background. Above all it is vital that police officers do not feel that this process diminishes the value of their current skills or denigrates their sense of competence in core policing areas<sup>27</sup>. Against these negative perceptions, it is worth reminding police staff that job analysis should only have to be done once in a generation.

As indicated earlier, critical incidents can prove to be rich sources of data in the development of initial job profiles and later amendments. Critical incident analysis is a procedure that allows the collection of data about incidents that have proved to be critical to the effective performance of a police job and can be used as a technique in many forms of analysis. An incident is deemed to be 'critical' if it contributes directly to a success or a failure in a particular police job. This approach also lends itself to certain policing functions that, by their very nature, are performed infrequently or which cannot be readily and easily observed because of difficulties in accessing the work environment (e.g. the forensic investigation of a murder scene or management of major civil disturbance).

Gathering data on critical incidents is obviously more difficult. It is suggested that individual and group interviews, as well as carefully designed questionnaires can be used where the interviewer has a good understanding of the relevant policing job. Participating interviewees should be asked to describe in great detail those incidents that resulted in success or failure in achieving job objectives. Note that there may be a natural reluctance on the part of police officers to admit that they have made bad mistakes. Confidentiality must obviously be a key feature if the participants are to feel confident and honest about apparent failures in the workplace. There are many examples of otherwise innocent errors on the part of police officers that, once properly identified, can result in a better job profile and properly targeted capacity-building measures, for the benefit of other officers and the public. An admission by an officer that he or she misconstrued the symptoms of a serious head injury as drunkenness in an arrested person is an innocent mistake, but one that all can learn from. Likewise, a senior officer who ignores concerns from local patrol officers about the likelihood of violence during a ceremony to commemorate those who died in a conflict can not only learn from his mistake but help others when faced with similar circumstances.

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***There are many examples of otherwise innocent errors on the part of police officers that, once properly identified, can result in a better job profile and properly targeted capacity-building measures, for the benefit of other officers and the public.***

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The process of organising and analysing such anecdotal information from critical incidents presents a challenge to the capacity-building specialist. It is important that the data is properly categorized according to objective criteria that are, as far as possible, agreed in advance. The degree of resultant objectivity will be enhanced by

<sup>27</sup> Bayley, *ibid.*, 24, 38

the increased number incidents that relate to the relevant task or job, once all the contextual variables are removed.

### **Identify core skill areas**

Once the key data is assembled through these methods, the profile can be drawn up in draft form by writing a police rank or specialist role definition. The draft will include an analysis of key skill areas within the rank and a specification of task statements in respect of each of those skill areas. These are the personal skill areas for that rank or role (ECPE 24).

As indicated in the example under Appendix A, it is often difficult to clinically separate out the cognitive elements from practical policing skills. For this reason a list of task statements that incorporate both task fields in the Patrol Officer's Profile has been created. However, the process of analysing the raw data of skill areas ought to view the cognitive elements as distinct and separate, even though a decision might be later made to draft task statements that incorporate both. Knowledge analysis provides a means whereby greater detail about the purely cognitive task statements can be identified and can include reference to notes and procedures if this assists understanding. It is best approached through a division of distinct topics within the skill area. In practice, the ability to perform in a particular policing skill area involves 'knowledge' in a sense that goes beyond merely memorising facts and figures. It involves comprehension and intellectual skills, such as evaluating and assessing information. For example, a police officer who receives a telephone call from a member of the public about a traffic accident must ask a number of questions to elicit key facts. Once the officer has obtained these facts, he or she must assess and prioritise the data.

Let's look at an example. The police control (or dispatch) room offers the potential for a specialist role for police officers at the basic rank. A possible skill area within this specialist function might be termed, 'Dealing with an emergency call for police assistance.' The skill area can be divided into a series of topics, such as how to answer the phone professionally, eliciting key data from the caller, probing questions to obtain more detailed responses (if required). Each topic should then be analysed into a series of constituent elements that naturally relate back to the parent topic: e.g. 'eliciting key data' could include such elements as the name of the caller, contact number, type of incident, location and time of the incident, number of vehicles involved, injuries and damage caused. Each element can then be translated into a task statement, such as 'obtain the full name and address of the caller'. It can be seen that these are practical skills that have a strong cognitive element and, therefore, might be best presented as a series of statements that refer to activities that combine both constituent task fields.

### **Prepare draft profile**

As with any analytical task, it is not always obvious where the process of analysing police ranks and specialist roles should cease. A draft profile will be complete when a third party observer can readily answer the following questions in relation to each skill area:

- What does the organization expect the police officer to do to demonstrate that he/she has a command of the task?
- What questions does the organization expect the police officer to answer?
- What tasks, procedures and techniques does the organization expect the officer to perform, and to what standard of performance?



- What discriminations does the organization expect and in what terms does it expect these discriminations to be made?
- What total changes in behaviour are expected and how will they be observed and measured?

The resultant level of detail will vary from one organization to the next. Some specialists prefer a greater level of detail than the example provided under Appendix A. However, experience in Kosovo has shown that at an initial stage of a reform process the Patrol Officer profile provides sufficient guidance for training and development objectives, as well as a probationer performance review for officers in their first two years of service. A more detailed document might become unwieldy and intimidating for trainee officers and their supervisors.

The task statements in the draft profile should be simple and short rather than complex and long sentences that describe what an officer should be able to demonstrate as a workplace skill. For example:

- Can state the rights of arrested and detained persons under the applicable law
- Can identify safety considerations when escorting or transporting arrested persons
- Can define the procedure for handcuffing as outlined in the KPS Policy and Procedure Manual
- Can identify the primary parts of the handcuff and demonstrate how each of these parts operates
- Can demonstrate proper handcuff placement and methods of proper speed cuffing in the standing, kneeling and prone positions
- Can demonstrate the proper procedures associated with executing a high risk arrest
- Can demonstrate the placing and removal of handcuffs with an uncooperative person.

The guidance provided in Chapter 7 on the development of learning objectives can be equally applied in the process of framing task statements. Unless unavoidable, the statements ought to avoid jargon, technical language and the use of acronyms. Apply the third-party (or 'man on the Clapham omnibus') test to ensure that the task statements are readily comprehensible to a member of the public. Transparency requires that police job profiles and related capacity-building programmes are available in the public domain unless the content might prejudice public or officer safety (ECPE 27). Public trust and confidence in the police will be enhanced if an organization allows access to detailed descriptions of the knowledge, skills and character traits required of its officers. Public awareness of these performance standards also acts as a spur to officers who might hesitate to make the required changes in their performance under the reform process.

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***Public trust and confidence in the police will be enhanced if an organization allows access to detailed descriptions of the knowledge, skills and character traits required of its officers.***

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### **Apply requirements of the organization's objectives**

There are of course similarities in the skill areas of 'community-centric' and 'state-centric' organizations. Both deal with a range of traffic offences and accident investigation, the investigation of routine and more serious crime, and measures designed to maintain public order and manage outbreaks of serious disorder. In general terms, the point at which the organization's objectives demand changes in job profiles relates to desired character traits and attitudes – not 'what' the officers do but 'how' they do it (ECPE 1, 12).

All police officers – whatever their organization - demonstrate character traits that are based on individual values, group values and organizational values. What makes these values sometimes undesirable or dangerous is the nature of police work and the unusual powers that are provided to officers in the achievement of that work. An officer who harbours a strong prejudice against a group within society on the basis of its ethnicity or religion presents a potential problem for a reform organization. If the officer acts on his or her prejudice by using (or abusing) police powers to harass or injure the rights of members of that group, the police organization fails in its mission of upholding the law and becomes an agent of injustice (ECPE 30). Of course it lies beyond the powers of an employer to dictate the personal values of its employees. However, a reforming police organization has a duty to not only indicate types of behaviour that are unacceptable in its Code of Ethics but also positively encourage desirable behaviour and character traits that evidence desirable attitudes (ECPE 63). Through carefully crafted statements about desired character traits, the organization will reinforce the requirements of the Code Ethics and encourage officers to behave in a manner that evidences desirable attitudes.

### **New activities**

A police reform programme can often involve the introduction of new policing jobs, as well as the more obvious changes in the way existing jobs are done. The introduction of a new job requires a number of issues to be addressed: selection of suitable staff, the creation of a detailed job profile and standard operating procedures (SOPs), as well as suitable capacity-building measures. Locating subject-matter experts is an important first challenge and a number of people are likely to be involved in developing the new job. The capacity-building specialist will be tasked with identifying suitable experts who can assist him or her with the data collection and analysis. Much will depend on the nature of the police job: for example, it might be based on a new piece of legislation, a new investigative or forensic technique or a new policing service. It is possible that there are other policing jobs that are closely related to the new job, the holders of which can contribute as experts in the process of creating a structure for the new job.

Alternatively, it may be possible and appropriate to draw on the experience of other police organizations or to recruit new support staff with relevant experience. The latter is always a good option when introducing new computer applications that require a significant level of information technology experience and education. Neighbouring police organizations should, where possible, provide mutual support in the reform process and especially where it involves new policing roles. For example, if one organization introduces a DNA database, related legislation on the power to obtain body samples for DNA analysis and develops a team of staff that specialise in this area, it makes sense that that organization should actively assist any neighbouring organizations that seek to do the same. In the majority of cases, the first organization will benefit from such mutual support, particularly in a world of

organised criminals who do not view state borders as serious barriers to their activities but rather big opportunities.

In all cases, it is important that a capacity-building specialist with expertise in job profile development should be involved at an early stage of the development process. As appropriate, police and support managers should then contribute through regular meetings to discuss technical issues and observe trials with the first job holders. This will assist in constructing and testing a profile of the required knowledge and skills, and the activities or tasks that must be performed to achieve the agreed performance results.

### **Performance Criteria**

A draft profile should include those key measurements or criteria against which the skill areas can be assessed. Performance criteria are the measures and factors against which an officer's performance (or the effects of that performance) is evaluated and assessed. These criteria provide an answer to the question, 'How can the organization verify that a particular officer has the required character traits, knowledge and skills?' Obviously a first step is to ensure that each task statement is realistic, achievable and capable of verification. Later in Chapter 7 the broader issues related to assessment criteria will be considered. For now, it should be noted that the capacity-building specialist must keep in mind the application of assessment criteria throughout the capacity-building process – during initial and subsequent training and development, and during workplace assessment and later personal performance reviews.

Assessment is directly contingent on the capacity of the organization and particularly its managers to implement performance review mechanisms, whether they target trainees or more experienced staff. It would be a mistake for a newly reforming organization to embark on an overly ambitious programme of assessment in its first year. The scale of the required capacity-building for line supervisors and managers in assessment skills is likely to overwhelm capacity-building resources. An incremental strategy that builds capacity and expertise over a number of years is more likely to succeed. Such an approach might begin by targeting the development of the basic rank by providing capacity-building interventions for instructors, workplace tutors and line supervisors. The strategy can then move to officers in middle-management functions by developing job profiles and performance review systems and completing the necessary capacity-building measures.

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***Assessment is directly contingent on the capacity of the organization and particularly its managers to implement performance review mechanisms...***

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The Patrol Officer's profile under Appendix A provides little detail on the area of performance criteria:

*The character traits are assessed by the student's class instructor and, later, by his/her tutor officer on a four- point scale, from unsatisfactory to very good. The cognitive skills are assessed in a series of formal exams, each requiring a pass mark of 70%.*

These notes merely summarise an elaborate system of assessing whether trainee officers meet a range of criteria. A critical issue at the heart of this system is that of personal performance standards. A capacity-building specialist, in cooperation with senior officers, must identify those minimum standards that officers must achieve in

a range of capacity-building and workplace development measures. Clearly, a capacity-building specialist cannot decide these issues without reference to the Personnel Department and senior police managers, especially in regard to medium-term workplace criteria. When developing criteria and standards, the specialist will need to bear in mind the available types of measures, and the use of objective and subjective measures.

Criteria measures and standards enable the police organization to assess an officer's performance in some absolute sense. An officer's degree of competence at various stages is construed by grading his or her performance against these measures and standards. An alternative approach, known as norm-based measures, refers to the capabilities of other officers as the standard of comparison, articulated as a mean or an average. However, this method tells a capacity-building specialist very little about an officer's specific level of competence in a particular policing task or the required knowledge, skills and character traits in a job profile. The point is best illustrated by way of example.

#### **Example**

Simply knowing that, in a general sense, officer 'X' is better at completing a crime report than officer 'Y' is of little value in organising and evaluating an improvement programme for officer 'X'. However, having a clear assessment of officer 'X's current performance against absolute criteria measures would be much more valuable. From this it can be seen that for capacity-building purposes, criteria-based measures are preferable to norm-based measures.

Assessment systems will employ both objective and subjective measures. An objective measure is often expressed in numerical terms such as numbers of crime reports completed, detection rates, speed of response to emergency calls. Whereas subjective measures will tend to rely on the opinions or judgements of a supervisor, or an assessor regarding an officer's character traits and level of knowledge and practical skill. Since objective measures are seemingly less prone to bias and easier to collate, they are often preferred to subjective measures by senior police managers. However, it is the purpose of a measure at certain points in the development process that dictates its real value and relevance. Experience shows that properly structured subjective judgements are often more relevant and important than objective measures, in assessing how well an officer demonstrates desired character traits and policing skills such as communicating, interviewing, resolving conflict, problem solving.

Whilst the type of assessment criteria will vary according to the point in the process, they must always link back to the job profile as an objective basis for measuring performance in terms of character traits, knowledge and practical skills. Assessment criteria can also be divided into quantitative measures and qualitative measures. The former tend to be the more easy to devise and implement in training and development. In relation to the performance of an individual police officer, the following *inter alia* represent quantitative measures:

- Frequency of a particular police service
- Time taken to perform a given police service
- Frequency of errors in performing a given police service

- Number of police-related incidents dealt with during a tour of duty
- Number of public calls for assistance responded to during a tour of duty and
- Number of policing tasks or procedures completed during a tour of duty.

As can be seen, these measures focus only the level of productivity rather than the quality of the service provided by the officer. They lend themselves to simple recording systems, such as a duty log. Taken alone, these measures might indicate a highly active officer or a relatively inactive officer: however, the active officer may have made far less impact on organizational objectives than an officer who concentrates on quality outcomes, to the greater satisfaction of members of the public.

Qualitative measures are, *de facto*, more difficult to define in a realistic and verifiable manner. They inevitably require a greater degree of subjectivity in the assessment process. These measures seek answers to such questions as:

- Is a given police service or procedure conducted in accordance with established quality assurance criteria?
- Within the constraints of organizational objectives, does a given police activity result in a desired outcome?
- Within the constraints of organizational objectives, does a given interaction with the public or police colleague achieve a defined satisfaction level?
- Has the officer attracted any complaints from members of the public or work colleagues over a defined period (e.g. one – three months)?

As far as possible the criteria should be closely associated with specific policing tasks or with the knowledge, skills and character traits that have been identified as necessary for those policing functions to be performed to an agreed standard. It must be clear that the criteria will change as the specialist moves through each stage in the capacity-building process. Although it is not always easy to create clear links between the various stages, it is an essential effort if the systematic model of capacity-building is to prove effective in a reform process.

## THE ROLE OF JOB DESCRIPTIONS

It is hoped that the forgoing introduction has demonstrated that the task of creating a job profile is not an exercise in needless bureaucracy: a detailed and well-crafted job profile lends itself readily to establishing realistic performance standards, creating appropriate capacity-building programmes and workplace performance review systems. A job profile provides a detailed description of the job in terms of its skill areas and task fields, as well as the means by which performance gaps can be identified and measured.

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***A job description is an organizational tool used in most areas of the public and private sectors.***

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A job profile is therefore very different from a job description in terms of its nature and purpose. A job description is an organizational tool used in most areas of the public and private sectors. It can be best defined as a general statement of the purpose, scope, responsibilities and duties that make up a particular job. It is

important that a police organization – even a very large one – has a common format and style of job description. In many police organizations, if a job description does exist, it is often outdated and lacking in detail. It is sadly quite rare to find a Personnel Department that reviews police job descriptions annually, with a useful indication that they have been either 'revised' or 'reviewed' on a specific date.

Whilst there are many variants, a typical format for a police job description will include the following six elements:

**1. Job title.** Generally speaking the job title should be succinct, accurate and, as far as possible, reflect the nature of the job in a way that allows an uninitiated third-party to understand what it means.

**2. Division/Department/Section.** This information will help to identify where the job is located within the organization, consistent with an associated organizational chart. It will also assist the Personnel Department in the task of maintaining a central file of job descriptions.

**3. Title of line manager.** Every staff member must report to a specified manager who has specific responsibilities in respect of those he or she supervises.

**4. Location of job.** This refers to where the officer (or support staff member) normally performs his or her duties. If the job is peripatetic (entails working in a number of different locations) this should be made very clear.

**5. Primary purpose of the job.** It may be valuable to have a brief statement of the main purpose or primary objectives of the job. This should be described in relation to the objectives of the relevant unit, section, division or department and demonstrate that the job exists to serve those objectives.

**6. Duties/Responsibilities/Tasks.** The duties and responsibilities should be stated in objective terms and describe activities that are capable of verification and assessment by the relevant manager. Where applicable, reference should be made to the frequency of the tasks (i.e. hourly, daily, weekly or upon demand).

**7. Necessary qualifications and experience.** The job description acts as an objective reference tool in the selection and/or recruitment of staff and therefore must indicate the minimum qualifications and work experience required of candidates.

As with all police documents that are open to external audit and scrutiny, job descriptions should avoid the use of unnecessary jargon and unexplained acronyms. Even if the scope of the job analysis is limited to those problem areas described above, it may still be necessary to produce a description covering all aspects of the relevant policing job. This in turn should enable the capacity-building specialist to view features of the problem in the broader context of the entire policing function and thereby obtain an enhanced understanding of the total training and development requirements.

As long as the job is consistent with organizational objectives then a briefly constituted job description ought to assist in reducing the time and effort being wasted on marginal and irrelevant issues. Note also that a full description of the environmental circumstances in which the relevant police job must be performed will have clear implications for the capacity-building programme design phase.

# 6

## Identifying the gaps in police performance





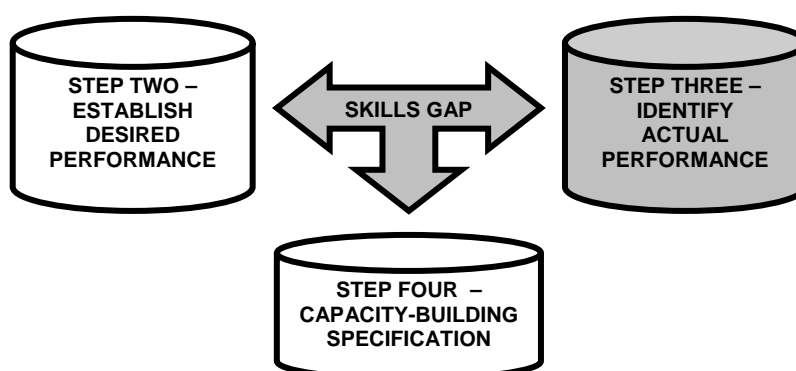
## 6

# Identifying the gaps in police performance

### INTRODUCTION

In the preceding chapter the critical role of job profiles in the capacity-building process was explored. Having defined the job profile and performance criteria for a given rank or specialist police function (Step 2), the specialist has a detailed benchmark or set of parameters in relation to which he or she can gauge individual (and group) performance and identify gaps in that performance (Step 3). Every gap in performance relates to a capacity-building need or some other deficiency, such as poor working procedures, inadequate legislation or a lack of equipment. It is argued that any approach that attempts to identify performance gaps without reference to a job profile will lack accuracy and focus in a reform programme. Given the often limited resources available to capacity-building efforts, this lack of accuracy will ultimately result in an inefficient and ineffective strategy.

*Figure 6.1: Identifying the level of actual performance*



In conjunction with the job profile, a capacity-building specialist has a range of possible tools available to identify gaps in performance and the key lies in his or her ability to select the right tool for the right purpose. This involves a good understanding of the range of tools and the uses to which they can be put, since selection of an inappropriate tool is likely to generate irrelevant data. It will greatly assist if these issues are addressed by reference to an example of a performance problem that is not uncommon in reforming organisations.

### **Case Study 6.1 – Rights of detained persons**

Organization Z is in its third year of a reform programme. General indications suggest that the provisions of a new police law and criminal procedure law are being successfully implemented. However, the Police Commissioner is alarmed by a report from the OSCE that indicates that police officers are persistently failing to observe the legal provisions that relate to the rights of detained persons. The report is based on a limited survey of persons held in police detention and lists the relevant rights and the number of instances where they have been ignored. It does not provide details of the officers or detainees involved, nor does it speculate as to why the officers have failed to act according to the provisions of the law.

In addition to informing the Police Inspectorate of the possible need for a discipline investigation, the Police Commissioner decides to task the capacity-building specialists with identifying the causes of the problem and making recommendations to improve police performance in this sensitive area.

The OSCE report and the matters that it reveals might well be classed as a ‘critical incident’ - there appears to have been a significant failure in the performance of officers in an area that relates to basic human rights and the rule of law. In addition the report suggests that certain officers may have breached the organization’s Code of Ethics and committed disciplinary offences. A capacity-building specialist must clarify his or her role with the Police Inspectorate, since there is a great potential for a conflict of interests: the specialist’s task is to reveal the nature and scope of any gaps in performance and not to collect evidence in a disciplinary investigation. Although there is a risk that useful data may be lost if the disciplinary investigation is delayed or protracted, it is advised that the Police Inspectorate (or Internal Affairs Unit) completes its task first.

In any event, a specialist is more likely to accrue valuable data if the process of identifying performance gaps is not overtly connected with the report or any subsequent disciplinary investigation. In other words the data collection and analysis should avoid reference to individual officers and focus on those factors that resulted in the poor performance of the group of officers responsible for detention. If there are job profiles (‘detention officer’, ‘detention supervisor’) in respect of this group, this will help to move the process forward quickly, since these will indicate the required knowledge, skills and character traits for a satisfactory performance of these roles. If there are no job profiles, the specialist should consider their creation as an essential part of the task.

Next the specialist must decide on the scope of the data collection. Should it encompass every skill area under the relevant job profiles or only focus on those issues contained in the OSCE report? Should it target groups of officers in all detention centres or be limited to those in the report? In this example, it may be prudent to broaden the scope beyond the issues and groups contained in the report. This will better ensure that quality data is gathered about performance standards across the majority of detention staff and reduce the risk of the process being hindered by officers who perceive it to be an exercise in identifying individual failures. Although the target skill areas should be wider than those in the report, there may be a need to limit the scope if the exercise is not to become unwieldy and unmanageable.

Finally, the specialist must decide on the data collection tools and those persons who will be targeted as sources of data. In addition to the detention officers and their supervisors, the specialist may wish to consider whether it is feasible and

appropriate to collect data from detained persons. This would add to the objectivity of the results and help to promote the principle of accountability. This chapter will explore the potential sources of data and the methods of collection.

The key points of the chapter can be summarised as follows:

- Describe how questionnaires can be used as a method of acquiring data about actual police performance
- Identifying some specific applications of questionnaires in data collection
- Describe how interviews can be used as a method of acquiring data about actual police performance
- Identify some specific applications of interview techniques in data collection
- Describe how observation can be used as a method of acquiring data about actual police performance
- Identify some specific applications of observation techniques in data collection and
- Describe the potential use of externally sourced data about actual police performance.

## **GATHERING DATA ABOUT PERFORMANCE**

Data about police performance can be sourced either internally or externally. The main area of interest in this book is the acquisition of data by capacity-building specialists who operate within a police organization, i.e. internally sourced data. However, at the end of the chapter some externally sourced data that can be used to identify gaps in performance will be briefly considered. As will be seen, internally sourced data has the advantage of being consciously linked to the skill areas defined in a job profile, whereas externally sourced data will tend to be phrased in more general terms. Contingent on the quality of the source data, however, external material can be useful as a means of highlighting deficiencies in police performance that the Commissioner can follow through with a more detailed internal study, as indicated in Case Study 6.1.

It is important that capacity-building specialists are aware of the broad range of methods of gathering data for an internal study. There are a number of tried and trusted techniques that can be applied to the task of gathering and analysing data about the performance gap. These techniques fall under three main categories:

- Questionnaires
- Interviews
- Observation

The various techniques within these categories will now be examined, as well as their relative merits and disadvantages when applied to the task of analysing gaps in performance. It will be emphasised throughout that the specialist must adopt a flexible approach in the use of these techniques, rather than slavishly employing the same data collection method to every task. Two further case studies have been

included to illustrate the need for creativity and flexibility in the use of data collection techniques.

## QUESTIONNAIRES

The questionnaire has firmly established itself as the most commonly employed tool for collecting data on a broad range of personnel issues in police organizations. Excluding the cost of development, it offers a relatively cheap and effective method of obtaining data from a large target group – even the entire workforce in a given rank! The most obvious difference between this approach and others is that it only involves the target group and there is no external observer or interviewer who intervenes in the process. It is usually quick to carry out and relatively inexpensive, providing the means to survey a considerable number of respondents within a brief period. Having no involvement by interviewers and observers it tends to be free from bias and contamination by a third party. In addition, officers can express themselves more freely and frankly if the responses are accepted in an anonymous manner.

Essentially, the questionnaire is a printed set of structured questions and parallel spaces or boxes for filling in responses that are 'ticked' or completed by writing an answer or a combination of both. It is a versatile tool and can be used on a representative sample of officers, or on specific groups or individuals. Processing the resultant data can be easy and efficient if it is structured carefully and piloted before full use. Unlike interviews it is an economical answer to the need for large-scale surveys, but it must be designed with great care if it is to provide reliable information. Prior to using the questionnaire, it helps to consider whether it is the most appropriate method of collecting data. This process ought to include reference to the type of information required, the target group, the type of questions and the form of analysis that will fit the demands of the information that is gathered. Considerable skill and careful planning must be invested in the design of the questions that are included in a form. These design issues will be explored more in Chapter 9.

In spite of these advantages it is important to keep in mind the general shortcomings of this data collection technique. Questionnaires create a necessarily inflexible channel of data through the choice of questions and allow little scope for free

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***Prior to using the questionnaire, it helps to consider whether it is the most appropriate method of collecting data.***

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expression of responses. In this sense the forms can fail to get at the underlying causes of problems and potential solutions. Moreover, questionnaires that rely on the target population completing and returning them can result in low response rates, and considerable effort will be required to ensure a representative and useful response. The use of questionnaires is often met with a negative response among

police officers, particularly where the results are not communicated or are deemed to be irrelevant by officers. It is essential that officers are fully informed of the rationale behind the exercise, as well as given the results quickly.

Applied to the circumstances in Case Study 6.1, a questionnaire could be designed to gather data from detention officers about the nature and adequacy of previous capacity-building for this job. In addition this tool could be used as a means of gathering data about their level of knowledge about the relevant legislation, required under the job profile. If skilfully designed, a questionnaire could be used to sample

the attitudes of these officers to their work, working conditions, detained persons and the use of the legal provisions.

### **Log questionnaire**

Within the general heading of self-completed questionnaires there are a number of variants. One useful type is the log questionnaire which can be applied to a number of policing functions, since it allows officers to make entries in respect of their work activities covering one or more days in a working week. A duty log can be established for officers and other police staff to record their activities in a number of ways. They can, for example, be used to record an average day by listing work activities at regular intervals over a defined period. Such logs can also be useful in generating data about critical incidents.

An obvious advantage with this method in police work is the way in which it can target job activities that are not easily observable (e.g. cognitive activities), or where policing activities occur over a long period and observation is not feasible (e.g. a murder investigation). With the right design such forms can be a useful tool in obtaining data about activities that are not readily or easily observable: this includes serious crime investigations and other police activities that involve a large number of officers engaged in disparate activities over long periods. It also lends itself to more cognitive policing activities such as planning operations and interviews.

However, officers tend to find the work of completing these logs tedious, time-consuming and boring: this can result in inaccurate and incomplete entries, thereby reducing the value of the data. This problem becomes exacerbated when the log is conducted over a period of days or weeks. The result can be incomplete or inaccurate data and capacity-building specialists should consider the use of regular briefings to remind officers of the benefits for them and the organization in completing the forms properly every day.

This approach could be useful in Case Study 6.1 if there is any suggestion that the officers are faced with an unreasonable workload or insufficient resources. A log questionnaire could be used to reveal the level of work and resources. Of course if these proved to be significant factors the remedy would lie with institution-building rather than human capacity-building measures.

### **Attitude surveys**

A staff attitude survey is a potential method of yielding data about the impact of police procedures, policies, organizational change, the reform process, workplace performance and the attitudinal changes that might result from a capacity-building programme. However, measuring attitudes and attitudinal change is a complex science. We all harbour a complex mix of values, beliefs and feelings that form attitudes that underpin our behaviours and responses. Whilst some attitudes are firmly ingrained in our personality, others are capable of change over time in response to circumstances and events. The tasks of identifying the nature of attitudes and their measurement are fraught with difficulty. Although questionnaires are used to measure perceptions, attitudes and feelings, this is not a preferred method in the sensitive area of identifying performance gaps in a police reform process. Experience shows that members of an organization that is attempting to move from a 'state-centric' to 'community-centric' model of policing are unlikely to provide frank and honest responses to questions about their character traits and attitudes. For this reason, questionnaires should be limited to more neutral areas, such as knowledge of primary and secondary legislation, as well as new procedures and operating systems.

It is possible that this method would fail to accrue useful data in Case Study 6.1 if the problem is rooted in attitudes and character traits that are contrary to the provisions of the law and the skill areas in the job profile. Police officers are unlikely to reveal such attitudes, even through an anonymous questionnaire.

### **Self-assessments**

Self-assessments are relatively untried as a technique in ascertaining capacity-building needs among police staff. They can be generated by using some form of self-appraisal questionnaire, using a checklist method or in free text form. With the correct level of briefing on the use of the forms this can be an effective method of gathering data from individual police officers, particularly middle to senior ranking officers. Officers who are assessing themselves are more likely to respond with commitment, knowing that it will bring personal development benefits.

This method also makes it easier to obtain data from a wide range of sources in a reasonable period and at relatively little expense. It is contingent upon officers having sufficient knowledge of their present and future jobs to provide properly informed ideas about their capacity-building needs. Many police organizations have human resource information systems that include a facility for self-assessment against specific competency frameworks. A police reform programme must include greater emphasis upon middle to senior officers taking responsibility for their own development and the use of self-assessments creates obvious advantages in this effort. It must, however, be properly orchestrated with the use of training and development guides and briefing sessions. In the initial stages officers may find it difficult to link a performance need to a known or possible capacity-building intervention.

The self-assessment approach creates clear advantages by emphasising the need for the individual to take greater responsibility for his or her development. Experience has shown that individuals who identify their own capacity-building needs are more likely to be motivated to apply the capacity-building in the workplace. A possible disadvantage lies in the unconscious incompetence of some police staff: it is possible that an officer does not know what he or she does not know. For example, an officer who underwent an old-style education at a police high school might not recognise his need to adjust his behaviour and attitudes in line with new legislation on gender equality. It must be assumed that, in some cases, officers 'do not know what they do not know'.

### **INTERVIEWS**

After the questionnaire, the interview is the next most popular evaluation tool. It creates an advantage when the responses to questions need further elaboration in terms of the causes of behavioural change and reactions to particular situations. Interviews can either be structured or unstructured. The former is similar to the questionnaire and is best applied where time is limited. It requires a number of interviewers and will generally exclude any additional or probing questions. However, unstructured interviews provide scope for more probing and exploratory questions in the search for more detail.

The interview is the most popular tool employed by capacity-building specialists. Familiar and easy to use, the interview technique is perhaps too often used to the exclusion of other methods and often done without the requisite skills to make it fully effective. The range of use is broad: including, single interviewees or groups, structured or unstructured, and formal and informal interviews. It can be conducted in

person, in private, in the workplace or via telephone. There are three main types of interview:

- **Unstructured** – the objective is to give the interviewee as much latitude and freedom as possible, seeking out attitudes, character traits and awareness of performance issues
- **Semi-structured** – the objective is to focus on structured areas of interest with some specific questions, seeking out fairly specific data on character traits, knowledge and skills
- **Highly structured** – the objective is to obtain specific responses to carefully devised questions, using critical incident techniques and eliciting very specific data on character traits, knowledge and skills.

If conducted by a skilled interviewer, the interview can unearth significant data on knowledge, skills, character traits, problems and potential solutions. Interviewing is a highly technical activity, one that requires intensive training and development and many hours of practice. When conducted in a non-threatening and safe environment, an interview can induce interviewees to provide an honest, frank and spontaneous account of job-related issues. This makes it a useful tool in a reform setting. However, knowing the correct issues to examine and the best method of doing so also requires considerable skill.

As may be imagined, the interview is a time-consuming and costly approach, one that demands highly skilled interviewers and considerable resources in analysing the data. The use of unstructured interviews and open questioning techniques creates enormous potential in terms of the expanse of data, yet equally enormous challenges when it comes to analysing such unstructured information. Inevitably the analytical process tends to level out and exclude the data that does not fall within the general categories of a summary. This, in itself, creates a strong argument in favour of structured interviews where data collection and analysis fall into more manageable and accessible pre-conceived categories.

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***The use of unstructured interviews and open questioning techniques creates enormous potential in terms of the expanse of data, yet equally enormous challenges when it comes to analysing such unstructured information.***

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A common error in interviewing – one that can undermine its objectivity – is interviewer bias, akin to the Hawthorne effect in observation techniques. You may be familiar with the cleverly manipulative lawyer in a court room drama who engineers questions to elicit desirable responses. The use of questions to elicit biased responses can be done consciously (as with the clever lawyer) and unconsciously by a capacity-building specialist who is unaware of his or her bias in terms of answers that are expected. For example, a specialist who interviews detention officers in the circumstances of Case Study 6.1 might have formed an opinion about the likely cause – a lack of proper supervision and a deliberate disregard for the provisions of the law. Consciously or unconsciously, the specialist might phrase questions and record answers that support his or her preconceived notion of the cause.

Designing structured and semi-structured interviews involves producing a list of basic questions that will be asked by the interviewers, thereby ensuring that specific questions are precise and concise. Interviewers ought to be trained and given clear

instructions in order to ensure the highest level of consistency. The process will also benefit from an interview plan that provides details about the interviewer, when and where the interview will take place, and how to record the answers.

### **Critical incident interviews**

In the last chapter the potential data that can be obtained from critical incidents in the life of a reforming organization was briefly examined. These incidents can assist not only in the work of initially developing job profiles but also in later revealing useful data about gaps in the performance of individuals and groups, as indicated in Case Study 6.1.

Critical incident interviews are highly structured and target policing episodes in which officers and supervisors have performed very well or very badly. The interviewee is asked to describe the incident, its background, its location and date, and what the officer did to contribute to the poor or successful outcomes. As a needs technique it has the advantage of ease of preparation and execution but tends to suffer insofar as it relies upon an officer's memory of an incident that can, *de facto*, be very complex and difficult. It also relies upon an officer's honesty in admitting failures in his or her performance and that of colleagues.

This technique should be considered as a potent means of acquiring useful data in the circumstances described in Case Study 6.1.

### **Personal performance reviews**

Staff performance interviews are increasingly common in police organizations. However they are not generally seen as a source of data on the performance gap. A key function of these interviews is to assess current and past performance, as well

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***Too often police managers omit reference to a capacity-building intervention when made aware of an area of poor performance that might be resolved through further training and development.***

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as identify those areas that require further action to improve performance. Of course the quality of the data is entirely contingent upon the quality of the review process and the reviewing staff involved. In many instances the PPR scheme and the forms used do not readily lend themselves to a full and frank description of organizational and personal weaknesses and shortcomings. A further problem in police organizations is the

perceived lack of credibility of PPR schemes among officers of all ranks. Their use has allowed them to fall into disrepute – a required but ultimately meaningless ritual.

Where possible the Personnel Department should be encouraged to allow the PPR to become a source of data on capacity-building needs, using the job profile as a standard guide. This effort should focus on two issues. Firstly, the forms used in the interviews should be designed in a way that presents capacity-building needs in a standard format, thereby allowing the capacity-building specialist to quickly aggregate the information. That format should be totally consistent with the skill areas in the job profile. Secondly, PPR interviews, as a means of identifying and specifying capacity-building needs, should have a residual value as the product of a formal discussion between an officer and his or her line manager.

A successful identification of performance gaps through the PPR scheme depends very much on the quality of the forms and even more on the skills and abilities of the assessor. If these factors are present it is possible to avoid an overly subjective assessment of the officer's performance or an overly mechanical cataloguing of issues and problems. However, it is in respect of the required remedial action for



poor performance that traditional PPR schemes fail regularly. Too often police managers omit reference to a capacity-building intervention when made aware of an area of poor performance that might be resolved through further training and development. For example, first line supervisors will often disregard capacity-building as an option when considering an officer who cannot prepare crime reports to the desired standard.

If a PPR scheme was used in respect of the detention officers in Case Study 6.1, the specialist might obtain permission to sample recently completed PPR forms in way that would not reveal the identity of individual officers. They may reveal patterns of poor performance in the detention officers or, more significantly, indications of poor performance in the supervisors who conducted the PPRs.

### **Focus groups**

A focus group consists of small group discussion designed to obtain detailed and qualitative feedback on judgements and opinions. Like one-to-one interviews focus group discussions can vary from highly structured and formal events, to informal and unstructured meetings. The object can include a wide range of work-related issues, including job analysis for individuals and police team matters. The discussion can focus on the job or role of individuals and groups, as well as an investigation into a critical incident.

Since the idea is to generate a discussion among the group members, any of the familiar group facilitation techniques can be employed, including board blasting and brainstorming. It is of course essential that every member of the group contributes, thereby building a more objective group consensus from individual comments and avoidance of disjointed and subjective judgements. It can be a source of considerable information in a short period if the process is managed by an experienced facilitator.

The best applications of this method concern data about the quality and effectiveness of a capacity-building programme, including reactions to such techniques as simulations, case studies, exercises and role-plays. With carefully planned topics and questions it can further explore changes in behaviour that result from the capacity-building and its perceived impact in the workplace. This method can prove more popular than others and has significant advantages. It allows, through group discussion, the building of group consensus, support and a shared ownership of the agreed outcomes. In this way it allows a synthesis of differing viewpoints within the group, something that cannot be achieved in the same timeframe using other methods. Moreover, the group dynamic – if created – can allow the individuals that form the group to analyse their own performance and capacity needs.

The primary advantages of a focus group discussion are that it allows an on-the-spot synthesis of different viewpoints while at the same time building support and ownership for the particular response that is decided upon. It diminishes the organization's dependence on the service provided by the capacity-building expert by increasing staff involvement in the process. This method also helps police participants become better analysts of their own training and development needs. For these reasons it might prove a useful method of obtaining data from groups of detention officers in Case Study 6.1.

### **Case Study 6.2 – Civil disturbance**

**Background.** Organization Y is in its second year of a reform programme and indications provided from external and internal data suggest that the Commissioner's priorities for the first year have been met. Sadly, the apparent success is marred by a large-scale riot in an ethnically divided town. The civil unrest was triggered by media reports that three children from one of the ethnic groups had been chased into a river by men from the other community. Two of the children had drowned and the parents of the surviving child provided the story about the children being chased. This account was later proved to be false. During two days of violence three people were killed, over a hundred injured and dozens of minority community homes and properties were destroyed by fire.

It was clear that the police were taken by surprise by the speed with which the violence spread across the region, as well as the ferocity and scale of the attacks on minority community areas. International observers were quick to criticise the inadequate response of the police.

**Data collection.** In addition to fully cooperating with an investigation by the Police Inspectorate, the Commissioner decided to task the specialists involved in the capacity-building programme in support of reform with an investigation of the structural and staffing issues that contributed to failures on the part of the police. Given the scale of the exercise, the specialists decided to focus on the Special Units and police staff deployed in the town itself, rather than staff that were moved in to support them. Highly structured questionnaires were prepared to elicit data from patrol officers and members of the Special Police Units, focus group discussions were held with the first line supervisors, and critical incident interviews were held with the senior officers who took command.

**Conclusions.** The data indicated a number of structural weaknesses with strong capacity-building links. Firstly, in spite of significant training and development, the Special Unit officers complained that their deployment lacked proper organization and a clear sense of strategy – for much of the first day the rioters frequently took the initiative rather than the police. Likewise, the patrol officers felt that they were not properly directed or integrated into the Special Unit response during the first day. The first-line supervisors complained that their role was ignored by the officers in charge of the limited number of Special Units during the first day. They reinforced the sense of confusion that was indicated by patrol officers and Special Units. The senior officers admitted to being overwhelmed by the speed and ferocity of the rioters and acknowledged that it was not until late on the first day that a properly functioning command and control system was in place. All of this was exacerbated by the lack of ability by the commanders on the ground to communicate reactive and proactive instructions to their staff.

This data indicated significant performance gaps in the middle and senior ranked officers, in terms of management of civil disorder. The significant investment in Special Unit training and development had only focussed on individual and group skills at the basic level of patrol officers and first-line supervisors. The specialists recommended a range of institution-building and capacity-building measures. These included new civil disorder operating procedures that targeted deployment, communications, chain of command, reactive and proactive strategies and corresponding job profiles for police commanders at the ground and central control levels. On the basis of the new procedures and job profiles, a structured command and control capacity-building programme was developed for selected police managers with initial certification and annual recertification. These programmes employed desk-top exercises and assessment, as well as large-scale simulated exercises with the Special Units and ordinary station supervisors.

That said, focus groups have a distinct disadvantage in being time-consuming and thus expensive. If conducted in an overtly unstructured way, this method can present a considerable challenge in quantifying and synthesising the information from the group discussion. It is prudent to trial this method with one group in the circumstances of Case Study 6.1, then assess whether it will prove a source data

from which clear patterns of performance failures and corresponding needs can be adduced.

### **Contact groups**

The use of a contact group as a source of data about capacity-building needs involves consultation with key police staff and others in a process of gathering data from persons who, by reason of their job or function, are well positioned to know the training and development needs of a target group. The members of the group might include senior officers/managers, or specialists in criminal investigation, Ministry of Interior staff and local community representatives. It is of course vital that the contact group members are, as far as possible, representative of the relevant groups. There is an obvious danger of political and personal bias if the balance is not maintained in the mix of this influential group.

Data can be gathered through questionnaires, interviews and focus groups. Obviously this is a fairly finite exercise and relatively easy to plan and implement. It invites some of the more influential persons within and outside the organization to provide an input and take ownership of the performance development needs of the staff. If properly conducted it can fortify the lines of communication between the officers who require development and other key stakeholders in the organization.

This technique has the advantage of being relatively simple and easy to implement. Moreover, it allows a wide range of influential staff members to interact with external partners and provide an input on the needs of the target group. It also has the benefit of establishing or strengthening the lines of communication between those staff in need of development and other stakeholders, both in the police organization and outside. However, this may prove to be a double-edged sword. Senior officers and managers might view the capacity-building needs of their staff from their own individual or organizational perspective. Such a potential for personal bias might result in disjointed and unhelpful data, alongside an expectation 'from the top' that the findings will be used in subsequent capacity-building programmes. This tendency toward bias needs to be balanced by selecting a broad and representative membership of the contact group.

