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Policing performance management systems: Identifying key design elements within a `new` public management context

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Policing Performance Management Systems: Identifying key design elements within a 'New' Public Management context

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Key words: Governance, Performance management, Performance Appraisal, HRM, Knowledge Management, Performance Management System, Policing, New Public Management, Design elements

ABSTRACT

The new public management (NPM) philosophy and move towards a governance approach places emphasis on the accountability of individuals, supervisors and managers relative to practice, processes and designated outcome – conformance and performance. A dichotomy is highlighted working within the NPM environment where managers need to practice creative and innovative freedoms, and at the same time to exercise constraint and compliance within a regulated and permission seeking framework. This situation can create inertia in respect to performance reforms within the public service. Police Services in Australia, and in particular the Western Australia Police (WAPOL) have made some inroads into providing a foundation for a performance management (PM) approach. However, despite two decades performance management system (PMS) design, relevancy and application within the WA environment is not attuned to the internal and external requirements. This misalignment has led to limited, understanding and successful application amongst policing frontline manager.

This study aimed to identify key PM elements that can inform the design of a strategically and contextual appropriate policing PMS that can be applied within broad, and Western Australia policing environments operating within the new public management (NPM) context. The study is significant in that it delves into organisational and specific operating environments within policing and NPM contexts and provides an insight to the PMS design principles and elements through interpretation of both academic research and more prescriptive sources. It also explores the association between new public management (NPM) and governance influences on police operating environments, organisational design and performance culture. The study responds to the original brief from the WA police commissioner resulting from the outcomes of the Kennedy Royal Commission into police management systems and corruption. The scope of the study is limited so whilst the identified PMS design framework will not fit all policing jurisdictions, it is anticipated that it will inform more effective and efficient design of policing PMSs.

The core study objective is supported by a qualitative research methodology using structured group interviews and content analysis. Data was collected in two study stages. The first stage, done as part of a prerequisite Business Research Methods Business unit, used open-ended questions to explore broad themes to identify and rank elements that impact on PMS design and assisted to inform the Second Stage approach. The second stage was undertaken more as a descriptive study and aimed to provide deeper insights into key PMS themes and issues that would inform policing PMS design. Whilst the first and second stage approaches varied, the findings from both stages provided data triangulation (through differing data and approach comparison) and other sources contributing to the findings. Both stages consisted of policing frontline managers (including police support staff) and supervisors purposely selected because of their operating environment experience and exposure to PM application.

The resultant research findings are intended to advance the reader's understanding of both the applicable prescription for good design literature and the broader debate on PMS and effective policing within the constraints of a New Public Management environment. The study achieves this through 1 – directly addressing the brief from an internal WAPOL reform project resulting in from varied broad WAPOL District/Division environments a design road map and recommendations to inform future performance management systems design within the WAPOL. And 2 – building on this brief to focus and to provide broader conceptual insights into the field of performance management in policing.

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1. INTRODUCTION

Research indicates that the new public management (NPM) ethos places emphasis on the accountability of individuals, supervisors and managers relative to practices, processes and outcomes within the public sector, and specifically policing (Hoque, Arends & Alexander, 2004; Radnor & McGuire, 2004; Newburn, 2003). There is also a shift taking place within the public sector—moving from the NPM reforms approach to a corporate governance focus (Barrett, 2004). The governance approach is a push to more citizen-centric governance frameworks and partnership structures with a focus on outcomes and accountabilities relating to the delivery of public value services (Hartley, 2005). Further, accountability is viewed as the essential component within democratic policing governance that focuses on individual and organisational activities (Jones, 2003) through internal and external conforming and performing. Whilst the shift towards the governance approach is underway, NPM influence still remains (Barrett, 2004). In this research NPM and governance are viewed together based on accountabilities for conforming and performing, and the need to provide public valued services through a PM approach.

The NPM ethos is concerned with management rationalisation and the public sector transition from being a rules driven to a results driven environment (Cope, Leishman & Starie, 1997; Wright, 2002). The thrust of the NPM approach has had a significant impact on policing jurisdictions globally, especially in the UK and New Zealand. NPM has been labelled as the era of a ‘new policing order’ in which policing organisations operating within this sphere have obligations and accountability to meet government desired outcomes (Cope et al., 1997). Accountability is described as “being the central component of democratic governance of policing” (Jones, 2003, p. 605). This has resulted in significant reform within policing (Hoque et al., 2004; Vickers & Kouzmin, 2001) and wider public sector (Bradley & Parker, 2006) through the realignment of strategy, structure and systems to meet these changes and NPM requirements. At times these requirements conflict with other competing demands and create tensions within the environment (Long, 2003; Newburn, 2003).