This method will readily lend itself to the data gathering needs in Case Study 6.2, where the performance failures applied to every level of the organization and certain specialist groups, and impacted on minority community members. However, it is less likely to be of benefit in Case Study 6.1 where the performance failure is limited to one specialist group and a limited number of citizens.

## **OBSERVATION**

Observing officers and support staff in the workplace is a direct and objective method of gathering data. It has the advantage of obtaining first-hand evidence about a policing job and the manner of performance. It is capable of delivering relevant data on capacity needs at the very point where properly specified training and development can have the best impact. Observation can target data that relates to particular elements of the job or the whole job. Different techniques can be applied in observing, such as work studies, work measurement and simple observation. A work study observation will involve making recordings of work activities, average completion times and performance standards in respect of each task.

Observation is a technique that seeks to measure staff behaviour and can take place either before, during or after a capacity-building programme. Observers must be

properly trained and aware of the need to reduce their influence in the observation process to a minimum, as well as expert in interpreting what they see and hear in accordance with a defined schedule. The observation can be recorded using video recording or audio recording equipment, although the presence of a camera may have a negative impact on the results.

It is advised that a task checklist, based on the task statements in the job profile, is used to record the presence and frequency of various tasks. Of course the list must be manageable and, in general terms, the fewer the number of listed tasks the easier

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***Observers must be properly trained and aware of the need to reduce their influence in the observation process to a minimum, as well as expert in interpreting what they see and hear in accordance with a defined schedule.***

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it will be for observers to use. Many organizations now prefer 'coded task records' that employ codes to specify different tasks and the data can be later processed and analysed by a computer. However, preparation can be time-consuming and tedious because the observer must remember a number of codes. Simultaneous marking is a difficult process for observers and many prefer a delayed marking system in which the observer does not use forms during the

observation. Whilst the observer is less of a distraction, the accuracy of the information is perhaps weakened because it is recorded either at intervals or only after completion of the observation.

Observation can be either detached or participatory. The former involves a more objective assessment in which the observer is totally divorced from the work process. Whereas, participatory observation allows a varying degree of involvement and interaction with the officer who is conducting the job in question (i.e. the observer does certain parts of the job or puts random questions to the performer, in order to clarify understanding). The participatory method is often more effective in supplying a comprehensive description, based on observer notes and performer feedback.

There are of course important disadvantages with observation as a method of gathering performance data in an organization that has limited resources. It requires the use of highly skilled staff and can be time consuming and expensive to operate. In terms of application, the observation technique is limited to those job tasks that are visible (or observable), relatively simple in nature and *de facto* repeated in a similar pattern. Therefore, the technique cannot address job tasks that include a range of intellectual activities and tasks that vary, according to circumstances and time. In general terms it is less useful in middle and senior management jobs and more useful in patrol officer tasks, such as road traffic law and procedures. Another significant and well documented limitation of observation is the Hawthorne effect: when officers are aware of being observed and – more importantly – the purpose of the observation, they will ineluctably alter their behaviour to what they perceive as a 'required standard'.

Clearly the application of observation techniques will not apply in Case Study 6.2, unless there are extensive video recordings of the rioters and the police response at the ground level. Case Study 6.1 would reveal useful observation data if the Hawthorn effect could be eliminated. In the absence of CCTV recordings (increasingly common in police detention areas in many EU states), it is unlikely that the work behaviour of the detention officers would provide useful data if they are aware of the presence of an observer.

### Simulation exercises

Simulation exercises are an increasingly popular method of observing police officers in job tasks that might be inappropriately observed on the street: for example, making an arrest of a violent or dangerous person, conducting an armed siege and controlling a violent demonstration or riot. Role-plays are a form of simulation that can be used to assess a common and repetitive job task. They are particularly appropriate in simulating those policing incidents that do not occur frequently and require a high performance standard, particularly among police supervisors and leaders. Whilst useful and effective, such simulations are expensive to operate in terms of development, piloting, resources and equipment.

This approach could be used to gather useful data about the performance of senior police commanders in Case Study 6.2.

### Assessment centres

Assessment centres represent the high end of performance gap analysis in a police organization, in terms of cost and sophistication. They represent the ultimate combination of a number of techniques such as interviews, written tests, simulations, group exercises and individual exercises. Whilst the assessment centre originated as a selection and recruitment tool, it has evolved into a potent method of identifying performance needs. Through use of such a range of techniques the assessment centre can obtain a comprehensive picture of a staff member's extant and potential competence to perform at a defined level. It thus provides a fully comprehensive analysis of performance measured against the defined standards in a job profile and thereby indicates precise gaps in performance and capacity needs.

Assessment Centres require careful design to ensure that the various tests and simulations accurately reflect the requirements of the relevant job. In addition, they demand a team of skilled observers who – it is recommended - are external to the target group and not known to them. Of course, the results extracted from assessment centre exercises need to be carefully analysed. This and other aspects of the assessment centre make it an expensive exercise in terms of the cost of the observer group and the considerable cost to the organization of abstracting the assessment group from the workplace for periods of a day or more. In view of the costs, the assessment centre is usually used for senior officer development, the identification of future police leaders and managers of specialist units, such as criminal investigations and surveillance teams. It has proved an effective tool in those police organizations with a policy of fast-tracking talented officers into senior ranks.

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***All feedback must be constructive and realistic, with a firm commitment to fulfilling the identified training and development needs.***

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Apart from the need for considered and specialist expertise in the design of assessment stations and methods, assessment centres require a thoughtful feedback system. Candidates will arrive with a good degree of expectation in terms of personal outcomes but only one person can be a Commissioner at any one time. It is, therefore, important that the organization provides timely feedback, in a manner that the participant can readily understand. All feedback must be constructive and realistic, with a firm commitment to fulfilling the identified training and development needs. If the organization – and the candidate – fails to act on the findings of the assessment centre it loses credibility and risks being a considerable waste of funds and effort. If the assessment centre is to be seen as a developmental tool the

feedback should be constructive because where this is not the case, it can become destructive of an individual's sense of worth and commitment to the organization.

As with simulated exercises, an assessment centre could be arranged for the senior officers in Case Study 6.2 as a means of identifying command and control performance levels and needs.

### **Tests**

Tests are generally used as an assessment tool in formal capacity-building interventions. However, they have considerable potential as a means of gauging a skills gap in large numbers of police employees, particularly in the field of law and procedures (e.g. the rights of arrested persons). A test can be self-administered much like a questionnaire or administered to large numbers of staff in a structured manner. It can be used to obtain data on attitudes and/or facts, and may be cognitive or practical.

Tests can take a written or oral, and practical or performance form. Depending on the type, they can be used to measure increases in knowledge and skills, both before and after the capacity-building programme. The task of selecting the appropriate type of test to measure what is required must be guided by the issue of validity. Whereas written tests are appropriate in respect of the cognitive domain (i.e. measuring knowledge and thinking skills), oral tests are best suited to measuring verbal skills. Performance (or practical) tests can be used to measure skills that are manual or verbal or cognitive.

Selecting the correct test category will be contingent on the types of knowledge and skills it will measure, the degree of difficulty when designing a test item and the corresponding degree of objectivity and difficulty when marking the test. A range of options exist in terms of the responses to written questions, including multiple choice, sentence answers, one-word answer and essay answers. Most of these are best structured so that the respondent has to deal with a structured set of questions, moving from the easy and progressing to the more difficult. Oral tests may be unstructured and involve answering a general question or set of questions which may not have been agreed in advance, or structured so as to require answers to a series of pre-defined questions. In addition, these tests can be either unrecorded and marked at the time or recorded and marked at a later time. Practical tests can take the form of case studies, role plays, demonstrations, exercises and projects.

A key benefit of tests as a means of gathering data is the way in which they help to determine whether an organizational need is caused by a missing skill or lack of knowledge. Where a multiple-choice question (MCQ) format is used the results can be easily gathered, quantified, summarised and compared with other results. Unlike other methods, tests are easily communicated and administered and can be highly predictive of capacity-building needs. A distinct drawback lies in finding a test that measures all aspects of the target skill areas and, at the same time, is validated to the specific situation. Likewise a test cannot hope to indicate whether the measured skill areas in a job profile are being applied in the workplace. Inevitably the resultant data is only as good as the questions asked in a test, and an employee will have no other channel of communication other than through selecting one of the answers to a given question. An additional problem lies in the aversion most police officers have to a test process: this distaste can distort the resultant data to a varying degree.

As indicated earlier, the specialist in Case Study 6.1 will be advised to use a carefully prepared test as a means of gathering data about the level of knowledge about the

relevant law among detention officers. Whereas Case Study 6.2 would not appear to benefit from this method

### **Case study 6.3 – Local Policing Plans**

**Background.** Organization X is in its fourth year of a reform programme when the government introduces new legislation to create a Police Inspectorate as an independent oversight mechanism. Within its first year the Inspectorate provided *inter alia* reports on the management of local policing plans that revealed that a number of station commanders had consistently failed to achieve local policing plan objectives agreed with local community leaders. Inspectorate reports pointed to an inability among the commanders to identify and implement creative policing strategies designed to meet the objectives. Although the Commissioner was aware of the poor performance in this area he was unable to identify the exact causes. The Commissioner decides to task the capacity-building specialists with an internal investigation of the performance of station commanders.

**Data collection.** It is noted that the job profile for station commanders is deficient and lacks reference to skill areas that refer to preparing and implementing local police plans. The capacity-building experts decide to adopt a multi-lateral approach to gathering data in relation to (a) amending the current job profile and (b) identifying the corresponding capacity-building needs of the station commanders. Structured interviews were held with those station commanders who were successful in preparing and implementing local plans, in order to elicit data about the skill areas they employed. Focus group interviews were held with those station commanders who were less successful, thereby making them feel less threatened by the experts and more likely to discuss the problems. At the same time contact group discussions were held with selected groups of local community representatives from both the successful and less successful areas.

**Conclusions.** The data revealed a wealth of information that could be used for both the job profile amendment and the corresponding capacity-building needs of station commanders. It was evident that the less successful commanders felt threatened by and uncomfortable with the process of consultation with local community representatives. This sentiment was reinforced when the officers faced criticism for failing to achieve the objectives indicated by the community representatives at the end of the first year. Whereas the successful commanders actively engaged with the representatives and involved them throughout the process - both the process of agreeing objectives and the process of identifying strategies and policies to achieve those objectives.

The resultant job profile amendment and related capacity-building needs emphasised those skill areas indicated by the data: consultation skills, negotiation skills, public relations skills, group problem-solving skills, prioritising objectives, designing and implementing local policing strategies, relating staff deployment to local strategies, and police patrol management.

## **EXTERNAL SOURCES OF DATA**

Thus far only internal sources of data about police performance have been considered. The process of gathering internal data, directed by capacity-building specialists, is both expensive and time-consuming. An alternative strategy for reforming organizations involves looking at the availability of external sources of data: i.e. information gathered by external organizations about police performance. These might include the following:

- Police Inspectorate reports;
- Ombudsperson reports;

- Specialist reports prepared by international organizations (e.g. International Crisis Group, OSCE and United Nations).

This material will often contain information that is both accurate and pertinent to the three principles of democratic policing. Data derived from these reports can either indicate directly gaps in performance or point to areas of concern in a more indirect manner. The latter information can be used by senior officers and specialists as a guide to a more detailed internal study, using those methods described in this chapter (as exemplified in Case Study 6.1). Each of these external sources and their potential use will now be briefly examined.

### **Police Inspectorate reports**

Until recently the use of an external oversight function in respect of the efficiency and effectiveness of police organizations was confined to the United Kingdom, where Her Majesty's Inspectorate performs routine and specialist inspections of constabularies. The basic concept of an independent oversight mechanism has now been introduced into Serbia and Montenegro, and Kosovo. Although it is acknowledged that certain European states reject the necessity of such an independent auditing function, it is argued that it can play a very positive role in transition states where police reform is a complex process of moving from a state-centric model.

Working within a clear and transparent legal framework, a Police Inspectorate can provide an independent oversight mechanism that serves the principles of accountability and congruence – the anchors of democratic policing. This can be done where the Inspectorate performs an audit function, scrutinising the performance of every station and department in terms of efficiency and effectiveness. In the case of Kosovo, the Inspectorate also has the authority to investigate allegations of serious misconduct by police officers of all ranks. The successful implementation of such an independent oversight mechanism helps reassure the public that the police

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***The successful implementation of such an independent oversight mechanism helps reassure the public that the police organization can and will be held to account where, either collectively or individually, it fails to provide services in support of a safe and stable society.***

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organization can and will be held to account where, either collectively or individually, it fails to provide services in support of a safe and stable society (ECPE 16, 20, 59, 62).

The following are the main characteristics of the Inspectorate in Kosovo:

- An Executive Agency linked to the Ministry of Interior
- Fully independent of the police
- All staff are selected in a manner that prevents political control or influence
- A team of fully trained and assessed civil servants
- Equipped with a broad range of legal powers to allow its staff unhindered access to every area of the KPS.

The bulk of Inspectorate's routine work is taken up with routine and specialist inspections of police stations and departments. It acts as a positive force for



improvement of standards of service delivery at every level. Using a range of objective and structured procedures, the Inspectorate scrutinises police performance in areas such as:

- Management of police buildings, vehicle fleets and equipment
- Management of human resources
- Management of firearms, ammunition and weapons
- Management of crimes against ethnic minorities and freedom of movement
- Management of road traffic patrols and road safety
- Management of crime investigation and detection
- Management of arrested and detained persons, in compliance with the principles of human rights and the applicable law
- Management of complaints against the police and the investigation of discipline offences
- Management of local policing plans, community safety and community policing initiatives.

All of this work results in a series of comprehensive reports that the Police Commissioner and other senior officers can use as the basis for informed decisions about changes to the staffing and structure of each area of the organization. The recommendations contained in Inspectorate reports can also guide the Commissioner in deciding where capacity-building measures might be an appropriate method of improving performance.

### **Ombudsperson's reports**

Although the exact character of its role will vary from place to place, an Ombudsperson in a transition state usually acts as an independent institution established to address disputes that arise as a result of allegations of human rights violations or abuse of authority by government institutions. As such, it receives complaints from individuals and groups, initiates investigations into allegations of violations and monitors the laws and policies of government institutions in terms of their compliance with human rights standards.

Ombudsperson reports about police performance are *de facto* usually confined to investigations into single or isolated allegations of police failures to comply with human rights standards. Although the scope is limited, such reports can be important indicators of performance gaps in critical areas of police reform: the respect for the rule of law and the fundamental rights of citizens. It is normal practice for the police (or Police Inspectorate) to initiate a disciplinary investigation when they are made aware of an allegation of police misconduct by the Ombudsperson. In addition, it is recommended that the Commissioner should on each occasion explore whether the data revealed in the investigation reveals performance gaps that might be assisted through capacity-building measures.

### **Specialist reports prepared by international organizations**

The reports of international organizations such as the International Crisis Group, OSCE and United Nations are not always immediately welcomed by police organizations. Those reports that relate to the police often focus on incidents or events in which a police organization has, through acts or omissions, contributed to

failure rather than success. Whether the incident involves a failure to protect minority communities during large-scale riots or a failure to tackle police corruption or an inability to recruit and retain a representative workforce, the arrival of such reports is often met by defensive statements or silence from senior officers.

This reaction is regrettable if understandable. Often the reports move from an uncomfortably cold appraisal of organizational failures to helpful recommendations about potential areas of change. Senior officers will be seen to act in accordance

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***Senior officers will be seen to act in accordance with the three principles of democratic policing if they acknowledge and accept the proven failures and actively reflect on the recommendations that are offered by the authors of such reports.***

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with the three principles of democratic policing if they acknowledge and accept the proven failures and actively reflect on the recommendations that are offered by the authors of such reports. These recommendations should be viewed positively as useful sources of data for further institution-building and capacity-building measures under an existing reform programme. In some cases the recommendations will specify in detail what the author considers to be required in order

to avert failure in the future, in terms of changes in legislation, procedures, structure and staff training and development. As with the other externally sourced data, the recommendations should be used as guides or pointers for further internal investigation into capacity-building needs, using the various techniques described earlier. Such a response will allow the Police Commissioner to reassure members of the public that the police organization openly accepts sound criticism under the principle of accountability and readily takes steps to remedy the cause of failure in police performance.

# 7

## Creating a capacity-building specification



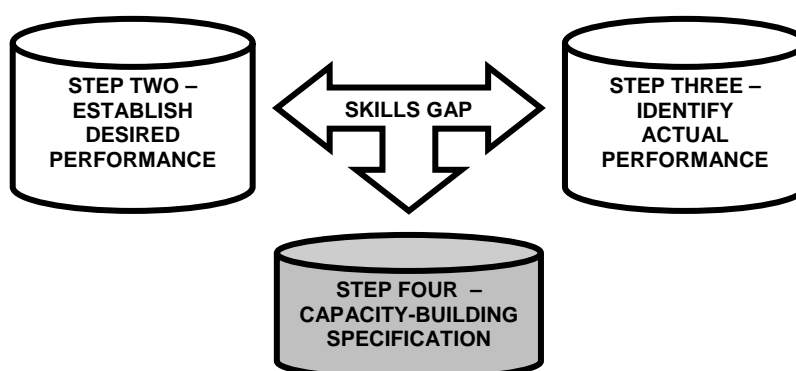
## 7

## Creating a capacity-building specification

### INTRODUCTION

Once a performance need is firmly identified that requires a capacity-building intervention and it is certain that this is the best solution to that need, the process can move to the point of identifying what sort of training and development is required. In other words, the capacity-building requirement must be accurately identified. This will readily allow us to develop and deliver capacity-building that is focused on meeting the particular performance need in a cost-effective and timely manner. Preparation of a capacity-building specification is, beyond doubt, a vital requirement for the implementation of all formal training and development programmes, as well as of all semi-formal training and development methods to a lesser extent. A capacity-building specification will act as a detailed plan for the training and development required to close the gap in performance and evaluate its effectiveness.

*Figure 7.1: Step Four – developing a capacity-building specification*



Whilst there is scope for flexibility of approach it is recommended that every capacity-building specification should incorporate background data on the performance need and its link to the capacity-building measure, as well as a description of the overall aim of the capacity-building intervention and the criteria for assessing whether the performance need has been met. Next the specification must contain the learning objectives that set out specifically what the capacity-building intervention is intended to achieve.

The key points of the chapter can be summarised as follows:

- Describing in outline the background performance need
- Identifying the selection criteria for beneficiaries
- Describing the overall aim of the capacity-building programme
- Creating the learning objectives that are required to meet the overall aim
- Identifying the necessary performance, conditions and standards and
- Defining the methods of testing performance.

## **SPECIFYING THE PERFORMANCE NEED**

A capacity-building specification should provide a clear description of the performance need with as much detail as possible. Get this part wrong and everything that follows will miss the mark. What stimulated the requirement for a capacity-building intervention? A primary purpose of the specification is to make sure there is a clear link between the proposed capacity-building and an identified performance need. This will of course include reference to the relevant job profile.

The performance need might, for example, seek to address the large number of complaints against police officers who failed to remind arrested persons of their rights, as indicated in Case Study 6.1.

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**A primary purpose of the specification is to make sure there is a clear link between the proposed capacity-building and an identified performance need.**

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Alternatively, the performance need might relate to a lack of clear guidance to operational officers from their immediate supervisors, which was shown to be a result of a poor understanding of patrol techniques and the need for planned patrolling. Of course, greater detail may be necessary in these cases: did, for example, the staff display poor knowledge of the relevant law

or, as the case might be, did the organization fail to provide policy guidelines on street patrolling?

The performance need might involve providing police staff with the knowledge and skills to meet new legislative requirements, such as new provisions in relation to juvenile offenders. It could be to prepare support staff to use new procurement rules. Local detail is critical. It will often be important to obtain accurate data regarding the target organizational unit or department, providing details of its function, how the unit fits into the overall organizational structure and the structure of the unit itself.

Clearly the capacity-building intervention must be targeted at those police employees who have the related performance need. It is a sad reflection on police capacity-building that employees often participate in training and development programmes that they do not need! Likewise, there are police employees that really do need the capacity-building who are not identified and selected. This problem often centres on poor organization on the part of the Personnel Department and results in wasted and ineffective capacity-building programmes. If the performance need is properly investigated and analysed, it is a question of effective lines of communication and a rigorous application of selection criteria.

In order to obtain a comprehensive profile of the target group, data must be gathered about the projected number of trainees, their functions/ranks, and the current levels of knowledge, skills and experience in the proposed capacity-building area. Contingent on the nature of the capacity-building programme, it may be appropriate to gather yet more specific data about the officers such as qualifications, length of service, previous experience, previous training and development, an ethnic group profile, gender mix. In a major police reform project such factors can greatly impact upon the quality and efficacy of the training and development programme. Invested effort in advance of the capacity-building event will assist in reducing those factors that might otherwise diminish its final impact, in terms of the organization's priorities and objectives.

## **SPECIFYING THE SELECTION CRITERIA**

In a large police organization capacity-building can become a significant cause of staff abstractions from the workplace, thereby reducing operational effectiveness through a lack of staff on the ground. This a potent reason for ensuring that capacity-building is properly targeted and not allowed to become an opportunity to avoid shift work or to simply collect certificates that bear no relation to what a staff member is doing. Moreover, the credibility of a police Personnel Department can be weakened where the selection process is abused in this way. The remedy lies in the development of a coherent selection process in respect of each training and development course and the Personnel Department, for its part, must rigorously implement that process. The selection process should involve three stages of analysis, as described in Chart 7.1.

### ***Chart 7.1: Beneficiary group specification***

1. Identifying the target group (i.e. the staff who require the capacity-building).
2. Where applicable, determining the nature and level of knowledge, skills and character traits that the target group must have prior to commencing the capacity-building programme.
3. Identifying those special characteristics of the target group that might influence the way the capacity-building should be conducted (e.g. age, experience, ethnic mix, policing experience).

Each stage will be considered in turn.

#### **Stage 1**

It will greatly help if the task of selecting the target group is based on some form of objective job analysis and the criteria used are based on clearly defined factors. A capacity-building regime will envisage two main selection categories: (a) police employees who are selected for promotion or transfer to a specialist role; (b) police employees whose performance is identified as falling short of the desired standard in the job profile.

Police officers who, as a result of a selection process managed by the Personnel Department, are directed to undergo training and development as part of a transfer or promotion decision will have been matched successfully against a specification. Hopefully that process will be based on an interpretation of the relevant job profile,

enabling the selection system to identify suitable staff to perform the rank or specialist job in question. Additional data might be obtained from existing training and development or personnel records, or from specially commissioned research and allow the capacity-building specialist to differentiate between those qualities and experience that are essential and those that are merely desirable. If an officer or support staff member fails to meet just one of these essential requirements, then he or she must be rejected in the selection process. The merely desirable qualities should be regarded as an added bonus but should not deflect attention from the minimum requirements.

In those cases where the staff member is not being transferred to a specialist post or promoted to a new rank (or management role), it will be necessary to base the selection on a performance gap analysis, based on a comparison of desired performance (as per the existing job profile) and actual performance.

Contingent upon the nature and duration of the capacity-building programme, it may not always be prudent or necessary to invest a lot of effort in a target group specification. For example, the introduction of an amendment to existing police legislation may result in some changes to job profiles of all ranks and roles (e.g. data protection law) and the identification of the target group requires little or no effort. At the same time there is a real obligation on the part of the capacity-building specialist to define target groups in terms of clear minimum entry requirements, i.e. previous experience, attainments, and existing levels of skill.

## **Stage 2**

The next step involves determining the competency level of the target group before it starts the capacity-building programme. Gauging the performance gap involves comparing what is set out in the job profile with what the target group has learned in the past and is competent to perform.

Some general information about the target group's competencies should be known already to an experienced capacity-building specialist. The knowledge, skills and

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**A common error in some externally provided capacity-building programmes is the partial or complete omission of a target group analysis.**

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character traits that the trainee staff bring to the capacity-building course may have been identified in Stage 1, particularly if a clearly defined entry specification has been developed. In spite of this, however, it may still be necessary to obtain more supplementary information about the potential trainee officers using the same methods employed in performance gap

analysis (e.g. questionnaires, focus groups, interviews with a sample of the target group and discussions with line supervisors).

A proficient capacity-building specialist will keep the nature of the beneficiary in mind throughout the programme design process.

## **Stage 3**

The final stage requires an examination of those special characteristics of the target group that will impact on the way the capacity-building should be conducted (e.g. age, experience, ethnic mix, policing experience). A common error in some externally provided capacity-building programmes is the partial or complete omission of a target group analysis. In some cases, the external consultants will merely translate an 'off-the-shelf' capacity-building package that was designed for a group of police officers in another country.



This omission can result in a mismatch in the critical areas of language, culture, law and organizational priorities<sup>28</sup>. The imported capacity-building programme will often contain technical language or jargon that cannot be readily translated into the language of the beneficiary group, causing confusion and misunderstanding (e.g. the terms ‘policy’, ‘feedback’, ‘brainstorming’, and ‘mind mapping’ are very difficult to translate into certain Balkan languages). Likewise, the package can contain assumptions about cultural norms that do not match those of the host country (e.g. the conditions under which a married woman can be interviewed as a witness in certain Islamic countries will differ from those in central European countries). There is a marked difference in the role and responsibilities of the police in those countries that follow the Anglo-American legal system and those that follow the pattern of the Franco-Belgian ‘Code’ system (e.g. a British police officer enjoys virtually all of the investigating powers of the Examining Magistrate or Investigating Judge in the French system). Organizational priorities are dictated by the prevalent crime patterns and social problems of each society – the problems of drug abuse that exist in Washington DC do not exist in Kosovo, and the problems of auto crime that are found in the United Kingdom do not exist in Kabul.

These issues must be addressed by all capacity-building specialists, but present a significant challenge to those who seek to provide external support to reforming organizations. Target group analysis, if properly conducted, will be the most effective tool in tackling the needs of the beneficiaries in terms of language and culture, as well as an entry point for the broader issues of the relevant legal framework and organizational priorities.

### **SPECIFYING THE CAPACITY-BUILDING AIM**

In the context of police reform, an organizational aim (or priority) can be defined as a statement of a desired performance standard that will effect a positive change in the provision of police services. For example, to provide a higher quality of service to the public who call upon police assistance or more proactive police patrols in response to public concerns about uncivil behaviour in town centres. Capacity-building exists to serve such aims. In every case, there must be clear and obvious links between organizational priorities and objectives, and capacity-building aims. Thus, the desired outcomes of the capacity-building programme will relate to one or more organizational priorities, defined in terms of a performance need. For example, to increase the number of hours of uniform foot patrols in certain urban areas by X% after the capacity-building programme or decrease the waiting time for a response to emergency telephone calls by Y%, following the completion of the programme.

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**In the context of police reform, an organizational aim (or priority) can be defined as a statement of a desired performance standard that will effect a positive change in the provision of police services.**

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A critical component of the capacity-building aim is the identification of a measure. The task of providing precise quantitative measures is complex but necessary in police reform programmes, since it generates clear benchmarks that allow progress to be measured. With clear quantitative measures or performance targets, the task of developing the detailed learning objectives is made much easier, as is the business

<sup>28</sup> Bayley, *ibid.*, 37, 43

of justifying potentially expensive capacity-building interventions. Capacity-building is not concerned with vague educational objectives but with the provision of those skills that facilitate improved organizational performance.

Having defined the overall aim, the capacity-building specification process will move to the task of drafting complementary and consistent learning objectives – the specific outcomes that will be achieved through training and development.

## **SPECIFYING LEARNING OBJECTIVES**

Learning objectives are concerned with the results of capacity-building, rather than the training and development process itself. They consist of descriptions of the performance or behaviours that the participants are required to exhibit upon completion of the capacity-building programme. As such they are a critical stage in the capacity-building process: if you are not clear about where you are going, it is impossible to know when you have got there!

A learning objective seeks to define a desired outcome of a learning process. Thus, the first stage in writing an objective involves identifying in very precise terms what the trainee officer is expected to be able to do at the end of the capacity-building intervention. The desired outcome is usually written in the form of a performance statement – a description of an activity. The data revealed in a job profile provides three main areas of performance: namely, knowledge, skills and character traits. Workplace behaviour in these three areas can be categorised in fine detail and inspire a list of linked performance verbs. The latter can form a reference list to assist the capacity-building specialist in the task of composing performance statements. This will greatly facilitate the training and development design process and selection of related learning strategies in the final programme.

The development and delivery of the capacity-building measure will be based on these objectives and their precise specification will ensure that the right police employees participate in the training and development programme. It is the specification of the performance need and aims of the capacity-building that will directly inspire the process of defining the learning objectives. Properly defined learning objectives will focus on the gap between the existing and the desired performance, and will be achievable and realistic. Moreover, the objectives will be expressed in behavioural terms that permit some form of measurement. Time taken to properly specify the learning objectives is always well invested since they will form the basis of one of the key stages of the later evaluation and measuring whether the capacity-building has been effective.

Chart 7.2 provides an illustration of a basic categorisation of behaviours in terms of their relationship to knowledge, skills and character traits. As appropriate, capacity-building specialists can directly refer to these sources or use them as a basis for developing categories of their own that are appropriate to the area of police training and development with which they are concerned. For example, when training and development relates to a skill area that involves strong interpersonal skills (e.g. dealing with domestic violence), a specialist may wish to develop a closely defined set of behaviours that relate to oral communication and non-verbal communication.

<b>Chart 7.2: Taxonomy of knowledge, skills and character traits</b>		
Knowledge	Comprehension Memorisation	Recall facts/sources Recognition Understanding
Skills	Intellectual  Manual  Social	Application Analysis Synthesis Evaluation Physical dexterity Physical fitness Non-verbal behaviour Written communication Oral communication in groups Non-verbal communication in groups
Character traits	Accepting Valuing Being receptive	Responds willingly Demonstrates commitment Adheres to rules/procedures Makes decisions that are devoid of personal bias in terms of ethnicity

The resultant objectives should be critical and essential to performing the relevant task and comprised of single rather than complex ideas. The construction of objectives should take the form of simple sentences that are free of negative forms, qualifications and conjunctions. Ideally, each should contain only one active verb. Moreover, the various elements should be listed in a logical and natural sequence, each leading to its sequent objective in a readily comprehensible manner. Those rules that apply to the sequence of learning (taxonomy of objectives) should be applied when deciding the order.

<b>Chart 7.3: Sequence of learning</b>
<ul style="list-style-type: none"> <li>▪ Proceed from known to unknown</li> <li>▪ Proceed from the simple to the complex</li> <li>▪ Proceed from the concrete to the abstract</li> <li>▪ Proceed from a whole view to a more detailed view</li> </ul>

This approach is borrowed from Bloom's taxonomy of educational objectives in the cognitive (or thinking) domain and provides a proven method of presenting knowledge-based items in a manner that facilitates learning in adults<sup>29</sup>.

### Knowledge-based objectives

Of course knowledge often supports skill in capacity-building programmes and some learning objectives will deal with purely knowledge-based (or cognitive) competencies. For example, in a programme on witness interviewing the officers will doubtless need knowledge of the relevant procedural law and policy procedures that relate to questioning techniques. The participants may also need to know about methods of planning and structuring the interview. On occasion, a capacity-building event may be only concerned with cognitive skills, such as the introduction of new piece legislation or new operational procedures. Cognitive (or knowledge-based) objectives must equally start with action verbs that reflect measurable behaviours, but they are often more difficult to identify.

<b>Chart 7.4: Action verbs that relate to a cognitive competency</b>			
calculate	explain	classify	identify
compare	list	define	name
describe	state		

Cognitive learning objectives will include a requirement to list the rights of a person at the time of arrest, or state five benefits of conflict resolution in ordinary police work, or identify those persons who may be excluded from giving evidence under the law. It is important to avoid the use of action verbs that are difficult or impossible to measure in terms of outcomes: e.g. 'know', 'understand' and 'appreciate'. It helps to consider an example. If a learning objective states that participants should appreciate the consequences of not respecting ethnic equality in the workplace, a significant problem will be encountered in verifying whether the objective has been achieved. What measure can be used to ascertain the degree or fact that a participant appreciates the consequences? A more realistic alternative would be to require that participants are able to list five known consequences of not respecting ethnic equality in the workplace.

There is an obvious temptation to define cognitive objectives in terms of understanding, since this fits often with ordinary language use. For example, it might be required that participants are able to understand the scale of response in the use of police force. It is not obvious, however, just how one might measure a person's understanding without entering that person's mind. What is required is a pragmatic approach and great care in specifying exactly what must be acquired and measured. Thus, you might ask participants' to list all the points in the scale of response to escalating aggression.

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<sup>29</sup> Bloom, B.S (1956) *Taxonomy of Educational Objectives: Handbook 1 Cognitive Domain*, New York, David McKay.

### Skill-based objectives

Skill-based objectives ought to be observable and measurable and state clearly the behaviour that is required in relation to specific knowledge and skills. They can act as criteria by which to measure the effectiveness of a capacity-building programme, indicating whether or not the programme enabled officers to obtain the necessary knowledge and skills. Each objective is drafted in clearly observable terms: e.g. 'to demonstrate how to conduct a search of a person at the time of arrest'. This should be differentiated from an objective that refers to a character trait or attitude, such as 'to fully appreciate the need for safety when conducting a search of a person at the time of arrest'. This is not a skill-based objective because it is simply not possible to measure the attitude of 'fully appreciating' safety or anything else for that matter. Therefore, the relevant knowledge and skills relate to conducting a search safely, and the *behaviour* involves demonstrating this area of knowledge and skills.

### Character trait objectives

Thus far only objectives that relate to the acquisition of knowledge and skills have been explored. However, police reform in post-conflict societies must target policing competencies that involve character traits and attitudes, particularly as they relate to ethnic groups in society and within the police organization itself<sup>30</sup>. Those firmly entrenched values and prejudices that give rise to conflict and war will continue to threaten and destroy the process of creating a democratic and multi-ethnic society unless the police organization itself makes a concerted effort to eradicate a mono-ethnic culture. This is no easy task. It requires a carefully devised capacity-building strategy that is based on clear objectives that target character trait changes and is committed to considerable investment of time and resources. In spite of the difficulties, the basic programme at the KPSS demonstrated that it is possible to effect tangible changes in individual and group attitudes.

The importance of attitude change in the creation of a multi-ethnic organisation will justify the investment of considerable resources over a long period if there are credible methods of measuring change. Measuring change is the critical problem. In practice it is extremely difficult to write an objective that relates purely to a desired character trait because of the problem of devising a standard method of *directly* verifying the presence or absence of a given attitude. In any event, it might be argued that it is virtually impossible to significantly alter the often deeply imbedded prejudices and hostility of a member of one ethnic group toward members of another group: the cluster of sentiments that comprise a hostile attitude in areas of the Balkans are the unfortunate product of horrific experiences, parental conditioning and intense peer pressure over many years. Only a fool would suggest that a training and development programme of a few weeks or months duration could significantly change such attitudes. The answer lies in adopting a strategy that focuses on behavioural change, rather than the attitudes that breed unlawful or undesirable behaviour in police officers.

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The importance of attitude change in the creation of a multi-ethnic organisation will justify the investment of considerable resources over a long period if there are credible methods of measuring change.

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It is possible to devise learning objectives that target desirable character traits that are revealed in policing tasks and behaviour that involve interaction with other ethnic groups. This approach is termed 'indirect measurement' and it is the most common method employed in police capacity-building programmes. In other words, the

<sup>30</sup> Peake, *ibid.*, 40

specialist measures those behaviours that result from particular character traits through assessed exercises. As indicated in earlier chapters, this approach is contingent on the establishment of appropriate institution-building components: e.g. a police law that requires that the organisation is multi-ethnic in every rank and specialist role, a Code of Ethics that promotes ethnic tolerance and provides sanctions for discriminatory behaviour, a criminal law that promotes human rights, a Mission statement that embraces the principle of multi-ethnicity, and a Policing Plan that provides objectives in support of these legal requirements. Without the firm political will and commitment of the Government, the Police Commissioner and the senior managers in the organisation, the related capacity-building programme and learning objectives will lack authority and importance in the minds of many police officers.

Following the skill statements in the relevant job profile, indirect measurement will seek to define character trait objectives that must be associated with specific police activities. If, for example, police control room (or dispatch room) staff are being trained and developed in methods to improve the way in which they deal with calls for assistance from the public, the programme might well contain objectives that relate to character traits. One such objective might refer to the need for staff 'to value the support of the public as an essential means of achieving policing objectives.' Whilst laudable in theory, it would be impossible to measure whether the control room staff actually possessed this particular attitude. However, certain behaviours can be construed as at least implying that the staff value the support of the public: namely, courtesy, a prompt and helpful response, an empathetic voice, carefully explaining police procedures.

A cynic might suggest of course that trainee police staff will simply feign a change in attitude by delivering all the required behaviours, whilst harbouring negative attitudes toward the public. Since objectives that refer to attitudinal change must refer to the behaviours that indicate a desired change, the capacity-building specialist will have largely achieved the objective if the staff demonstrate those behaviours in the workplace. If the public feel that their support is valued, then in many ways the learning objective and the organizational objective that underpins it have been achieved. Unlike objectives that relate to knowledge and skills, those that relate to character traits cannot stand alone because behaviours that reflect attitudes usually occur within the context of other learning objectives. The staff cannot be courteous and helpful in a behavioural vacuum.

Such attitudinal behaviours occur in a wide range of policing activities, such as dealing with a crime complaint from the public, advising a member of the public on crime prevention, dealing with victims of crime and dealing with persons suspected of crime. They are equally important in internal activities, such as supervision skills, the conduct of personal performance reviews and promotion systems. Often the verification of attitudinal behaviours is an intrinsic element within the successful performance of such activities. As such they can be viewed as standards that are required within the context of the behaviours, even though the assessment of the officer's level of competence is likely to be a subjective judgement made by instructor or supervisor.

An important aspect of attitudinal objectives in police training and development lies in the 'golden thread' concept. In basic and specialist programmes there will often be character trait objectives that run, like a golden thread or core theme, throughout the course of the training and development delivery. As such they transcend specific lesson plans and are assessed by instructors over the entire period of the course. They include values that are fundamental to democratic policing, such as respect for

all persons regardless of ethnicity or religion, possessing personal integrity and honesty. Obviously one cannot observe the trainee officer 'respecting' or 'possessing' such values and the task of assessing their presence through behaviours is limited even over a period of weeks and months.

While it may be questionable whether such values should be listed as objectives in the strict sense, there is a clear need for those who instruct to be aware of such objectives and their critical role in a positive police culture. By demonstrating how much they prize such values themselves, the instructors can contribute significantly to the attitudes of those officers they are developing. It is vital that police instructors and workplace supervisors should act as role models in induction and other programmes that are critical in developing the core values of the organization in police officers. For this reason, certain categories of character trait objectives should be listed separately as 'Core Values' so that the instructors are aware of the attitudes which they will be required to display overtly in order to develop the same attitudes in the trainee officers.

### **SPECIFYING THE PERFORMANCE, CONDITIONS AND STANDARDS**

It will assist in the task of defining properly structured learning objectives to divide them into three separate components: performance, conditions and performance standards. The *performance statement* describes what the trainees will be able to do, the *conditions* define what conditions the performance will occur under and the *performance standards* describe the criteria (qualitative or quantitative) for acceptable performance. Let's look at some examples.

- Without legal reference material (condition), state the actions to be taken in the event of a person in police custody becoming seriously ill (performance) according to the Criminal Procedure Code and the organization's policy and procedures (standard).
- Demonstrate the use of the extendable police baton (performance) in at least two defensive techniques (condition) lasting no more than 15 seconds each (condition), achieving a 60% or better score on a checklist (standard).

There is no general rule on the level of detail that should be included in a learning objective and it must be a matter of personal judgement. The final test lies with the instructors and trainees: if the detail is sufficient to allow both groups to grasp the purpose of the capacity-building intervention, in terms of what is finally expected from a trainee officer, the objective should achieve the desired result.

**Performance statements** - An objective's performance statement ought to contain a word or a phrase that accurately describes what the trainee officers and support staff are expected to do and thereby demonstrate that they have achieved the objective. For example:

- Safely cause a moving vehicle to come to a halt
- Obtain a set of fingerprints from a person
- Create a diagram of the scene of a road traffic accident

The critical action verbs in the performance statements are contained in the words 'safely cause to stop', 'obtain' and 'create a diagram'. A police capacity-building

intervention will often seek to allow the participants to acquire the ability to do something they could not formerly do or, as the case might be, do something better than they could formerly. For this reason the learning objectives often deal with skill-based competencies and will often start with an action verb that relates to a specific behaviour. Chart 7.5 provides some common examples:

<b>Chart 7.5: Action verbs that relate to a skill-based competency</b>			
design	measure	select	use
carry out	make	present	train
build	exhibit	perform	test
drive	operate	set	write

In a policing context, such skill-based learning objectives can include the operation of a speed detection device, conduct of a witness interview, use of a restraint technique and performing a search of a building. These action verbs clearly indicate how trainee officers will evidence what they have learned - as a test of learning, the officers should be required to carry out such activities. The practice of using the performance statement itself as the basis of a test item has proved very effective in the context of the induction training and development programme for Kosovo Police Service recruits.

There are, however, limitations to the scope of performance statements. Cognitive activities such as thinking and analysing do not lend themselves to direct observation, a basic requirement for written performance statements. This limitation must be recognised and reflected in the categorisation of performance under objectives: in other words, one should distinguish between overt and covert performance. Whilst the former can be observed directly (e.g. use of a firearm to achieve a target score or executing a right-hand turn in a motor vehicle), the latter type of performance cannot be observed directly (e.g. discriminating between correct and incorrect answers in a written examination or identifying the non-verbal indicators of aggression in a public order situation).

Those objectives that entail a process of discriminating or identifying or recalling will have some covert and unseen performance. They relate to a function within the individual officer and therefore require an indicator that demonstrates that they have taken place under the performance statement. For example,

*'Discriminate between correct and incorrect answers in the examination, by ticking the correct answers'.*

The indicator consists of the requirement to tick the correct answers and thereby indicates the type of overt behaviour the trainee officers must demonstrate in order to show that they are able to 'identify'. Of course, it is often the case that the main intent is clearly implied and there will be no need to make it explicit by reference to an indicator in the performance statement.

**Performance conditions** - Whilst analysing the knowledge and skills involved in a particular police task, a specialist must also identify the conditions under which those tasks are performed. This ought to reveal data such as the equipment, documents,



forms, physical environment, peer assistance, supervision and other workplace features.

As stated before, policing centres on very pragmatic skills and necessitates capacity-building that is both realistic and competency-based. Great effort must be invested in allowing, insofar as practically possible, for the conditions of the job to be replicated in capacity-building events. Modern police capacity-building deals with this demand by emphasising training and development in the workplace, where all or many of the conditions are replicated. However, the needs of safety and capacity-building within a safe learning environment require that many policing skills are dealt with initially in the controlled environment of the police academy or other training and development venue. This creates a challenge for the specialist. Capacity-building conditions can be made realistic in such venues only at a cost in terms of resources and time and the specialist must balance the need for realism against the critical nature of the type of performance that is being developed.

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**Great effort must be invested in allowing, insofar as practically possible, for the conditions of the job to be replicated in capacity-building events.**

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Critical areas such as high speed response driving and the use of firearms in siege situations will no doubt justify the investment in higher specification police patrol vehicles and firearms incident simulators for use in developing officers in these specialist areas. However, routine road traffic accidents and crime incidents do not always require the use of externally hired role actors and expensive equipment. Such basic capacity-building can be done by using other trainee officers as role actors and low budget equipment and props. When writing objectives the capacity-building specialist must keep in mind the conditions that occur in the workplace and decide what are the minimum conditions required for training and development. Clearly a specialist must be very familiar with the police workplace environment either through experience of doing the job or through familiarisation visits.

The need to replicate the workplace environment links to testing as well as the task of identifying and stating conditions. Critical changes in performance statements can often result from a close scrutiny of the conditions. For example, the objectives for officers undergoing capacity-building in a basic criminal investigation programme included the following:

*'List the legal grounds for applying for a Court Order for a covert surveillance technique.'*

The trainee investigators duly learned the requirements in law for the Court Order and were questioned in tests and exercises about the requirements during the programme. However, it was later found that the conditions of this investigator task in the workplace provided a specific form for applying for a Court Order for a covert surveillance technique. This form *inter alia* listed the possible grounds and required that the applicant identify the relevant ground. Therefore, the performance statement missed the actual requirement in the workplace and would have been better worded as follows:

*'Decide on the legal grounds for applying for a Court Order for a covert surveillance technique in a particular example'*

Reference would then be made to the supply of the special forms and some examples to which the legal requirements might be applied.

Since police training and development rarely takes place in just one location, uniformity can often be an issue in deciding the conditions for learning objectives. In a large police organization or one that covers a large geographical area, capacity-building might well be delivered at a number of different training and development venues. Where this is the case, the specialist will need to insert a clear statement of the conditions to be applied in the capacity-building, thereby ensuring greater uniformity. For example, in cascade training and development schemes that use Field Training Officers and target virtually all operational officers, there would be a need to ensure uniformity through suitable guides and briefing videos or DVDs. Such schemes often relate to the introduction of new legislation or procedures and demand a rigorous standard of uniformity to avoid workplace errors and misunderstandings.

**Performance standards** - Once the training and development content is agreed and the required analytical tasks completed, the specialist will have to turn to the most difficult issue under the systematic approach: namely, the task of developing capacity-building criteria. These criteria are the measures and factors against which a trainee officer's performance - or the effects of that performance - are evaluated and assessed.

The final means by which the effectiveness of a capacity-building intervention is judged lies in the performance of a police officer measured against certain criteria on several occasions. In spite of the best work in developing the specification, based on the most sophisticated methodology available, a specialist will fail or succeed on the basis of the adequacy of such criteria. Success in developing the criteria will be contingent on carefully applying the answers to several closely related questions:

- When should the assessment and measurement take place?
- How will the capacity-building and its police workplace effects be assessed?
- Against what specific criteria will the capacity-building and its police workplace effects be assessed?
- How should the standards of acceptable capacity-building, and workplace performance be devised?

A number of considerations will apply when answering the question of the point at which assessment and measurement should occur in the capacity-building sequence. Choices will be made at three junctures: prior to the capacity-building intervention, during the capacity-building intervention and, most importantly, in the police workplace. Each juncture and the reasons for employing assessment at each must be examined.

**Prior to the capacity-building intervention.** At this point assessment will form the basis for entrance level tests for evaluating whether or not the police employees meet certain qualifying criteria. It will also assist in the formulation of learning objectives, as well as allowing diagnostic tests to be developed that reveal an employee's knowledge, skills and character trait profile.

**During the capacity-building intervention.** This is the most common application of assessments and is used to measure the performance of police employees at each stage of the capacity-building programme, ensuring that they achieve the required levels and standards under the objectives. It also ensures

that the immediate learning objectives within the programme are checked and verified. In later chapters it will be referred to as 'training level' evaluation.

**In the workplace.** In the short-term (one to three months) assessment in the policing workplace will assist the specialist in ascertaining whether or not the actual or potential performance gap has been closed and whether the capacity-building has been transferred into the workplace. Whereas, in the medium-term, it will assist the organization in its evaluation of whether or not the capacity-building intervention contributes to the achievement of its corporate priorities and objectives. In later chapters the short-term and medium-term assessments will be referred to as 'performance level' and 'results level' evaluation.

The nature of the assessment criteria will vary according to the point in the above sequence. However, they should clearly link back to the job profile as the basis for measuring performance as indicated in Chart 7.6. In Chapter 5 the nature, application and merits of both qualitative and quantitative measures were examined in the context of the creation of job profiles. The same principles will apply in the context of developing a capacity-building specification. An objective measure is often expressed in numerical terms such as the number of completed crime reports, detection rates, speed of response to emergency calls. Subjective measures, however, will tend to rely on the opinions or judgements of a supervisor or an assessor regarding an officer's level of knowledge and skill. Since objective measures are seemingly less prone to bias and easier to collate, they are often preferred to subjective measures by senior police managers. However, it is the purpose of a measure that dictates its real value and relevance. Experience shows that properly structured subjective judgements are often more relevant and important than objective measures, in assessing how well an officer has acquired a key policing skill such as communicating, interviewing, resolving conflict, and problem solving. Where possible the criteria should be clearly linked to relevant policing tasks or to the knowledge, skills and character traits that have been identified as necessary within the relevant job profile.

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**Experience shows that properly structured subjective judgements are often more relevant and important than objective measures, in assessing how well an officer has acquired a key policing skill...**

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The nature of the performance need that is being addressed and the step in the capacity-building process will dictate the criteria that will be used at particular stages. If the performance need is concerned with reducing the number of complaints from police detainees about human rights infringements, the short-term and medium-term criteria might be a reduction of complaints over a designated period of time (e.g. one - three months). However, the criteria during and at the close of the capacity-building programme might cover legal knowledge and comprehension, prisoner-treatment skills, and associated attitudes toward detainees.

A critical issue in this process is the identification of standards. A capacity-building specialist must decide what minimum standards the officers should achieve in these workplace measures, in addition to developing the criteria to be applied at different stages in the capacity-building sequence. Clearly, a specialist cannot decide these issues without reference to the Personnel Department and senior police managers, especially in regard to medium-term workplace criteria. When developing criteria and standards, the capacity-building specialist will need to bear in mind the types of

measures, the use of objective and subjective measures and the use of simulated exercises.

#### **Chart 7.6: Linking assessment criteria to the job profile**

##### **Knowledge**

- How well can the police officers retain and recall procedures and facts?
- How well can the police officers recognise and select appropriate procedures?
- How well can the police officers demonstrate an understanding of concepts and principles, as well as analytical abilities?

##### **Skills**

- How effectively can the police officers apply principles and concepts through solving workplace problems?
- How effectively can the police officers perform procedures?
- How effectively can the police officers conform to certain prescribed actions, following a particular sequence in a timely manner?
- How effectively can the police officers perform skilled activities that meet qualitative and quantitative standards?
- How effectively can the police officers deal with group and inter-personal situations by employing a range of suitable social behaviours?

##### **Character traits**

- To what extent have the police officers modified their behaviour to reflect desirable attitudes?
- To what extent have the police officers professed intentions that reflect desirable character traits and attitudes?
- To what extent have the police officers performed activities in a way that conforms with desirable character traits and attitudes?

## **SPECIFYING PERFORMANCE TESTS**

Once a performance statement has been drafted, the next step involves deciding how it is to be tested. A specialist might easily overlook this requirement and merely assume that the instructor has responsibility for testing. An additional problem might result from a reluctance in certain organizations to formally test officers who have undergone capacity-building. This reluctance is often associated with a tendency to only write positive comments in personal performance review reports and a failure to inform departmental managers about the performance of their officers during capacity-building programmes.

Of course without properly evidenced assessment reports the competence of the officer can only be assumed by supervisors and managers and the capacity-building investment has an uncertain value. As has been seen, the performance investigation

should have provided a clear indication of what is expected of the fully competent officer in the relevant job, as a result of the contribution of managers, supervisors and competent officers. In practice, however, it may not be possible to train and develop to such a workplace standard. A fully competent and experienced police investigator, for example, may be able to produce high quality statements and reports in large numbers and with a high crime detection rate. Clearly, it would be foolish to extend the formal and informal capacity-building inputs of new investigators until they reached the same level of productivity. A police manager is likely to accept that the trainee investigator should be trained and developed to a point at which he or she could perform the core duties to an acceptable standard, in terms of quality and timeliness. Later, with workplace experience and practice, junior investigators can develop those workplace skills to the standard expected of the fully experienced and competent investigator.

Accordingly, the specialist should attempt to establish criteria that strike a balance between what might be considered as the minimum acceptable level of performance before the trainee officer can be allowed to perform the job and the cost of capacity-building, in terms of abstractions from the workplace and other resource implications. Such a strategy does not imply that there should be a lowering of standards: certain safety critical skills will require a verification of nearly 100% competency before entering the workplace (e.g. high speed vehicle pursuits and rifle marksmanship).

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***...without properly evidenced assessment reports the competence of the officer can only be assumed by supervisors and managers and the capacity-building investment has an uncertain value.***

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A standard must be a realistic test of the performance. Moreover it must be such that will readily indicate that the officer is able to transfer into the workplace the knowledge and skills acquired through capacity-building. Where possible the specialist should develop performance statements that clearly indicate what the test item should be or, better still, create statements that can themselves be used as a test question without alteration. The examples of performance statements in Chart 7.7 clearly indicate the test item:

**Chart 7.7: Examples of performance statements**

- Demonstrate the use of a VHF radio to report that you have started mobile patrol
- State the rights of a person at the time of arrest
- Describe the consequences of sexual harassment in the workplace
- State the best methods of recovering latent fingerprint impressions
- Dismantle a personal-issue firearm, as per procedural guidelines
- List the benefits of the 'safety in the workplace' policy

There is a strong possibility that either the wrong tests or inappropriate tests will be used if the specialist does not clearly define the standards at this point. It is expected that the officers would be provided with a firearm in the example of dismantling a firearm, thereby allowing them to demonstrate their skills in the test. There is likely to

be doubt as to whether the officers have 'demonstrated' the procedure if they are merely given a question asking them to 'describe how' to dismantle a firearm. The capacity-building specialist must consider both the appropriateness of the test and the standard which has to be reached when devising the standards. In the case of standards this will not always be easy to achieve. Although in some statements it will be easy to define test items to answer correctly, in other cases it may prove difficult and much will rely upon the good judgement of the police instructors in the classroom.

Certain skills are likely to be such that they can only be measured and assessed through the subjective judgements of those involved in the testing. Based on the general experience and expectations of instructors and other assessors, these judgements are a necessary way of measuring areas such as communication skills, interpersonal skills and personal presentation. The standard under the relevant objective will refer to a performance that meets the satisfaction of the instructor (or supervisor). Instructors and, where relevant, supervisors should be encouraged to discuss and agree a common checklist of behaviours that they apply, thereby reducing arbitrary and inconsistent judgements to a minimum and increasing the level of agreement.

### **Simulated and actual situations**

It is of the very nature of certain core policing skills that they are linked to critical events in the lives of ordinary people, whether they be road traffic accidents or suicides, domestic violence incidents or brawls in public areas. Whilst events are difficult to reproduce or simulate outside the policing workplace, scenarios that attempt to simulate features of these events are a vital component of capacity-building and assessment. Naturally, however, the criteria and the standards used in the simulated conditions must *per force* be different from those in the actual police workplace. It would be unacceptable, for example, to allow a capacity-building course in civil disorder management to use as a performance criterion the application of baton strikes and CS gas against other officers (or volunteers) who were playing the part of rioters, thereby causing serious injury or worse. Similarly, in First Aid training and development the actual use of resuscitation techniques on role-players could not be the criterion. In these cases a procedural checklist should be developed on the use of a resuscitation doll or similar simulator to indicate safe and unsafe behaviours.

Even where the measure in capacity-building is the same as in the workplace - such as the number of fields properly completed on a crime report - the standards on the measure might be lower in the training and development environment. Trainee officers in an induction programme would not be expected to reach the same level of performance at the end of the capacity-building programme as they would when they had had some operational experience and were regarded as fully competent.

# 8

## Selecting design and delivery systems





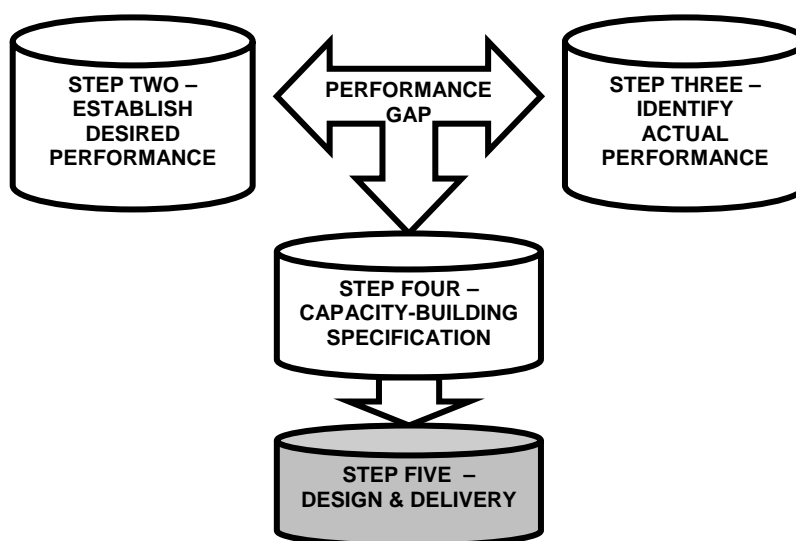
## 8

# Selecting design and delivery systems

### INTRODUCTION

Once a clear and comprehensive capacity-building specification is drawn up, the design and delivery phase can begin. The specification ought to contain an inventory of the main principles that will guide the design and delivery process, including guidance about preferred types of capacity-building intervention: whether a traditional classroom-based programme, or distance learning approach, or a semi-formal approach or a combination of these approaches. Whilst some specifications will include more precise details about the type of capacity-building intervention and the training and development methods, it is prudent to maintain a degree of flexibility in regard to delivery systems in the specification itself. As will be indicated in greater detail later, a number of constraints may narrow the options at the point of delivery (e.g. instructor skills, technical resources, facilities, and the budget) and these might make redundant a specification that is overly ambitious or sophisticated in terms of preferred delivery systems.

**Figure 8.1: Step Five – selecting design and delivery systems**



As long as the target group and learning objectives have been properly specified this should provide sufficient data for an experienced and professional specialist to develop the most appropriate programme within the known constraints. Knowledge

of the available instructors and their range of skills is vital at the design stage. There is clearly little point in building a design that demands a strong facilitator style if the available staff are only competent in a more traditional and didactic style of instruction. Likewise, there is no point in specifying the precise instructor skills and qualifications that are required in an internationally (or nationally) recognised qualification if those skills and qualifications are not available at the point of delivery.

Once the skill profiles of available instructors are known, the specialist can specify the minimum skills and experience required in the provision of general policing or specialist subjects, such as forensics or leadership skills. Prior experience in working with staff of a certain rank or specialist area may be vital: training and developing very senior officers requires a different set of skills from that required to train recruits! As in other areas of the implementation process, there are no hard and fast rules here. Careful thought and consultation are prudent first steps in deciding the calibre and experience of the instructors.

The key points of the chapter can be summarised as follows:

- Identifying the types of capacity-building intervention
- Identifying some formal approaches to capacity-building
- Identifying some semi-formal approaches to capacity-building
- Describing the two main capacity-building strategies and their use
- Identifying the main training and development methods and their application and
- Describing the critical role of instructors in police capacity-building.

## TYPES OF CAPACITY-BUILDING INTERVENTION

Chart 8.1 provides a summary of the three categories capacity-building intervention in the policing workplace.

<b>Chart 8.1: Types of intervention</b>	
Type	Examples
Formal capacity-building	Traditional 'residential' courses and distance learning programmes
Semi-formal capacity-building	Tutoring, work projects, workplace secondments
Informal capacity-building	Informal coaching by a line supervisor, assistance from a more experienced officer, as well as the continuous process of learning on the streets and in the office.

Our primary concern here is with the first two categories since they readily lend themselves to design and management. An informal capacity-building intervention could be defined as one which has not been the subject of an intensive performance analysis and has not been specified precisely. Of its very nature it tends to be a spontaneous intervention that occurs daily in the workplace, where an officer seeks assistance from a colleague or supervisor or when the latter recognises the need to

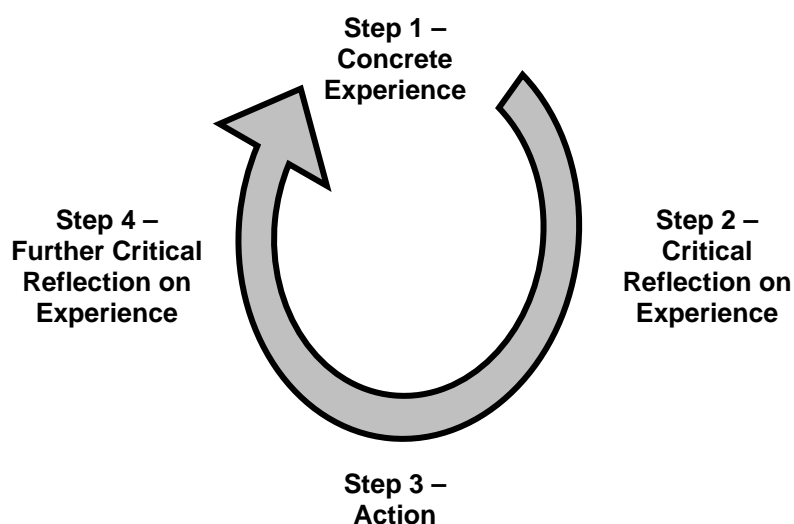
provide help. The term also covers the sort of capacity-building that occurs when an officer consults a Criminal Code, procedural guide or a computer-based application.

Underpinning police work at all levels is the almost continuous learning that results from simply doing the range of jobs that constitute policing. Within this unconscious learning process officers may note that, on reflection, they have conducted a search more effectively or completed a witness statement better. Kolb's Learning Cycle, depicted in Figure 8.2, offers a simple yet useful model for understanding the process of work-place learning once it is made conscious<sup>31</sup>. The first stage consists of the concrete experience of work practice. If we look at the example of a police search, officer 'X' might be tasked with the search of a premises for weapons used in a recent robbery. Officer 'X' is allocated a bedroom by the supervising officer but fails to locate the weapons which are later found by officer 'Y'.

The second stage involves officer 'X' closely observing and reflecting upon what has occurred: she notes that officer 'Y' adopts a systematic approach to searching a room, by dividing it into quadrants and carefully searching one area at a time. The third stage involves officer 'X' in the process of making sense of what has occurred and formulating a strategy for dealing with it. She decides that by adopting a similarly systematic approach she will locate items in the course of a search, rather than searching in a more random manner.

In the fourth stage officer 'X' will test the newly discovered approach to searching in a new search exercise: she will adopt the systematic approach, building a new work pattern and a new experience from which further learning can be developed. This, the most common form of experiential learning, occurs frequently in police work and is a potent capacity-building vehicle. Of its very nature, such learning is unplanned: however, Kolb's model provides vital clues as to how planned learning or capacity-building in police performance can be devised and implemented.

**Figure 8.2: Kolb's Learning Cycle**



<sup>31</sup> Kolb, D.A. (1984) *Experiential Learning: Experience as the Source of Learning and Development*, New Jersey, Prentice Hall

## FORMAL CAPACITY-BUILDING

Recent years have seen something of a revolution in the more formal approaches to police capacity-building. The more traditional 'classroom' approach, involving didactic inputs by instructors (combined with a variety of participative elements such as case studies, exercises) have given way to a much broader range of options in formal training and development. Let's look at a few of these.

**Technology-based training and development.** Technology has greatly extended the range of capacity-building media in recent years. It now allows the use of computers to deliver training and development solutions and police officers in many organizations can study a pre-designed programme delivered through a CD-ROM or DVD with multimedia inputs, such as videos. Although these are predominantly used for cognitive competencies (e.g. learning about a new piece of legislation) they can also assist with more psychomotor skills, such as the use of a new speed detection device. An obvious advantage of this type of capacity-building intervention for police officers is the way in which it allows them to learn at their own pace and at a place and time that is convenient. Against these advantages stand the significant costs of design and equipment, as well as the lack of interaction with tutors and fellow learners.

So-called E-learning represents a major development in learning technology in the last decade. It extends the scope of technology-based capacity-building through the vast communication links of the Internet. At its most basic level E-learning is very similar to technology-based capacity-building but with the advantage of allowing a police employee to access a training and development programme through the Internet (or police intranet) and providing the facility of updating programmes easily and regularly. At a more advanced level, E-learning allows learners to interact with on-line tutors and other police staff involved in the programme through discussion groups, E-mail correspondence and even audio-video conferencing.

**Distance-learning.** The experience in Kosovo has shown the real worth of distance learning programmes. Faced with the need to train over 6,000 officers of the Kosovo Police Service in the provisions of two new criminal codes in 2004, it was decided to

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**Police reform demands that an organization of several thousand employees has the means to implement new legislation and working practices in relatively short periods of time...**

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use self-teach guides. The focus was on the officers working on their own, in their own time, through a package of material which included reading materials, examples, study tasks and self-completed tests. Using a cascade system, field training and development officers were briefed in the use of the self-teach guides and DVD briefing film, as well as dealing with questions about the application of the new law. In spite of some initial resistance to an otherwise alien

method of learning, the majority of officers responded well and came to accept distance-learning as a legitimate means of capacity-building.

There are limitations to distance learning, particularly in terms of achieving uniform outcomes that can be verified in such large numbers of employees in a limited period of time. However, when faced with a capacity-building task in respect of all the officers in an organization, it represents the only viable and cost-effective approach. Police reform demands that an organization of several thousand employees has the

means to implement new legislation and working practices in relatively short periods of time (6 – 18 months). This can only be achieved through a creative use of distance learning techniques.

## SEMI-FORMAL CAPACITY-BUILDING

The most common type of semi-formal capacity-building used in police organizations is coaching (also known as tutoring) and tends to be limited to the development of police officers in the first 12 to 24 months of service. Alternatives to coaching (such as simulated exercises) tend to be less effective and much more expensive.

**Coaching.** Coaching (or ‘tutoring’) can be a potent method of developing police skills in the workplace. As indicated in the patrol officer’s job profile (see Appendix B), much of operational police work involves practical ‘people-centred’ skills that are only properly developed in the actual workplace. It normally involves allowing an inexperienced officer (the trainee) being exposed to a range of workplace tasks in an incremental manner and under the active guidance of a more experienced officer (the coach or tutor). It must be understood that coaching is not an alternative to a formal capacity-building programme. The latter will remain an essential building block in the effort to develop the broad range of skill areas required for specific ranks and policing functions. Coaching should be viewed as a complimentary method that forms a natural adjunct to the primary development within a formal intervention.

In order to be effective in terms of uniform and predictable outcomes, coaching demands proper planning and careful execution. If it is not properly planned and assessed it can at best result in poor acquisition of the required skills or, at worst, the acquisition of harmful attitudes and character traits from an inappropriate police coach<sup>32</sup>. In this way, coaching will prove demanding on the time of police coaches (or tutors) and supervisors, as well as the investment in structured assessment procedures and related forms. Whilst it is called semi-formal training and development, a successful coaching scheme itself requires considerable skills on the part of police coaches. These must be properly analysed and result in capacity-building measures for the coaches themselves. It will prove potentially disastrous for a police organization if it simply assumed that every operational officer ‘knows’ his or her job and therefore can teach someone how to do the job.

The formal element in coaching is, therefore, crucial to its success. It must be guided by a set of clear objectives, with a plan for achieving those objectives within defined periods of time. In relation to basic police training and development, the preferred approach involves workplace rotation programmes, where capacity-building is provided through a planned sequence of job experiences, supplemented by formal capacity-building interventions. Although used as a successful method of training and developing police recruits, this approach could (and perhaps should) be used more frequently in developing supervisors and managers at every level of an organization. Contemporary writers now offer a wealth of guidance on strategies for coaching managers in the workplace and demonstrate how such coaching can be built into the job profiles of managers and supervisors<sup>33</sup>. This offers a vision of capacity-building as a permanent skill area for police managers.

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<sup>32</sup> Peake, *ibid.*, 32

<sup>33</sup> See Fournies, F.F., (2000) *Coaching for Improved Work Performance*, New York, McGraw-Hill

**Mentoring.** In many minds coaching is closely allied to mentoring. The latter is a method of helping and supporting certain staff to manage their own development, in order to maximise their potential, develop their skills and otherwise improve their performance. Mentoring is a process that relies upon the availability of mentors – skilled, experienced and trusted advisers. In essence, then, a mentor will act as a role model and adviser to a more junior and inexperienced officer in the same rank or function. Of course the process of mentoring will occur naturally in most organizations in a purely informal manner. The challenge for a reform organization consists of introducing a formal element that will allow this natural process to achieve the level of conscious development rather than just unconscious and random events.

The formal element consists of selection criteria, modest capacity-building for nominated mentors and the inclusion of a mentoring strategy in the performance development procedure for officers during their probation period in a given supervisory rank or specialist function. Police mentors ought to be line supervisors or managers. However, the selection process must target the most potent mentors – officers who are known for their ability to act as role models, nurturing and developing police officers or support staff<sup>34</sup>.

There are risks in a mentoring scheme. Once the formal element is introduced the natural element can be eliminated by losing sight of the original principle of maximising the development opportunities offered by natural role models. Often a mentoring scheme, in spite of good intentions, will identify officers who are unwilling or impotent as role models. There is also the risk that the spontaneity of the natural process is lost in excessive bureaucracy and other formal elements. Capacity-building specialists must be mindful of these risks when devising such a scheme and seek out measures that will help to preserve the natural and spontaneous nature of healthy mentoring in the workplace.

**Secondments.** An alternative to workplace rotation is a secondment scheme, where the learning is provided through short-term placements in another job or function.

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**With appropriate planning, secondments can be used as a method of providing experience and development in areas that are not necessarily covered by a police officer's job.**

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This tends to be underused in police organizations going through reform programmes. With appropriate planning, secondments can be used as a method of providing experience and development in areas that are not necessarily covered by a police officer's job. Such areas will have been identified as useful for developmental purposes, as part of a plan. It may, for example, be used to allow a middle ranked officer to gain experience of a senior

command position or management of a specialist department.

The secondment scheme will lack credibility as an effective training and development tool if it is poorly organised and lacks clear objectives and a planned structure. In any approach to semi-formal capacity-building there must be a clear performance need that is being addressed and learning objectives that are intended to deal with that need. Finally, it is essential that the training and development is monitored and evaluated. No less than with formal capacity-building interventions, these semi-formal methods require careful planning and, ideally, a full performance gap analysis to properly inform the planning phase.

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<sup>34</sup> Peake, *ibid.*, 20

Too often the above methods are not viewed as capacity-building opportunities; rather they are employed as general opportunities for personal development that *de facto* lack precise outcomes. This tends to reduce the impact of the capacity-building opportunity from the outset. With the growing awareness of the nature of democratic policing as a set of practical skills that can be properly defined, the semi-formal capacity-building methods will gain increased recognition as a critical part of reform programmes.

## DELIVERY STRATEGIES

Delivery strategies can be categorised, in general terms, as either instructor-centred or student-centred. In contemporary capacity-building the emphasis tends to be placed on the student and his or her individual development. As the term suggests, an instructor-centred strategy is one that is centred on the role of the instructor as the one who leads and directs trainee officers through a series of lessons, exercises, activities and experiences toward the achievement of the learning objectives. Every aspect of the programme - the pace, tactics, and sequence - is controlled and guided by the instructor. A student-centred strategy shifts the responsibility for learning to the trainee officer who has a far greater role in deciding the pace, sequencing, choice of materials and general management of the capacity-building process. In this model the instructor takes on a more facilitative role and manages the resources that the trainee officer requires.

Contingent upon the demands of the capacity-building programme, both strategies have their strengths and weaknesses. An instructor-centred strategy reflects the more traditional approach with which many in police organizations feel more comfortable. It is clear that many police instructors find it easier to plan, administer and control the programme using this traditional approach. Likewise, many trainee officers value a well-structured programme that directs and shapes their learning and provides an opportunity to mix with their colleagues and share experiences.

A key disadvantage of an instructor-centred strategy is that the trainee is driven at a pace dictated by a rigid timetable and in pursuit of the learning objectives. Some trainee officers may be left behind and unable to learn as well or to the desired level. An instructor-centred strategy depends upon the skills of the instructor who must not only prove technically competent but also skilled in making decisions about the pace and content. In addition, the instructor must be able to use interpersonal skills to motivate, provide feedback and actively encourage the learning process for all trainee officers.

An advantage of a student-centred strategy is that the instructor has responsibility for capacity-building through a facilitative system that involves managing resources and providing trainees with the means to develop. It does not mean that the responsibility for training and development is taken away from the instructor. Rather the emphasis on the trainee is expressed in terms of sequence, pace and choice of resources: when the trainee feels in need of advice, information or feedback the instructor responds accordingly. However, in support of this kind of strategy there will be a need for considerable work in the start-up phase, overall management and revision of the resource materials that are required. This entails a shift in roles for the instructor, something that some police instructors may find difficult and unpalatable. Just as the instructor-centred strategy places demands on the skills of the instructor, the student-centred strategy imposes considerable weight on the motivation and commitment of the trainee officer to a learning process that will often be unfamiliar insofar as it lacks the expected structure. It is true that not every police officer is able

to pace his or her own learning, but a shift toward a sense of responsibility for self-development is surely a desirable outcome in a reform process.

Of course the two strategies are not incompatible and it is suggested that both should have a role to play in the majority of programmes. The process of selecting the more appropriate strategy for each lesson (or each objective within a lesson)

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**Just as the instructor-centred strategy places demands on the skills of the instructor, the student-centred strategy imposes considerable weight on the motivation and commitment of the trainee officer...**

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within a programme will require data about knowledge of the target group, the nature of the objective and the various constraints imposed on the programme as a whole. In some programmes the data may point to both strategies as critical ingredients in achieving the learning objectives. For example, trainee officers in a management and leadership programme might benefit from some form of student-centred training and development, such as working through a self-teach guide to core management

skills prior to attending a residential course and/or during the course. In general terms, constraints such as time and the primacy of operational police services create an obvious preference for non-residential and student-centred strategies, such as distance learning techniques. Once an appropriate strategy has been identified, the capacity-building specialist can move to the business of selecting methods that will best serve the chosen strategy.

## **TRAINING AND DEVELOPMENT METHODS**

In this part the nature, applications and advantages of the most common training and development methods will be considered. The training and development methods that a specialist employs will usually be contingent on four main factors: the learning objectives (as discussed in Chapter 7), the content of the training and development material, the target group of trainee officers and the available budget. The process of balancing these factors will mean being drawn – or driven, in the case of a limited budget - to a given method or methods of delivery. Hopefully, a detailed knowledge and understanding of the four areas above will provide a clear idea about how the training and development solution ought to be delivered. Sometimes the combination of a limited budget and a large target group will necessitate the use of distance learning, as in the example of the cascade programme that targets over 6,000 operational officers in the provisions of new criminal codes within a period of three months. This is not likely to allow the luxury of a residential course. In some situations it may be unclear as to what is the most effective approach and senior officers may make a decision simply on the basis of the budget. Within these constraints the specialist must adopt a creative and flexible attitude.

The more common training and development will now be examined, as well as their applications and relative merits.

**Lesson.** A lesson is a basic unit of instruction within a capacity-building programme. Each lesson within a programme will seek to achieve a certain number of closely related learning objectives in a structured and planned manner. This is normally achieved through a lesson plan that addresses:

- aim of the lesson



- duration of the lesson
- learning objectives
- time allotted to each objective
- necessary training and development aids and materials
- suggested training and development methods and learning styles
- trainee assessment.

Without detailed lesson plans, it will be difficult if not impossible to control the training and development outcomes in a large capacity-building programme that involves possibly thousands of police employees over a period of many months or years. As discussed in Chapter 3, capacity-building must utilise methods that will bring about desired changes in police performance in a uniform, controlled and predictable manner. Moreover, the evaluation systems that will be discussed later can have no meaning as a method of assessing the efficacy of a capacity-building programme that lacks uniformity and consistency in the way it tries to achieve learning objectives.

The lesson should, therefore, act as a structured vehicle for a number of different types of training and development methods, such as the lecture, demonstration, role-play, tutorial. In a typical format, the lesson allows for a good level of interaction between the instructor and trainee officers through questions and answers, provision of feedback and practice. New or inexperienced instructors can deliver training and development using a properly designed lesson plan with comparative ease, thereby facilitating the achievement of uniform outcomes in a reforming organization.

**Lecture.** A lecture can be defined as a talk or presentation that provides and explains information about law, procedures, policies, and practices. It is of course a familiar method for most police officers in transition states and requires little or no participation by the trainees, unless and until they are invited to ask questions. It is a heavily didactic method that provides the instructor with complete control over the content and the sequence in which the material is presented. A lecture lends itself to cognitive objectives where there are large numbers of trainee officers, therefore allowing more material to be presented in a given period of time than other non-didactic methods.

Although a convenient vehicle for police education in many organizations, the limitations of a purely didactic approach cannot be overestimated. Experience shows that an over-reliance on the lecture method tends to annul the investment in instructor development in non-didactic skills (as described below). The latter are considered vital in the effort to build police capacity in a range of practical skills and character traits. Learning objectives that refer to areas such as policing in a multi-ethnic society, ethnic and gender awareness in the workplace, respect for human rights cannot be achieved through the cognitive domain alone, using a lecture-based methodology. A lecture lacks that crucial element of interaction between trainees and the instructor, in which officers are invited to confront their prejudices, reflect on their experience and consider the impact of their

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**It is important that the demonstration is properly 'scripted' (or described) in the lesson notes, thereby ensuring that the content and presentation are consistent throughout the target group.**

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behaviour on work colleagues and members of the public. It is strongly advised that the lecture is confined and limited to purely cognitive objectives in lesson plans.

**Demonstration.** This is a method that involves illustrating a particular policing task, skill or procedure through a live performance by the police instructor. It is normally accompanied by an explanation by the instructor and should always be considered as part of a lesson plan that contains objectives which relate to practical policing skills. It is important that the demonstration is properly 'scripted' (or described) in the lesson notes, thereby ensuring that the content and presentation are consistent throughout the target group. It is equally important that the demonstration is devised in a way that will provide trainee officers with a model which they can subsequently practise themselves.

This is an essential method in basic police training and development and has the advantage of reinforcing correct procedures through a practical and easily accessible model that captures and maintains the interest of the trainees. As such, it will illustrate the relationship between various activities within a given task and form a concrete model that will link to assessed exercises for the trainee officers. Against all this, demonstrations can be time-consuming to prepare and implement, particularly where there are a large number of trainee officers and a demonstration may have to be repeated a number of times.

**Role-play.** A role-play consists of a presentation of a workplace activity or skill area that replicates, as far as is practicable, the essential features of the workplace reality. Unlike a demonstration, a role-play will usually involve the active participation of trainees. It allows trainee officers to solve problems, follow procedures, use equipment and act out roles as if they were performing the job on the streets. It can involve interpersonal exercises in which a trainee officer acts out practical skills such as dealing with crime reports, interviewing witnesses and victims, running briefing sessions, dealing with violent or potentially violent persons. Instructors and trainees can act out the parts and make the achievement of the relevant learning objectives both interesting and fun.

Alternatively, role plays might consist of simulation exercises that focus on the skills related to police equipment, such as vehicle skid simulation, handcuffs, firearms, batons, speed detection and drink/drive devices. This can be particularly useful when the consequences of an error could be costly or create a risk of injury. Probably the most common application of role plays is the case study, a simple and inexpensive method of presenting problem situations that allow officers to work out solutions individually or as part of a group.

Role plays have the potential of introducing a degree of realism into the safe learning environment of the classroom. In a competency-based model of capacity-building it is a method that involves a high level of activity for trainee officers and draws upon their own individual experiences. It allows critical decision making skills to be

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**Role plays have the potential of introducing a degree of realism into the safe learning environment of the classroom.**

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conducted without danger, as well as measuring the level of competence against minimum performance standards. On the down side, this method can be expensive in terms of resources and the time taken in preparation and implementation of the exercises. Case study materials require updating if they are to be realistic and role

plays generally place great demands on instructors in terms of managing and controlling the activities and learning outcomes. It is important that instructors are

fully aware that some interpersonal skill exercises can prove threatening to inexperienced officers: instructors must be sensitive to this need and prepared to manage the consequences professionally.

**Tutorial.** A tutorial is a session of intensive tuition given by an instructor (or tutor) to an individual officer or, in some cases, to a small number of trainee officers. It is a developmental tool borrowed from the world of mainstream higher education and adult education. It normally takes the form of a semi-structured interview with a trainee officer on a one-to-one basis. The tutorial will focus on the specific learning needs and development of the officer by reviewing performance, explaining personal development activities and procedures, discussing and resolving performance problems and agreeing personal action plans.

In this way the tutorial can become a potent tool for professional development and remedial capacity-building at the individual level. It has the advantage of increased interaction between the instructor and trainee and allows greater focus on individual needs and personal feedback. This requires that the instructor is technically competent and skilled in coaching techniques and remedial learning methods. Whilst it is increasingly used in basic police programmes, the application to leadership and management development is yet to be fully exploited in many reforming organizations because of the lack of competent instructors in the higher ranks.

The tutorial has the disadvantage of being very time consuming: a class of 20 trainee officers will require at least five hours in tutorial time for the instructor, not including time spent in preparation. However, where an organization can provide appropriately skilled instructors and a carefully structured tutorial scheme, this developmental method will yield remarkable increases in performance and capacity.

**Programmed instruction.** The general principles of programmed instruction (or programmed training and development) are derived from the work of B.F. Skinner<sup>35</sup>. The basic idea is that instructional materials should have a clearly defined content that is presented in small increments or units. A trainee officer must answer a series of questions and is told whether the answer is correct. The system allows for the answers to be provided immediately and, in some cases, there is a facility for remedial work or further practice where the officer gets it wrong. It is a method that can be delivered in a number of different formats, including books, audio tapes, DVDs, video cassettes and interactive computer programmes. It offers a standardized form of presentation with the benefit of allowing police officers to work through the material at their own speed.

Programmed instruction is a relatively new concept in many transition states. As with other capacity-building methods, the introduction of programmed training and development presents a number of challenges and opportunities. In a reforming organization this method creates the potential of targeting significant numbers of staff that are spread out over a large geographical area, in a manner that reduces disruption to operational police work and, at the same time, allows individuals to work through the material at their own pace. Since it is a radical shift away from the more traditional approach to police 'education', it will often require acceptance by police managers and ordinary police staff as a legitimate and effective capacity-building tool.

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<sup>35</sup> See Skinner, B. F. (1968). *The Technology of Teaching*. New York, Appleton-Century-Crofts

There are of course increased costs in terms of design and infrastructure, but these are easily offset by removing the costs associated with residential capacity-building (e.g. staff absences from the workplace, accommodation, transport, classrooms). Too often capacity-building courses are criticised for being too short and intensive. Relative to the months and years of operational police work that they support, training and development in policing knowledge and skills in the classroom and workplace is all too brief. As in other professions, policing requires an attitude on the part of officers that recognises that learning is an ongoing process that only ends with retirement. Programmed instruction and other distance learning methods can help to provide both the impetus and the means for life-long learning in a police organization.

## THE CRITICAL ROLE OF INSTRUCTORS

A common error in police capacity-building is a failure to realise that the final success of a programme rests with the instructors who will deliver it. Before thinking about capacity-building strategies, the specialist is urged to consider the skill level of those who are going to be involved in the delivery of the programme. It is worth considering the analogy of a Formula One racing team that invests in a new car then fails to see the importance of the driver. All the effort invested in a capacity-building programme is likely to be wasted if no thought is given to the quality and qualifications of those who will deliver it: the training and development instructors. Police instructors who are involved in the delivery of capacity-building programmes must be able to call upon a range of skills and abilities that might not be fully appreciated by senior police managers. The selected capacity-building strategy may, in theory, appear to be an excellent choice in terms of the budget, target group, constraints, and principles of learning, yet prove unsuccessful because of instructors who fail to meet high standards.

### Selection of police instructors

Traditionally police organizations give greater attention to the task of developing those instructors who are responsible for the provision of formal capacity-building programmes. Often instructors are selected for their technical expertise or policing experience with little or no regard for the skills they must use as police instructors. Clearly technical expertise and experience are important in terms of credibility, but it

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**...a sound instructor will be a good listener, possess an advanced level of interpersonal skills, take pride in planning and preparation, and demonstrate flexibility in the use of capacity-building strategies.**

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will be to no avail if the instructor is unable to effectively transfer these advantages to the benefit of the trainees. Many will be aware of cases where instructors prove inadequate even after having been trained in instructional techniques and there is a need to carefully consider the process whereby instructors are selected. This will involve identifying the positive and negative qualities of police instructors in order to decide the criteria that should be applied when selecting instructors and devising their

special training and development needs.

There are many characteristics that can be attributed to a poor instructor: having an untidy appearance, lacking an interest in trainee officers, lacking in verbal and listening skills, trying to cover too much material too quickly and refusing to accept criticism or accept advice on training and development techniques. These are usually the failures of instructors who are 'unconsciously incompetent' and reveal a lack of

commitment to capacity-building and trainees. Worse still, perhaps, is an instructor who is impatient with trainee officers who fail to understand or one who displays an autocratic style that limits or excludes student participation.

What then are the attributes of a good instructor? Obviously they will include the counterparts or opposites of those qualities of a bad instructor. In addition, one would point to a sincere sense of accountability for a trainee officer's future performance and an equally sincere interest in the individual and his or her development. Moreover, a sound instructor will be a good listener, possess an advanced level of interpersonal skills, take pride in planning and preparation, and demonstrate flexibility in the use of capacity-building strategies.

There are of course many views on how best a police organization can select officers or support staff who will prove to be good instructors. Instructor skills can be acquired through correct capacity-building and rigorous assessment, but the starting point must focus on two important aspects: commitment and proven interpersonal skills. In some organizations, training and development might be viewed as a 'soft option' or a way of avoiding the drudgery of shift work and policing the streets. Without a method of screening out applicants who have such a negative motive, police training and development institutions begin to lack credibility and the effectiveness of their programmes fail. This screening must focus on identifying a genuine commitment to capacity-building as an instrument of individual development and organizational change. Likewise, the screening system must be capable of identifying staff who demonstrate advanced interpersonal skills as a necessary basis for building the range of instructor skills. Both commitment and interpersonal skills must be evident in performance reports and then, as part of a selection process, tested in a sample presentation on a neutral subject that is assessed by training and development managers. Applicants might be asked to prepare a ten minute presentation on a subject of their choice that is not related to police work.