The NPM philosophy is also poorly understood within policing, especially the relationship between government accountability, organisational outcomes, planning and performance reporting. It also highlights the dichotomy faced by managers seeking to practice creative and entrepreneurial freedoms, whilst at the same time exercising constraint and compliance with resources within a permission-seeking, accountable framework (Hoque et al., 2004). This aspect provides insight into the inertia and apparent contradictions of systems reform, and indicator to the cultural factors inherent in systems intended to support the efficient and effective management of performance within Australian policing organisations. However, to embrace a performance management system (PMS) approach within the NPM context, employees and line managers need to understand the importance of employee motivation with organisational outcomes (Boice & Kleiner, 1997; Kramer, 1998; Nankervis & Leece, 1997; Mclean, 1994) and how that translates to frontline officers. This research aims to identify the elements of a PMS that would support this translation of human performance and motivation into organisational outcomes within a NPM public sector and policing governance context.

1.1 Background to the Research

The WA State Government had allocated a budget of \$660 million to the Western Australia Police (WAPOL) for the 2004/2005 fiscal year representing a significant investment in return for meeting government desired outcomes and WAPOL key performance indicators (KPIs). As well as meeting these obligations, the WAPOL is currently undertaking significant reform on the platform of the Kennedy Royal Commission recommendations and *Frontline First Philosophy* (refer to Section 2.1.2.2). In meeting the outcomes of government, and extant of the reform program, the WAPOL needs the ability to garner organisational commitment and effort through a strategically aligned PMS that meets both internal and external systems and accountability requirements. This means gaining insight as to the impact of PMS elements within the organisation's operating environment that sustains the effort of 6078 people (refer to Section 2.3.1.3).

1.1.1 Early Attempts at PM within the Western Australia Police

The WAPOL first introduced performance management (PM) into the Agency in the 1980s¹. In fact the systems were inconsistent with a PM oriented (linked to both individual and organisational performance) approach and were more performance appraisal (PA) oriented (more individual performance based and limited organisational linkage). This was typical of Australian overall public sector approaches to PM at the time of Federal and State industrial reforms to generate the Australian economy and enhance employee performance Niland (1989, cited in McCallum, 1998). Over that time new systems have been introduced that have been used by both police officers and police support staff. However, the systems focused on different and separate aspects of PM approaches such as probation periods, promotion, discipline, pay increments, and reward² rather than a coherent or integrated system. These approaches tended to emphasise appraisal in operational areas using ad hoc approaches with no performance rater training, and were inconsistent with organisational strategy or measurable outcomes. The ad hoc nature of these approaches was compounded by the absence of a documented overall coherent and integrated PM policy. During the 1980s and 1990s, when a number of these PMSs were introduced, the WAPOL had no integrated strategic management processes established and limited strategic planning. Appreciable inroads in providing a foundation for a performance-orientated environment and establishing the language of performance at all levels of management have been made. However, despite a journey of two decades beyond the use of relevant terminology, effective PM practices and understanding throughout the organisation remains limited. The existing PM approach does not adequately support agency outcomes identified in the Strategic Plan and allied documentation and policies.

1.1.2 PMS Developments within the WAPOL 2001-2005

Whilst the term 'performance' commonly implies personal assessment/appraisal it has wider implications in terms of individual, team and business area efforts in the achievement of business and corporate strategic outcomes. The WAPOL recognised these implications in the development and adoption of the 2001-2006

¹ This information was sourced from Police Records and the experiences of the researcher.

² Information sourced from the WAP Strategic Planning Unit scoping research into WAP Performance systems.

Strategic Plan—the need for a PM approach (linked to organisational performance and reporting on outcomes) to ensure the progression and achievement of business and corporate objectives was essential.