### **Developing police instructors**

The training and development of potential instructors must be systematic, well organised and focused on the knowledge, skills and character traits required to be an effective instructor. All of this should be based on a carefully crafted job profile for this specialist function. Such a development strategy will allow candidates to appreciate how officers learn in different ways and have their own preferred learning styles that are influenced by factors such as experience, personality, culture, prior education. In addition, it should reveal how the instructor arranges the appropriate learning conditions for trainee officers on the basis of the principles of adult motivation and learning. It entails an understanding of the apprehension students feel about capacity-building and their fears about the consequences of failing to develop. Most trainee officers place trust in their instructor and have a positive interest in succeeding. It is usually only a minority who prove difficult, unwilling or over-confident, something that is occasionally overlooked in the preparation and conduct of capacity-building programmes.

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**Judgemental skills will focus on the ability to appraise and form a balanced impression of the trainee officer...**

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Instructor development must provide candidates with a range of judgemental, technical, and interpersonal skills in order to achieve learning objectives in a consistent and professional manner. The technical skills are vital and include, *inter alia*, preparation and planning, selection and use of methods, use of visual aids, assessments, role-playing, feedback and other capacity-building activities. An

instructor must be capable of interpersonal skills at a one-to-one level that are akin to those of a skilful counsellor, including the ability to observe, listen attentively, and elicit information through skilled questioning. Judgemental skills will focus on the ability to appraise and form a balanced impression of the trainee officer, to establish realistic learning goals and decide if and when the officer is sufficiently competent to apply policing skills in the workplace.

### **Facilitation as a key police instructor skill**

Facilitation encourages trainee officers to actively contribute the knowledge, skills and experiences that they have acquired in the course of their operational and management work, to the benefit of their peers. This is a crucial step forward in police capacity-building: the recognition that policing and policing skills reside in the daily environment of the workplace, rather than as abstract theories in text books. The best source of data about policing is the officers who are engaged in policing. Moreover, trainee officers will bring with them their own learning style, self-esteem, self-confidence, personal qualities, as well as prejudices and expectations.

A police instructor will control the content and direction of learning in group and one-to-one training and development, but in the context of facilitation he or she becomes an enabler who allows and assists trainee officers in self-development. Control over the learning process moves from the instructor to the trainee and they become interdependent, drawing on each other's knowledge and skills in pursuit of the learning objectives. It is in the context of learning objectives that seek to change or develop the attitudes of officers that facilitation emerges as the best approach. This will require instructors to adapt their approach to meet the specific needs of the trainee officers – something that is not always easy. It requires that the target group develops its own ground rules and generates an atmosphere of openness in which the officers can work together as a cohesive unit. The instructor will work as a facilitator and a resource that the group can draw on and thereby contribute to its learning.

This demands that the instructor is aware of the emotional needs of individual officers and monitors the development process closely. It is essential that the instructor creates a climate in which officers feel secure in revealing their attitudes and prejudices and, at the same time, structures and guides the learning activities. This is crucial in a post-conflict and ethnically divided society. Without adequate control of the learning experiences, the process may easily degenerate into an aimless discussion that fails to achieve the objective of developing positive attitudes and character traits.

Clearly this approach places enormous demands on instructors, probably far greater than the traditional didactic approach. Not all instructors can measure up to such demands and police managers must apply rigorous standards in the assessment of the attitudes and skills of potential instructors. Specifically, potential instructors need the ability to deal with both positive and negative feedback and accept the ideas of trainee officers even where they are perceived to be provocative or irksome. Other qualities include the willingness to listen to officers, recognise their feelings, demonstrate a desire to develop relationships with individuals and the group, and demonstrate an openness to ideas and beliefs that are not their own. Of course not all of these qualities of the facilitator will be required in every capacity-building intervention and an assessment of the programme will reveal which qualities are required and necessary.

### **Assumptions about police tutors**

Some instructor skills are equally important in those who act as workplace tutors. Tutoring is increasingly used as a developmental tool at all levels of the police organization as a mechanism that allows officers to be better prepared to take on new responsibilities. Tutors must have an appreciation and thorough understanding of such skills and activities as assessments, practical exercises, role-plays, and group discussions. All this must be complimented and underpinned by the basic skills of analysing, summarising, listening, correcting, prompting, guiding and controlling

Experience has shown that the perceived advantages of capacity-building in the workplace process have often been tarnished by a lack of professionalism in the manner in which programmes are delivered. This has resulted in most cases because workplace training and development or 'tutorship' is assumed to be a

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**Experience has shown that the perceived advantages of capacity-building in the workplace process have often been tarnished by a lack of professionalism in the manner in which programmes are delivered.**

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natural and familiar process – something that any police officer with experience can do. The assumption is patently false. It is perhaps rooted in an often unchallenged belief that policing is a job that you can 'pick up' by merely observing another, more experienced, officer at work. Often this is compounded by complacency about – or in some cases, opposition to – the need to develop tutor officers. In this sort of climate workplace development becomes a hit-and-miss affair that results in inconsistent or

unpredictable outcomes. The ability to act as a workplace tutor does not come naturally to everyone and, more importantly, the search for higher performance standards cannot be served well by a system that assumes that all police officers exemplify a good standard in every area of police work.

In these circumstances there is an obvious and pressing need for the basic assumptions about workplace capacity-building to be carefully examined. The solution must lie in replacing the unstructured and unprofessional approach with a structured tutor scheme that is implemented by properly trained and developed tutor officers. Senior officers must first be convinced that the unstructured approach does not serve their ambition to improve performance standards and the solution involves an investment in time, effort and resources to properly develop police tutors.





# 9

## Evaluation models and methods



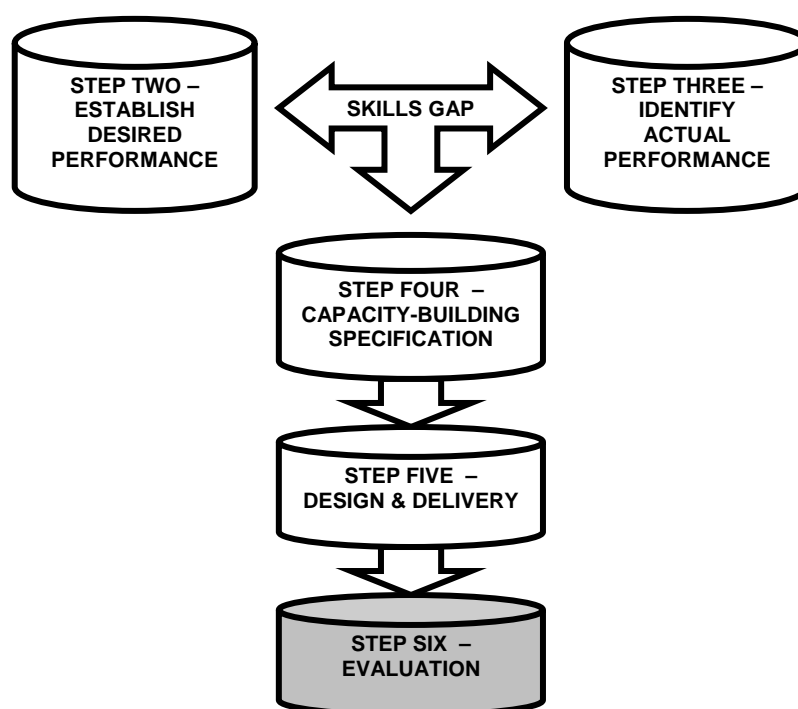
# 9

## Evaluation models and methods

### INTRODUCTION

Prior to developing an evaluation strategy and deciding on the best techniques to deploy in collecting information, it helps to clarify the purpose of the evaluation process. Data collection techniques are best considered as builder's tools - deciding which tool to use will depend greatly on the job that has to be done. The choice of observation or focus groups or questionnaires will be guided by the objectives of the relevant evaluation exercise. Measuring the effectiveness of capacity-building programmes requires a process of evaluation that looks at what can be measured and how it can be measured. Since evaluation forms an integral part of the process by which capacity-building is designed, developed and delivered these measurements cannot be an end in themselves.

**Figure 9.1: Step Six – selecting the most appropriate evaluation method**



As observed from the outset, measuring the effectiveness of capacity-building must flow from a fully systematic and integrated approach to the development and the implementation of police training and development programmes. It follows that measuring the effectiveness of capacity-building need not take place at only one

stage, such as completion of a training and development programme. It can start at a number of stages by using data derived from the policing plan priorities and objectives, performance gap identification, job profiles, capacity-building design and existing capacity-building programmes. Each of these can represent a starting point for evaluation and generate a wealth of data to guide and structure the measurement process.

The key points of the chapter can be summarised as follows:

- Identifying the pivotal role of evaluation in a reform process
- Describing two of the most commonly used evaluation models
- Identifying some of the critical issues in evaluation design
- Identifying the three main methods of data collection and
- Describing how the principles of validity, reliability and relevance apply to evaluation data.

## PIVOTAL ROLE OF EVALUATION

The traditional approach views evaluation as a process that only begins when police capacity-building has occurred and overlooks pre-existing data that can better ensure that evaluation is measuring what the organization demands. The Policing Plan should yield critical information that will assist in guiding the evaluation process. It should be scrutinised in search of answers to the following questions:

### ***Chart 9.1: Information derived from a Policing Plan***

- What is the police organization's strategy under the Policing Plan and how does that strategy assist it in meeting its objectives?
- What is the position of capacity-building in the overall structure and function of the police organization?
- How does capacity-building support the organization's strategy and objectives under the Policing Plan?
- What data does the organization need about the effectiveness of its capacity-building programmes?
- How will this data be applied?

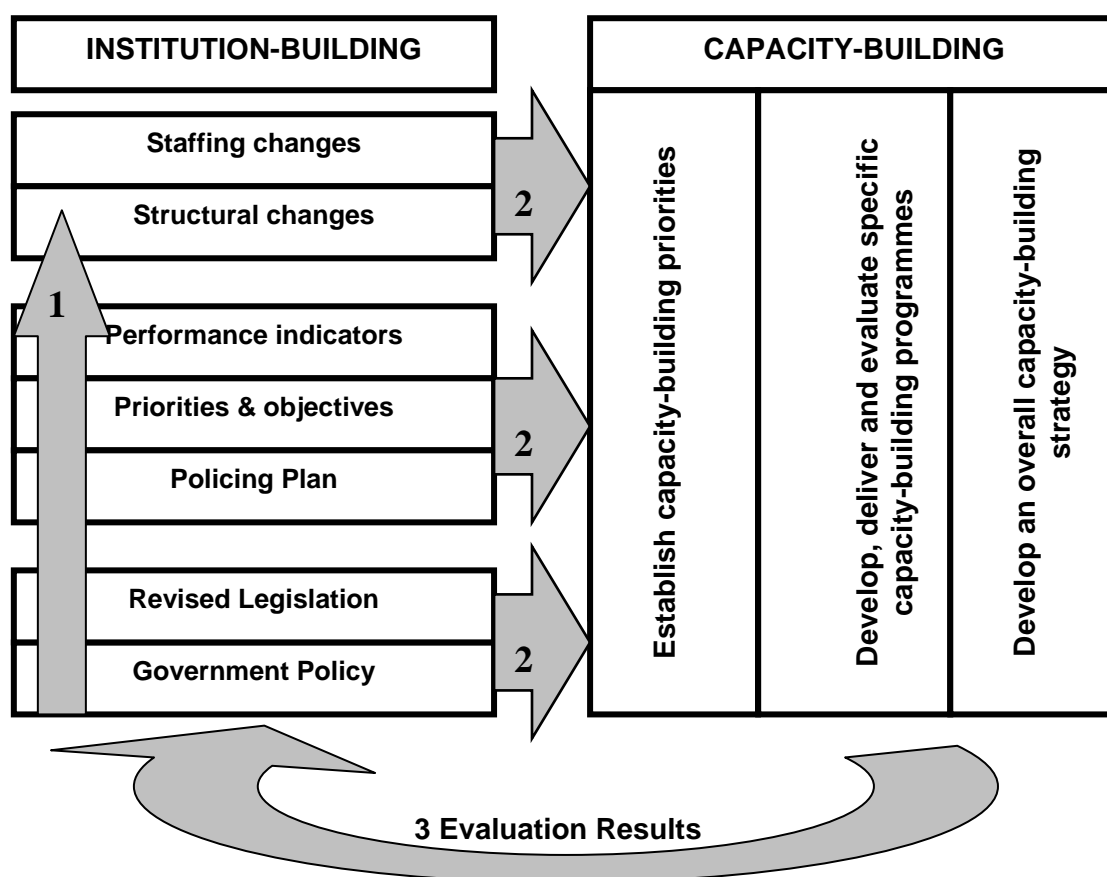
The evaluation process demands clarity of purpose and the answers to these questions will yield a guiding framework for the measurement process. Where an evaluation lacks clear purpose it tends to wander aimlessly and results in findings that are devoid of organizational relevance.

Of course police organizations run at different speeds and levels of sophistication in terms of policing plans. In some there is no explicitly stated plan, in others the philosophy of working under the guidance of a plan is a new experience, and in others the organizational strategy may be subject to frequent change. Capacity-building specialists must be aware of these variations and be prepared to take a flexible approach in linking the evaluation process to the organization's strategy. Specialists may otherwise make false assumptions about the nature of the strategy

at an operational level and thereby embark on an evaluation process that inevitably misses the mark.

Evaluation is vital in the process of ensuring the continuous improvement of the quality of the content and delivery of capacity-building programmes. It ‘involves generating data through a process of inquiry and then, on the basis of this, making judgements about the strengths and weaknesses and the overall effectiveness of the course, and making decisions about how to improve it further’<sup>36</sup>. Specifically, evaluation will be used to address the appropriateness of the learning objectives and the length of the course, as well as assessing the effectiveness of the overall programme in terms of the performance needs it was designed to address. In addition to the use of evaluation as a quality assurance tool, it can also be used in response to a specific concern. In an organization that is faced with financial cutbacks or a rigorous budget-setting process, evaluation might be utilised to measure the extent to which an expensive capacity-building programme represents good value for money.

**Figure 9.2: The role of evaluation in the police reform process**



<sup>36</sup> Armitage, A., Bryant, R., et al, (2003) *Teaching and Training in Post-Compulsory Education*, Maidenhead, Open University Press

Equally, an evaluation can be used as an investigative tool in response to complaints about a capacity-building programme, or a device that will probe the effectiveness of a programme that is alleged to have failed to meet its intended objectives. Note that these various purposes are interlinked and closely related: whilst every evaluation will, in broad terms, focus on the effectiveness of a capacity-building programme the accent or emphasis can shift as needs require.

### **Evaluation as part of the reform process**

Even though evaluation is a potent and necessary tool in police capacity-building programmes, it is often omitted in both internal programmes and donor-funded external programmes. This is an extraordinary failure, given that a considerable investment is allowed to seemingly avoid the quality and financial criteria that would be applied in the private sector. The net result tends to be a lack of rigour in future planning and a loss of credibility when poor programmes are repeated in spite of informal complaints from the beneficiaries.

Where evaluation is used, there is a second pitfall in the latent danger of it becoming a meaningless chore: familiarity can and does breed contempt when police officers are required to complete evaluation forms. The evaluation exercise can become routine for all the staff involved unless it is properly managed and subjected to constant review. An important factor in averting this danger is the need to stress the impact of the evaluation: i.e. its ability to make a difference. There is no point in conducting an evaluation for its own sake: it must be seen to result in data that will be used to make a difference to the quality of capacity-building and, in turn, the police organization's performance. Herein lies the first and most important principle of evaluation – it must in every aspect be consciously linked to the aims of police reform.

There must be a continuous loop that links organizational objectives to performance gap identification to the final evaluation of the capacity-building programmes that strive to bridge the gaps. The process starts with organizational priorities and objectives and what is happening in the police organization that indicates a need to change individual or group performance. It then moves to identifying a gap between the desired performance and the actual performance, then investigating whether capacity-building is an appropriate and viable solution to bridging that gap. If the answer is yes, the process continues by identifying the relevant skills, knowledge and character traits that require development and then moves to specifying the learning objectives that will address those development needs.

The evaluation process should mirror the steps in the systematic approach to capacity-building by considering whether the specific performance gaps have been identified, whether the gaps have been bridged and whether this has assisted in achieving the organization's priorities and objectives. Thus the success of the evaluation phase is directly contingent upon a sound performance gap identification process and perceived difficulties in the evaluation phase are often the result of a badly executed performance gap identification process. Ideally the evaluation phase should be planned at the same time as the performance gap identification in any major programme.

However, the cause of the failure might lie elsewhere. A performance gap identification process must take account of any factor that is linked to the achievement of organizational objectives – this will include factors that relate to organizational structures and policies. The latter cannot be addressed by capacity-building interventions but must be brought to the attention of the appropriate senior managers. Going back to the example of the rights of detained persons, it might be

the case that the lack of infrastructure and resources make it impossible for officers to respect certain rights (e.g. insufficient detention space, inadequate heating or ventilation, insufficient interpreters, a lack of regular meals, no means of contacting family members, insufficient resources to fund defence lawyers at public expense).

<b>Chart 9.2: Linking an evaluation to the performance gap identification process</b>	
Bridging Performance Gaps	Evaluation
Devising job profiles that serve organizational objectives	Do job profiles serve these objectives?
Identifying poor performance areas	Have the weak skill areas been identified?
Capacity-building specification	Has the specification been achieved, in terms of required learning objectives and target group selection?
Performance gap	Has the gap been bridged?
Required skills, knowledge and character traits	Has the capacity-building programme provided the necessary skills, knowledge and character traits?
Workplace performance	Has the workplace performance been improved?

Another common problem in police reform programmes lies in the frequent mismatch of capacity-building intervention and workplace application. This can occur in one of several ways. Firstly, officers are often selected for capacity-building programmes that are not immediately relevant to their operational or administrative function, due to a failure or confusion in the selection criteria. Alternatively, problems occur where the correct selection criteria are applied and the right officers attend the capacity-building programme but there are no subsequent opportunities to use or practise the new skills in the workplace.

### **The nature of evaluation**

Evaluation can be defined as a systematic process of measuring the effects of capacity-building. There are a number of types of evaluation, varying in form, the data they yield, and the situation to which they can be effectively applied. The various approaches in common use can be categorised as either empirical or statistical. The latter involves collecting and analysing numerical data from which predictions are drawn and usually involve measuring a representative sample of the entire target group. Whereas, an empirical approach requires the collection of data derived from experience, observations and experiments. In addition to this distinction, most capacity-building specialists will identify the data obtained from an evaluation as either qualitative or quantitative.

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**Evaluation should be used flexibly in meeting the needs of different parts of the police organization.**

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Evaluation should be used flexibly in meeting the needs of different parts of the police organization. Data derived from an evaluation process can be used to measure the value added by a capacity-building programme, to analyse processes, to prove cause and effect and to acquire diagnostic data for organizational development. It is important to appreciate the broad sweep of application in order to select the most appropriate type of evaluation to meet the requirements of the police organization. The various types of evaluation can be viewed on a scale that runs from the empirical or objective to the subjective or non-empirical approach at the opposite end.

Once a comprehensive police reform process has begun, a number of capacity-building programmes will commence that differ significantly in the knowledge, skills and character traits they seek to achieve: this will, in turn, demand a number of types of evaluation in conjunction with various measurements. The specialist must be prepared to consider programmes on a case by case basis. Some capacity-building programmes will need to be assessed on an individual basis. It may be appropriate in some cases for the specialist to employ a combination of methods and select the most appropriate tools and instruments by which the desired data can be collected.

## MODELS OF EVALUATION

There are a number of evaluation models available to capacity-building specialists and the range of choice may appear daunting. However, it is suggested that organizations should look at one or two traditional and proven models that can, if necessary, be adapted to meet the specific needs of the evaluation task.

### Kirkpatrick Model

In the context of police reform, a good starting point is the evaluation model devised by D. Kirkpatrick<sup>37</sup>. This approach, known as the Kirkpatrick Model, has been used in a number of different ways by various organizations, either in an adapted or original form. This model envisages data collection at four distinct levels, as indicated in Chart 9.3.

<b>Chart 9.3: Kirkpatrick's evaluation model</b>		
Advanced level of evaluation	<b>Results level</b>	Impact of capacity-building on the police organization and its objectives
	<b>Performance level</b>	Impact of the capacity-building on workplace performance/behaviour
Basic level of evaluation	<b>Training level</b>	Impact of the capacity-building in terms of what the trainee officers learned
	<b>Reaction level</b>	Impact of the capacity-building in terms of the trainee officers' satisfaction

The lower levels (reaction and training) have an importance for those involved in the design and development of training and development materials, as well as instructor

<sup>37</sup> Kirkpatrick, D., (1994). *Evaluating Training Programs*. San Francisco, Berrett-Koehler



development. The first level of evaluation (the reaction level) can provide invaluable data on problems that have arisen during the capacity-building programme itself and, sometimes, an insight into the causes if the programme is less than fully effective. Whereas the training level seeks to measure whether the required knowledge and skills contained in the programme objectives have actually been learned. This is usually achieved through a formal test or assessment that employs objective and quantifiable measurements.

The reaction and learning levels are relatively easy to organise but they do not provide any significant indicators of the final test of a capacity-building programme, viewed within the context of police reform: namely, the real impact on workplace performance. Accordingly, Kirkpatrick inserts two further levels. The performance level tries to measure police job performance through a range of evaluation tools over a period of time. Closely allied to this is the results level that seeks to measure the effect that the capacity-building programme has had on the overall performance of the police organization. As you may imagine, this is not easily achieved due to the difficulty in controlling the numerous variables that influence known performance results. However, too often the use evaluation in police organizations remains impotently locked into the immediate reaction level (i.e. through use of so-called 'happy sheets'). In a police reform process the emphasis must be on using evaluation to verify the impact on organizational objectives (the results level) or at least to identify some significant change in the performance/attitudes of the relevant staff (job performance level).

The power of the Kirkpatrick model, therefore, lies in its potential as a diagnostic tool in monitoring progress in overall reform objectives. For example, where an organization has designed and implemented a programme to address the failure of

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**The power of the Kirkpatrick model, therefore, lies in its potential as a diagnostic tool in monitoring progress in overall reform objectives.**

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officers to respect the rights of detained persons under the local law, the last two levels might well be ascertained through interviews with arrested persons. If poor results are detected at the job performance level (i.e. a significant percentage of arrested persons report that they were not informed of their rights by trained officers), then performance of all or some of the

officers has failed to change in the desired way. Exploration of the lower levels (the programme itself and the instructors) is the first step in isolating the cause of failure in meeting the organizational need through capacity-building. The analysis of evaluation results will be discussed in greater detail in Chapter 11.

### **CIRO Model**

Another evaluation approach that lends itself to adaptation is that described in the work of P. Warr, M. Bird and N. Rackham<sup>38</sup>. This approach, known by the acronym 'CIRO', is also based on four measurement categories but differs from the Kirkpatrick model in several respects. It envisages four categories of data capture:

- Context evaluation
- Input evaluation
- Reaction evaluation

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<sup>38</sup> Warr, P., Bird, M. and Rackham, N. (1970) *Evaluation of Management Training*, London, Gower Press

- Outcome evaluation.

As the name suggests, a context evaluation seeks to measure the context within which a capacity-building programme takes place. It scrutinises the way performance needs were identified, learning objectives were established, and the way the objectives link to and support the necessary competencies. In addition, it ought to consider how these components of the programme reflect the culture and structure of the organization. This type of evaluation confirms or otherwise if capacity-building is required. Input evaluation tries to measure a number of inputs to a capacity-building programme, with a view to assisting managers in the process of identifying those which will be most cost-effective. To that end, it focuses on the resources needed to meet performance needs (e.g. staff, facilities, equipment, catering, budget), the content and delivery methods that allow the capacity-building to be achieved, the participating officers, and the results from previous programmes that are similar.

As in the Kirkpatrick model, the reaction evaluation tries to measure how the trainee officers reacted to the programme. Against what was intended by the programme, this type of evaluation draws on the subjective opinions of participants about the capacity-building and how it might be improved. Finally, the outcome evaluation should measure the training and development outcomes against the benchmark of the programme's objectives. The authors differentiate four levels of outcome evaluation that have strong parallels with

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**A prudent specialist will reflect hard on the fact that, in spite of the apparently best design, it is not possible to fully isolate or control those external and internal factors that lie outside the scope of capacity-building interventions.**

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the Kirkpatrick model: the learning outcomes of trainees (i.e. changes in their knowledge and skills), the outcomes in the workplace (i.e. changes in actual job performance), outcomes for the relevant areas of the organization (i.e. departments or specialist units), and finally, the outcomes for the organization as a whole.

As in the Kirkpatrick model it is the last of these outcome measures that represents the greatest challenge because of the demand of proving that the capacity-building, as opposed to other factors, effected tangible changes in a police organization. Of course much depends on the nature of the learning objectives. Those that result in tangible, observable and measurable outcomes, such as a reduction of operating costs (e.g. reduced fuel costs for police vehicles), an increase in police services (e.g. crime prevention guidance) and improved work efficiency (e.g. structured patrol methods) will readily lend themselves to this approach to evaluation.

## **CRITICAL ISSUES IN EVALUATION DESIGN**

A critical issue in data collection is the existence of a carefully crafted plan, guiding and informing the collection process. A plan will articulate the purpose and objectives of the data collection, as well as the nature and form of the required information. Without these guiding principles the exercise risks being diverted into irrelevant areas or overburdened with useless information. The plan will also set out the design of the study, the methods of data collection and address the difficult matters of data reliability and validity. These three steps require further elaboration.

**Evaluation design** – A first step in the design process is the identification of the type of measurement that will be necessary: in other words, what are we trying to measure? The answer will be guided by the chosen evaluation method and the level of evaluation within that method. The specialist must consider whether quantitative measurements or qualitative measurements or a combination of both are needed to evaluate the quality of the capacity-building provision. All of this must fit with the practical considerations of the police working environment and the nature of the capacity-building programme under consideration. A prudent specialist will reflect hard on the fact that, in spite of the apparently best design, it is not possible to fully isolate or control those external and internal factors that lie outside the scope of capacity-building interventions. Reality dictates that - as in police work generally - the specialist must seek to achieve a compromise, balancing time and resources against the need to obtain reliable and meaningful results.

Next the evaluation design ought to clearly establish the target group, the use of a sample or a census, and the experimental design that will be employed. The first issue – the target group – relates to those from whom the specialist hopes to get information. This might include the trainee officers from some or all of the capacity-building programmes, their supervisors or those whom they supervise, their peers, or their instructors, or the external recipients of the relevant police service. Whilst the trainees might seem the most obvious choice, an objective evaluation ought to seek information about performance from those who might be classed as the ‘beneficiaries’ of the relevant police services. Of course the instructors will play a very special role as sources of good data on how well the capacity-building programme met its objectives and the efficacy of the learning methods that were used.

**Quantitative measurement** - Based on an empirical and scientific approach, quantitative measurement is normally inspired by the principles of hypothesis, objectivity and deduction. There is a natural inclination among police managers to prefer this - the ‘number crunching’ approach - to the more qualitative measures. This prejudice tends to overlook the desirability for a careful mixture of qualitative and quantitative measurement. There are areas of the policing workplace where it is simply not possible to prove cause and effect and a qualitative approach may be more appropriate. The capacity-building specialist must carefully consider the needs of each situation, deciding whether a quantitative measurement or a qualitative measurement or a mix of both is the most appropriate path to achieving useful data. This decision involves an assessment of whether the measurement can utilise numerical data or whether the relevant data involves verbal or written information. In the latter case, qualitative measurements are required and in the former case, quantitative measurement will be possible.

**Qualitative measurement** - Qualitative measurement is concerned with subjective and descriptive information, such as the words and the observed behaviour of police officers. Unlike quantitative measurement, it deals with the human dimension rather than reducing performance to statistical formulae because it is based on a firm

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***Qualitative measurement is concerned with subjective and descriptive information, such as the words and the observed behaviour of police officers.***

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conviction that all staff and work settings are worthy of measurement, regardless of their preconceived merit. In this sense, it adopts a holistic vision of workplace settings and the staff who operate in them. This does not, however, preclude accuracy and validity, even though reliability might be ignored. Using an inductive approach, qualitative measurement allows the

measurement process to develop concepts and understanding on the basis of patterns that emerge from the data rather than from preconceived models or hypotheses about those patterns. Most importantly, a specialist must be aware that the patterns that emerge from the data cannot rely on his or her beliefs and perceptions. Rather, the specialist must stand aside and allow the data to measure reality as the police officers see it, thereby providing an insight into police performance within the frame of reference of the reflections and observations of the staff.

**Scope of data capture** - Our next concern relates to the scope of the evaluation exercise: should it address every member of the target group (a 'census') or merely a subgroup of that group (a 'sample'). Obviously sampling will be the favoured approach when evaluating large-scale capacity-building programmes, such as training and development in new legislation for all police staff or major sections of the organization. A census becomes very costly and time-consuming if the target group runs to hundreds or thousands of staff. There are several different methods of sampling and the use of sample results is a complex matter that requires a significant degree of expertise. Where a sample is chosen randomly it can be possible to draw valid conclusions about the entire target group.

**Control mechanisms** - Just as pharmaceutical companies must trial new drugs in order to test their efficacy and side-effects, it is important that capacity-building programmes are tested to see whether they achieve what they are supposed to do. There are two basic experimental design approaches that involve only the participants and can be readily adopted for a particular evaluation study. Firstly, one can take measurements after the capacity-building programme, making comparisons against an agreed yardstick of the desired performance. Whilst this approach allows for checking that the programme has achieved its objectives, there is no way of assessing how much the capacity-building intervention has contributed to the achievement of these objectives without some measurement prior to the intervention. Without some other evidence to the contrary, it is possible that the participants might have achieved similar results without ever attending the capacity-building course.

The alternative involves measuring performance before and after the programme, thereby assessing any significant gains. However, it is possible to argue that the trainee officers would have achieved the measured gain or a significant part of it without the programme through workplace experience, if the capacity-building programme was spread over a period of time. In spite of these potential shortcomings, both methods are widely used in the evaluation of police programmes and provide useful indicators for capacity-building specialists. There are of course more sophisticated design approaches that involve the use of control groups and their merits ought to be considered briefly.

**Use of control groups** - As the name suggests, control groups are used in an effort to obviate the effects of extraneous factors that might influence the results of an evaluation. The idea is cunningly simple. First the specialist selects out police employees who are as similar as possible to the target group (i.e. the trainees) to form a control group, then assesses the performance of both groups prior to the start of the programme. While the target group receives the capacity-building, the control group does not. Finally, both groups are again assessed after the programme and the gain in performance of the target group is compared with the gain in the control group's performance. The impact of the programme, over and above extraneous factors, should be revealed in the difference in performance gain.

The use of control groups is not without problems. In practice it may be difficult or impracticable to find control groups among police staff that are similar to the target group. There is an argument that the principle behind the use of control groups is undermined by the fact that merely experiencing a capacity-building programme will influence performance (the Hawthorne effect). The majority of evaluation studies in police programmes never use control groups and it is arguable that, in the early period of a reform process, the difference between desired performance and actual performance is great enough to allow the use of less rigorous measurement techniques. In a reform setting it will often suffice if the specialist measures performance after the programme against the yardstick defined in the relevant job profile.

## METHODS OF DATA COLLECTION

The main methods of collecting data are identical to those methods of investigating the performance gap: questionnaires, interviews and observation. As was seen in Chapter 6, each method has its disadvantages and advantages and these must be kept in mind when deciding on the most appropriate approach to collecting data in the evaluation process. In this section each method will be considered as it applies to evaluation and useful ways of integrating the data collection tools with the capacity-building programme itself.

### Questionnaires

The questionnaire is the most popular method of data collection in evaluation studies. It carries with it important advantages and disadvantages, with a necessary trade-off between the depth of information and breadth of coverage and costs. Chart

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***Too often questionnaires are automatically chosen as the method of data collection, without due consideration of their limitations and the benefits of alternative techniques.***

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9.3 provides a cursory description of these factors. Too often questionnaires are automatically chosen as the method of data collection, without due consideration of their limitations and the benefits of alternative techniques. As in performance gap identification, the best approach may involve a combination of techniques rather than reliance on data through a single channel. Another problem area is that of poor questionnaire design. Much has been

written on the complex subject of questionnaire design and it is recommended that specialist skill development is required prior to attempting this task. Within the context of this book, it will assist if some of the main issues in a design process are examined.

Careful attention must be given to the type of information required and the type of questions that will supply this information when designing questionnaires. In addition, thought must be given to how the information is to be processed and analysed, mindful of the considerable costs involved in manual processing. Respondents are more likely to complete forms that are 'user-friendly' and, therefore, consideration should be given to the ease of use and the time required to complete the questionnaire.

Experts in questionnaire design normally indicate five main categories or classes of question:

- open questions
- classification questions
- structured questions
- differential-type questions
- Lickert-type questions.

Each of these types of question will now be discussed in turn.

**Open Questions** - An open question is one that is so constructed as to give the respondent complete freedom in providing a descriptive answer, as opposed to a closed question that is designed to simply elicit a 'yes' or 'no' answer. Open questions begin with a verb that invites a detailed response: e.g. describe..., tell..., state.... For example:

*'Describe what you found most useful in the capacity-building programme?'*

*'Give details of the information that ought to be given under this procedure?'*

This type of question is used to test knowledge, particularly in more complex areas or as a means of eliciting information about attitudes. They have the advantage of being easy to design and encourage a free expression of views without the influence of a desired response or other form of bias. On the downside, open questions provide responses that are difficult to analyse and categorise. A strong framework is required to reduce the disparate responses into coherent and meaningful patterns, particularly in the case of attitude and opinion data.

**Classification questions** - These are questions that are designed to elicit responses that enable a specialist to categorise or classify respondents under particular groups, thereby assisting the process of analysing the response data. Using criteria such as age, gender, ethnic origin, occupation, and rank these questions help to identify the effect of a capacity-building programme on different groups and check how representative the sample is of the entire target group.

An important consideration is where to place classification questions in the questionnaire. In a reform setting this type of question may inhibit some officers from responding because of ethnic or gender issues. Experience indicates that they should be left until the last part of the document. Always ensure that a full range of options is included and, if the questionnaire is being completed anonymously, do not allow the combination of classification questions to unwittingly identify an individual staff member.

**Structured questions** - Structured or 'coded' questions are popular in a questionnaire format since they limit respondents to a finite choice of answers. They are useful in establishing facts, testing knowledge and measuring attitudes. For example, a question such as, 'How long is a police officer permitted to carry a firearm without undergoing a recertification programme?' will have three or four possible answers and the respondent is invited to tick the box opposite the appropriate response. Whilst these questions are quick and easy to complete and later analyse, they are difficult to design in practice

since it is vital to provide a comprehensive set of options and they are inclined to induce bias in the responses.

**Differential type questions** - These are sometimes called semantic questions because of the stress on a graded and more meaningful response, in order to assess skills and measure attitudes. Each respondent is required to assess an issue on a 7 - point scale, for example:

*'Please assess the listening skills of the trainee officer, by circling the appropriate rating.'*

Strong empathy	1	2	3	4	5	6	7	Weak empathy
Listened well	1	2	3	4	5	6	7	Did not listen

Such questions create a highly structured range of responses that are easy to analyse, but invite highly subjective judgements in terms of scale rating (i.e. what might be listed as a 3 to one person, might be a 5 to another person). Moreover, this approach creates a number of complex issues such as what range of scale should be used (4 to 10 is the most common range), whether or not to be consistent with a favoured extreme (i.e. left or right), and whether to employ a middle option (i.e. using an even-number scale to force a choice between the top and the bottom of the range).

**Lickert-type questions** - This is now a common approach to question design in questionnaires. Essentially it involves inviting the respondent to indicate his or her views against a specific statement and is used to measure attitudes and assess skills. For example, a question might seek to assess an officer's views on a new disciplinary procedure by measuring his/her approval or disapproval of two statements:

- It is easy to understand
- It will improve professional standards in the police service

In order to obtain a graded response to each statement, the officer must select one of the following:

- Strongly agree
- Agree
- Not sure
- Disagree
- Disagree strongly

Lickert-type questions are frequently used and have the advantage of allowing for a structured range of responses. However, as with similarly structured methods, this approach tends to constrain response and induce bias in the results. To offset these disadvantages it is important to create a balanced set of response options (i.e. favourable/unfavourable responses) and give due consideration for a middle option, as in the case of differential-type questions.

Above all it is vital that questionnaires are as brief as possible and contain questions that are as short and simple as possible. Police officers, like other professional groups, have a low tolerance for long questionnaires and tortuous questions. Likewise, question the recent experience of the target group rather than asking about events that they are likely to have forgotten. Try to avoid ambiguous questions and overly technical language or jargon: if the data you seek cannot be translated into a simple question it is probably not worth acquiring. Great thought must be invested in the design of questions. As in any court room, the use of leading questions and emotive words must be avoided (e.g. 'Do you feel that your supervising officer should be more supportive?'). If you are in search of actual attitudes you should avoid hypothetical questions such as 'What would you do if a prisoner was shouting and being abusive in police detention?'

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***Police officers, like other professional groups, have a low tolerance for long questionnaires and tortuous questions.***

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<b>Chart 9.4: Advantages and disadvantages of questionnaires</b>		
<b>Advantages</b>	<b>Disadvantages</b>	<b>Advice</b>
Potentially rapid method of collecting data	Potential for low response rates, resulting in biased results	Encourage the return of questionnaires through monitoring and inducements  Ensure that the questionnaire is short and user-friendly
Potentially a low-cost method of collecting data	Tends to be unsuitable for capturing detailed information	In the design phase you should closely examine the data required and whether the questionnaire can achieve the desired outcomes
Imposes few demands on the participants	Demands careful design to ensure clarity and the absence of ambiguity	Consider hiring a consultant or procuring specialist capacity-building for evaluation team
Takes less time than alternative methods	Potentially unsuited to certain target groups that do not normally complete forms	Invest in additional capacity-building/briefings on the completion of forms
Provides results that can be readily analysed if carefully designed	Can breed contempt if used too often or used in a way that does not allow police officers to see the benefit in completing the forms	Ensure that you subject the questionnaire to a pilot test, thereby checking the quality of the data it can obtain



## Interviews

There are of course various ways of gathering evaluation data through interviews: the individual (or 'one-to-one') interview, focus groups, telephone interviews and – in more recent times - video-conferencing interviews. Reference should be made to the notes on structured interviews and semi-structured interviews in Chapter 6, since all of these approaches will require preparation and a plan based on some sort of structure. Interviews can range from the highly structured to the relatively unstructured. The latter, the most simplistic approach, might involve the interviewer simply asking the interviewee to talk about the capacity-building event. There will be no pre-planned structuring, other than a conscious effort by the interviewer to guide and focus the discussion toward what is relevant. Somewhere between the structured and unstructured approach stands the partially planned interview design, with guidance notes and even particular questions. Nevertheless, there will be varying degrees of latitude in pursuing and probing replies to questions.

The use of the telephone as a means of interviewing is largely underused in police programme evaluation. It is potentially cheaper in terms of staff abstraction, travel time and transport costs in a police organization that covers a large geographical area. However, it is more impersonal and lacks the power to explore and probe issues in the same way as a traditional 'one-to-one' interview. Inevitably telephone interviews follow the pattern of self-complete questionnaires, using tick-box-type responses in a highly structured approach. Although expensive in terms of time for both interviewer and interviewee, the traditional one-to-one interview is a very productive method of gaining useful data. It enables responses on particular issues to be explored and clarified, as well as allowing more complicated matters to be probed. In order to be effective, the individual interview demands that the interviewer is highly skilled and aware of the dangers of interviewer bias (i.e. where the interviewer wittingly or unwittingly influences the responses of the interviewee). Great skill is also required in the analysis of the data from this type of interview, due to the qualitative nature of the data obtained.

As discussed in Chapter 6, interviewing a representative group (a 'focus group') is an excellent way of discussing relevant issues, delivering high quality information about the capacity-building event and allowing problem areas to be fully explored. The interviewer must be prepared to exercise close control since focus groups can, in practice, be taken over by one or more strong personalities that block or swamp contrary views within the group. Once the required infrastructure and capacity-building is in place, video-conferencing interviews can reduce the time and expense involved in normal focus group interviews and individual interviews. Once these investments are made it offers significant cost savings in staff abstraction from the workplace, travel time and transport.

## Observation

Since police capacity-building is often concerned with observable skills and behaviours, it is an obvious step to adopt direct observation as an important method of data collection in the evaluation of such capacity-building. Of course it can be a costly process, involving a minimum observer/trainee ratio of 1:1, as well as expensive in terms of facilities, time and staff abstraction from the workplace. The design phase must be mindful of the Hawthorne effect where a trainee officer's behaviour is influenced by the simple fact of

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***The design phase must be mindful of the Hawthorne effect where a trainee officer's behaviour is influenced by the simple fact of being observed during a possibly complex task.***

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being observed during a possibly complex task. This significant factor can be off-set by developing the observers' skills, creating low-impact observation measures and carefully designed observation forms. The notes in Chapter 6 are equally applicable to programme evaluation.

### **Structuring and recording data**

As you will have noted, the questionnaire features in all the data collection methods, in one form or another. At the highly structured end, a self-complete questionnaire is a tool that must stand on its own without the need for further explanation that might otherwise be provided by an interviewer or observer. Whereas an interview method necessitates the use of an interview form that will be as highly structured as a self-complete questionnaire or, at the opposite extreme, a document that merely establishes the main subject headings that will be addressed.

If an observation method is adopted, there will be a need to record the observed behaviour on an observation form that might include closed questions (requiring a yes or no response) about the presence or absence of a specific behaviour or skill and its frequency, or a form that grades observed skills and allows subjective comments. All questionnaires need to be well designed and those used in more formal surveys should undergo an informal trial on a small group that is similar to the target population. The results of the trial can be used, as necessary, in redesigning the form(s). It is useful to consider the inclusion of classification questions that can gauge the way the effects of the capacity-building vary from one group to another.

## **VALIDITY, RELIABILITY AND RELEVANCE**

Important decisions may be based on the results of an evaluation and it is important that they are able to demonstrate that they meet a defined standard of transparency. This will entail an ability to stand up against a good degree of scrutiny in the areas of internal validity, external validity, reliability and relevance to reform objectives.

**Internal validity** - As the name suggests, internal validity is concerned with measuring performance against internal factors: in other words, it is concerned with how well the evaluation measures what is desired as an outcome or what it was aiming to find out. This directly relates to the instrument used to collect information and its adequacy and appropriateness as a measuring tool. Does the questionnaire that was used contain questions that are appropriately worded to extract the required data? Does the knowledge check measure the knowledge that must be learned in an effective and helpful manner? Does the skills test contain a sufficient profile with measurement scales that are readily understood and appropriate? The process of establishing the internal validity of an evaluation is assisted through testing instruments and using alternative approaches to measure the same attribute.

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***A more relevant question in a police reform programme is whether a capacity-building programme that is assessed as effective in one region or area of the organization can be declared effective for the entire organization.***

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**External validity** - If an evaluation study has measured the effectiveness of a particular capacity-building programme by looking at 10 trainee officers from a total group of 50, the question arises as to whether the results can be applied to the entire group. This important question relates to the external validity of an evaluation study -

the extent to which the findings can be applied beyond the group used for the purpose of the study. A precise answer involves entering a complex study of sampling, taking us beyond the scope and purpose of this book. However, an affirmative answer can be obtained if two factors are accepted as present. Firstly, the sample of the 10 trainees must be selected appropriately and thereby shown to represent the entire group. Secondly, if it is acknowledged that an evaluation result is merely an estimate for the whole target group and that the result for the whole target group lies somewhere in a range around that estimate, then the answer must be in the affirmative.

A more relevant question in a police reform programme is whether a capacity-building programme that is assessed as effective in one region or area of the organization can be declared effective for the entire organization. Given the higher number of similarities among police trainees this sort of generalisation from a limited sample is more likely to be valid than in other organizations in the public or private sector. The validity of such a generalisation must be based on known similarities, in terms of the experience of the organization and start levels of knowledge and skills among trainee officers. Whilst it is important that you strive to demonstrate the wider validity of an evaluation, it is important to be very clear about the assumptions that underpin your statements and exercise care in what you claim to be the successful outcomes.

**Reliability of the results** - The next point of interest relates to the reliability of an evaluation: in other words, the extent to which its results can be replicated. If the evaluation study was repeated, would the results be identical or very similar? A number of techniques can be applied, including the same question in a questionnaire but in different forms, or using multiple observers, or simply repeating tests and observations.

**Relevance to reform objectives** - Some may well question the value of evaluation, given the cost and effort: surely in a world of limited resources the money would be better spent on capacity-building itself? Likewise, others are understandably perplexed by the list of requirements for the design of a sound evaluation study. In practice it may not be possible to achieve such rigorous standards in every evaluation. The specialist must be aware of the issues and solutions that will allow the achievement of a professional standard in evaluation work. The focus should remain on the reform-related question that underpins the evaluation and then invest effort in optimising the quality and integrity of the data, since there is little point in acquiring accurate data that fails to yield useful information.

An appropriate design phase means bringing together data about the officers' profiles, alongside data about how they learn, the nature of the required knowledge and skills and the desired outcomes of the programme. A capacity-building programme will prove inevitably inappropriate if it is designed without taking into account the relevant reform objectives, officers' extant competences, background, work experience, education, culture and language (where more than one language is used in the organization). Likewise the programme should reflect the way the officers learn, whether with strong links to the workplace or through an emphasis on previous experience. Where a programme proves ineffective, an analysis of this area might provide useful indications of those matters that require urgent attention in relation to the programme design. In this way the value of programme evaluation will become self-evident as the pivotal indicator of success or failure in achieving reform objectives through capacity-building.



# 10

## Basic evaluation levels



# 10

## Basic evaluation levels

### INTRODUCTION

In this chapter a more detailed examination will be made of how evaluation works in practice. This will be done through the use of the Kirkpatrick model, as described in Chart 10.1.

<i>Chart 10.1: Kirkpatrick's evaluation model</i>		
<b>Advanced level of evaluation</b>	<i>Results level</i>	Impact of capacity-building on the police organization and its objectives
	<i>Performance level</i>	Impact of the capacity-building on workplace performance/behaviour
<b>Basic level of evaluation</b>	<i>Training level</i>	Impact of the capacity-building in terms of what the trainee officers learned
	<i>Reaction level</i>	Impact of the capacity-building in terms of the trainee officers' satisfaction

The task of conducting the evaluation and assessment of capacity-building programmes at the four levels, particularly at the training and performance levels, will at first seem daunting. However, it is only by demonstrating the effectiveness of capacity-building that the specialist can properly negotiate and bargain for resources in a reforming police organization where there are competing demands on a limited budget. Through the achievement of reliable and specific data the specialist can improve the design, organization and implementation of current and future capacity-building programmes and their credibility will be enhanced over time. Most importantly, the reforming police organization can identify areas of strength and improvement and focus future resources on the remaining areas of weakness.

This chapter will start with a more detailed examination of the two basic levels of evaluation under the Kirkpatrick model. The key points of the chapter can be summarised as follows:

- Describe some of the important considerations in implementing a reaction-level survey and
- Describe some of the important considerations in implementing a training-level survey.

## REACTION LEVEL EVALUATION

This rudimentary approach to evaluation is probably the most commonly used and controversial method in police organizations. Reaction level evaluation, as the name suggests, seeks to explore the reactions of trainee officers to a capacity-building programme. Data is gathered through the use of structured questionnaires about how effective the participants believe the programme has been in meeting their performance needs and how satisfied they were with the capacity-building event. It is easy to use, cheap and quick – but not without controversy.

There are serious credibility issues connected with the use of this method in isolation and its overuse in some police organizations. Reaction forms, known as 'happy-sheets, have bred some contempt through overuse, as well as scepticism by some who view their use as a purely subjective enterprise. It is argued that the mere fact of 'happiness' with a programme does not necessarily equate with effectiveness in terms of meeting organizational needs. Likewise, officers may not always be honest in providing data, but rather inclined to temper negative feedback through a desire to avoid offending the instructors or exaggerate negative feedback as a foil to their own poor performance.

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***Reaction forms, known as 'happy-sheets, have bred some contempt through overuse, as well as scepticism by some who view their use as a purely subjective enterprise.***

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However, the poor reputation of this method is often based on poor design and/or on incorrect use in many cases. If a properly designed instrument is used, in combination with careful analysis, it can allow trainee officers to contribute a unique insight into whether a programme has met their performance needs. Education psychology confirms that if police officers have enjoyed a capacity-building programme, they are more likely to transfer the acquired knowledge, skills and character traits to the workplace.

**Methodology** - Reaction level evaluation is normally undertaken through use of a highly structured self-complete questionnaire. Whilst the nature of the capacity-building programme and the type of participating officers involved will dictate the length and detail of the questionnaire, most will focus on a finite number of issues. A trainee will typically be asked to choose from a range of options, with one or two general open questions at the end. Such questionnaires require little skill to design and usually question the extent to which trainee officers feel that the learning objectives have been met, the relevance of the programme to the performance need and the competence of the instructors. In addition they might question the quality and usefulness of training and development materials, the effectiveness of the capacity-building methods and the training and development facilities (e.g. the training venue, catering, and accommodation). An example of a reaction-level questionnaire can be seen in Chart 10.2. Although reaction level evaluation is normally conducted at the end of a programme, it is strongly recommended that it is carried out at various points throughout the programme (e.g. the end of specific sections or at the end of each day). In the case of a programme that is longer than five days, it might be helpful to seek the participants' reactions at the end of specific parts, such as modules. Given the likelihood of an adverse reaction, questionnaires should only be completed at the end of each session if a capacity-building programme is being piloted.



**Chart 10.2 – Example of a reaction-level questionnaire (Trainee)**

**Programme Evaluation Form (Trainee Officers)  
Criminal Investigation Programme**

Title of Programme:

Date:

Class No:

We always seek to improve the quality of our programmes. For the benefit of future trainee officers we would appreciate your answers to the following questions. Thank you for your time - your contributions are very valuable to us.

**Content:**

1. How useful/relevant is the content to your job?

Very poor      Poor      Average      Good      Very Good  
                                               

**Training and Development Methods:**

2. How was the balance between presentation, exercises, and discussion?

Very poor      Poor      Average      Good      Very Good  
                                               

**Materials:**

3. How clear and helpful were the training and development materials?

Very poor      Poor      Average      Good      Very Good  
                                               

**Instructors:**

4. How competent was the instructor in the subject matter and how well did he or she facilitate participants' learning?

Very poor      Poor      Average      Good      Very Good

**Chart 10.2 – Example of a reaction-level questionnaire (Trainee) - continued**

**Evaluation Form (Trainee Officers)  
Criminal Investigation Programme**

**OUTCOMES**

**5. Which lesson(s) within this programme have been of most value to you in your current role?**

**Why?**

**6. Which lesson(s) within this programme have been of the least value to you in your current role?**

**Why?**

**7. Are there any subjects you would like to be included within this programme?**

**Which ones and why?**

**8. In what ways will this programme enable you to improve your skills as an investigator?**

**9. Do you have any other comments that you would like to add?**

**Practical considerations** - At the planning stage a decision should be made as to whether the questionnaires are completed during the capacity-building programme itself or completed by participating officers outside the course environment. This is a much-debated issue and it is clear that the traditional approach of completing questionnaires in the final hour of a capacity-building programme can cause a number of problems. Trainee officers may be tired and keen to go home or may not have had time to reflect on the issues raised in the questionnaire. They may be too aware of the presence of the instructor and their responses inhibited, or they may be influenced by peer pressure.

Many of these problems can be assuaged by asking officers to complete the questionnaires after the programme and return them later. In practice, however, many police organizations find that this approach fails because the questionnaires are not returned. As a result there is either a low response rate or an inordinate administrative effort to obtain a sufficient rate of returns. The best solution lies in reverting to completing the questionnaires during the course with some strong provisos. Firstly, the purpose of the questionnaires must be emphasised as a means of ensuring that the capacity-building provision meets the needs of the officers and the police organization. It is a system of continuously monitoring and improving quality. Secondly, the questionnaires should be introduced and distributed at the beginning of the programme (ideally with the induction package), thereby allowing time for the trainee officers to reflect on the questions during the programme. Lastly, instructors should be fully briefed on how to introduce and administer the questionnaires, and time should be scheduled into the programme for completion of the questionnaires.

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***...the purpose of the questionnaires must be emphasised as a means of ensuring that the capacity-building provision meets the needs of the officers and the police organization.***

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A second issue relates to whether the forms should be completed anonymously. Once again the decision must take account of a number of factors. An obvious advantage rests in the fact that trainee officers will feel more willing to give honest feedback if it is anonymous. Against this, there is the problem of not being able to pursue certain responses. Thus, if some officers rate the whole or just one aspect of the course it will not be possible to go back and acquire further details. Moreover, there are considerable benefits to be gained from a quality assurance perspective from following up on dissatisfied participants.

**Alternative strategies** - Whilst self-complete questionnaires are a favoured and popular approach, there are other ways of capturing reaction-level data. Building time into the course for focus groups of trainee police officers can provide more in-depth information, particularly if a neutral instructor (i.e. one that is not involved in the programme itself) is employed. A key benefit with this method lies in getting to the bottom of any problem areas and achieving joint solutions. In the context of piloting new capacity-building programmes, it is strongly recommended that this approach is adopted. As in any use of focus groups, the disadvantage occurs when it proves difficult to distinguish issues affecting specific individuals as opposed to the wider issues of the group.

Some capacity-building specialists prefer self-complete flipcharts as an informal way of recording reactions. Trainees are invited to write their comments on a flipchart which can be used during the capacity-building programme as a means of

generating feedback and enabling the instructor to respond during the course. This process can be an extension of a 'needs, fears and expectations' session at the start of the programme: officers can record whether and to what extent the programme met their expectations after each unit or lesson, thereby building up a comprehensive and collective response.

Police instructors are the other key players in the evaluation process at the reaction level and it is recommended that their views are monitored at this stage. Among other matters the instructors will probably provide the best possible insight into why certain objectives may not have been achieved, whether because of the initial knowledge and skill levels of the relevant group, or because it was apparent that the objectives were not sufficiently relevant. Instructors should be encouraged to provide comments on the training and development methods, duration and general content of the programme, particularly in the early stages of a capacity-building programme's existence.

#### ***Case study - Successful use of reaction evaluation***

A one-day capacity-building programme is established to help middle-ranked police officers to develop their strategic planning skills. The first batch of reaction level questionnaires display disappointing results on the extent to which the trainees felt the objectives had been met. A question which asked about the pace and intensity of the programme provided a clue as to where the problem lay. A significant proportion of the officers indicated that there was insufficient time to complete the exercises and discuss the issues. As a result, the capacity-building programme was redesigned to cover two full days and the satisfaction levels improved in subsequent evaluations.

**Beyond the reaction level** - The reform process should encourage a police organization to critically analyse its existing capacity-building programmes, whether they are provided externally or internally. Those questionnaires that indicate what participating officers thought about the programme will yield a very limited amount of data. The critical issues for which data is required include the extent to which participating officers achieved the objectives of the programme and, most importantly, whether they were able to transfer what they had learned into the workplace.

Action will be required if evaluation measurements suggest that the capacity-building is not effective and has not successfully transferred into the police workplace. A search must be made to identify factors that prevent transfer (e.g. a lack of support from police supervisors) and any mismatch between the capacity-building provided and the performance needs that gave rise to it. In addition, the criteria used to provide the training and development should be rechecked, as well as the correspondence between the capacity-building provided and the original training and development plans. If the systematic approach to capacity-building is properly applied and understood it will be seen that evaluation has inputs and outputs at different stages of the model. Therefore, the various methods of measuring the results of evaluation cannot be naively restricted to the feedback from participating officers about a capacity-building programme. Specialists must look to a broad range of measurements in pursuit of the answer to the question of effectiveness.

## TRAINING LEVEL EVALUATION

Reaction level evaluation is probably the more familiar approach to evaluation for the majority of police organisations, whereas training level evaluation is much less known or understood. This level of evaluation will provide some important data in the pursuit of effectiveness in police capacity-building programmes. It forms the second stage of the multi-level model and is often referred to as 'level 2' evaluation. It takes as its starting-point the learning objectives for the programme and seeks to assess what capacity increase has occurred. Training level evaluation comes into its own in situations where it is important that the trainee police officers achieve a certain standard before being able to operate in the policing workplace. The more obvious examples include traffic drivers, response car drivers, firearms team members, forensic experts. In these critical areas it is essential to have a certain level of knowledge and skills before officers begin to operate on the streets. A key purpose of this activity is assessment of the officers themselves rather than evaluation of the programme itself.

The process involves two types of assessment. Firstly, it measures whether the learning objectives have been met: that is, whether the trainee officers have achieved the required levels of knowledge, skills and character traits. Secondly, it measures what is gained through training and development, by assessing the status before and after the capacity-building event. In all this the core business of assessment is conducted in the capacity-building environment rather than in the subsequent workplace performance. It is not, therefore, assessing whether the capacity-building is successfully transferred to the police workplace, but rather what has been acquired from the capacity-building programme. It normally takes the form of a test and takes place at the end of the programme, or at the end of stages within the programme.

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***Once properly understood evaluation at this level can act as a useful diagnostic tool in respect of problems in both the training and development delivery process and the earlier performance gap analysis.***

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**Diagnostic tool** - Once properly understood evaluation at this level can act as a useful diagnostic tool in respect of problems in both the training and development delivery process and the earlier performance gap analysis. Unsatisfactory results will strongly imply that the capacity-building programme has failed to achieve the learning objectives and the search for the cause will begin by considering the scope of the failure. In other words, are the poor results confined to a small group of officers or is the entire target group involved?

Unsatisfactory results that relate to just one or two trainee officers might suggest that: the programme was inappropriate for those persons, due to a poor correspondence between their performance needs and the capacity-building provision. Alternatively, the relevant trainees may not have approached the programme in a positive manner for some reason, or the relationship between the instructor and those officers proved unproductive. During the investigation the capacity-building specialist should be attentive to any patterns in the affected officers, such as indications that trainee officers from a particular ethnic minority group are frequently achieving unsatisfactory results. Where such patterns are discerned further investigation will be required, to test whether the capacity-building programme is culturally biased or whether the instructor had problems relating to members of a particular ethnic group. Alternatively, it might be the case that the training and development methods or style were inappropriate to participants of

certain ethnic backgrounds. In all these scenarios reference should be made to obtaining reaction-level data or studying the existing data at this level. This data ought to provide clues as to where the precise problem is located and allow the specialist to recommend remedial action.

However, if the scope of the poor results affects the majority of officers there is an indication of a more profound problem in the programme itself and the task of identifying the cause is likely to require greater detective skills. Attention should be given to the programme content and its relationship to the learning objectives, then the level at which the capacity-building is pitched and how this relates to the extant skills of the target group. The investigation should also consider the performance of the instructor and the appropriateness of the training and development methods that have been employed. A reaction level evaluation can be very useful in respect of the methods and the instructor's performance, since this is where the trainee officers themselves can readily identify the problem area. The first two issues are concerned with the development of the programme and may suggest that the performance gap identification was inadequate insofar as it did not correctly specify the performance need. Obviously the instructor must not be overlooked as a useful source of data through the relevant reaction level questionnaires.

In the past many police organizations gave insufficient regard to whether their officers had adequate levels of knowledge, skills and character traits to do their job properly. A reform programme will increase sensitivity to the potential harm done to the organization by officers who write incomprehensible or useless reports, or handle a complaint from a member of the public badly, or conduct a personal performance review interview badly. Even where such areas of poor performance are addressed through capacity-building programmes, it is sadly uncommon for the trainee officers to be formally assessed as to whether they meet the required performance standards. This urges the case for introducing training level assessment into all capacity-building programmes, thereby creating the dual benefit of providing evaluation data about the efficacy of the programmes and improving minimum performance standards in the workplace

**Link to the learning objectives** - Successful training level evaluation will largely rest on the existence of learning objectives that meet a high quality standard. This type of evaluation will be made straightforward if the objectives within the capacity-

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***Successful training level evaluation will largely rest on the existence of learning objectives that meet a high quality standard.***

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building programme are defined in a way that allows their achievement to be measured and allows them to fully embody the extent of the required capacity-building. As described earlier, carefully crafted learning objectives define performance (i.e. what the trainee officers will be able to do), conditions (i.e. circumstances under which performance will occur) and the standards

(i.e. the minimum criteria for acceptable performance). It is vital that the learning objectives are correct and appropriate at the outset.

**Implementation** - The first step in implementing evaluation at this level is to select the most appropriate methodology. This decision will be contingent upon the nature of the capacity-building programme and whether the focus is on knowledge or skills or character traits. Knowledge-based training and development is usually assessed by using some form of self-complete questionnaire or written test or exam. These fall into three general categories: multiple-choice questionnaires that offer the trainee officer a choice of answer, subjective questionnaires that require essay-style

answers and simple questionnaires that require participants to simply indicate whether a list of statements are true or false.

The first and last categories are most useful for testing knowledge of legal provisions or procedural rules, whereas the essay-style format is more useful in testing a trainee officer's understanding of more complex matters or their reaction to more complex events. Whilst such essay-style assessments are often easier to design, the answers can be difficult to assess and will demand a clear and comprehensive marking scheme in order to maintain a degree of objectivity and consistency. Multiple choice and simple questionnaires require careful design and great care should be taken in phrasing questions and, in the case of the multi-choice questionnaire, the range of choices. Whatever the category,

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***Whatever the category, these knowledge-based questionnaires demand clear and unambiguous questions if they are to be effective in measuring the level of knowledge acquisition.***

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these knowledge-based questionnaires demand clear and unambiguous questions if they are to be effective in measuring the level of knowledge acquisition. Chart 10.3 provides an example of a simple test questionnaire, based on a programme to train officers in the provisions of the Criminal Procedure Code of Kosovo. An alternative strategy involves the use of interviews to investigate complicated areas of knowledge, particularly if probing and exploratory questions are required. However, if used in this context an interview must be properly structured with a well-designed marking system: this will ensure a degree of consistency in the assessment process.

Knowledge assessment is conducted in order to confirm that a required performance standard or level of competence has been reached and this can be expressed as a minimum grade, such as 70 per cent. This is essential if a required performance standard is to be achieved before the police staff can take on a new role or specialist function, such as initial graduation as a patrol officer, fast response driving or use of a new weapon or technical equipment. Knowledge assessment is also done in order to identify what is known as a *gain ratio*, a means of assessing the gain in competencies. The search for a *gain ratio* is more useful when there is no absolute requirement for a minimum level of knowledge before an officer completes a capacity-building programme, and where the participating officers begin a programme with different levels of initial knowledge. A gain ratio is, in practice, more useful when applied to management and leadership programmes. Whilst, in this context, its core purpose is the assessment of the capacity-building programme rather than the participating officers, useful feedback about additional support required by individual officers can be obtained through post-programme results.

**Assessing skills** - Of course there is more to assessment than just pure knowledge. Trainee officers must also develop certain skills, since most capacity-building programmes involve both knowledge and skills acquisition, and this requires a broad range of assessment methods. Observation, whether direct or indirect, is the primary method of assessing skills-based training and development. It is contingent upon a carefully designed assessment process, appropriate observation forms and trained and competent observers. The design phase should start with an analysis of the relevant skill area if it is not already available in the job profile. In the case of a simple practical skill such as directing a motorist to move off a highway and stop, there may be only one or two skill statements and a small cluster of related skill elements. Whereas in the case of more complex skills, such as interviewing a murder witness, there will be a larger number of statements and subordinate skill elements.

**Chart 10.3: Example of a knowledge test form**

<b>Knowledge Test (Officers of all Ranks)</b> <b>Criminal Procedure Code Programme</b>	
<b>Name:</b>	<b>Station/Dept:</b>
<b>Surname:</b>	<b>Instructor:</b>
<b>Rank:</b>	<b>Date:</b>
<p><b>Carefully read each question and indicate your chosen answer by circling T (for a true statement), or F (for a false statement), or DK (for don't know). Avoid dwelling too long over your answers and rely on your first reaction.</b></p>	
1. One of the duties of the Public Prosecutor under Article 46 of the Code is to investigate criminal offences.	T F DK
2. A Public Prosecutor can dismiss a police criminal report under Article 208 on the grounds that the criminal offence is covered by an amnesty.	T F DK
3. A Public Prosecutor can give authority to the Judicial Police to deal with appeals against detention.	T F DK
4. The search of specific buildings is one of the functions of police officers under Article 201.	T F DK
5. A nasal swab is a sample that police officers may, in certain circumstances, collect under Article 205.	T F DK
6. A police officer may be excluded from a criminal investigation under Articles 40 and 45 if the officer is the defendant's spouse.	T F DK
7. Under Article 210 a police officer (or any other person) will have grounds to provisionally arrest a person if the person is found committing an offence prosecuted <i>ex officio</i> .	T F DK
8. Article 14 states that an arrested person has a right to be informed of the reasons for his/her arrest.	T F DK



<b>Chart 10.3: Example of a knowledge test form, continued.</b>	
<b>Knowledge Test (Officers of all Ranks)</b>	
<b>Criminal Procedure Code Programme</b>	
9. Article 212 states that an arrested person must be issued with a written decision on detention that contains the name of the defence counsel and other details.	T F DK
10. Article 215 states that the police shall notify the Centre for Social Work about the place of detention if an arrested person displays signs of mental disorder.	T F DK
11. In any period of 24 hours, an arrested person shall have the right to at least 10 hours of uninterrupted rest, according to Article 217.	T F DK
12. Article 231 states that a defendant shall be informed of the right to be given the free assistance of an interpreter prior to the start of an examination (interview).	T F DK
13. According to Article 204, the police can perform a provisional security search of a person in order to locate weapons or other dangerous objects.	T F DK
14. According to Articles 151 and 243 an "intimate search" is a search which consists of the physical examination of a person's bodily orifices other than the mouth.	T F DK
15. An Article 240 search of premises should normally be executed between the hours of 06:00 and 23:00.	T F DK
16. According to Article 159, a person may not be examined as a witness if by giving testimony the person would violate the obligation to keep a family secret.	T F DK
17. Article 270 states the content of a court order for arrest shall contain the official stamp and signature of the judge.	T F DK
18. Article 269 states that a summons shall be sent to the defendant in the form of a sealed letter that contains, among other details, the name and address of the court sending the summons.	T F DK

The various elements of the skill area must be carefully listed in the assessment form for use in the observation and assessment process. Methods and techniques in assessing firearms and weapon skills are well established in most police organizations, since they will usually require some form of permit or recertification qualification. In the case of firearms assessment, the process will often involve the use of sophisticated simulation equipment (such as Firearms Training Systems or 'FATS' or similar devices). Of course the broad range of practical policing skills will often necessitate assessment through observation of a finished work sample, such as a witness statement or crime report.

An area of increasing development in many police organizations is the assessment of interpersonal skills and related communication skills – a critical area of concern in reform programmes. Of course it is, *de facto*, more difficult to establish minimum performance standards in this area than in more easily defined skills, such as police driving and safe handling of weapons. Moreover, the assessment of interpersonal and communication skills is viewed as problematic and often confined to the knowledge-based aspects of this vital skill area. The first step is a firm recognition that this skill is a core component of policing at any rank by including it in the job profile of a patrol officer (see Appendix A). As in the sample job profile, communication and interpersonal skills will be analysed into those constituent elements that will form the basis of an assessment. The assessment must, inevitably, be based on simulations and role-play scenarios that are built into lesson plans or assessment centres.

Performance standards to be achieved in core policing skills, such as dealing with complaints from the public, and interviewing witnesses are more difficult to define than technical skills. The latter are such that there is, in general terms, only one correct method and the standard of the output (completion of a parking ticket or use of a speed detection device) can be very precisely defined. Thus, the assessment tends to be more straightforward in respect of technical skills than the core skills because of the linkage to precise performance standards. Given the increased potential for subjectivity in the core skills, there is a greater need for well-crafted assessment forms, a thoughtful observation process, and highly skilled observers. Assessing core policing skills will prove far more resource-intensive than assessing knowledge alone. It necessitates a one-to-one ratio of observers to participants at the assessment stage and can considerably extend the length of the capacity-building programme for the participating officers. If there is no absolute requirement for officers to achieve an established performance standard, this type of assessment is understandably set aside. Instead, these core skills will be practised (using role-plays) and observed by instructors who provide verbal feedback as part of the skill development process and without any formal assessment.

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***The duration and level of coaching by the tutor, the amount of practice by the graduate and, most importantly, the acute difficulty in standardising the work scenario in which a skill area is exercised, all conspire to render problematic the workplace assessment process.***

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Some basic (or initial) police capacity-building programmes introduce an assessment component during the workplace phase: that is, where a tutor officer assesses the job performance of a graduate officer in an operational setting. For example, the tutor might observe a graduate whilst he/she interviews a potential witness to a road traffic accident and generates a verbal and/or written assessment. Once removed from a

formal training and development environment a number of controlling factors are removed and problematic issues tend to intervene. The duration and level of coaching by the tutor, the amount of practice by the graduate and, most importantly, the acute difficulty in standardising the work scenario in which a skill area is exercised, all conspire to render problematic the workplace assessment process.

An example of an observation form for assessing initial interviewing skills with a victim of crime - as used in a basic training and development programme - can be seen in Chart 10.4. Similar forms can also be used for assessment of performance in the workplace - the next level of evaluation - where observing a real witness interview will form the basis of the assessment. As in the case of the assessment of knowledge, skill area assessment is carried out to assess any gain in skills and to ensure that a desired standard of competence is achieved (e.g. gaining a firearms certificate, obtaining a pass grade in police response driving). The question of performance standards is paramount where the relevant skill area is new and the start-point is an absence of skill, or where it is impractical to establish a start-point in view of financial and other difficulties in the assessment.

**Assessing character traits** – Capacity-building in a reforming organization often focuses on the complex realm of attitudes and character traits, a critical area of change in the shift toward democratic policing in a multi-ethnic society. The task of assessing this type of capacity-building gives rise to a range of difficulties. Police officers who participate in programmes that focus on attitudes will of course know the ‘right answer’ to give and the importance of indicating a change in attitude. Much has been written on the nature of attitudes, values and prejudices and the way in which it can be difficult to change these complex aspects of human nature. In practice, it is only realistic to expect capacity-building programmes to change the way officers actually behave or act upon their values and attitudes. Such capacity-building is costly and time-consuming and the results are best measured through performance in the workplace, where observed behaviour will reveal latent or underlying attitudes and values. A highly developed police complaints procedure can reveal useful data on those areas where performance change is most urgent.

**Developing evaluation tools** - Designing the evaluation tools at the time the programme is being developed will ensure that the learning objectives are exposed to scrutiny and help ensure that the objectives closely reflect the capacity-building

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***There is a continuous need for instructors and training and development managers to remain focused on the purpose of assessment tools as a means of judging whether trainee officers are competent in specific skill areas...***

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required from the programme. Specialist technical skills will normally be required, in addition to a close co-operation between the instructor, the evaluator and the capacity-building specialist. Working together these key actors will devise assessment tools that assess trainee officers on the basis of what the objectives indicate they will be able to do. Thus, if an objective states that the participating officers will be able to complete a road traffic accident form, the assessment

must verify this through completion of the form, based on a role-play or simulated accident scene. This is far more appropriate and effective than asking the trainee to merely indicate the sections of the form that must be completed or require the trainee to write a report on the action required in respect of the road accident.

**Chart 10.4: Example of a practical skills assessment form**

<b>Observation Form - Skills Assessment (Dealing with an Injured Party)</b>			
<b>Basic Police Programme</b>			
<b>Name:</b>		<b>Station/Dept:</b>	
<b>Surname:</b>		<b>Observer:</b>	
<b>Rank:</b>		<b>Date:</b>	
<p><b>This form is for use in assessing the performance of a trainee officer during a role play in which the officer is asked to briefly interview a person who wishes to report a crime. The person has had his/her wallet or handbag stolen and is very upset. The observer should be unobtrusive and positioned so as to avoid distracting the trainee.</b></p>			
<p><b>Grading:</b>            <b>1 Poor    2 Fair    3 Good    4 Very good</b></p>			
<b>Communication</b>			
Listens attentively		1	2    3    4
Speaks clearly and concisely		1	2    3    4
Adapts communication style to suit needs of audience		1	2    3    4
Asks relevant questions to clarify and ensure full understanding		1	2    3    4
Asks probing questions to ensure full understanding		1	2    3    4
<b>Comments:</b>			
<b>Desired character traits</b>			
Remains rational and impartial under pressure		1	2    3    4
Adopts an attentive and alert posture		1	2    3    4
Creates a good rapport with the person		1	2    3    4
Provides supportive and helpful comments		1	2    3    4
<b>Comments:</b>			

<b>Chart 10.4: Example of a practical skills assessment form, continued</b>				
<b>Observation Form - Skills Assessment (Dealing with an Injured Party)</b>				
<b>Basic Police Programme</b>				
<b>Grading:</b>	<b>1 Poor</b>	<b>2 Fair</b>	<b>3 Good</b>	<b>4 Very good</b>
<b>Gathering Information</b>				
Encourages a detailed account of incident, using open questions	1	2	3	4
Gathers the relevant and necessary information	1	2	3	4
Quickly and accurately assimilates information	1	2	3	4
Checks for accuracy and validity of information	1	2	3	4
<b>Comments:</b>				
<b>Providing Information</b>				
Clearly and accurately explains the relevant procedures	1	2	3	4
Explains how the police will deal with the investigation	1	2	3	4
Gives accurate answers to questions or offers to locate the information from another source	1	2	3	4
Gives a clear indication of what will happen next	1	2	3	4
Provides contact details for follow-up information	1	2	3	4
<b>Comments:</b>				

It is important to avoid the tendency to allow training level assessment tools to become outdated and irrelevant, still used when they have ceased to be an accurate and relevant method of assessment. Assessment tools must be amended and kept updated as operational procedures and workplace performance standards change.

Likewise a gradual erosion of assessment standards can result from a decline in administration standards over time: instructors provide hints about the content of assessment questions or assessment questions become well known among officers. There is a continuous need for instructors and training and development managers to remain focused on the purpose of assessment tools as a means of judging whether trainee officers are competent in specific skill areas, as well as a means of measuring the effectiveness of capacity-building programmes, insofar as they meet their objectives. In terms of qualifying trainee officers, the process is fairly straightforward, since it involves establishing a standard that the trainee must achieve (e.g. 70% in a knowledge test or a rating of satisfactory in a skills test). Whereas measuring effectiveness will involve analysing the results as a whole, in terms of the average score obtained, or the proportion of trainees that passed a test, or, as appropriate, the average gain in capacity-building.

**Explaining the purpose of evaluation** - Police officers will be naturally anxious or suspicious about an evaluation process. Where an assessment process is introduced for the first time in a programme great care is required, especially if the relevant officers are not accustomed to being assessed. If this is overlooked there is a very real danger that the issue of assessment will dominate the minds of the participants and become a block to learning. At the outset of a programme, it must be made clear just how the assessment process works, in terms of the required simulations or scenarios, assessment forms, and written tests. Where the purpose centres on assessing whether an officer has achieved a specific standard, this should be fully explained and the standard clearly described.

Each officer must be made aware of the consequences if he or she does not achieve the required standard, whether there is an opportunity for a retest and, if so, in what circumstances. Detailed and transparent procedures must be established and communicated at the start of the process. It must be stressed throughout that evaluation is a process that seeks positive outcomes, both for the individual and the organization.

# 11

## Advanced evaluation levels





# 11

## Advanced evaluation levels

### INTRODUCTION

Having considered how to evaluate what capacity-building has taken place, the evaluation must be taken one step further by focusing on whether the training and development has been successfully transferred into the policing workplace. This involves assessing any improvement in job performance and, specifically, whether the identified performance gap has been bridged through the capacity-building intervention. It is after all the whole purpose of developing police skills that, in pursuit of the objectives of the reform process, they are quickly transferred into the policing workplace. This is probably the most crucial level of evaluation in the majority of police capacity-building programmes and it is, therefore, sad that this level of evaluation is often missing. It is really at this level that capacity-building specialists confront the most important challenges and revealing insights into the whole training and development process.

**Chart 11.1: Kirkpatrick's evaluation model**

<b>Advanced levels of evaluation</b>	<b>Results level</b>	Impact of capacity-building on the police organization and its objectives
	<b>Performance level</b>	Impact of the capacity-building on workplace performance/behaviour
<b>Basic levels of evaluation</b>	<b>Training level</b>	Impact of the capacity-building in terms of what the trainee officers learned
	<b>Reaction level</b>	Impact of the capacity-building in terms of the trainee officers' satisfaction

This chapter will move to the advanced levels of evaluation within the Kirkpatrick model: namely, the job performance level (the intermediate or third level) and the results level (the ultimate or fourth level). Evaluation at these levels is often combined in a single process designed to identify the impact of the capacity-building programme on workplace performance – the final test of a programme's relevance to the organization's reform objectives. The two key elements in this stage of evaluation are job performance or behaviours (or the manner in which officers and support staff do their jobs) and the results of job performance (or the extent to which work performance assists the reform objectives). The key points of the chapter can be summarised as follows:

- Describe some of the barriers that hinder transfer of capacity-building to the police workplace
- Identify a simple thought process in analysing performance level results
- Describe briefly the steps involved in results level evaluation.

## **BARRIERS TO WORKPLACE TRANSFER**

At the advanced level of evaluation the focus is on the policing workplace, rather than the more controlled environment of training and development. There are a number of factors in the workplace that might hinder or obstruct the process of transferring the new knowledge, skills and character traits. The negative influence of these barriers will vary from one organization to the next and from one part of an organization to another. Organizations that are moving from a 'state-centric' model to a 'community-centric' model are very likely to encounter significant structural and cultural barriers to workplace transfer: e.g. a resistance to change, politicisation, a mono-ethnic culture, and a results-oriented culture. Specialists must recognise the existence of such barriers, identify their actual or potential effects and offer strategies to deal with them.

**Results rather than performance** - In some police organizations there is a tendency toward the belief that achieving results is more important than how officers do their jobs. An ideal organization will acknowledge that both have a part to play. A police organization might, for example, implement a capacity-building programme aimed at improving the performance of criminal investigators in detecting offences and apprehending offenders. At the performance level of evaluation one might

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***Over time this expectation generates a pervasive attitude among police officers that the rule of law can and should be set aside when it is seen as an obstacle to achieving results.***

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consider the way officers conduct basic investigations - observing the collection and analysis of evidence, and assessing whether the officers used suitable and appropriate behaviours. Alternatively, one might focus on the results of those behaviours: the number of arrested suspects who are later prosecuted. There is a strong inclination among police officers and the public to stress that it is the results

alone that matter. Over time this expectation generates a pervasive attitude among police officers that the rule of law can and should be set aside when it is seen as an obstacle to achieving results<sup>39</sup>. There are few police organizations that have remained free of this attitude and the miscarriages of justice that inevitably follow from it.

However, the model of democratic policing that is sought under the reform programme demands that the desire for results is tempered by a respect for the rule

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<sup>39</sup> This point is overlooked in Bayley's appraisal of the inclination of police officers to avoid behavioural change that is not likely to 'improve, or at least not reduce, organizational effectiveness' (ibid., 25). Police officers who plant evidence or extract confessions through intimidation or violence might feel satisfied that such behaviour achieves the right results in terms of crime control. The suggestion that they might respond to the argument that a respect for human rights and the rule of law, in combination with more sophisticated investigation techniques, will achieve the same crime detection rates misses the point. Reform in pursuit of democratic principles will seek to identify a respect for the rule of law as an absolute value and eradicate such police behaviour through intensive capacity-building and an uncompromising discipline regime.

of law and human rights (ECPE 20, 43). Where the results evaluation is poor it will be important to know why by reference to workplace behaviours, rather than simply focusing attention on the results and increasing the pressure on officers to obtain the right results 'whatever the cost'. A reforming organization that has a clear objective to respect basic human rights must demonstrate that its officers are not inclined to set aside those rights in the pursuit of results. Too many police organizations have learned to their cost – in terms of a loss of public trust and confidence – that police officers can disregard the rights of witnesses and suspects in the quest for successful prosecutions and kindred results. The issue of performance cuts across all the points of contact between the police and the public: whether it is a simple request for assistance or a report of a crime or a traffic violation. Each meeting with the public is an opportunity to build public trust and confidence or reduce it through poor police performance (ECPE 18).

Measuring workplace performance presents greater challenges than basic level evaluation. The measures must be specific and realistic indicators that are relevant to the reform objectives. They must demonstrate clearly that expensive capacity-building interventions result in tangible changes in the workplace. That challenge is seen most clearly in those police capacity-building programmes that do not lend themselves to measuring specific results, such as management and leadership programmes and community policing programmes. In the case of management skills, it is usually more effective to consider the performance or behaviours rather than attempting to draw links to results, or where relevant performance indicators exist to look at a combined approach.

**Workplace factors** - The policing workplace itself can introduce a range of intervening factors that influence job performance and the results at this level of evaluation. Once officers return to the workplace they are often subject to a broad range of influences that impact on the way they do their jobs, with positive and negative effects. This normally occurs where they receive additional tutoring or training and development on the job (i.e. as in the case of officers who graduate from a basic training programme) or receive little support from their supervisors (i.e. as in the case of officers trained in new working practices). The classic case of negative influence in the workplace relates to police recruits who are paired off with tutors who, either explicitly or impliedly, seek to dismiss the value of the skills and character traits developed in the police academy.

Experience tells us that if the knowledge, skills and character traits that are acquired by recruits in a basic training and development programme are not used within a relatively short time, the capacity is eroded rapidly. Without a structured approach to workplace tutorship (involving skilled tutor officers and a personal performance record) the opportunities to practise new skills may be overlooked or missed. Peer support in the workplace is also a vital component in reinforcing and developing the learning acquired during a capacity-building programme. Where, for example, an officer returns to the workplace from a capacity-building programme highly motivated and committed to a new performance standard in some aspect of operational policing, the reaction of his or her colleagues will be crucial. If those colleagues do not support the new approach or believe that it is a waste of time, then the training and development is unlikely to succeed since the trainee will not fully implement the capacity-building programme.

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***Without a structured approach to workplace tutorship (involving skilled tutor officers and a personal performance record) the opportunities to practise new skills may be overlooked or missed.***

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Both the workplace performance and the results achieved will be influenced directly by these internal factors. In addition, there is a potential for certain external factors to interfere with the transfer process. External factors might include a sudden change in crime trends or social unrest caused by a political incident, a sudden change in the local economy or a major disaster. In general terms, these external factors tend to affect the results rather than the behaviours in police capacity-building.

**Dealing with the barriers** - Can such intervening factors be obviated or ameliorated? A first step for the capacity-building specialist is becoming aware of the potential influence of these factors. Once aware of them, he or she can explore them and seek to estimate the extent of their influence. One approach is to inquire among trainee officers and their line supervisors whether they can identify intervening factors and estimate the degree to which they might impact on both performance and results in the workplace. Another approach involves the use of control groups which allow the specialist to compare the performance and results in the group of trainees with those of another group of police officers (the control group). The latter must of course be doing the same work without the benefit of the same capacity-building programme. Clearly, it is vital that the control group is as similar as possible to the group of trainee officers, in respect of ethnic mix, policing experience, and gender mix.

Significant problems are created with the decision to use of control groups, not least the difficulty in finding an appropriate group. Capacity-building programmes that involve specialist units will often entail a limited pool of officers from which to draw trainees, whilst the others are engaged in operational duties. Limited resources and pressing operational demands will preclude the luxury of control groups. Moreover, even in larger pools of officers, the cost of the evaluation will become prohibitive once the time and resources required to identify and monitor a control group is calculated. For these reasons, it is often more prudent to avoid control groups and simply estimate the influence of the intervening factors in other ways. Although not as statistically correct as control groups, it offers a more pragmatic approach and provides sufficient evidence to answer many of the questions that are raised.

## IMPLEMENTING PERFORMANCE LEVEL EVALUATION

Whether measuring results or considering job performance there will be a need to decide who does the assessment and what method of assessment is used. The assessment can be conducted by an external or independent assessor, the trainee

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***The assessment can be conducted by an external or independent assessor, the trainee officer's supervisor or the trainee in a self-assessment.***

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officer's supervisor or the trainee in a self-assessment. Unless it forms part of an externally sourced programme, the preferred option is a combination of self-assessment and supervisor assessment. For police organizations this combination approach has the advantage of integrating the assessment process into the normal working situation, thereby reducing costs. There is the additional benefit of reinforcing

the coaching and mentoring role of the line supervisor. Of course, external assessors create a significant advantage insofar as they are often skilled in this area, generating more objective assessments that are consistent with agreed standards.

Although infrequently used in police organizations, it is worth considering – in certain capacity-building programmes – an assessment process that involves the assessment being conducted by the staff (or subordinates) of the trainee officers. For example, a junior or middle ranked officer who participates in a leadership course or performance review programme may benefit from carefully conducted assessment by those he or she manages. In many police organizations this may introduce sensitivity issues since upward assessment is neither familiar nor well developed. Peer assessment is another area that needs to be further developed in police organizations. The colleagues of trainee officers can provide valuable assessment in capacity-building programmes on patrol management, crime investigation skills, media relations, and senior command skills. As with subordinate assessment, this sort of approach will require careful handling where peer assessment is not well established in a police organization and officers are wary and feel vulnerable.

In a range of programmes the most potent form of assessment involves the public. This is particularly apt in the context of police reform programmes, where the final test of success lies in public satisfaction that the police respect human rights and provide the sort of service that the public require. Credibility does of course demand that public surveys are conducted by an independent entity and this involves significant costs. In certain States there may be an option to involve the services of an international organization or donor funded consultant group, thereby reducing or obviating the considerable costs.