In doing so, the organisational PM approach *Developing People for Success* (DPS) was launched in November 2002 to achieve this outcome. However, the approach was poorly understood (Bogan and Hicks, 2002; Kennedy, 2004), and resistance to PMS related change appears to remain more vigorous than anticipated by senior management. To date DPS whilst having some positive design and application attributes appears to have limited success in getting line managers to engage PM effectively based on a clear understanding of the link between employee motivation and organisational outcomes (De Waal, 2004; Furnham, 2004; Weatherly, 2004; O'Neill, 2003; Grote, 2000, Reinhart, 2000; Nankervis & Leece, 1997; Boice et al., 1997; Mullins, 1996; Winstanley, 1996; Mclean, 1994; Bevan & Thompson, 1991). The process has inconsistencies and limited application within the current environment. There are varied interpreted and established approaches across the organisation that have influenced employee dissatisfaction. Whilst the process espouses a PM based philosophy, it appears to focus on an informal non-committal individual process rather than a combined cultural/systems approach and framework. In 2004 the WAPOL PMS was identified by the *Royal Commission into Corrupt Activities of the WAPOL* as having poor traction and accountability (Hastings—Counsel Assisting Kennedy Royal Commission, personal communication, 2004) recommended changes to the current system. This situation anticipated and supported in an earlier reform document produced by independent consultants Bogan et al. (2002, p.53) who identified traction as being the basic weakness where no “clear accountabilities and timelines” exist, and recommended change within the WAPOL. Should this condition be allowed to perpetuate management will fail to build on the current foundation and the opportunity for PM claims to be fully realised will be lost.

The challenge facing the WAPOL is the design of a strategically aligned operating environment PM system (PMS) that is flexible and adaptable for all performance levels. This will enable the WAPOL to meet changes in corporate direction and specific operating environments within the NPM requirements, but only using a

single approach rather than the plethora of approaches that currently exist. The imperative to progress an exploratory study of the WAPOL organisation in synthesis with the literature—PM theory and prescriptive—is to identify a strategy that will support the acceptance and use of a cohesive approach to PM throughout the organisation, particularly within the District/Division contexts. In this context it will be possible to gauge impacts on operational performance thereby becoming a barometer for broader organisational performance. However, to alleviate the tensions between organisational and operational priorities and outcomes, a PM approach must also balance the resources being invested in a PMS with the resources being diverted from the “production of ‘frontline’ services” (Radnor et al., 2004, p. 245).

This realisation will enable the WAPOL to identify a better PM approach that can be balanced against its new frontline strategies and administration requirements. WAPOL senior management in consultation with the researcher and administrative support areas decided to retain the current Developing People for Success (DPS) in its present form and await the outcomes of this research to determine a more appropriate PM approach.

1.2 Research Problem

The problem addressed in this research is:

What are the key design elements of an effective performance management system within the Western Australia Police (WAPOL) context, and how do these inform the broader improvement in performance management within other policing jurisdictions operating within the New Public Management (NPM) context?

The thesis argues that policing environments are dissimilar to private and some public sector environments, and require a different PM approach because of the NPM influence.

1.2.1 Use of Literature in the Study: Tier 1—Conceptual & Tier 2—Prescriptive

The first tier of the research was further refined through the First Stage and primarily focused on the relevant literature fields and the philosophical and

theoretical concepts, and frameworks underpinning NPM, performance appraisal (PA) and PM. In particular, the tier focused on the impacts of NPM and performance management requirements on the public sector with a specific focus on the policing environment. Whilst the relationship between NPM, PA and PM and policing is the main conceptual focus of the study, the allied areas of practice in Strategic Human Resource Management (SHRM) change, and knowledge management were also considered where relevant to the design and application of an effective PMS, however, are not the focus of the research.

The second tier of the study focused on the practical or prescriptive requirement to identify elements to inform the design of an effective PMS for the WAPOL. This tier will focus on organisational and operational environmental variables, and the identification of key PMS elements through both literature sources and analysis that may assist in the tailoring of a PMS for the policing environment. The relationship between the two tiers is shown in the conceptual framework for the study in Section 2.6 and Figure 4.

1.2.2. Role of the Researcher

The researcher is a former commissioned officer of the WAPOL and has a unique operational knowledge of the organisation having been involved in a range of functions and operations for the WAPOL over some 31 years, and currently a senior police adviser within the Pacific Region. This approach as both an external researcher and of a career police officer can be usefully combined with perspectives of “embedded organisational knowledge” gained from exposure to a series of strategic policing projects external to the theory. It is anticipated the research findings will be translated into the Pacific Region context as NPM reforms are implemented.

1.2.3 Research Questions

This research focuses on the identification of key aspects of NPM theory and practice that support *effective* PMS design within public sector and policing environments. The term “*effective*” in this study is defined as the acceptance and adoption of a PMS by individuals, and line management having the greatest return on investment of resources.