### **Methods of assessment**

As seen earlier, there are three main methods of assessment to consider: direct observation, self-completed questionnaires and interviews. The issue of how they might be applied to performance level evaluation will now be addressed.

**Direct Observation** - Since policing skills are pragmatic and observable, it is axiomatic that direct observation is the most obvious way to assess how a particular skill is performed. Ideally this task would be approached in a totally unobtrusive and secret manner; however, in practice, the task of observing police performance in the workplace throws up significant problems. Formal observation, specifically organised for assessment purposes, can be both expensive and time-consuming. This approach requires an observer to trainee ratio of at least one-to-one and, if it involves a particular skill (e.g. making an arrest), will be for a short duration and very focused. In the same way, if it involves a supervisory skill such as briefing a murder investigation team, the observation can be based on the specific occasion of the briefing. Whereas assessment of a management skill that is performed in response to an unplanned policing event (e.g. a public disorder incident), requires considerable periods of ongoing observation in order to witness the situations that will give rise to the assessed behaviour.

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***Where a police organization has developed job profiles for the various ranks and specialist roles, they can form the basis of assessment tools at the performance level.***

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As discussed previously, the very presence of an observer can have an effect on the result (the Hawthorne effect) where formal observers are employed who would not normally form part of the workplace. Where formal observation is used, it is suggested that the same assessment forms should be used for skills assessment in training-level evaluation (see Chapter 10). However, in this context, the trainee

officer is performing the skill in the workplace environment rather than in a simulated scenario in the capacity-building programme itself.

**Personal performance review (PPR)** - Where a police organization has developed job profiles for the various ranks and specialist roles, they can form the basis of assessment tools at the performance level. As was seen in Chapter 5, a key objective in any coherent reform process must be capacity-building programmes that are designed according to a competency framework that is defined in a job description and linked to clear and verifiable performance standards. In addition to informing the process of defining learning objectives, this framework can inform the assessment fields in a personal performance review system. This offers a number of low-cost benefits. The informal observation that occurs in the course of a normal supervisor-officer relationship in the personal performance review process is a cheaper and more accessible alternative to formal observation. A supervisor observes the trainee officer performing the skill areas addressed by the capacity-building programme over a period of time, and thereby forms a more comprehensive view of the officer's level of competency. The supervisor's judgement, formed on the basis of a number of observations over several months, will verify more accurately that the trainee has achieved the defined minimum standard and the extent of the gain in competency. Where this approach is used, it is normally restricted to the review of performance of officers in their first year of service and structured by a Personal Performance Manual<sup>40</sup> or similar document. This document will often contain the job profile of a patrol officer, target work activities, records of personal achievement and assessments by tutors and supervisors. Some would strongly advocate the use of these manuals for all ranks as a means of structuring workplace development and supervisor assessment.

**Comprehensive Review System (CRS)** - A closely related approach to the PPR system involves a series of forms that record an officer's progress from nomination for a particular capacity-building programme to assessing the officer's effectiveness at certain intervals after the learning event<sup>41</sup>. This package is designed as part of the capacity-building programme itself. The forms, completed jointly by the trainee and his or her line supervisor, include a nomination form that identifies the relevant organizational objective, the performance gap and the reason for selecting the particular capacity-building solution. Also included is a pre-programme briefing form that includes the learning objectives and the connection between the capacity-building and the officer's job. Pre-programme preparation work is identified, as well as any problems that might affect the officer's ability to make effective use of the capacity-building.

Two evaluation forms are included, one for the reaction level and one for the performance level. The reaction level form is completed immediately after the programme has been completed and records the trainee officer's reaction to the

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***An assessment that measures the full range of skill areas ought to take place shortly after the capacity-building programme where the trainee officer is a new recruit...***

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programme – those performance needs that were not met and any action that might help to transfer the capacity-building into the workplace are included. The performance level form is completed at predetermined intervals after the programme and assesses the effect of the capacity-building on job performance and whether it meets organizational needs. The content and

<sup>40</sup> This method has been used to develop KPS officers in their first year of service.

<sup>41</sup> A variant on this method was piloted in the Instructor Development Programme at the KPSS in 2005.

format of these forms can be varied to reflect the particular needs of the police organization, including the balance of quantitative and descriptive information and reporting systems used.

Qualitative information, in general terms, will be the main output from this process, combined with a certain amount of quantitative information from the tick-box questions and rating scales. The qualitative information should be used as a means of identifying and resolving exceptional problems: if the results from the rating scales indicate problems, the qualitative information should reveal the detail and depth required to identify the problems and prompt a fuller investigation. An assessment that measures the full range of skill areas ought to take place shortly after the capacity-building programme where the trainee officer is a new recruit or on promotion or on transfer into a specialist job. In these cases the programme is directed at providing the officer with the full range of knowledge, skills and character traits required for the job, whether that of patrol officer, supervisory rank or criminal investigator. However, the full assessment may not be appropriate until some time after the programme in cases where training and development is intended to improve or enhance performance in an existing job, since experience and practice will form part of the capacity-building process.

Such a comprehensive approach to performance level evaluation provides the significant advantage of supporting the process of transferring capacity-building measures back into the policing workplace. The trainee and his or her supervisor are compelled to focus on the capacity-building process from the identification of a performance need and nomination for a programme, through to the assessment of whether the programme has finally achieved the objectives in terms of performance in the workplace. Moreover, support is provided at all stages and action taken when problems occur through a consciously structured process in this approach. If the police organization has a Personal Performance Review system that is based on more frequent meetings than the more traditional annual review, these meetings can be linked to a Comprehensive Review System.

Both the PPR and CRS are generally unpopular and often produce disappointing results in practice. They require considerable administrative effort to work effectively, particularly to ensure that the various bits of paperwork are completed at the appropriate times. A considerable investment of time by trainees and supervisors is required. Police organizations are increasingly burdened with forms and paperwork. Any capacity-building initiative that adds to the burden may well be perceived to be yet more unwelcome bureaucracy and meet with immediate resistance from police officers. This will result in incomplete and low-quality data, undermining the usefulness of the approach unless some effort is made to convince officers that the results are useful to the trainee and his or her supervisor. This resistance to additional paperwork can be ameliorated by a design that minimises the required data fields and makes the forms as user-friendly as possible. Above all the paperwork must be devised as a vehicle for communicating practical points of action to improve performance and not as means to merely record information about past events that have no relevance to the future. In short, the process and its paperwork must be action-oriented throughout.

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***This resistance to additional paperwork can be ameliorated by a design that minimises the required data fields and makes the forms as user-friendly as possible.***

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**Self-complete questionnaires** - Self-complete questionnaires offer an advantage over observation and interviews insofar as they are a relatively inexpensive way of collecting information. They can be directed at the trainee officers and/or their supervisors, or their work colleagues. Chart 11.2 provides an example of a self-complete questionnaire designed to assess the effects of a patrol management programme on local policing performance. Careful design is required to keep them as short and structured as possible, facilitating the process of extracting the right performance data. Useful questions include:

- How successful was the use of the skills and knowledge?
- How often were the skills and knowledge used over the period since the programme?
- What, if any, problems were there with using the skills and knowledge?
- How competent was the trainee officer, rated before and after the capacity-building programme?

Respondents should either use a rating scale or be required to provide examples, as appropriate.

It might be argued that the trainee officer is the best source of information about his or her work performance, but there are also disadvantages in relying mainly on self-assessment. Just whether a trainee will, in every case, be willing to self-assess honestly and accurately is not certain. Of course anonymity will assist, since the trainee officer will be more willing to assess his or her own performance honestly if he or she is confident that the information will not be used for other purposes. Anonymity, however, precludes the opportunity to respond to answers and react in the case of problems. The underlying issue is the final purpose of evaluation: is it for the benefit of the trainee officer or to measure the effectiveness of a capacity-building programme? Self-complete questionnaires generate a potential if not actual conflict between the objective of the evaluation as a means of assessing the effectiveness of the capacity-building and the desire to meet the needs of the officer by providing further support where the programme appears to have been ineffective.

**Interviews** - As noted earlier there are the two main approaches to the interview as an evaluation tool: one-to-one interviews and group interviews. The former approach is a common method and falls between the self-complete questionnaires (in terms of cost) and observation as the most direct method. Whilst one-to-one interviews are expensive they can, with the help of skilled interviewers, offer a greater degree of probing than self-complete questionnaires. As suggested earlier, a compromise may be found by inserting the evaluation into the normal Personal Performance Review system, simply adding questions that target job performance in the performance review interview. Group interviews, either with trainees and/or their supervisors, offer a direct method of assessment and a useful way of identifying problem areas. Where, for example, poor results are revealed through self-complete questionnaire surveys (or supervisor-assessment) group interviews can identify the causes in an effective way.

### **Considering the Critical Issues**

Performance level evaluation requires consideration of a number of critical issues if it is to succeed. This level of evaluation, involving assessment in the workplace, requires the full co-operation of all concerned: it begins by communicating the purpose and benefits of the evaluation to all the stakeholders clearly and in sufficient



time. It is recommended that, at the earliest opportunity, these people are briefed on who will get the evaluation results and how they will be used. It should be stressed that the evaluation process will benefit individual officers by reinforcing the capacity-building and identifying any remaining performance needs.

Deciding just when the assessment should take place is another important issue and depends on a number of factors. The assessment should be relatively soon after the programme where the latter relates to a new job or the acquisition of new skills; whereas, in the case of capacity-building that requires a period of workplace practice of the acquired skills, the timing of the assessment ought to be guided by the probable rate of workplace development. Some skills are practised frequently (e.g. driving or imposing traffic-related offence fines) and might only require 1-2 months practice, but skills that are practised less frequently (e.g. securing and searching a murder scene or dealing with a major road traffic accident) require considerably longer periods of time, 2 - 4 months or more. Finally, the specialist must decide whether the assessment should employ observation techniques and, if so, whether it should take the form of informal observation conducted by the trainee's supervisor. In the latter case sufficient time must be allocated for such extended observation to occur.

***Case study - Correctly identifying the nature of the capacity-building need***

A capacity-building need for police sergeants was identified as being able 'to prioritise patrol supervision'. A series of one-day capacity-building interventions took place and the reaction level evaluation produced glowing results. It showed that the sergeants felt they had really mastered the skill of patrol supervision. The police instructor had used the device of putting up the learning objectives on flipcharts on the wall and inviting officers to put up a gold star when they felt they had achieved a particular objective. These flipcharts were covered in gold stars. No formal training level evaluation was carried out and after three months a series of interviews was conducted with the sergeants and their managers, asking to what extent they had put the capacity-building into action. The results showed there had been little change in the way the sergeants organised their work, and few could identify times when they had used their new patrol supervision skills. Both trainees and their managers commented that the problem was that the pressure was so great that they simply reacted to policing incidents as they came along (i.e. reactive policing rather than proactive patrol). The real performance gap related to time management skills generally and the critical capacity-building need was for those senior officers who managed the sergeants. Clearly a better performance gap analysis would have identified the root problem.

Where the improvement of existing skills is the focus of the performance level evaluation it is of course an advantage to measure the skill level prior to capacity-building. This may not be possible for a number of practical reasons and an alternative approach involves establishing a base-line or starting-point by assessing the officers immediately after the close of the capacity-building programme. The advantage lies in the fact that trainee officers at the later stage - after the programme - will have a much clearer idea of the job behaviours and standards being assessed than before the programme. In other words, the trainee officers were in a state of 'unconscious incompetence' as to the quality of the desired performance prior to the capacity-building programme - they did not know what they did not know! Against this approach is the argument that it is perhaps difficult to focus on job behaviours of the past, since our perception of past performance is necessarily coloured by the present.

**Chart 11.2 – Example of a performance level questionnaire (Trainee)**

<b>Programme Evaluation Questionnaire (Trainee Officers) Patrol Supervision Programme (Sergeants)</b>	
<b>Title of Programme:</b>  <b>Class No:</b>	<b>Date:</b>
<p>We always seek to improve the quality of our programmes. For the benefit of future trainee officers we would appreciate your answers to the following questions. The purpose of this questionnaire is to evaluate the effectiveness of the police patrol programme as a means to improving your work performance. The information you provide will be treated confidentially and only the overall results will be published. Thank you for your time, your contributions are very valuable to us.</p>	
<p><b>1. To what extent has the programme helped you to identify local policing problems?</b></p> <p style="text-align: center;"> <b>Not at all    1    2    3    4    5    6    Very much</b> </p> <p><b>2. To what extent has the programme helped you to consult local community members about crime and safety problems?</b></p> <p style="text-align: center;"> <b>Not at all    1    2    3    4    5    6    Very much</b> </p> <p><b>3. To what extent has the programme helped you to analyse local policing problems?</b></p> <p style="text-align: center;"> <b>Not at all    1    2    3    4    5    6    Very much</b> </p> <p><b>4. To what extent has the programme helped you to prioritise local policing problems?</b></p> <p style="text-align: center;"> <b>Not at all    1    2    3    4    5    6    Very much</b> </p> <p><b>5. To what extent has the programme helped you to identify practical and realistic solutions to local policing problems?</b></p> <p style="text-align: center;"> <b>Not at all    1    2    3    4    5    6    Very much</b> </p> <p><b>6. To what extent has the programme helped you to consult with your staff about solutions to local policing problems?</b></p> <p style="text-align: center;"> <b>Not at all    1    2    3    4    5    6    Very much</b> </p>	

**Chart 11.2 – Example of a performance level questionnaire (Trainee) cont.**

**Programme Evaluation Questionnaire (Trainee Officers)  
Patrol Supervision Programme (Sergeants)**

7. To what extent has the programme helped you to create proactive patrol strategies to deal with local policing problems?

Not at all    1    2    3    4    5    6    Very much

8. To what extent has the programme helped you to monitor proactive patrol strategies?

Not at all    1    2    3    4    5    6    Very much

9. To what extent has the programme helped you to monitor reactive patrols?

Not at all    1    2    3    4    5    6    Very much

10. To what extent has the programme helped you to provide proactive patrol briefings?

Not at all    1    2    3    4    5    6    Very much

11. To what extent has the programme helped you to motivate your staff in proactive patrolling?

Not at all    1    2    3    4    5    6    Very much

12. Describe any other ways in which the programme helped you to supervise police patrols.

13. Describe anything that prevented you from introducing your new patrol supervision skills into the workplace.

14. Describe anything that could be improved in the programme.

## ANALYSING THE EVALUATION RESULTS

Once the performance level evaluation is acquired it must be carefully analysed and interpreted so that the effectiveness of the capacity-building measure can be verified or, as appropriate, remedial action can be taken. Although not exhaustive, the following thought process – summarised in Figure 11.1 - offers one possible approach to interpreting the results.

If the evaluation reveals poor performance level results the first step involves deciding whether it applies to only a few participants or whether these results are more widespread. In the former case it is

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***If the evaluation reveals poor performance level results the first step involves deciding whether it applies to only a few participants or whether these results are more widespread.***

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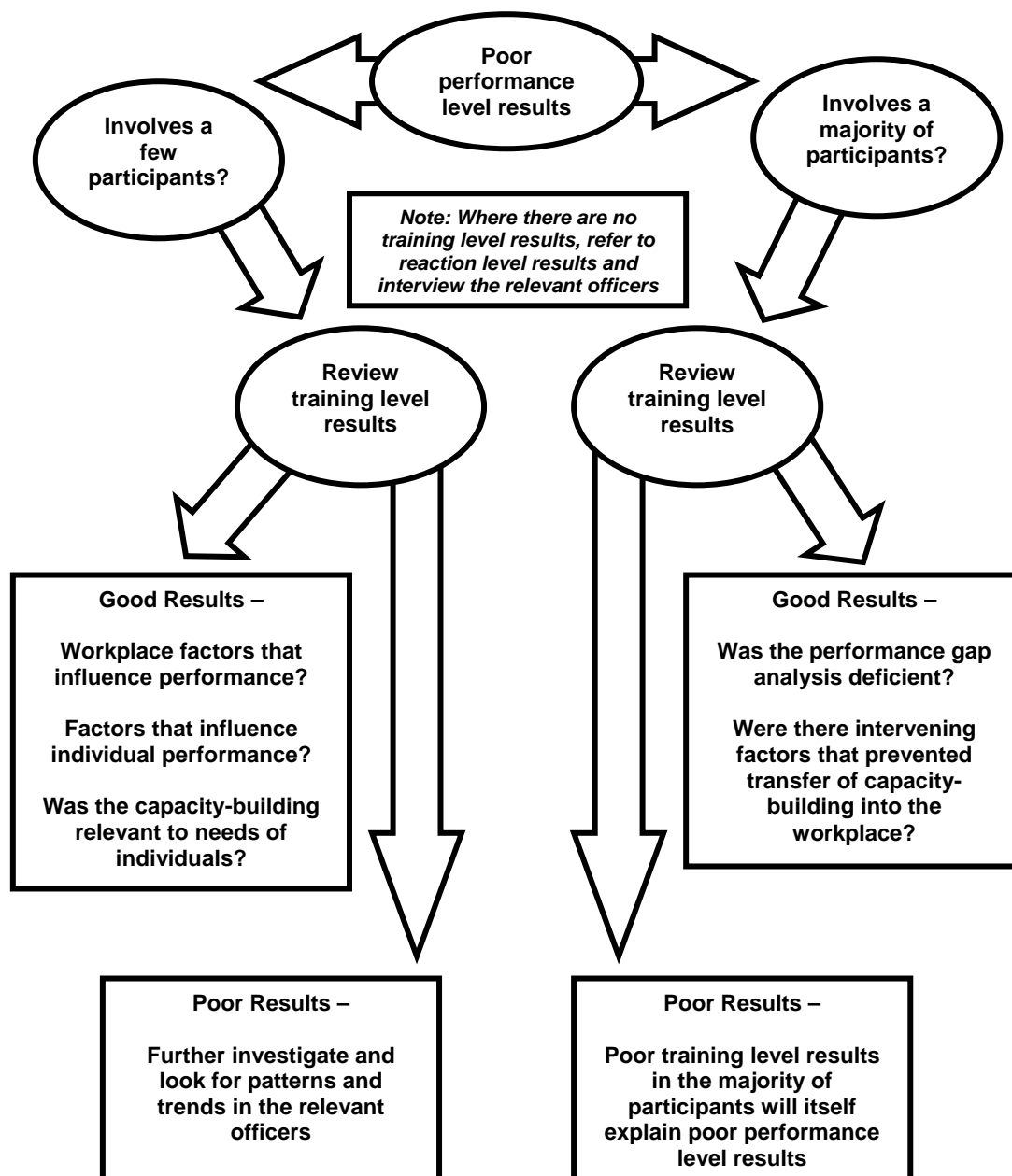
prudent to revisit the training level evaluation results for the relevant participants and, if these results were poor, further investigate them and actively look for patterns and trends (i.e. a particular police department, a particular station or region). However, if the training level evaluation results were good, it might indicate that there were special factors within the

workplace or the relevant police staff that inhibited the process of transferring skills into the workplace.

Alternatively, it might be the case that the capacity-building was not relevant to the work of the officers and, therefore, they should not have been involved in the capacity-building programme in the first place. Where the results are generally poor, it will assist to scrutinise training level results and if they were also poor it may well explain poor job performance results. It is vital that evaluation results are acted on – a lack of action will defeat the purpose of capacity-building as a means of achieving the aims of the Policing Plan, organizational objectives and the reform process as a whole.

Where, however, the performance level results were poor and the training level evaluation was reliable and valid, it will have been established that the objectives of the programme were achieved but that the programme had not dealt with the right capacity-building matters. In other words, the objectives were inappropriate and the performance gap analysis on which they were based was flawed and deficient. As an alternative, it might be possible that there were some factors or obstacles in the workplace that prevented the transfer of skills. Such factors might have been anticipated during the performance gap analysis process and, once properly identified, they might have been addressed by the capacity-building programme itself. As can be seen, the capacity-building specialist must think laterally and consider the broad range of factors that might influence the process and the outcomes.

**Figure 11.1: Analysing evaluation results**



Where there are no training level results, it will not be known whether the training and development delivery was the problem or whether the programme itself was ill-conceived, or indeed whether workplace factors adversely influenced the results. Reference should be made to the reaction level evaluation as a useful starting point in the analysis, moving on to interviews with participating officers and their line supervisors in an effort to identify the causes. The use of focus group discussions involving the participants and their supervisors may also assist in the investigation of these issues.

### **Case study – Analysing the results of performance level evaluation**

A police organization identified that there were problems in the way supervisors handled the Personal Performance Review process. Interviews and the associated paperwork were poorly executed and often submitted late. In order to quickly remedy the situation, it was decided to provide supervisors with additional training and development in the proper conduct of PPRs. A subsequent performance level evaluation identified that there had been little or no improvement in the late submissions and quality of the paperwork. During follow-up focus group discussions it was revealed that the extra capacity-building had focused on the mechanics of the process (e.g. completion of forms and interviewing) but gave little attention to the objectives and importance of performance reviews for individual officers and the organization. The officers expressed significant levels of cynicism about the worth of the review process, and the instructors failed to deal with this important barrier to learning during the capacity-building programme. The discussions also revealed widespread criticism of the review process: police supervisors judged the forms to be badly designed and the process lacked a support system to remind them of submission dates. In brief, the hasty capacity-building response made in the absence of a thorough performance gap analysis proved to be an expensive waste of time and precious resources.

## **RESULTS LEVEL EVALUATION**

The final test of the efficacy of capacity-building in a reform process involves identifying the impact on organizational objectives. The achievement of police performance results that contribute to organizational objectives is often centred on some form of 'computer-based research' that considers a four-stage process:

- Identify performance indicators
- Establish pre-programme benchmarks
- Decide capacity-building impact period
- Identify intervening factors

**Identify performance indicators** – An assessment at this level begins with the identification of the key indicators (or measures) of organizational performance during the performance gap analysis stage (see Chapter 6). These should be clearly linked to the relevant reform objective(s) that gave rise to the capacity-building programme. Performance indicators are of two general types: organizational and evaluation-linked. The latter are those that are established simply in connection with an evaluation process, such as public satisfaction surveys, statistics on policing operations or cost-effectiveness as part of a budget analysis. Organizational measures are those that the police organization has already established for monitoring performance, such as crime statistics, crime clear-up rates, public satisfaction, and freedom of movement among ethnic minority communities. Chart 11.2 provides an example of organizational measures that are intended to evaluate performance.

The performance levels and performance targets in the example might seem low, but not unusual in a police organization in a transition state that has commenced a reform process. Where the data indicates currently low performance it is vital that the short-term targets are realistic and achievable.

**Chart 11.2: Example of organizational performance measures**

Principle/ Priority	Objective	Performance indicators	Performance (Previous 12 months)	Target (Next 12 months)
Community- centricity  To provide police services that meet the expectations of the public	To increase public satisfaction with the service provided by officers	Increase satisfaction with mobile patrol officers	35%	40%
		Increase satisfaction with foot patrol officers	28%	33%
	To increase public satisfaction with the service provided by officers when dealing with ethnic minority communities	Increase satisfaction of victims of ethnic incidents in respect of the officers dealing with the incident	10.1%	15%
		Percentage of ethnic minority citizens who feel 'safe' or 'very safe' when travelling outside their own communities	0.5%	5%

**Establish pre-programme benchmark** – Once a decision is made to tackle a precise performance area, it is important that the performance results are available in the appropriate form before the capacity-building programme begins, sufficient to create a starting benchmark. This involves securing previous data on the measurement of the area under consideration and ensuring that the data is available at the required level of detail. In the example provided in Chart 11.2, the performance results might have been acquired through an independent sample survey that randomly targeted local community members and persons living in ethnic minority areas. Of course simply knowing that the majority of the persons in the sample group were not satisfied with the foot patrols or mobile patrols is not enough to guide the specialist when creating a capacity-building specification. It will be necessary to explore the nature of the performance gap in greater detail: i.e. is it a case of poor communication skills or poor patrol tactics or poor response times or a combination of factors?

**Decide impact period** - A decision must be made as to how long the capacity-building will take to affect the indicator. A programme designed to enhance police patrol skills will include the need for skill practice and development over a period of weeks or months before the improved performance is revealed in the relevant performance indicator. Whilst some indicators can be measured frequently and at little expense (e.g. crime statistics and complaints statistics), others occur far less frequently because of the costs involved (e.g. public satisfaction surveys). In some cases the more frequent and less expensive measures overlap with the less frequent ones and can offer some indication of improvement. Thus, in the example given in Chart 11.2, the public dissatisfaction might be related to poor police response times or insufficient police presence at certain times. The response times and duration of police presence can be measured easily on a weekly basis, providing an earlier indication of the likelihood of improved public satisfaction.

**Identify intervening factors** – As indicated throughout this book, capacity-building is only one solution for poor performance: there are many institution-building factors that might be the cause of a failure to achieve organizational objectives. Likewise

there is a possibility that where capacity-building is identified and used as an appropriate remedy, the apparently positive impact of the capacity-building may be the result of other factors that have intervened with a positive effect. Since the specialist must accurately measure the impact of the capacity-building, it is necessary to identify any intervening factors and their effects on the results. This can be achieved through the use of control groups: i.e. comparing the results with other stations or policing areas that are similar but where no capacity-building has taken place. If the measure is patrol performance, then both the 'programme' group and non-programme group would have experienced the same conditions in terms of resources and crime frequency. It is vital to ensure that there is a good level of correspondence in terms of such conditions: as discussed earlier, the control group must be very similar to the group that is subject to capacity-building in every relevant respect.

This process will result in confirmation that the capacity-building has had a positive impact on police performance or that there has been no measurable impact. The degree of success and associated data will form the basis of a decision about whether to extend the programme to other members of the target group and whether to modify the capacity-building specification in an effort to increase the future impact.

### **Developing a culture of development**

If evaluation is to significantly improve the quality of development through capacity-

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***If evaluation is to significantly improve the quality of development through capacity-building and its impact on performance, it is important that it is supported by a culture of development at the individual, group and organizational levels.***

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building and its impact on performance, it is important that it is supported by a culture of development at the individual, group and organizational levels. Such a culture is driven by a pervasive attitude that embraces capacity-building as a critical means of achieving the organization's strategic priorities and objectives. The required culture will involve a sense of joint ownership for capacity-building, on the part of police staff and the management team: this includes a joint effort to identify the performance needs, finding appropriate

capacity-building solutions and helping to transfer newly acquired skills into the workplace.

Ideally police trainees and their line supervisors or managers will meet and discuss performance issues and the potential for development through capacity-building. Underpinning such arrangements must be a universal consensus within the police organization about the necessity of capacity-building for the staff and the success of long-term reform measures. All the staff must recognise their need for development and improved performance, and the critical role of capacity-building in helping them to improve (ECPE 28). In some transition states this will require a considerable shift in thinking: the need to develop and learn should not be seen as an admission of weakness but a professional value, linked to the desire to provide police services to the highest standards.



# 12

## Creating a capacity-building strategy



# 12

## Creating a capacity-building strategy

### INTRODUCTION

Having discussed the mechanics of the systematic approach in detail, it is necessary to consider the overarching strategy that must guide and direct the capacity-building process. As indicated in Figure 12.1, the development of a capacity-building strategy involves a close correspondence with stage one – establishing priorities. A reform process in an organization of many thousands of police employees creates some daunting decisions about where to begin and how to proceed in the complex task of building staff capacity in support of its objectives. The Commissioner's dilemma will be compounded by the sobering thought that he or she does not have a limitless budget. A clear framework is required to translate Policing Plan objectives into reality, whilst allowing for the constraints imposed by the budget, technical resources, the rate of institutional change and the primacy of operational police work.

The systematic approach to capacity-building described in the earlier chapters offers one possible framework for making these difficult decisions within the context of

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***Each police organization will have its own performance needs, resource problems and unique set of constraints.***

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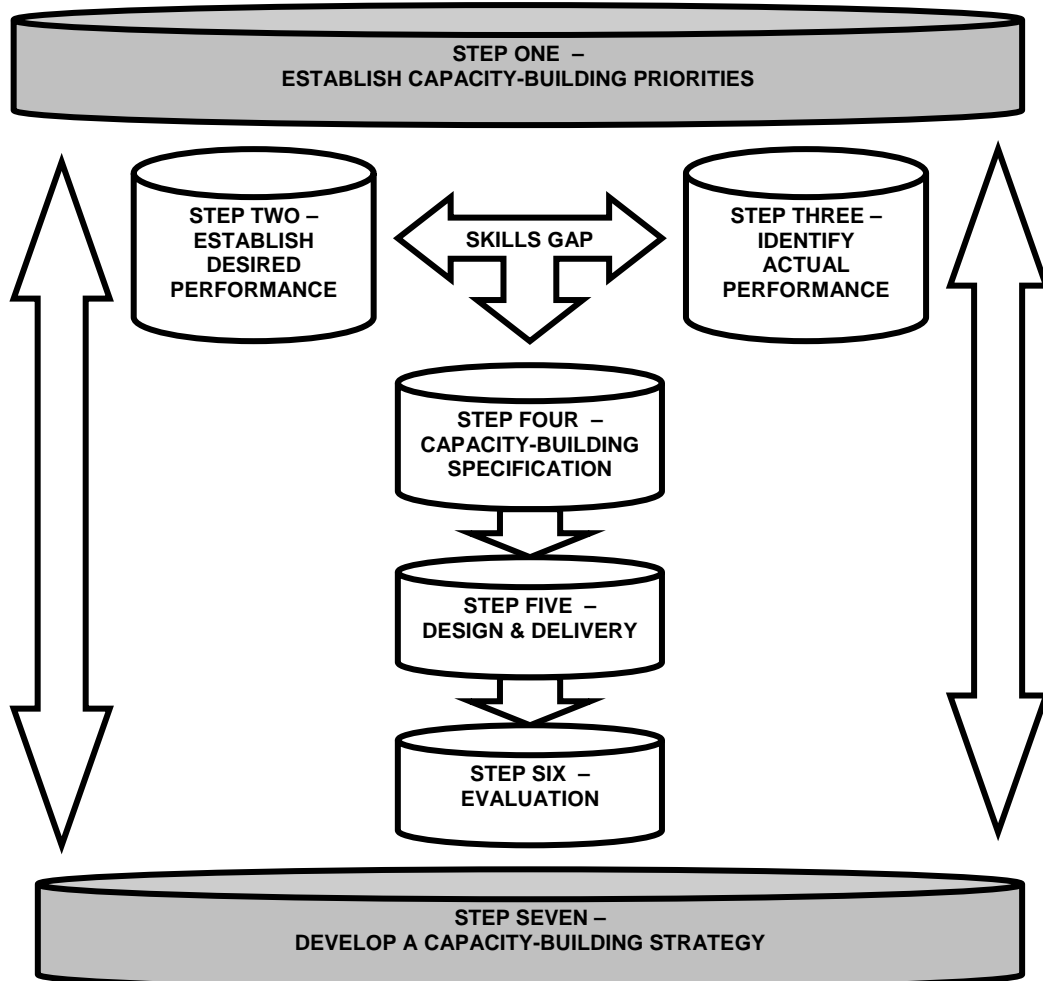
reform described in Chapter 1. The systematic approach begins with an identification of those areas of organizational need that the Commissioner considers to be of strategic importance under the Policing Plan. This task precedes any decision to invest in the later stages of the systematic approach (e.g. identification

of specific performance needs, creation of a capacity-building specification, design and delivery of programmes) because of the physical impossibility of tackling every objective in the first year or two years. Only when the priority areas are identified will the specialists set about the tasks of defining the desired performance levels, identifying the actual performance levels, and creating a capacity-building specification on the basis of the identified gaps between the actual the desired performance levels.

This effort will result in a catalogue of capacity-building programmes that compete for a place within a finite pool of resources, including facilities, budget, technical staff, instructors and limits placed on police staff abstractions from the workplace for capacity-building purposes. Such competing demands on finite resources require the development of a detailed strategy that compliments and extends the principles under Step 1 of the systematic approach. Each police organization will have its own performance needs, resource problems and unique set of constraints. Whilst the

content of each organization's strategy will be different, it is suggested that a strategy must be formulated in two primary documents: a capacity-building policy statement and related capacity-building plan. This chapter will explore the nature and scope of these documents.

**Figure 12.1: Correspondence between stages 1 and 7 in the systematic approach**



The key points of the chapter can be summarised as follows:

- Describe some of the features of a capacity-building policy document
- Describe some of the features of a capacity-building plan
- Identify key criteria for prioritising programmes within a capacity-building plan
- Identify key constraints that must influence the planning process
- Describe the more important issues in formulating a capacity-building budget and
- Describe the nature and role of an implementation schedule in a capacity-building plan.

## DEVELOPING A CAPACITY-BUILDING POLICY

In general terms a capacity-building policy is a statement that describes the nature and role of capacity-building in a police organization and is not the same as a capacity-building plan. A policy is a high-level statement of principles and guidance that avoids detail about target groups, performance needs and programmes. These are matters that are addressed in the plan itself. The capacity-building policy can vary in length, from a few paragraphs to a few pages depending on the needs of the organization. The purpose of the policy is to provide and publicise a framework to help police staff make decisions about capacity-building in a way that is consistent with organizational priorities. A policy should ensure that police managers execute capacity-building in a manner that complies with the general guidelines laid down at the most senior level. It also ensures that capacity-building measures are cost-effective, sustainable, relevant and appropriate.

For many police organizations that are undergoing reform, the process of discussing and agreeing where the organization is going will itself be a valuable management exercise. Traditional 'state-centric' models of policing neither encouraged nor necessitated such discussion. Whereas the introduction of the principles of

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***The purpose of the policy is to provide and publicise a framework to help police staff make decisions about capacity-building in a way that is consistent with organizational priorities.***

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congruence, accountability and community-centricity demand a dynamic and creative management team, one that is ready and capable of policy making in response to the shifting exigencies of the organization. As the debate moves from the general organizational priorities under the Policing Plan to the contribution expected from capacity-building, senior officers will strive to achieve a consensus about the role of capacity-building. This important debate

enables senior officers to challenge each other's views about capacity-building while defining the part they require it to play in support of the Policing Plan. This debate must be free and thorough. It is axiomatic that officers in the more junior ranks (the majority of officers) will feel more confident if the Commissioner and senior management team support the capacity-building they propose and provide the resources to make it happen.

In this way the initial discussion and debate that precedes the creation of the policy will help to establish the strategic role of capacity-building in support of the Policing Plan in the minds of senior officers, thereby ensuring their commitment to whatever activities subsequently flow from the policy. Such a policy should make it easier to decide what specific capacity-building programmes to undertake and how to execute them. This will obviate the need for senior officers to work from first principles every time a decision must be made with capacity-building implications. The alternative of quantifying all the costs and benefits of capacity-building initiatives on a case by case basis defeats the principle of efficiency and is likely to result in a more disjointed and less coherent provision of training and development.

A coherent capacity-building policy is more likely to propagate a common approach to capacity-building throughout the organization. It will challenge and guide key staff members who might otherwise be prone to a reactive approach, one that responds to short-term pressures and short-term priorities. A properly consistent approach throughout the organization is more likely to ensure that resources are used effectively and in line with Policing Plan priorities.

### **Elements of the policy**

A police organization should design a policy that reflects its own unique priorities, strengths and weaknesses. The structure of the document should include those elements listed in Chart 12.1.

**Statement of purpose** - A statement about the purpose of capacity-building will explain what senior officers hope to achieve through investing in capacity-building and communicate to the police ranks why they in turn need to invest time on capacity-building. The following are examples of what a purpose statement might look like:

- This capacity-building policy is intended to encourage each police officer and support staff member to develop himself/herself and achieve their full potential, consistent with the priorities and objectives of the organization.
- The purpose of capacity-building is to enable and encourage police officers to work to their full potential in support of the objectives under the Policing Plan.
- The purpose of capacity-building is to ensure that all police officers and support staff have the necessary knowledge, skills and character traits to do their jobs effectively now and in the future.

#### ***Chart 12.1: Elements of a capacity-building policy***

- statement about the purpose of capacity-building
- system of capacity-building (e.g. development of job profiles, performance gap analysis, capacity-building specifications, design and delivery and evaluation)
- general capacity-building priorities (e.g. recruits, police managers, specialist functions)
- capacity-building resources (e.g. budget, infrastructure, equipment, technical specialists and instructors)
- critical role of supervisors in capacity-building
- development of instructors and
- reviewing and amending the capacity-building policy.

Note that the statement should attempt to maintain the balance of interests between the police organization (employer) and individual officers and support staff (employee). Moreover, the statement of purpose should also illustrate how a capacity-building policy will shape and direct discussions between individual officers and their line supervisors about capacity-building. Police managers will know how to focus capacity-building narrowly on the workplace and workplace performance.

**Capacity-building system** - A comprehensive policy will often describe the capacity-building system as a whole and the processes by which it takes place and how those processes fit together. This includes the process of identifying capacity-building needs and the process of prioritising and planning the capacity-building. Capacity-building is provided to meet priority performance gaps. When every

performance gap has been identified, the capacity-building needs are compared and prioritised and the priority needs are incorporated into the capacity-building plan. Wherever possible, capacity-building is delivered in the workplace and line supervisors will be responsible for the performance level evaluation in respect of those they supervise. This description of the capacity-building system includes the following key points:

- a) Capacity-building is to be delivered only where a performance gap exists and not for other purposes.
- b) Where a performance gap exists a corresponding capacity-building specification will be drawn up that properly targets the gap.
- c) The organization will carefully assess and prioritise the performance needs of individuals and groups according to the overarching objectives of the Policing Plan.
- d) The organization will develop a capacity-building plan that ensures an effective strategy of delivering programmes within the limits of resources and in response to prioritised needs.
- e) Capacity-building will use the full range of delivery systems, with a strong emphasis on development in the workplace.
- f) Line supervisors and managers, as per their job profiles, will have a high degree of responsibility for the performance level evaluation of those they supervise.
- g) The Training and Development Department will maintain accurate and up-to-date capacity-building records.

**General capacity-building priorities** – A reforming organization will demonstrate a concern to create clear and obvious links between the priorities enunciated in its capacity-building policy and the priorities set forth in the Policing Plan. The former must clearly support and serve the latter. Of course the capacity-building policy will only specify these priorities in very general terms, leaving the finer detail to be elaborated in the capacity-building plan (see below). Capacity-building priorities, stated in very general terms, might include the following:

- Increase the capacity of first line supervisors and station commanders to manage police patrols in response to local community concerns
- Increase the capacity of police investigators to support Public Prosecutors in the task of resolving ethnically-motivated and politically-motivated crime
- Increase the capacity of all police officers to respect and comply with the principles of human rights and the applicable law
- Increase the capacity of police managers to effectively eliminate low-level corruption in the organization
- Increase the capacity of all police investigators to effectively gather evidence against those involved in organised crime.

These priorities refer to desirable outcomes or outputs under the Policing Plan. The policy might also target priorities that relate to more general aspirations in relation to staff development, including those listed in Chart 12.2.

<b>Chart 12.2 – Possible priorities within a capacity-building policy</b>	
<b>Priority</b>	<b>Description</b>
Developing professional employees	Professional employees represent a necessary key to the success of an organization in achieving its objectives and its capacity-building policy will reflect the importance that senior officers place on individual competence. The capacity-building policy should emphasise that the strength of the organization lies in the professional competence of all police employees and encourage staff to improve their knowledge and skills. Further, the policy ought to confirm the organization's support for staff development through a range of formal and informal capacity-building measures.
Developing police recruits	Recruits must be viewed as a priority group in a reforming organization – in so many ways they represent the future of the organization. Some transition states are faced with the difficult process of moving from a police high school model in which teenagers are prepared for work as police officers through a secondary education system, to a modern process of recruiting mature adults and providing them with a range of skills, knowledge and character traits that are specific to democratic policing. At the time of writing Serbia is undergoing this dramatic shift in preparing recruits. It is not an easy task and there are no 'off-the-shelf' solutions. A policy statement must fully explain such a dramatic change and the purpose behind it. It is crucial that existing officers are not left with a sense of being 'unqualified' and alienated or somehow superior to new recruits on the basis of a pervasive resistance to such a radical change. Likewise, the new recruits must not be simply thrown into a potentially hostile workforce, one that either does not understand or does not accept the new approach. Implementation plans should take cognizance of the potential threats and seek effective measures to ameliorate or remove them.
Developing newly promoted staff	Apart from the initial 'officer entry' education process, police staff were rarely provided with 'rank-specific' capacity-building at the time of promotion in many organizations. It was assumed that these officers would 'know what to do' after promotion, perhaps through simply having observed other officers at the relevant rank over a period of time. A reform process that seeks to establish a management team capable of delivering responsive and timely policing services must focus attention on capacity-building measures that target the needs of officers who enter higher ranks or specialist roles. Promoted staff should be identified for special attention because of the organization's desire to ensure that the officer is performing effectively in the new role as early as possible.
Developing police officers whose jobs have changed	Another group that might be identified for special attention in the policy are those officers whose jobs have either changed or have been rendered obsolete in a reform process (e.g. police drivers, clerks, administrative assistants). Such officers rarely welcome this change in their work expectations. At the earliest opportunity, the Commissioner should ensure that the changes are properly explained to the relevant officers, as well as the rationale behind such changes. A plan should be carefully prepared to ensure the change takes place as smoothly as possible and measures put in place to motivate these officers in their new roles.
Developing management and leadership skills	Managerial performance is a critical component in a police reform process. Police managers have such a large influence upon the success of the Policing Plan that organizations often give special attention to the needs of these officers in the capacity-building policy.
Strategic initiatives	Senior officers may place particular emphasis upon certain key priorities under the Policing Plan. For example, they may decide to work across the entire organization on the issue of respect for human rights and the rule of law, particularly as it relates to arrested and detained persons. The Commissioner and his senior staff may further decide to reinforce it for several years so that it becomes a natural part of every officer's behaviour. Due to its strategic significance, the capacity-building policy would need to refer explicitly to human rights to ensure that suitable programmes fully supported this organizational priority.



**Resources to support capacity-building** – A policy document must reinforce the organization's message about the role of capacity-building by stating, in broad terms, the resources to be committed. In a reforming organization the policy must make clear that the level of capacity-building envisaged by the Policing Plan will be backed up by adequate resources. As will be discussed later, the finer details about the nature and extent of the resources will usually be included in the capacity-building plan.

**Role of line supervisors** – Traditionally police organizations viewed the responsibility for capacity-building as pertaining only to the staff of the Police Academy and/or Training and Development Department. In this model, instructors have almost total responsibility for identifying performance needs, creating specifications, designing and implementing capacity-building programmes, planning, and evaluating. The rationale for this approach lies in the compartmentalisation of 'police education' as something delivered and controlled by a qualified elite who alone were able to 'educate' recruits and the officer corps. This attitude, still prevalent in many post-communist organizations, must be challenged in a policy document that envisages an organization populated by officers who fully embrace the principle of change through personal development.

An alternative approach is strongly implied by the systematic approach to police capacity-building described in this book. A system that seeks to develop very practical workplace skills will view both the classroom and the policing work environment as complimentary and necessary learning arenas. The capacity-building policy must make this development philosophy clear. Police supervisors and experienced peers will contribute in a number of important ways: identifying performance needs, workplace coaching, workplace mentoring and evaluating the successful transfer of policing skills into the workplace. This is not an alternative to classroom-based development but a necessary adjunct in a comprehensive approach to skills' development.

**Developing instructors** - The policy may prescribe the development that police instructors must receive, because of the special part instructors play in the success of the policy. The capability of instructors will be contingent upon how they are selected and then developed. A candidate should have gained a minimum of five years' policing experience before appointment as full-time or part-time police instructor. It is vital that they are officers who have displayed commitment to continuous personal development by taking steps to improve their own performance continuously and by gaining appropriate qualifications.

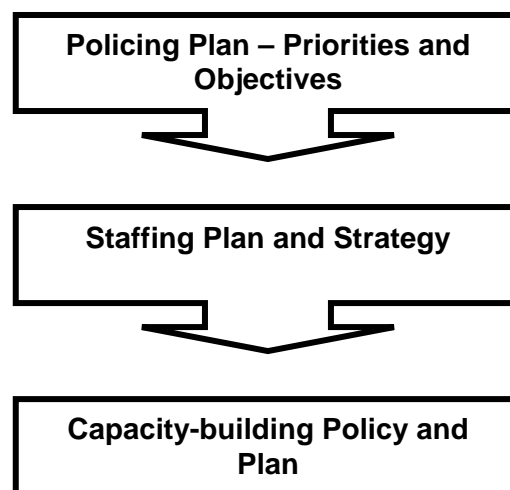
**Reviewing and amending the policy** - A capacity-building policy will need periodic review to ensure that it continues to provide the police organization with a framework for capacity-building that is relevant and consistent with the Policing Plan. The Training and Development Department should be responsible for ensuring that the policy is up to date and that capacity-building provision continuously supports the organization's objectives. This task of the Department ought to include an audit of the capacity-building policy every 12 or 24 months to obtain an accurate picture of the way it is being applied across the police organization. This work should result in a summary report to the Commissioner with recommendations for changing the policy as the needs of the organization change.

## DEVELOPING A CAPACITY-BUILDING PLAN

Previous chapters considered how the systematic approach to capacity-building should be used to generate individual programmes in response to specific performance needs. Just how senior police managers formulate an overall capacity-building strategy that directs and focuses the development effort through use of individual programmes and according to well-defined criteria, must now be addressed.

The first step is the creation of a policy document that establishes the police organization's capacity-building strategy over a defined period of not less than twelve months. This document defines the organization's general approach to training and development. Closely linked to the strategy paper is an annual (or greater period) capacity-building plan: a more detailed document that identifies the way in which the strategy is to be implemented over the period of the plan. The plan will take cognizance of the known organizational needs and corresponding programmes and seek to match these to the available budget and resources.

**Figure 12.2: Hierarchy of organizational policies**



As indicated in Figure 12.2, the capacity-building strategy paper and plan should form part of a clear hierarchy of organizational policies, strategies and plans in pursuit of the reform process. The higher policies and strategies will inform and guide the lower strategies and plans. A police organization is only as good as the staff it employs - the presence of expensive real estate and equipment will guarantee nothing, in terms of meeting public expectations of police performance. Only the right skills, knowledge and attitudes of police and support staff can ensure success in meeting the demands of the public the organization serves. Thus, the staffing strategy and plans are pivotal to the successful performance of the organization as a whole. Guided by the higher reform policies, the staffing strategy ought to consist of a series of value statements about the performance standards, expectations and rights of the staff. For example, they should refer to statements about performance management, performance standards, ethnic diversity, equal opportunities, grievance procedures, career support, training and development, and professional standards.

### Features of a capacity-building strategy

A capacity-building strategy paper should clearly enunciate the basic principles that guide and propel the capacity-building plan and related processes. Such principles are likely to include the central policies and philosophical approach of the

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***A capacity-building strategy paper should clearly enunciate the basic principles that guide and propel the capacity-building plan and related processes.***

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organization toward the role of capacity-building and the manner in which it is delivered (e.g. a pragmatic and competency-based system, a student-centred emphasis, seeking to enhance individual officer skills, continuous and lifelong learning). The paper ought to include key statements about the organization's values in the realm of training and development, as well as the roles and

responsibilities of the key players in the process of planning, designing and implementing the desired capacity-building. It should indicate, in general terms, the methods employed in the identification of police performance needs and their analysis and prioritisation. To ensure quality, the paper will refer briefly to the role of an evaluation strategy that will assess the effectiveness of capacity-building programmes.

It should be noted that, once established, the capacity-building strategy is unlikely to require radical change in subsequent years. It forms a major policy foundation of the organization and should only require an annual review and amendment in the light of the annual organizational strategy.

### Features of a capacity-building plan

An annual capacity-building plan is, in essence, a capacity-building implementation plan governed by the strategy and agreed by all the relevant stakeholders. The capacity-building plan should cover a period of not less than 12 months and, in a reform process ought to consider needs over a two to three year period. The parent organizational plan in a reform process will consider a two to three year period and it makes sense that the capacity-building plan, where needs can be identified, should mirror it. Moreover, it greatly assists in the prioritising process if a longer period of planning can be envisaged, as discussed earlier. As in the service industries of the private sector (e.g. airlines and hotel businesses) a police organization has people as its primary asset and their development must be considered over very long periods.

Capacity-building plans vary greatly from one organization to another. It is possible, however, to identify three generic components: a set of primary objectives, an implementation plan and a budget. Let's look at each of these in some detail.

**Primary objectives** - It is important that the plan clearly defines the primary and governing objectives for capacity-building over the relevant period. Reference should be made to the priorities under the Policing Plan and the various priorities that are propelling the capacity-building plan. Clear links should be drawn between the capacity-building plan and the Policing Plan that it seeks to realise and effect: capacity-building objectives will contribute to the successful implementation of organizational objectives in the reform process. This part of the plan will indicate major policy themes and capacity-building initiatives in the relevant period (e.g. introduction of a strategic command course, greater reliance on distance learning methodologies). If appropriate, reference should be made to performance standards, productivity, trends in organizational expenditure, abstraction rates caused by capacity-building, quality assurance measures and evaluation results.

**Training and development venues** - Depending on the size of the target audience and the required target dates, the question of venue(s) may be a cause for concern. Many police organizations are limited in the availability of internal facilities for capacity-building and the option of renting suitable sites can significantly increase the overall costs of the programme. Experience indicates that internal sites that are suggested as being suitable should be booked and checked well in advance of the event: too often the venues are already pre-booked or found to be unsuitable because of a lack of furniture or heating. Trainee officers tend to be unforgiving of what they perceive to be a poorly planned capacity-building event!

Careful thought should be given to the above factors and other potentially limiting factors when planning the event. Once the capacity-building implementation plan is complete, ensure that it comprehensively describes the exact requirements for the programme: allow time for a full round of consultation with all the stakeholders (the target group, their police managers, subject matter specialists). In this way you can ensure that the plan is correct and includes an input from all those involved in its success or failure.

**Target dates** - Based on a number of relevant factors, the projected target dates in respect of the implementation of the capacity-building programmes and achievement of the objectives must be decided. The relevant factors will include, *inter alia*, financial constraints, resource and other practical constraints, as well as the perceived urgency of the organizational need. Although rare, there may be occasions when there is an urgent need to deal with a significant performance gap: for example, training and development in a piece of legislation that will counter a new and menacing crime wave.

More frequently, the organizational need will not demand urgent attention and, in view of a response to a longer-term need, requires a graduated or phased implementation plan. Formal capacity-building programmes entail lengthy periods of abstraction from routine policing functions that are expensive and potentially disruptive to the provision of police services to the public. In view of this and the overriding principle that 'service delivery takes precedence', capacity-building implementation plans must seek to minimise the disruption to normal services.

### **Externally sourced capacity-building**

Of course hidden within each of the formal capacity-building options there is the further choice of developing it within the organization (i.e. using Training and Development Department resources) or procuring an external capacity-building specialist - the internally and externally sourced options. In the case of a classroom-based solution, the internal option will involve designing and developing a new capacity-building programme, whereas the external option might involve using a pre-designed programme that is purchased - from a supplier. The internal option is always limited by the capacity of the Department, in terms of available expertise and available resources in general. Other factors that influence the choice include the size of the target population, the exact type of competencies that must be acquired and the time-frame within which the capacity-building programme must be completed.

The internal solution can prove effective if the target population is large and the costs of the internal development and implementation of the programme are less than the recurring cost per participant/per programme of an externally sourced programme. In terms of competencies, the external solution tends to work best with generic competencies; whereas, the more work-specific competencies tend to be catered for

better through internal solutions. Where the capacity-building is required quickly, an external 'off-the-shelf' option tends to work better than internal solution that will often demand greater planning and longer lead-in times. However, as noted in Chapter 6, great care should be taken in preparing the specification for an externally-provided programme.

For many reform organizations the costs associated with externally-sourced programmes are prohibitive. Unless donor-funded, this option would be difficult to justify within the context of an overall budget that provides for relatively low police salaries. In any event, the whole thrust of the approach preferred in this book is the development of an internal capacity to design, develop and implement programmes that serve the organization's reform programme. This approach ensures a realistic and sustainable timetable for reform.

### **Evaluation strategy**

A comprehensive capacity-building strategy should include an evaluation strategy that seeks to verify achievement of the organization's priorities and establish the approach to be adopted, in terms of the criteria for selecting programmes for evaluation, the process of monitoring and feeding back results. All of this must be prefaced by a statement about the organization's support for evaluation and the contribution it can make to the effectiveness of capacity-building in the reform process. Finally, the plan must include a schedule of evaluation activity over the time period of the capacity-building plan and an evaluation budget. The existence of an evaluation strategy within the overall plan has the advantage of making evaluation a planned activity that is taken seriously as a critical component of capacity-building support to police reform.

## **ACTING ON CAPACITY-BUILDING PRIORITIES**

It is important that the practice of setting priorities is quickly established in order to identify those capacity-building programmes that should be included, as well as the optimum order in which they should be implemented. This process includes deciding

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***It is important that the practice of setting priorities is quickly established in order to identify those capacity-building programmes that should be included, as well as the optimum order in which they should be implemented.***

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which programmes/courses can be put on a waiting list and implemented if another (less important) course is cancelled or postponed. The process of setting priorities should be guided by the assembled data on performance needs, taking account of the key pieces of data that will assist the specialist in the decision-making process. The key pieces of data will include those details of the organizational need that the capacity-building programme is designed to meet and the financial, human and

infrastructure resources that will be required. Of course this data ought to be readily available in the capacity-building specification, as discussed above. If correctly documented, the specification will facilitate the prioritisation process.

The first task involves carefully comparing the available resources with the data on the programme requirements, then asking the logical questions about whether the financial or human resources that are available can match the demands of the programme specification. If there is a significant discrepancy between the requirement and the resources the specialist is faced with the decision to abandon the programme or to modify it, as necessary. Although it might be argued, in the

context of a reform organization that seeks to rely largely on internal capacity, any programme that is thoroughly researched and designed to tackle a specific organizational need ought to prevail over other organizational demands on a finite budget.

If not already in use, it is highly recommended that the police academy and/or Training and Development Department should adopt the use of Gantt charts (or similar devices) in order to allow a brief and accurate assessment of the availability or otherwise of accommodation and instructors. Such techniques greatly assist the scheduling of programmes in a way that maximises the use of limited resources.

### **Organizational impact**

The first principle in the task of prioritising is that of organizational impact. In other words, how great is the likely impact of the capacity-building programme on organizational performance? This question links to the nature and scale of the organizational need that the programme seeks to address. It may assist if you rate programmes and courses as low or medium or high importance, looking at criteria such as political factors, public safety, public concern and the degree of visibility of the root issues. For example, a performance gap analysis that follows an outbreak of ethnic violence might require public order training and development at the most senior level and this will have a very high priority in terms of public safety and public concern. Whereas, the introduction of a new generation of traffic motorcycles that requires specific training and development inputs for a group of 30 officers might obtain a lower priority rating, in terms of public safety and public concern.

### **Reaction time**

The next principle is that of reaction time: in other words, given the nature of the root cause, just how urgently is the programme required? The test of urgency lies in the judgement that there would be a negative impact on the police organization if the programme is delayed or cancelled: the degree of the negative impact is the measure of urgency.

Alternatively, where the timing of the capacity-building is linked to other organizational events that are mutually dependent or contingent, one could view the optimum time for the programme as a window with defined opening and closing points. The opening and closing points are dictated by the other events. For example, if new 'command and control' software is to be introduced into the Control (or Dispatch) Room(s) the closing point for the associated capacity-building is the date of installation and live testing. The opening point occurs no earlier than six months prior to the installation, otherwise the staff will lose the necessary skills and knowledge in the intervening period.

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***Whilst there is no absolute formula for ranking demands that outstrip available resources, those programmes identified as 'high impact' must take precedence over those ranked as 'medium impact' or 'low impact'***

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With these principles in mind, managers can commence the task of prioritising the competing demands on resources and formulate an annual capacity-building plan. Where there are two or more programmes that rate highly in terms of organizational impact, it will help to rigorously apply the principle of reaction time in order to prioritise one of them. Whilst there is no absolute formula for ranking demands that outstrip available resources, those programmes identified as 'high impact' must take precedence over those ranked as 'medium impact' or 'low impact' in a reform

process. Where there is an increasingly negative impact by deferring the lower impact cases in a limited budget, it is worth considering a two or three year programme, thereby allowing the relevant staff and organizational groups to retain a viable plan. A tentative agreement to meet a low impact need beyond twelve months is better than a complete refusal.

Of course it assists if the prioritising process is both transparent and collegial. In other words, the Training and Development Department should openly communicate the method of prioritising, so that all those affected understand the results. Equally, all the managers who might be considered as 'stakeholders' in the organizational needs and corresponding programmes should be consulted and involved in the prioritising process, if time and other constraints allow. There will be far greater ownership of the final outcome in terms of a priority list and coherent capacity-building plan if the process is transparent and collegial.

## CONSTRAINING FACTORS IN CAPACITY-BUILDING

As in every form of project, a police capacity-building plan will always encounter constraining factors that limit the development process and final programme outcomes. These are either imposed upon the specialist or agreed when the initial terms of reference are agreed. Later, during the selection and design stage, further negotiation and discussion is likely to take place and will invariably include constraints.

### Time constraints

Probably the greatest constraint is time in a world where most things are expected 'as soon as possible'. If capacity-building is seen as the right remedy for an organizational need, specialists will often be expected to react quickly in meeting that need. Once police managers have indicated how soon the programme has to be launched, consideration must be given to how much time there is to design the programme and to prepare the programme materials.

Time is most acute in the delicate balance between the limited availability of police staff for capacity-building and the length of time that is needed to achieve the learning objectives. All too often there is a waiting list of police personnel who require capacity-building prior to that point when the programme achieves its expected pattern of frequency. Specialists must then create deadlines for clearing the backlog of waiting staff. On occasion the constraints of time can be such that it is difficult or impossible to complete what is required and specialists are obliged to refer back to the relevant police managers to discuss which objectives must be omitted and thereby ensure that no unrealistic assumptions and expectations remain. The first victim in competency-based capacity-building will be skills assessment, the most time-consuming component: therefore, trainee officers will only 'state' how something is done rather than demonstrate that they can 'do it'.

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***Probably the greatest constraint is time in a world where most things are expected 'as soon as possible'.***

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### Venue constraints

Since police organizations vary in their allocation of dedicated training and development facilities, time constraints are often associated with the availability of accommodation, classrooms and other facilities. In some cases the police academy has limited surplus accommodation and pressure must be placed on regional

conference rooms and local briefing rooms. Consideration should be given to converting rooms that might formerly have been set aside for senior staff meetings and conferences into shared dedicated space: a reform process must involve a shift in priorities toward maximising capacity-building. In addition to considering the availability of accommodation and classrooms, the specialist must investigate whether sufficient furnishings, equipment and training and development aids are available. These factors are particularly relevant where capacity-building is being conducted in venues such as briefing and conference rooms, rather than rooms in the police academy.

Where the non-availability of training and development venues reduces the scope for residential programmes, the capacity-building specialist must adopt other tactics, such as self-study guides and, if practicable, computer based programmes.

### **Financial constraints**

Often an established police organization will have a capacity-building budget that is limited to the costs of maintaining one or more police academies to provide induction programmes and some specialist courses. Additional capacity-building courses that are driven by a reform process will require increased funding, because all programmes must be paid for either directly or indirectly. Financial considerations, therefore, are further constraints with which the specialist must contend. In practice this might require a new approach to the organization's method of managing the cost of capacity-building, one that does more than simply identifies a budget to maintain a police academy with limited productivity. A professional response will introduce a budget matrix that identifies capital expenditure on buildings and new equipment, as well as the cost of individual programmes in terms technical support staff and instructor salaries, accommodation, heating and light, transport, catering, and training and development materials.

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***Often an established police organization will have a capacity-building budget that is limited to the costs of maintaining one or more police academies to provide induction programmes and some specialist courses.***

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Capacity-building specialists know the importance of a sound administration and, given a professional budget framework, they can anticipate the kind of administrative support that is needed for managing capacity-building strategies. The process is best served by an Administration and Support Department within the Police Academy, rather than a more remote administration component in the relevant Ministry. Such a Department allows administration staff to liaise very closely with the capacity-building specialists and devise effective systems. A lack of adequate administrative support at this level can cause problems such as joining instructions being sent out late, pre-programme work not received by participating officers, and training and development materials not being printed. Where this support system exists it is important to confirm that the Administration and Support Department has the capacity to take on additional or different responsibilities when new programmes are introduced.

### **Target group constraints**

The term 'target group', refers in general to those officers and/or support staff who will receive capacity-building and close scrutiny must be made of the profile of the target group before decisions are made about capacity-building or any design work begins. The geographical distribution and number of staff who need development



must be considered, as well as the financial constraints that these factors create. Such considerations might result in a decision to take the capacity-building measure to the staff rather than bringing the police staff to the police academy or regional training and development centre.

It is vital that the capacity-building is pitched at the right level. This involves taking into account the particular abilities and aptitudes of the target group and avoiding the temptation of introducing an 'off-the-shelf' training and development package that is designed with either a very different target group in mind or makes the perilous assumption that there are universal capacity-building programmes that cater for every target group. Policing experience, age and background are inter-related factors that may affect the decision making and design processes. It may be the case that older officers prefer working from the concrete to the abstract and this may need to be reflected in the sequencing of events in a capacity-building session. In the same way, it would be foolish to design lessons that need to draw on experience when the relevant police staff have little or no relevant experience from which to draw.

## DEVELOPING A CAPACITY-BUILDING BUDGET

Senior police staff – particularly senior police officers – can and do feel a little uncomfortable when confronted with the task of preparing a budget and monitoring spending in a professional manner. Many organizations employ civilian specialists to deal with finances, for very sound reasons. However, a police manager in the Training and Development Department must still demonstrate a good level of understanding if he or she is to shape a capacity-building strategy and subsequent plan that meets the organization's needs.

Budget constraints are among the greatest cause of concern among many police organizations that are undergoing reform. There are many demands competing for a very finite sum of money in any police organization and, inevitably, capacity-building tends to be viewed as less important than infrastructure and equipment. Externally-

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***There are many demands competing for a very finite sum of money in any police organization and, inevitably, capacity-building tends to be viewed as less important than infrastructure and equipment.***

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sourced experts and consultants are beyond the average budget and, unless obtained through a donor-funded programme, remain prohibitively expensive. Too often the donor-funded programmes act as precarious appendages to an unreformed capacity-building infrastructure: they remain unsustainable because too little investment is made in the task of building capacity in the host's Training and Development Department and/or Police

Academy. Thus, in what follows there is an assumption that the advantage of having an identified and dedicated source of funding for capacity-building programmes is not lost through a failure to invest in the capacity-building specialists, managers and instructors that form the heart of a sustainable strategy. The organization must have a commitment to capacity-building and the most sustainable means of guaranteeing the provision of quality training and development.

A capacity-building plan must identify as clearly as possible the cost of the proposed programmes it contains. It is suggested that, in a reforming organization that sees capacity-building as pivotal in the reform process, the plan should be used in a draft form to bid for a desired budget, rather than tailor the plan to a predetermined

budget. This is an important policy issue for the Commissioner and Minister: if capacity-building is viewed as a critical factor in reform, then it must not be constrained by a predetermined budget based on a previous regime.

### **Infrastructure development**

The structure of the capacity-building budget must, where possible, take account of the significant costs of infrastructure and specialist staff capacity. In transition states, particularly those in a post-conflict period, these costs are often considerable. Often the training and development facilities and infrastructure have been deprived of a maintenance and improvement budget for many years, creating a major burden on a limited budget. Devising a strategy that might tackle the competing demands of a decaying infrastructure, specialist staff development needs and the ongoing process of meeting organizational needs, is a major challenge to senior managers.

Within an annual budget it is prudent to include a contingency fund that allows for unforeseen capacity-building needs and the possibility of increased costs of certain goods and services. Where this is not done, an important and unplanned need will necessarily displace other planned capacity-building needs and require a further prioritising process. In a reform setting it may assist to adopt a longer-term view of capacity-building costs and avoid a short-term fire-fighting approach that never properly tackles the major infrastructure and staff capacity costs. This will involve a detailed survey of the total cost of moving the training and development estate and its staff to an optimum level. The Training and Development Department can then develop a three to five year funding strategy that can be placed before the Commissioner and the Minister in a bid to win the extra funds required. The answer lies in a long-term budget plan that specifically targets the buildings, infrastructure and equipment of the training and development estate. This plan can form the basis of a detailed request for donor assistance, as part of the entire police reform process.

Likewise the annual budget structure for capacity-building in a reform setting should avoid the fixed percentage system: i.e. arguing on the basis of the agreed percentage for the previous year, reduced or increased on the basis of projected government revenue or shifts in policing policy. If capacity-building is to have a pivotal role, the budget bid must result from a detailed analysis of organizational needs, as well as infrastructure development needs.

### **Monitoring the budget**

It is important that the budget is shown to be properly monitored and controlled at regular intervals, on a quarterly basis. This ought to take the form of a simple comparison between the planned level of income and actual expenditure in delivering the programmes. This will allow managers to readily identify any marked variations between the allocated funds and the actual costs: any overspend that reaches 5 per cent above the budgeted allocation should create a cause for concern and further investigation should be made. Is it an external factor (e.g. an unforeseen increase in the cost of heating fuel or electricity) or an internal factor (poor management of equipment and consumables or procurement errors)? The external factors lie beyond the control of the Training and Development Department, whereas the latter will demand prompt and decisive action.

## **DEVELOPING AN IMPLEMENTATION SCHEDULE**

The main body of the capacity-building plan will be taken up with an implementation schedule, providing detail about how the needs will be met by programmes using a set of finite resources. Given the potential complexity of this task, it may assist if it is

tackled in two closely related phases: the creation of a calendar schedule and a resource schedule. The calendar schedule will indicate the schedule of dates and the

Chart 12.3: Extract from the KPSS Programme Schedule (2004)								
Section	Course	Course Hours	5-Jan	12-Jan	19-Jan	26-Jan	2-Feb	9-Feb
			2	3	4	5	6	7
Basic Tr.	Basic Training - Gen. 28 & 29	800		328	328	328	328	328
	SSO	80		35	35	32	32	
Advanced & Specialised Training	Basic Crime Inv. Course - CIC	160		25	25	25	25	
	Basic Crime Inv. Course - CIC	160				25	25	25
	Advanced CIC	120			25	25	25	
	Basic Drugs Investigation Course	80						25
	Border & Boundary Police I	80		25	25			
	Border & Boundary Police - CIVPOL	32				20		
	Border & Boundary Police II	40				25		
	Forensic - Crime Scene Tech.	240						
	Surveillance Course	40						24
	Rifle Course	80			20	20		
	Domestic Violence	40			16			
Traffic	Basic EVO	40						
	Basic Driver Theory - Learners	40	20	10	11	20	20	10
	Practical Driving - KPS Officers	40	20	8	18	12	13	11
	Traffic Accident Management & Investigation	160			20	20	20	20
	Miscellaneous						70	85
Mgt & Supv	1st Line Supervision	120		18	18	18		17
	Colonels Course	40						
	Mid-Management	320			22	22	22	22
Training Standards Section	Field Training Officers KPS (KPS-FTO)	80						
	Primary Field Training Officer (PFTO)	40						
	TL/TB/CM	32						
	Non-verbal Communication	40						
	Assessment Workshop	8						
	Human Rights Awareness - KPS	40		20			20	20
	Human Rights - Train the Trainers	0						
	Criminal Procedure Code - Train the Trainers	16		20	21	20		
	Workshop on Penal and Procedural Laws	16		20	21	20		20
	Trainer Development Course - KPS	120				20	20	20
KPS Tr. Division	Re-certification	24						
	Emergency Safety Officer Programme	80		21	21			
	MP5 Course	40						
	Motorcycling Course	520						

planned training and development days in respect of each programme. This is best achieved through use of a Gantt chart or similar planning chart. The resource schedule will indicate the necessary resources in respect of each programme (e.g. classrooms, accommodation, canteen facilities, learning materials, abstraction from

operational duty rates), and the implementation time-scales in respect of each programme (e.g. preparation of the capacity-building specification, design phase, piloting phase, delivery phase, and evaluation phase).

Most plans employ variations on the Gantt chart in these processes, since it offers an easy method of planning and monitoring training and development activities in a diagrammatic form that is both logical and easily understood. It is also versatile, lending itself to both large-scale and complex programmes and to single capacity-building events and allowing training and development activities to be measured against a number of parameters (calendar dates, classroom space, and instructors). The example provided in Chart 12.3 is an extract from the programme implementation plan for the Kosovo Police Service School and demonstrates one possible use of the Gantt chart in a capacity-building plan. As can be seen the chart indicates the programme title, duration, start and finish dates, and the number of trainee officers. More elaborate versions can include the classroom allocation and relevant instructors through use of symbols.

In the early planning stages it may help if the specialist uses a white board or similar system that enables the plan to be modified in a group session and with relative ease. Although many managers prefer to use MS Excel for final drafts of the planning chart, there are an increasing number of 'off the shelf' computer applications that make the initial draft and later modifications a simple and swift procedure (e.g. Project Kick Start and Microsoft Project [MSP]). Such applications also allow a number of programmes to be scheduled against a single set of resources, a task that is difficult and cumbersome on a whiteboard. In addition, these software programmes allow managers to monitor and amend the plan on a weekly/monthly basis, automatically adjusting the entire programme as changes are made.

The Gantt chart is a potent, versatile and necessary planning tool: it can be used to portray the planning of a programme from the initial identification of an organizational need to the final evaluation phase.

# Final Thoughts



## Final Thoughts

There are no 'quick fixes' in police reform. Organizational change is a complex and difficult process that relies upon a number of internal and external factors, some of which may lie outside the foresight of the best possible plan and the control of those who steer the enterprise. Time, effort and sufficient funds must fuel a coherent and realistic plan that is driven by a long-term commitment by the key actors if success is to be had. Reflecting on the recent efforts to reform police organizations in Kosovo, Macedonia and Serbia and Montenegro, Gordon Peake points to the need for patient commitment to a long-term process:

*'Police forces tend to be among the most visible symbols of the transition from conflict to peace, and are therefore almost always burdened with high expectations. It is hardly surprising that under-paid, under-equipped, under-trained and under-staffed forces almost always find such hopes difficult to fulfil. That these police forces may not live up to expectations is perhaps less a function of their own failings than a reflection of the multiplicity of demands placed upon them. Police reform is a difficult process, and success is far from guaranteed. Effectiveness of reform should be judged over the time frame of a decade or more.'*<sup>42</sup>

Although complete success cannot be guaranteed, there is significant scope to improve and enhance the strategies adopted by international organisations and the police organizations they seek to assist. This strategic effort must focus on the political will to support and drive the police reform programme, a coherent and realistic reform plan and a regime of constant evaluation and improvement of methodologies.

Without a determined political will to pursue a reform programme over a period of 5 – 10 years it will lack sufficient resources from the Government and commitment on the part of police officers at all ranks. That political will must be shared by all concerned: the Government, Minister of Interior, Police Commissioner and the international organisations and donor-states. Achieving this level of consensus and determination is largely contingent on a realistic and achievable reform plan, one that adopts a holistic view of the task of moving the police organisation from one state (actual performance) to another state (desired performance) over a period of time. Unless these key stakeholders are convinced by a plan that tackles both the institution-building components (i.e. changes in policy, legislation, organizational structure, staffing, and infrastructure) and the human capacity-building that must facilitate and give effect to the institutional changes, there will be no content for a common political will or clear basis for a determination to succeed.

As indicated in this book, there must be a clear method of assessing whether reform is proving effective over time. The Balkan region is sadly littered with failed ventures in capacity-building that sought reform outcomes and lacked the means of measuring success. This lack of proper planning has had a debilitating effect on the credibility of the donor-funded organizations and companies, as well as the aspirations of the

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<sup>42</sup> Peake, *ibid.*, 43

police organizations themselves. Only through an evaluation regime that produces accurate data about the desired outcomes of capacity-building in the workplace, linked to an ability to respond swiftly and strategically to apparent failures, can progress be measured and lessons learned by all concerned.

This book has sought to describe one possible model of police reform and the potential role of capacity-building. Recognising the need to develop a broad consensus, the suggested model is inspired and guided by the principles contained within the *European Code of Police Ethics* and the experience of international organisations in the Balkan region. These organisations are increasingly aware of the need to coordinate their efforts in the area of police reform<sup>43</sup> but lack a common strategy to help ensure that the investment of funds and human resources is used to best effect and avoids duplication of effort. Likewise there is a growing realisation that capacity-building alone cannot hope to achieve the complex task of reforming large police organisations, particularly through ‘stand-alone’ programmes that address specific issues and themes without considering the need for corresponding changes in the structure and staffing of the host organization. Sustainable change is entirely contingent upon a comprehensive plan that starts with priorities and objectives that are agreed by the Commissioner and the Government, and that address the necessary changes in structure and staffing.

Although success cannot be guaranteed at every step in the reform process described in this book, the possible price of failing to adopt a properly coordinated and sustainable strategy is well known to all involved. In the long-term, the considerable investment in capacity-building measures will fail to achieve permanent and durable changes in police performance unless they are accompanied by concomitant structural and organizational changes. Over time the lack of sustainability will be revealed through a number of key performance indicators:

- An increase in complaints against the police
- Loss of public trust and confidence in the police
- An increase in police corruption at all levels
- Reduced volume of police services to the public
- Reduced quality of services to the public
- Failure to meet public expectations of the police
- An increase in unresolved crimes
- An increase of fatalities and injuries among police officers
- An increase in damage and destruction of police equipment
- Insufficient use of expensive police equipment
- Job dissatisfaction where police officers feel inadequately prepared to do their job

These outcomes are not exaggerated. In many transition states the long-term risks are graver yet. As evidenced by the explosion of ethnic violence that marred Kosovo in March 2004, the post-conflict societies of the Balkans and other regions remain fragile and potentially unstable as they move forward along the often uncertain path toward economic and political stability. At the centre of a strategy to increase stability and ethnic tolerance there must be a vision of a police organisation that espouses democratic principles and has the trust of all communities. It is hoped that this book might assist in realizing that vision.

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<sup>43</sup> Bayley, *ibid.*, 43



# **Appendix A - Extract from the European Code of Police Ethics**



# Appendix A - Extract from the European Code of Police Ethics

## Recommendation (2001)10 of the Committee of Ministers to member states on the European Code of Police Ethics

### Definition of the scope of the code

This code applies to traditional public police forces or police services, or to other publicly authorised and/or controlled bodies with the primary objectives of maintaining law and order in civil society, and who are empowered by the state to use force and/or special powers for these purposes.

### I. Objectives of the police

1. The main purposes of the police in a democratic society governed by the rule of law are:
  - to maintain public tranquility and law and order in society;
  - to protect and respect the individual's fundamental rights and freedoms as enshrined, in particular, in the European Convention on Human Rights;
  - to prevent and combat crime;
  - to detect crime;
  - to provide assistance and service functions to the public.

### II. Legal basis of the police under the rule of law

2. The police are a public body which shall be established by law.
3. Police operations must always be conducted in accordance with the national law and international standards accepted by the country.
4. Legislation guiding the police shall be accessible to the public and sufficiently clear and precise, and, if need be, supported by clear regulations equally accessible to the public and clear.
5. Police personnel shall be subject to the same legislation as ordinary citizens, and exceptions may only be justified for reasons of the proper performance of police work in a democratic society.

### III. The police and the criminal justice system

6. There shall be a clear distinction between the role of the police and the prosecution, the judiciary and the correctional system; the police shall not have any controlling functions over these bodies.
7. The police must strictly respect the independence and the impartiality of judges; in particular, the police shall neither raise objections to legitimate judgments or judicial decisions, nor hinder their execution.

8. The police shall, as a general rule, have no judicial functions. Any delegation of judicial powers to the police shall be limited and in accordance with the law. It must always be possible to challenge any act, decision or omission affecting individual rights by the police before the judicial authorities.

9. There shall be functional and appropriate co-operation between the police and the public prosecution. In countries where the police are placed under the authority of the public prosecution or the investigating judge, the police shall receive clear instructions as to the priorities governing crime investigation policy and the progress of criminal investigation in individual cases. The police should keep the superior crime investigation authorities informed of the implementation of their instructions, in particular, the development of criminal cases should be reported regularly.

10. The police shall respect the role of defence lawyers in the criminal justice process and, whenever appropriate, assist in ensuring the right of access to legal assistance effective, in particular with regard to persons deprived of their liberty.

11. The police shall not take the role of prison staff, except in cases of emergency.

#### **IV. Organizational structures of the police**

##### ***A. General***

12. The police shall be organized with a view to earning public respect as professional upholders of the law and providers of services to the public.

13. The police, when performing police duties in civil society, shall be under the responsibility of civilian authorities.

14. The police and its personnel in uniform shall normally be easily recognizable.

15. The police shall enjoy sufficient operational independence from other state bodies in carrying out its given police tasks, for which it should be fully accountable.

16. Police personnel, at all levels, shall be personally responsible and accountable for their own actions or omissions or for orders to subordinates.

17. The police organization shall provide for a clear chain of command within the police. It should always be possible to determine which superior is ultimately responsible for the acts or omissions of police personnel.

18. The police shall be organized in a way that promotes good police/public relations and, where appropriate, effective co-operation with other agencies, local communities, non-governmental organizations and other representatives of the public, including ethnic minority groups.

19. Police organizations shall be ready to give objective information on their activities to the public, without disclosing confidential information. Professional guidelines for media contacts shall be established.

20. The police organization shall contain efficient measures to ensure the integrity and proper performance of police staff, in particular to guarantee respect for individuals' fundamental rights and freedoms as enshrined, notably, in the European Convention on Human Rights.

21. Effective measures to prevent and combat police corruption shall be established in the police organization at all levels.

***B. Qualifications, recruitment and retention of police personnel***

22. Police personnel, at any level of entry, shall be recruited on the basis of their personal qualifications and experience, which shall be appropriate for the objectives of the police.

23. Police personnel shall be able to demonstrate sound judgment, an open attitude, maturity, fairness, communication skills and, where appropriate, leadership and management skills. Moreover, they shall possess a good understanding of social, cultural and community issues.

24. Persons who have been convicted for serious crimes shall be disqualified from police work.

25. Recruitment procedures shall be based on objective and non-discriminatory grounds, following the necessary screening of candidates. In addition, the policy shall aim at recruiting men and women from various sections of society, including ethnic minority groups, with the overall objective of making police personnel reflect the society they serve.

***C. Training of Police Personnel***

26. Police training, which shall be based on the fundamental values of democracy, the rule of law and the protection of human rights, shall be developed in accordance with the objectives of the police.

27. General police training shall be as open as possible towards society.

28. General initial training should preferably be followed by in-service training at regular intervals, and specialist, management and leadership training, when it is required.

29. Practical training on the use of force and limits with regard to established human rights principles, notably the European Convention on Human Rights and its case law, shall be included in police training at all levels.

30. Police training shall take full account of the need to challenge and combat racism and xenophobia.

***D. Rights of police personnel***

31. Police staff shall as a rule enjoy the same civil and political rights as other citizens. Restrictions to these rights may only be made when they are necessary for the exercise of the functions of the police in a democratic society, in accordance with the law, and in conformity with the European Convention on Human Rights.

32. Police staff shall enjoy social and economic rights, as public servants, to the fullest extent possible. In particular, staff shall have the right to organize or to participate in representative organizations, to receive an appropriate remuneration and social security, and to be provided with special health and security measures, taking into account the particular character of police work.

33. Disciplinary measures brought against police staff shall be subject to review by an independent body or a court.

34. Public authorities shall support police personnel who are subject to ill-founded accusations concerning their duties.

## **V. Guidelines for police action/intervention**

### ***A. Guidelines for police action/intervention: general principles***

35. The police, and all police operations, must respect everyone's right to life.

36. The police shall not inflict, instigate or tolerate any act of torture or inhuman or degrading treatment or punishment under any circumstances.

37. The police may use force only when strictly necessary and only to the extent required to obtain a legitimate objective.

38. Police must always verify the lawfulness of their intended actions.

39. Police personnel shall carry out orders properly issued by their superiors, but they shall have a duty to refrain from carrying out orders which are clearly illegal and to report such orders, without fear of sanction.

40. The police shall carry out their tasks in a fair manner, guided, in particular, by the principles of impartiality and non-discrimination.

41. The police shall only interfere with individual's right to privacy when strictly necessary and only to obtain a legitimate objective.

42. The collection, storage, and use of personal data by the police shall be carried out in accordance with international data protection principles and, in particular, be limited to the extent necessary for the performance of lawful, legitimate and specific purposes.

43. The police, in carrying out their activities, shall always bear in mind everyone's fundamental rights, such as freedom of thought, conscience, religion, expression, peaceful assembly, movement and the peaceful enjoyment of possessions.

44. Police personnel shall act with integrity and respect towards the public and with particular consideration for the situation of individuals belonging to especially vulnerable groups.

45. Police personnel shall, during intervention, normally be in a position to give evidence of their police status and professional identity.

46. Police personnel shall oppose all forms of corruption within the police. They shall inform superiors and other appropriate bodies of corruption within the police.

### ***B. Guidelines for police action/intervention: specific situations***

#### ***1. Police investigation***

47. Police investigations shall, as a minimum, be based upon reasonable suspicion of an actual or possible offence or crime.

48. The police must follow the principles that everyone charged with a criminal offence shall be considered innocent until found guilty by a court, and that everyone

charged with a criminal offence has certain rights, in particular the right to be informed promptly of the accusation against him/her, and to prepare his/her defence either in person, or through legal assistance of his/her own choosing.

49. Police investigations shall be objective and fair. They shall be sensitive and adaptable to the special needs of persons, such as children, juveniles, women, minorities including ethnic minorities and vulnerable persons.

50. Guidelines for the proper conduct and integrity of police interviews shall be established, bearing in mind Article 48. They shall, in particular, provide for a fair interview during which those interviewed are made aware of the reasons for the interview as well as other relevant information. Systematic records of police interviews shall be kept.

51. The police shall be aware of the special needs of witnesses and shall be guided by rules for their protection and support during investigation, in particular where there is a risk of intimidation of witnesses.

52. Police shall provide the necessary support, assistance and information to victims of crime, without discrimination.

53. The police shall provide interpretation/translation where necessary throughout the police investigation.

## **2. Arrest/deprivation of liberty by the police**

54. Deprivation of liberty of persons shall be as limited as possible and conducted with regard to the dignity, vulnerability and personal needs of each detainee. A custody record shall be kept systematically for each detainee.

55. The police shall, to the extent possible according to domestic law, inform promptly persons deprived of their liberty of the reasons for the deprivation of their liberty and of any charge against them, and shall also without delay inform persons deprived of their liberty of the procedure applicable to their case.

56. The police shall provide for the safety, health, hygiene and appropriate nourishment of persons in the course of their custody. Police cells shall be of a reasonable size, have adequate lighting and ventilation and be equipped with suitable means of rest.

57. Persons deprived of their liberty by the police shall have the right to have the deprivation of their liberty notified to a third party of their choice, to have access to legal assistance and to have a medical examination by a doctor, whenever possible, of their choice.

58. The police shall, to the extent possible, separate persons deprived of their liberty under suspicion of having committed a criminal offence from those deprived of their liberty for other reasons. There shall normally be a separation between men and women as well as between adults and juveniles.

## **VI. Accountability and control of the police**

59. The police shall be accountable to the state, the citizens and their representatives. They shall be subject to efficient external control.

60. State control of the police shall be divided between the legislative, the executive and the judicial powers.

61. Public authorities shall ensure effective and impartial procedures for complaints against the police.

62. Accountability mechanisms, based on communication and mutual understanding between the public and the police, shall be promoted.

63. Codes of ethics of the police, based on the principles set out in the present recommendation, shall be developed in member states and overseen by appropriate bodies.

#### **VII. Research and international co-operation**

64. Member states shall promote and encourage research on the police, both by the police themselves and external institutions.

65. International co-operation on police ethics and human rights aspects of the police shall be supported.

66. The means of promoting the principles of the present recommendation and their implementation must be carefully scrutinized by the Council of Europe.



# **Appendix B - Patrol Officer's Job Profile (Basic)**



# Appendix B - Patrol Officer's Job Profile (Basic)

## LIST OF KEY SKILL AREAS

1. Ethical and Professional Standards
2. Communication Skills
3. Patrol Skills - Community Policing & Crime Prevention
4. Patrol Skills – Arresting and Searching
5. Patrol Skills – Dealing with Incidents & Disputes
6. Patrol Skills – Road Traffic
7. Investigation Skills – Law and Procedures
8. Investigation Skills – Forensics
9. Investigation Skills – Intelligence, Trafficking and Drugs
10. Operational Skills – Use of Force Principles
11. Operational Skills – Pursuing and Searching Vehicles
12. Operational Skills – Use of Firearms
13. Operational Skills – First Aid & Safety

## APPENDIX B - PATROL OFFICER'S JOB PROFILE (BASIC)

1. ETHICAL AND PROFESSIONAL STANDARDS
<b>Summary</b>
A KPS officer should be open and truthful in his/her dealings, discharging his/her duties with integrity impartiality, and never being improperly beholden to any person or institution. Moreover, a police officer takes pride in his/her work, presenting a positive image of the service by achieving high standards of punctuality, appropriate dress, physical fitness and personal hygiene.
<b>Desired Character Traits</b>
<ul style="list-style-type: none"><li>▪ Maintains impartiality/fairness regardless of ethnic group, race, language, gender, age, sexual orientation, marital status and disability</li><li>▪ Sensitive to the needs and feelings of others without compromising authority</li><li>▪ Approachable and supportive to colleagues and others</li><li>▪ Invests time to consult with others</li><li>▪ Tactful in discussion, sensitive in use of language and ethnic references</li><li>▪ Keeps his/her temper under control and is calm and confident under stress</li><li>▪ Looks at a situation from other person's point of view</li><li>▪ Keeps him/herself physically fit</li></ul>
<b>Verified Cognitive and Practical Skills</b>
<ul style="list-style-type: none"><li>• Knows and understands the functions of the police in a democratic society, as well as public perceptions of the police</li><li>• Can define the main principles of the organization of a police service and the principles of leadership</li><li>• Can identify some forms of police corruption, its causes, the harm caused by police corruption and the responsibility assumed by all law enforcement officers</li><li>• Knows and understands the rules of discipline and policies regarding standards of conduct</li><li>• Knows and understands the KPS policies regarding harassment, racism, sexism and ethnic bias</li><li>• Knows and understands the KPS Policies regarding the use of intoxicants or drugs</li><li>• Can explain the KPS policies under the Code of Ethics</li><li>• Has an understanding of the KPS policies regarding information security</li><li>• Can define the police Code of Ethics and the purpose of the Code</li><li>• Can identify the key points within the applicable law on human rights and their relevance to a KPS officer</li><li>• Can identify the fundamental human rights principles involved in police investigations</li><li>• Can define the term "Gender Equality" and the means by which the KPS officer can ensure gender equality within the police service</li><li>• Can outline the policies the KPS has in place to address the negative issues women face working in the police service</li></ul>
<b>Notes on performance criteria:</b> The character traits are assessed by the student's class instructor and, later, by his/her tutor officer on a four- point scale, from unsatisfactory to very good. The cognitive skills are assessed in a series of formal exams, each requiring a pass mark of 70%.

**APPENDIX B - PATROL OFFICER'S JOB PROFILE (BASIC)**

<b>2. COMMUNICATION SKILLS</b>
<b>Summary</b>
Listens attentively and creates a positive impact when communicating orally or in writing with colleagues and members of the public.
<b>Desired Character Traits</b>
<ul style="list-style-type: none"> <li>▪ Speaks clearly and concisely</li> <li>▪ An articulate, fluent and persuasive speaker and presenter</li> <li>▪ Adapts communication style to suit needs of audience</li> <li>▪ Listens attentively</li> <li>▪ Asks probing questions and seeks to clarify to ensure full understanding</li> <li>▪ Writes clearly, concisely and with a logical structure</li> <li>▪ Written reports summarise the relevant and important points</li> <li>▪ Uses correct grammar and spelling</li> </ul>
<b>Verified Cognitive and Practical Skills</b>
<ul style="list-style-type: none"> <li>• Can define the reasons for keeping notebook records, as well as rules and procedures for making entries</li> <li>• Can explain the basic elements of communication, including effective listening, questioning and the barriers to communication</li> <li>• Can explain how officers should effectively deal with verbal abuse</li> <li>• Can demonstrate the completion of an initial police crime report</li> <li>• Can identify the purpose of an interview, some attributes of a good interviewer and an effective interviewing process</li> <li>• Can outline some elements in planning, preparing, opening, conducting, concluding and evaluating an interview</li> <li>• Can state special considerations when interviewing a victim, as well as emotional and physical reactions victims may suffer after a critical event</li> <li>• Can demonstrate the ability to interview a witness and a suspect in a staged scenario, as well as make written records</li> </ul>
<b>Notes on performance criteria:</b> The character traits are assessed by the student's class instructor and, later, by his/her tutor officer on a four- point scale, from unsatisfactory to very good. The cognitive skills are assessed in a series of formal exams, each requiring a pass mark of 70%.

## APPENDIX B - PATROL OFFICER'S JOB PROFILE (BASIC)

3. PATROL SKILLS - COMMUNITY POLICING & CRIME PREVENTION
<b>Summary</b>
The following traits, tasks and activities have been identified as those which an officer needs to be capable of undertaking prior to embarking on independent patrol.
<b>Desired Character Traits</b>
<ul style="list-style-type: none"><li>▪ Interested in work and accepts unpleasant tasks without complaint</li><li>▪ Perseveres when faced with setbacks</li><li>▪ Keeps his/her professional knowledge up-to-date</li><li>▪ Volunteers for work and generates part of his/her own workload</li><li>▪ Requests work which extends his/her experience or offers new challenges</li><li>▪ Seeks to achieve the goals and targets set by supervisor(s)</li><li>▪ Monitoring progress in achieving personal targets</li><li>▪ Plans and organises his/her workload</li><li>▪ Strives to meet deadlines</li></ul>
<b>Verified Cognitive and Practical Skills</b>
<ul style="list-style-type: none"><li>• Can summarise the current crime situation in Kosovo according to statistical data</li><li>• Can list important patrol objectives, responsibilities, and sources of information within a given patrol area</li><li>• Can list some methods whereby patrol officers can prevent crime</li><li>• Can demonstrate effective use of a police radio and communication with the "control centre";</li><li>• Can demonstrate the ability to use a map and self-orient in varied terrain</li><li>• Can identify terms associated with human diversity, types of racism, methods of building trust and bridging cultural barriers</li><li>• Can state the main police responsibilities when working in a multi-ethnic society, as well as methods by which the police can improve relations between ethnic minorities and themselves</li><li>• Can identify key provisions in the agreed law on "hate crimes", as well as special investigative provisions in relation to such crime</li><li>• Can differentiate between "police force" and "police service", and define 'Community Policing'</li><li>• Can identify certain principles associated with Community Policing and the stages in a Problem-Solving Model for Community Policing</li><li>• Can define 'Crime Prevention', its benefits and key strategies</li></ul>
<b>Notes on performance criteria:</b> The character traits are assessed by the student's class instructor and, later, by his/her tutor officer on a four- point scale, from unsatisfactory to very good. The cognitive skills are assessed in a series of formal exams, each requiring a pass mark of 70%.

**APPENDIX B - PATROL OFFICER'S JOB PROFILE (BASIC)**

<b>4. PATROL SKILLS - ARRESTING AND SEARCHING</b>
<b>Summary</b>
The following tasks and activities have been identified as those which an officer needs to be capable of undertaking prior to embarking on independent patrol.
<b>Desired Character Traits</b>
<ul style="list-style-type: none"> <li>▪ Makes decisions that are devoid of personal bias in terms of race, ethnic group, language, gender, age, sexual orientation, marital status and disability</li> <li>▪ Gathers the relevant and necessary information</li> <li>▪ Checks for accuracy and validity of information</li> <li>▪ Quickly and accurately assimilates information</li> <li>▪ Applies knowledge and experience wisely</li> <li>▪ Seeks advice from others when and where appropriate</li> <li>▪ Remains rational and impartial under pressure</li> <li>▪ Comes to decisions within time constraints</li> <li>▪ Takes full responsibility for decisions</li> <li>▪ Revises and amends decisions in the light of subsequent information</li> <li>▪ Thinks through the consequences of his/her actions</li> <li>▪ Avoids anticipated problems through timely interventions</li> </ul>
<b>Verified Cognitive and Practical Skills</b>
<ul style="list-style-type: none"> <li>• Can define the powers of arrest under the Provisional Criminal Procedure Code of Kosovo</li> <li>• Can state the rights of arrested and detained persons under the applicable law</li> <li>• Can identify considerations when escorting or transporting arrested persons</li> <li>• Can define procedure for handcuffing as outlined in KPS Policy</li> <li>• Can identify the primary parts of the handcuff and demonstrate how each of these parts operates</li> <li>• Can demonstrate proper handcuff placement and methods of proper speed cuffing in the standing, kneeling and prone positions</li> <li>• Can demonstrate the proper procedures associated with executing a High Risk Arrest</li> <li>• Can demonstrate the placing and removal of handcuffs with a non-compliant prisoner</li> <li>• Can list some circumstances in which an officer can search a building without a warrant</li> <li>• Can identify some forms of communication and techniques used during building searches</li> <li>• Can describe the basic entry procedures and techniques when entering a building for a search</li> <li>• Can demonstrate the proper procedure and techniques for conducting a search of a building</li> <li>• Can define the legal basis for searching a person under the Procedure Code</li> </ul>
<b>Notes on performance criteria:</b> The character traits are assessed by the student's class instructor and, later, by his/her tutor officer on a four- point scale, from unsatisfactory to very good. The cognitive skills are assessed in a series of formal exams, each requiring a pass mark of 70%.

## APPENDIX B - PATROL OFFICER'S JOB PROFILE (BASIC)

5. PATROL SKILLS - DEALING WITH INCIDENTS & DISPUTES
<b>Summary</b>
The following tasks and activities have been identified as those which an officer needs to be capable of undertaking prior to embarking on independent patrol.
<b>Desired Character Traits</b>
<ul style="list-style-type: none"><li>▪ Makes decisions that are devoid of personal bias in terms of race, ethnic group, language, gender, age, sexual orientation, marital status and disability</li><li>▪ Gathers the relevant and necessary information</li><li>▪ Checks for accuracy and validity of information and personal experience</li><li>▪ Quickly and accurately assimilates information and applies knowledge and experience wisely</li><li>▪ Seeks advice from others when and where appropriate</li><li>▪ Remains rational and impartial under pressure</li><li>▪ Comes to decisions within time constraints and takes full responsibility for decisions</li><li>▪ Thinks through the consequences of his/her actions</li><li>▪ Avoids anticipated problems through timely interventions</li></ul>
<b>Verified Cognitive and Practical Skills</b>
<ul style="list-style-type: none"><li>• Can list some possible hazards and strategies involved in responding to an incident</li><li>• Can define the term 'observation' and techniques for improving perceptions, observations and physical stance when dealing with a suspect</li><li>• Can define basic terms, skills and techniques related to conflict management and dispute intervention and mediation, as well as factors that affect an officer's ability to handle crisis situations</li><li>• Can describe the basic provisions of the applicable law that relate to Domestic Violence, including Protection Orders and obligations on the police</li><li>• Can define the initial action and investigative procedures at the scene of a Domestic Violence offence, as well as the procedures for interviewing suspects, victims, and witnesses in Domestic Violence offences</li><li>• Can identify the primary police actions when dealing with violent or emotionally disturbed suspects, as well as when dealing with barricaded suspect/ hostage situations</li><li>• Can define the key terms associated with major incidents and the primary police duties during a major event</li><li>• Can describe the appropriate procedure when responding to a bomb threat and upon discovery of a suspected explosive device</li><li>• Can identify the key provisions of the applicable law in respect of public order offences, as well as the legal obligations of citizens to ensure public peace and order</li><li>• Can define the key terms associated with major incidents and the primary police duties during a major event</li><li>• Can identify key tasks when involved in a foot pursuit</li><li>• Can list procedures for handling a crowd or riot and dealing with civil disturbances</li><li>• Can demonstrate how to properly wear the helmet, and hold the baton and shield</li><li>• Can demonstrate knowledge of crowd control formations and state police survival skills to maximize personal safety</li></ul>
<b>Notes on performance criteria:</b> The character traits are assessed by the student's class instructor and, later, by his/her tutor officer on a four- point scale, from unsatisfactory to very good. The cognitive skills are assessed in a series of formal exams, each requiring a pass mark of 70%.



**APPENDIX B - PATROL OFFICER'S JOB PROFILE (BASIC)**

<b>6. PATROL SKILLS – ROAD TRAFFIC</b>
<b>Summary</b>
The following tasks and activities have been identified as those which an officer needs to be capable of undertaking prior to embarking on independent traffic patrol.
<b>Desired Character Traits</b>
<ul style="list-style-type: none"> <li>▪ Gathers the relevant and necessary information</li> <li>▪ Checks for accuracy and validity of information and personal experience</li> <li>▪ Quickly and accurately assimilates information</li> <li>▪ Applies knowledge and experience wisely</li> <li>▪ Seeks advice from others when and where appropriate</li> <li>▪ Remains rational and impartial under pressure</li> <li>▪ Comes to decisions within time constraints</li> <li>▪ Takes full responsibility for decisions</li> <li>▪ Thinks through the consequences of his/her actions</li> </ul>
<b>Verified Cognitive and Practical Skills</b>
<ul style="list-style-type: none"> <li>• Can identify reasons for police response to traffic accidents and essential information gathered during a traffic accident investigation</li> <li>• Can describe the initial police response at the scene of a fatal traffic accident and a 'Hit and Run' accident</li> <li>• Can define the basic factors that should be examined when trying to determine the possible causes of an accident, as well as the recording of data and evidence</li> <li>• Can demonstrate the basic hand signals, proper techniques for directing traffic at intersections with signals and proper use of a whistle when directing traffic</li> <li>• Can state police competencies and procedures in relation to minor traffic offences</li> <li>• Can differentiate between mandatory and non-mandatory traffic tickets</li> <li>• Can demonstrate use of the standard a Traffic Ticket Form and its completion</li> <li>• Can state the key provisions of the applicable law on the falsification of documents</li> <li>• Can list the main characteristics of the Serbia and Montenegro Passport, UNMIK travel document, UNMIK ID card and Serbia and Montenegro ID card</li> <li>• Can describe the investigative procedure for forged documents</li> <li>• Can list the minimum features of a Travel Document that can be checked</li> <li>• Can identify the main characteristics of a driver's licence, car registration document and the Vehicle Identification Number (VIN)</li> <li>• Can outline the procedure for pursuit of a suspect vehicle, as provided in KPS Policies</li> <li>• Can identify reasons to terminate a vehicle pursuit and define techniques that can be used to force a suspect vehicle to stop during a pursuit</li> <li>• Can demonstrate the proper technique for forcing suspect(s) from a vehicle after a vehicle pursuit</li> <li>• Can identify tasks to carry out when involved in a foot pursuit and the risk factors, considerations and techniques associated with vehicle stops.</li> </ul>
<b>Notes on performance criteria:</b> The character traits are assessed by the student's class instructor and, later, by his/her tutor officer on a four- point scale, from unsatisfactory to very good. The cognitive skills are assessed in a series of formal exams, each requiring a pass mark of 70%.

## APPENDIX B - PATROL OFFICER'S JOB PROFILE (BASIC)

7. BASIC INVESTIGATION SKILLS – LAW AND PROCEDURES
<b>Summary</b>
The following skills and abilities have been identified as those that an officer requires in order to engage in basic criminal investigations.
<b>Desired Character Traits</b>
<ul style="list-style-type: none"><li>▪ Gathers the relevant and necessary information</li><li>▪ Checks for accuracy and validity of information and personal experience</li><li>▪ Quickly and accurately assimilates information</li><li>▪ Applies knowledge and experience wisely</li><li>▪ Seeks advice from others when and where appropriate</li><li>▪ Remains rational and impartial under pressure</li><li>▪ Comes to decisions within time constraints</li><li>▪ Takes full responsibility for decisions</li><li>▪ Thinks through the consequences of his/her actions</li></ul>
<b>Verified Cognitive and Practical Skills</b>
<ul style="list-style-type: none"><li>• Can describe the basic characteristics of the criminal prosecution and investigation system of Kosovo, and identify its key legal documents, key players and the stages in the prosecution process</li><li>• Can explain the basic principles of criminal liability, the types of court, their competency, and the role of the Pre-Trial Judge, Prosecutor and the police in a criminal investigation and prosecution</li><li>• Can describe the provisions relating to searching persons and property, as well as those for seizing potential evidence</li><li>• Can define the main steps in the initiation and termination of a criminal investigation</li><li>• Can identify the requirements for crime reports in the applicable law and UNMIK procedures, as well as other guidance criteria</li><li>• Can identify some police considerations regarding the protection for victims</li><li>• Can identify the key elements of theft, theft with force, aggravated theft and robbery</li><li>• Can describe the types of robbery and the principles of investigating theft and robbery</li><li>• Can follow the correct procedure for investigating theft, theft with force, aggravated theft and robbery</li><li>• Can demonstrate investigation procedures through practical exercises</li><li>• Can demonstrate the investigation of an auto crime investigation, including witness interview, examination of the crime scene and writing a crime report</li></ul>
<b>Notes on performance criteria:</b> The character traits are assessed by the student's class instructor and, later, by his/her tutor officer on a four- point scale, from unsatisfactory to very good. The cognitive skills are assessed in a series of formal exams, each requiring a pass mark of 70%.

**APPENDIX B - PATROL OFFICER'S JOB PROFILE (BASIC)**

<b>8. BASIC INVESTIGATION SKILLS - FORENSICS</b>
<b>Summary</b>
The following tasks and activities have been identified as those that an officer requires in order to engage in the forensic aspects of criminal investigations at a basic level.
<b>Desired Character Traits</b>
<ul style="list-style-type: none"> <li>▪ Gathers the relevant and necessary information</li> <li>▪ Checks for accuracy and validity of information and personal experience</li> <li>▪ Quickly and accurately assimilates information</li> <li>▪ Applies knowledge and experience wisely</li> <li>▪ Seeks advice from others when and where appropriate</li> <li>▪ Remains rational and impartial under pressure</li> <li>▪ Comes to decisions within time constraints</li> <li>▪ Takes full responsibility for decisions</li> <li>▪ Thinks through the consequences of his/her actions</li> </ul>
<b>Verified Cognitive and Practical Skills</b>
<ul style="list-style-type: none"> <li>• Can identify the procedure for the initial response at a crime scene, including the safety of officers and the public, provision of medical attention to injured persons, protection of the crime scene</li> <li>• Can describe the procedure for defining and controlling the boundaries of a crime scene, as well as providing a detailed crime scene briefing to the investigator(s) in charge of the scene</li> <li>• Can demonstrate the correct procedure for crime scene management</li> <li>• Can define the term "evidence", "chain of custody" and some items of information required to be included on an evidence label or tag</li> <li>• Can explain the importance of and collection procedures for blood and semen residues, as well as samples of human hair, fibres, glass, paint, flammable fluids, tool marks, ballistics and other firearms evidence</li> <li>• Can summarise the legal provisions in respect of the collection of body samples from witnesses and suspects</li> <li>• Can define the basic patterns found in fingerprints and the term, "latent fingerprint"</li> <li>• Can demonstrate the procedure for taking finger and palm impressions</li> <li>• Can describe some categories of footwear evidence, and the means by which footwear prints can be documented, lifted, and preserved</li> <li>• Can describe some methods whereby tyre impressions can be documented, lifted, and preserved</li> <li>• Can describe the initial action and investigative procedures at the scene of a suspected rape or sexual assault</li> <li>• Can identify the procedures for accompanying a sex offence victim to the hospital and while at the hospital</li> <li>• Can describe the general procedures for interviewing suspects, victims, and witnesses in sexual offences</li> </ul>
<b>Notes on performance criteria:</b> The character traits are assessed by the student's class instructor and, later, by his/her tutor officer on a four- point scale, from unsatisfactory to very good. The cognitive skills are assessed in a series of formal exams, each requiring a pass mark of 70%.

## APPENDIX B - PATROL OFFICER'S JOB PROFILE (BASIC)

9. INVESTIGATION SKILLS – INTELLIGENCE, TRAFFICKING & DRUGS
<b>Summary</b>
The following tasks and activities have been identified as those that an officer requires in relation to intelligence gathering, anti-trafficking and drugs' investigation at a basic level, prior to independent patrol.
<b>Desired Character Traits</b>
<ul style="list-style-type: none"><li>▪ Gathers the relevant and necessary information</li><li>▪ Checks for accuracy and validity of information</li><li>▪ Quickly and accurately assimilates information</li><li>▪ Applies knowledge and experience wisely</li><li>▪ Seeks advice from others when and where appropriate</li><li>▪ Remains rational and impartial under pressure</li><li>▪ Comes to decisions within time constraints</li><li>▪ Takes full responsibility for decisions</li><li>▪ Thinks through the consequences of his/her actions</li></ul>
<b>Verified Cognitive and Practical Skills</b>
<ul style="list-style-type: none"><li>• Can define the term "criminal intelligence", "informant", some targets of intelligence gathering, intelligence gathering principles, sources of legal criminal intelligence</li><li>• Can state the main benefits, limitations and dangers for the police in making use of informants and criminal intelligence</li><li>• Can describe the methods and skills employed by police to recruit, develop and control informants</li><li>• Can define the main elements of the offences of human trafficking under the Provisional Criminal Code of Kosovo</li><li>• Can explain the phases of the trafficking process, the methods that can be used to secure trafficking evidence and the procedures for dealing with trafficking victims</li><li>• Can state the basic provisions of the applicable law in relation to the unlawful use, sale and distribution of drugs in Kosovo</li><li>• Can identify the key categories, characteristics and names of misused drugs, as well as their effect on the human body</li><li>• Can define the legal provisions and procedures for searching persons and property for prohibited drugs</li><li>• Can demonstrate the conduct of a lawful search of a person and a building for drugs</li></ul>
<b>Notes on performance criteria:</b> The character traits are assessed by the student's class instructor and, later, by his/her tutor officer on a four- point scale, from unsatisfactory to very good. The cognitive skills are assessed in a series of formal exams, each requiring a pass mark of 70%.

**APPENDIX B - PATROL OFFICER'S JOB PROFILE (BASIC)**

<b>10. OPERATIONAL SKILLS - USE OF FORCE PRINCIPLES</b>
<b>Summary</b>
The following skills and abilities have been identified as among those a KPS officer requires prior to embarking on independent patrol.
<b>Desired Character Traits</b>
<ul style="list-style-type: none"> <li>▪ Gathers the relevant and necessary information</li> <li>▪ Checks for accuracy and validity of information</li> <li>▪ Quickly and accurately assimilates information</li> <li>▪ Applies knowledge and experience wisely</li> <li>▪ Seeks advice from others when and where appropriate</li> <li>▪ Remains rational and impartial under pressure</li> <li>▪ Comes to decisions within time constraints</li> <li>▪ Takes full responsibility for decisions</li> <li>▪ Thinks through the consequences of his/her actions</li> </ul>
<b>Verified Cognitive and Practical Skills</b>
<ul style="list-style-type: none"> <li>• Can define the term 'stress', its causes and effects, the basic elements of managing stress, and the meaning of positive and negative stress</li> <li>• Can define the term "force", as provided by the Regulation on the KPS and the circumstances wherein an officer is authorised to use force</li> <li>• Can cite some factors that have an impact on the type of resistance an officer may encounter</li> <li>• Can identify the levels of resistance a police officer may face and the types of response or resistance an officer may use</li> <li>• Can identify the Tactical Principles, the basic survival skills, and the different levels of awareness along the States of Awareness Continuum</li> <li>• Can define "soft empty hand control techniques" and the level of subject resistance to which these techniques apply</li> <li>• Can demonstrate an understanding of controlling potentially aggressive subjects from the Escort Position by applying the Transport Wrist Lock and the Straight Arm Take Down</li> <li>• Can demonstrate the basic concepts of Balance and Positioning</li> <li>• Can define the Hard Empty Hand Control method and explain the level of the subject's resistance</li> <li>• Can state and demonstrate an understanding of the fluid shock wave principle</li> <li>• Can list and indicate the human anatomy relating to the primary, secondary, and last resort target areas for striking techniques</li> <li>• Can list and demonstrate the basic defensive block manoeuvres, escape techniques, the primary defensive hand counter strikes and the primary leg counter strikes</li> <li>• Can identify the key considerations when encountering suspects and define the term, "officer survival" and some fatal errors that may kill a police officer</li> <li>• Can list the primary responsibilities for both the "primary" and "support" units when responding to a crime in progress, as well as tactical considerations when responding to a crime in progress</li> <li>• Can list the ways officers can reduce personal danger during ambushes</li> </ul>
<b>Notes on performance criteria:</b> The character traits are assessed by the student's class instructor and, later, by his/her tutor officer on a four- point scale, from unsatisfactory to very good. The cognitive skills are assessed in a series of formal exams, each requiring a pass mark of 70%.

## APPENDIX B - PATROL OFFICER'S JOB PROFILE (BASIC)

11. OPERATIONAL SKILLS – PURSUING & SEARCHING VEHICLES
<b>Summary</b>
The following skills and abilities have been identified as those that an officer requires in order to safely engage in vehicle pursuits and searches, prior to independent patrol.
<b>Desired Character Traits</b>
<ul style="list-style-type: none"><li>▪ Carefully considers and avoids actions that might result in injury to him/herself or others</li><li>▪ Takes full responsibility for decisions</li><li>▪ Thinks through the consequences of his/her actions</li><li>▪ Gathers the relevant and necessary information</li><li>▪ Checks for accuracy and validity of information, regardless of the source</li><li>▪ Quickly and accurately assimilates information</li><li>▪ Applies knowledge and experience wisely</li><li>▪ Seeks advice from others when and where appropriate</li><li>▪ Remains rational, calm and impartial under pressure</li><li>▪ Comes to decisions within time constraints</li></ul>
<b>Verified Cognitive and Practical Skills</b>
<ul style="list-style-type: none"><li>• Can demonstrate how to remove a non-compliant suspect from a vehicle</li><li>• Can state the proper distance that should be maintained between the patrol vehicle and suspect vehicle during a standard stop</li><li>• Can demonstrate the proper position for the patrol vehicle, Contact officer and Cover officer during a High Risk stop</li><li>• Can demonstrate the proper procedure for suspect extractions by both the Contact and Cover officer</li><li>• Can demonstrate the role of Cover/Contact officer in searching a suspect vehicle</li><li>• Can identify considerations for preparing for a vehicle search, areas of a vehicle to be searched, and the proper procedure for searching luggage, boxes and containers found inside vehicles</li><li>• Can demonstrate the proper procedure for searching items belonging to children, dealing with dogs, and searching motorcycles</li><li>• Can identify points of comparison between vehicle registration numbers on documents with numbers found on/in vehicles</li><li>• Can outline the procedure for pursuit of a suspect vehicle, as provided in KPS Policies and Procedures, including key reasons to terminate a vehicle pursuit</li><li>• Can define important techniques that can be used to force a suspect vehicle to stop during a pursuit</li><li>• Can demonstrate the proper technique for forcing suspect(s) from a vehicle after a vehicle pursuit</li></ul>
<b>Notes on performance criteria:</b> The character traits are assessed by the student's class instructor and, later, by his/her tutor officer on a four- point scale, from unsatisfactory to very good. The cognitive skills are assessed in a series of formal exams, each requiring a pass mark of 70%.

**APPENDIX B - PATROL OFFICER'S JOB PROFILE (BASIC)**

<b>12. OPERATIONAL SKILLS - USE OF BATONS &amp; PEPPER SPRAY</b>
<b>Summary</b>
The following skills and abilities have been identified as those that an officer requires in order to safely use the extendable baton and pepper spray, prior to independent patrol.
<b>Desired Character Traits</b>
<ul style="list-style-type: none"> <li>▪ Carefully considers and avoids actions that might result in injury to him/herself or others</li> <li>▪ Takes full responsibility for decisions</li> <li>▪ Thinks through the consequences of his/her actions</li> <li>▪ Gathers the relevant and necessary information</li> <li>▪ Checks for accuracy and validity of information, regardless of the source</li> <li>▪ Quickly and accurately assimilates information</li> <li>▪ Applies knowledge and experience wisely</li> <li>▪ Seeks advice from others when and where appropriate</li> <li>▪ Remains rational, calm and impartial under pressure</li> <li>▪ Comes to decisions within time constraints</li> </ul>
<b>Verified Cognitive and Practical Skills</b>
<ul style="list-style-type: none"> <li>• Can identify the component parts of the extendable baton and maintenance</li> <li>• Can identify the target zones on the body and the strike areas of the baton, as well as the 40/10 theory and the 90% rule</li> <li>• Can demonstrate how to open the baton, the interview and combat stance, closed mode strikes, the components which must be in place when a baton strike is delivered</li> <li>• Can demonstrate baton retention techniques, how to close the baton correctly and the ability to take a subject to the ground with the baton</li> <li>• Can define where the use of pepper spray lies in conflict resolution theory</li> <li>• Can identify target areas for pepper spray</li> <li>• Can demonstrate some practical deployment techniques for the most effective use of pepper spray</li> <li>• Can describe the effects and viability of the pepper spray</li> <li>• Can demonstrate decontamination measures for pepper spray, as well as physical control and arrest techniques on a person exposed to the spray</li> <li>• Can define the medical implications of pepper spray exposure in a person, including excited delirium and positional asphyxia</li> <li>• Has undergone mild exposure to pepper spray and has a practical understanding of the effects and the decontamination procedure</li> </ul>
<b>Notes on performance criteria:</b> The character traits are assessed by the student's class instructor and, later, by his/her tutor officer on a four-point scale, from unsatisfactory to very good. The cognitive skills are assessed in a series of formal exams, each requiring a pass mark of 70%.

## APPENDIX B - PATROL OFFICER'S JOB PROFILE (BASIC)

13. OPERATIONAL SKILLS - USE OF FIREARMS
<b>Summary</b>
The following skills and abilities have been identified as those that an officer requires prior to being initially authorised to carry a firearm.
<b>Desired Character Traits</b>
<ul style="list-style-type: none"><li>▪ Demonstrates a good knowledge of the use of force laws</li><li>▪ Uses communication skills effectively</li><li>▪ Demonstrates the ability to make decisions under pressure</li><li>▪ Handles the weapon safely and correctly at all times</li><li>▪ Carefully considers and avoids actions that might result in injury to him/herself or others</li><li>▪ Takes full responsibility for decisions</li><li>▪ Thinks through the consequences of his/her actions</li><li>▪ Gathers the relevant and necessary information</li><li>▪ Checks for accuracy and validity of information, regardless of the source</li><li>▪ Quickly and accurately assimilates information</li><li>▪ Applies knowledge and experience wisely</li><li>▪ Seeks advice from others when and where appropriate</li><li>▪ Remains rational, calm and impartial under pressure</li><li>▪ Comes to decisions within time constraints</li></ul>
<b>Verified Cognitive and Practical Skills</b>
<ul style="list-style-type: none"><li>• Can demonstrate the ability to release an offender's grip on an un-holstered firearm and the ability to defend against an offender's attempt to grab a holstered firearm</li><li>• Can state the Cardinal Rules of Firearms Safety and the limitations of police handguns</li><li>• Can demonstrate proper placement of equipment on the utility belt and identify the KPS firearm and its component parts</li><li>• Can demonstrate assembly of the Glock 19, its functioning, and its safe handling</li><li>• Can demonstrate the fundamentals of marksmanship through dry fire practice and "draw stroke"</li><li>• Can define the levels of force and that the ultimate use of force is the firearm</li><li>• Can demonstrate appropriate force in a given situation</li><li>• Can demonstrate loading and unloading, tactical and emergency reloading, high and low kneeling positions and malfunction clearance procedures using the Glock handgun</li><li>• Can demonstrate basic shooting skills and accuracy in standing position at assigned distances</li><li>• Can demonstrate the ability to fire the weapon from the low ready, holstered and standing position</li><li>• Can demonstrate firearms skills and accuracy in aimed standing positions at assigned distances, with timed and non-timed loading and firing drills</li></ul>
<b>Notes on performance criteria:</b> The character traits are assessed by the student's class instructor and, later, by his/her tutor officer on a four- point scale, from unsatisfactory to very good. The cognitive skills are assessed in a series of formal exams, each requiring a pass mark of 70%.



**APPENDIX B - PATROL OFFICER'S JOB PROFILE (BASIC)**

<b>13. OPERATIONAL SKILLS - USE OF FIREARMS (CONT)</b>
<b>Summary</b>
The following skills and abilities have been identified as those that an officer requires prior to being initially authorised to carry a firearm.
<b>Desired Character Traits</b>
<ul style="list-style-type: none"> <li>▪ Demonstrates a good knowledge and understanding of the use of force laws</li> <li>▪ Uses communication skills effectively</li> <li>▪ Demonstrates the ability to make decisions under pressure</li> <li>▪ Handles the weapon safely and correctly at all times</li> <li>▪ Carefully considers and avoids actions that might result in injury to him/herself or others</li> <li>▪ Takes full responsibility for decisions</li> <li>▪ Thinks through the consequences of his/her actions</li> <li>▪ Gathers the relevant and necessary information</li> <li>▪ Checks for accuracy and validity of information, regardless of the source</li> <li>▪ Quickly and accurately assimilates information</li> <li>▪ Applies knowledge and experience wisely</li> <li>▪ Seeks advice from others when and where appropriate</li> <li>▪ Remains rational, calm and impartial under pressure</li> <li>▪ Comes to decisions within time constraints</li> </ul>
<b>Verified Cognitive and Practical Skills</b>
<ul style="list-style-type: none"> <li>• Can demonstrate the physical skills required to deal with simulated scenarios</li> <li>• Can demonstrate good communication skills and operational skills relating to the scenarios</li> <li>• Can identify techniques for low-light situations, flashlight techniques, the importance of using Ballistic Cover and can demonstrate the correct techniques for shooting from the dominant and non-dominant sides of Ballistic Cover</li> <li>• Can state the procedures for engaging multiple targets</li> <li>• Can state the reasons and limitations of weapon maintenance</li> <li>• Can demonstrate the ability to strip and assemble the weapon for cleaning and basic maintenance</li> <li>• Can demonstrate the physical and judgmental decision skills required to deal with simulated scenarios</li> <li>• Can demonstrate the ability to deal with a simulated scenario that requires weapon discharge</li> <li>• Can demonstrate the ability to deal with a simulated scenario that does not require weapon discharge</li> <li>• Can demonstrate firearms skills and accuracy in aimed standing positions at assigned distances, loading and firing times, with scoring inside the 8 -ring only</li> <li>• Can demonstrate marksmanship proficiency by achieving a score of 80% on the evaluation course</li> </ul>
<b>Notes on performance criteria:</b> The character traits are assessed by the student's class instructor and, later, by his/her tutor officer on a four- point scale, from unsatisfactory to very good. The cognitive skills are assessed in a series of formal exams, each requiring a pass mark of 70%.

## APPENDIX B - PATROL OFFICER'S JOB PROFILE (BASIC)

14. OPERATIONAL SKILLS - FIRST AID & SAFETY
<b>Summary</b>
The following skills and abilities have been identified as those that an officer requires in relation to First Aid and mine awareness, prior to independent patrol.
<b>Desired Character Traits</b>
<ul style="list-style-type: none"><li>▪ Carefully considers and avoids actions that might result in injury to him/herself or others</li><li>▪ Takes full responsibility for decisions</li><li>▪ Thinks through the consequences of his/her actions</li><li>▪ Gathers the relevant and necessary information</li><li>▪ Checks for accuracy and validity of information, regardless of the source</li><li>▪ Quickly and accurately assimilates information</li><li>▪ Applies knowledge and experience wisely</li><li>▪ Seeks advice from others when and where appropriate</li><li>▪ Remains rational, calm and impartial under pressure</li><li>▪ Comes to decisions within time constraints</li></ul>
<b>Verified Cognitive and Practical Skills</b>
<ul style="list-style-type: none"><li>• Can identify the key elements of officer safety at emergency situations</li><li>• Can identify the main responsibilities of the police in relation to first aid</li><li>• Can define the initial survey procedure at an emergency scene</li><li>• Can demonstrate the proper procedure for rescue breathing, cardiopulmonary resuscitation (CPR), and the proper procedure for the choking victim (abdominal thrusts)</li><li>• Can describe the procedure for assessing a victim's complete state, the procedure for stopping bleeding, and the procedure for treating shock</li><li>• Can demonstrate the procedure for applying dressings to various parts of the body</li><li>• Can demonstrate the procedures for treating bone, joint and muscle injuries</li><li>• Can list the signs and symptoms for at least three (3) medical emergencies and their correct treatment</li><li>• Can demonstrate some methods for moving victims</li><li>• Can list the three (3) elements, or sides, of the Survival Triangle</li><li>• Can define the important messages or themes in relation to mine awareness safety</li><li>• Can state the primary types of mines and the characteristics and effects of each</li><li>• Can describe the characteristics of Unexploded Ordinance (UXO) and Booby Traps</li><li>• Can demonstrate an ability to recognise areas that are likely to be mined, and identify "clues" that indicate the presence of mines</li><li>• Can outline KPS procedures in safe and unsafe areas in relation to mines</li><li>• Can identify the means by which KPS officers can protect themselves and others from mine-related harm</li></ul>
<b>Notes on performance criteria:</b> The character traits are assessed by the student's class instructor and, later, by his/her tutor officer on a four- point scale, from unsatisfactory to very good. The cognitive skills are assessed in a series of formal exams, each requiring a pass mark of 70%.

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# Index

---

## A

accountability · 15, 16, 17, 18, 19, 20, 23, 24, 25, 39, 68, 112, 114, 149, 213  
Accountability · 17, 24, 239, 240  
Analysis · 123, 259  
Assessment · 91, 92, 109, 188, 189, 190, 227, 259  
Assessment centre · 109

---

## B

Belgrade · 17  
Bloom, B.S · 124, 259  
Budget · 225

---

## C

Capacity-building · 10, 34, 36, 41, 50, 51, 52, 53, 56, 67, 69, 77, 121, 122, 129, 142, 156, 159, 187, 196, 214, 215, 219, 224  
Capacity-building plan · 219  
Capacity-building priorities · 215  
Capacity-building specialist · 67, 142, 156, 224  
Capacity-building specification · 159  
Career development · 44  
Character trait objectives · 125  
Classification question · 166  
Coaching · 141, 259  
Cognitive activities · 128  
Commissioner · 20, 23, 24, 26, 28, 36, 37, 38, 54, 56, 60, 65, 66, 67, 68, 76, 77, 99, 106, 109, 111, 113, 114, 211, 213, 216, 217, 226  
Committee of Ministers · 8, 15, 235, 259  
Community-centricity · 17, 21, 207  
Congruence · 17, 19, 20, 21, 69  
Contact groups · 107  
Corrupt · 22  
Council of Europe · 15, 20, 240  
Crime · 84, 227, 243, 246  
Criminal Procedure Code · 127, 183, 184, 185, 227, 247  
Critical incident analysis · 87  
Critical incident interview · 104  
Curriculum · 260

---

## D

Demonstration · 146  
Differential type questions · 167

---

## E

Education · 2, 50, 51, 157, 176, 259, 261  
Effectiveness · 160  
Ethical · 21, 84, 243  
Ethnic diversity · 70  
European · 5, 8, 9, 15, 16, 20, 23, 52, 66, 112, 121, 233, 235, 236, 237, 259  
European Code of Police Ethics (ECPE) · 9, 15  
Evaluation · 4, 5, 59, 60, 123, 153, 155, 157, 158, 159, 160, 163, 177, 178, 193, 202, 203, 221, 259, 260  
Evaluation methods · 60  
Examining Magistrate · 121

---

## F

Facilitation · 59, 150  
First Aid · 45, 85, 134, 243, 258  
Focus groups · 105  
Forensic · 227  
Functional audit · 38

---

## G

Gantt chart · 222, 227, 228  
Georgia · 37

---

## I

ICITAP · 9  
Instructor skills · 149  
International Crisis Group · 112, 113  
Investigating Judge · 121

---

## J

Job profile · 4, 82

---

## K

Kabul · 121  
Kolb · 139, 260  
Kosovo · 2, 19, 22, 37, 58, 84, 89, 112, 121, 128, 140, 183, 228, 246, 247, 250, 252, 260, 261  
Kosovo Police Service · 19, 84, 128, 140, 228  
Kosovo Police Service School · 19, 228

---

**L**

Law · 18, 84, 243, 260, 261  
 Learning objectives · 122, 145  
 Lecture · 145  
 Legislation · 235  
 Lickert-type questions · 166, 167  
 Log questionnaire · 101

---

**M**

Management · 45, 113, 227, 259, 260  
 Management and leadership · 45  
 Mentoring · 142  
 Merit-based · 21  
 Ministry of Interior · 8, 20, 36, 38, 107, 112  
 Mission · 2, 8, 33, 259, 260  
 Monitoring · 24, 226, 246

---

**N**

New York · 17, 124, 141, 147, 259, 260, 261  
 North America · 61

---

**O**

Objectives · 4, 27, 50, 67, 68, 124, 235, 259, 260  
 Observation · 5, 99, 107, 108, 169, 183, 188, 189, 197  
 Ombudsperson · 111, 113  
 Operational independence · 19  
 Organisation · 8, 82, 98, 106, 111  
 Organisation for Security and Cooperation in Europe · 8

---

**P**

Patrol officer · 5  
 Pay and conditions · 43  
 Performance appraisal · 44  
 Performance conditions · 128  
 Performance criteria · 84, 91  
 Performance gap · 159  
 Performance indicators · 65, 69, 70, 206, 207  
 Performance level evaluation · 59, 200  
 Performance management system · 4, 71  
 Performance standards · 130, 186  
 Personnel Department · 39, 41, 77, 85, 92, 94, 104, 118, 119, 131  
 Personnel procedures · 43  
 Police · 2, 4, 5, 8, 9, 13, 15, 19, 20, 21, 22, 24, 33, 39, 40, 41, 45, 52, 58, 68, 69, 74, 75, 76, 82, 84, 106, 111, 112, 113, 119, 128, 140, 142, 148, 168, 180, 184, 187, 188, 189, 190, 199, 214, 216, 217, 224, 225, 227, 228, 233, 235, 236, 237, 238, 239, 259, 260, 261  
 Police instructor · 148, 180  
 Police manager · 214, 216  
 Police officers · 19, 21, 119, 168, 187, 190  
 Police performance · 68

Policing plan · 4  
 Policy · 89, 247  
 Priorities · 26, 27  
 Probationer Performance Review · 89  
 Procedures · 84, 90, 243, 253, 254  
 Proxima · 8  
 Public · 39, 89, 184, 238, 240, 260, 261  
 Public opinion surveys · 39

---

**Q**

Qualifications · 237  
 Qualitative measurement · 163  
 Questionnaire · 202, 203

---

**R**

Reaction level evaluation · 5, 176, 181  
 Recertification · 45  
 Recruitment · 42, 237  
 Reform · 22, 29, 33, 58, 68, 85, 259, 260  
 Reform plan · 29  
 Reliability · 171  
 Resources · 26, 217  
 Results level evaluation · 5, 60  
 Role-play · 109, 146

---

**S**

Self-assessment · 102  
 Serbia and Montenegro · 33, 37, 69, 112, 249, 259  
 Skill-based objectives · 125  
 Skills · 82, 84, 85, 123, 132, 188, 189, 243, 244, 245, 246, 247, 248, 249, 250, 251, 252, 253, 254, 255, 256, 257, 258  
 Skinner, B. F. · 147, 261  
 Specialist · 112, 113, 187  
 Staff · 4, 41, 43, 68, 74, 75, 104  
 Staff appraisal · 104  
 Staff appraisal interviews · 104  
 Staff planning · 4, 41, 68, 74  
 Staff-attitude survey · 43  
 Staffing · 42  
 Structural change · 36  
 Structure · 84  
 Succession planning · 4, 68, 75, 76  
 Surveillance · 227

---

**T**

Techniques · 261  
 Tests · 110  
 Training · 5, 6, 9, 38, 39, 40, 130, 138, 157, 160, 175, 177, 181, 186, 193, 215, 217, 220, 222, 223, 225, 226, 227, 237, 259, 260  
 Training and development · 5, 138, 220, 222, 223  
 Training and Development Department · 215, 217, 225, 226  
 Training level evaluation · 5, 181  
 Transition states · 52

Transparency · 19, 70, 89  
Tutorial · 147

---

***U***

United Kingdom · 112, 121  
United Nations · 112, 113, 261

---

***V***

Validity · 5  
Values · 127

---

***Y***

Yugoslavia · 16, 52