The questions were developed and refined through the literature searches, resulting in the identification of concepts within the research Tiers One and Two approaches within the conceptual framework (refer Figure 4 Section 2.6), and the First Stage data analysis. The First Stage results identified concepts and reshaped the questions for this study within the conceptual framework. The questions development also had a reverse of role in shaping the conceptual framework to ensure a link with the data and methodology that was taken. This enabled a better research focus on the specific concepts and issues affecting PMS design element. The researcher's organisational experience also provided further depth to question development based on the concepts to ensure that the questions would point to the right data, assist in determining the research method, and provide a framework to write up the framework (Punch, 1998).

Research question One was developed to identify the effects of NPM on policing organisations. Questions Two and Three were developed to identify PMS elements and to inform the design of a contextually appropriate PMS for the WAPOL environment. These are included in Sections 1.2.3.1 and 1.2.3.2. The questions assisted the researcher in maintaining the study focus on the broader NPM context, setting themes for framing the PMS design.

Other supporting questions, Questions (a) to (d) included in the same Sections (1.2.3.1 and 1.2.3.2), addressed in the study, aimed to explore the factors influencing PMS design within a broad NPM and policing context. When combined with the research questions One to three, the intention was to produce a realistic perspective on a PMS approach and its limitations. This reflects the operational tensions and strategic imperatives within the contemporary State policing agencies in Australia – in terms of the investment of resources and need to sustain frontline services. The questions were also intended to surface the elements that contribute to overall policing performance, and treatment of the often paradoxical demands of management versus frontline operational realities (as identified through the extant research literature and frontline managers i.e. the group interview respondents). Questions One to Three are answered in Chapter 5.

1.2.3.1 Broader NPM/Policing Research Questions

1. *What are the relevant concepts and key perspective elements of a PM approach required to support effective organisational outcomes and policing performance within a broader NPM framework?*
 - (a) *What influence does NPM have on the public sector and policing in terms of performance reporting and PMS design?*
 - (b) *What types of systems/approaches/framework currently exist within the private and public sectors?*
 - (c) *What elements of a policing PM approach will engender application and acceptance – motivation, stimulation, inspiration and willingness within a policing environment?*

1.2.3.2 WAPOL Specific Research Questions

2. *What are the key elements within the WAPOL operational environments, which should be considered when designing and applying an effective PMS?*
3. *To what degree can these elements inform the design of a contextually appropriate PMS within the WAPOL environment?*
 - (d) *What internal environmental variables affect PMS design for application within the WAPOL, specifically at the District/Division level (individual, team and business area) but also meet organisational performance reporting?*

1.3 Research Significance

The research focus has not previously been undertaken in the Australasian policing context and may contribute to the current literature on PM and NPM within policing, and within the public sector. The role of the researcher offers a unique perspective and strengthening of theoretical knowledge with working knowledge.

The research is significant in that it establishes a conceptual platform for examining PMS and related management systems and practices within policing (specifically) as well as the NPM environment in Australia (broadly). Some researchers indicate the fact that whilst policing jurisdictions seek more appropriate methods to evaluate officers, there is limited or no application of the available PM research being embraced by policing organisations in the design of PMSs (Coutts et al., 2003). It follows on, that the research has further significance in that it commences to recognise the association between the NPM ideology, policing frameworks, operating environments and organisational characteristics as well as police culture. This is supported by De Waal (2003, p. 695) who identified the variables of “environmental or organisation factors” that may impact on PMSs would be areas for further exploratory research.

The study approach (defined by the research questions in Sections 1.2.3.1 and 1.2.3.2) may open a new perspective in identifying key PMS design elements and issues through 'environmental tailoring' for future police systems within the influence of NPM, and offers benefits to the wider public sector. Essentially, the identification of PMS elements that may have application within the WAPOL environment and other policing jurisdictions may also inform the design of a contextually relevant PMS (refer to Section 2.6—Conceptual Framework, and Chapter 3—Methodology). The subsequent application of a more contextually appropriate design may potentially drive and enhance performance of the WAPOL, support organisational learning and maintain strategic alignment. This research approach is part of a strategic partnership between the WAPOL and Edith Cowan University, and is consistent with the intent of the Directions in Australasian Policing (2003)—that encouraged more internal police research in partnership with tertiary institutions. The research compliments the significant reforms currently and to be undertaken by the WAPOL as identified through the Royal Commission and *Frontline First* philosophy. They provide an organisational transformational platform for setting and maintaining strategic fit and performance outcomes.

1.4 Methodology Overview

The research employed complimentary qualitative methods during this study across two data set studies (First and Second Stage) to ensure that the objective was achieved and questions were addressed comprehensively and coherently. The First Stage was conducted between 23 April to 31 August 2004, and the Second Stage between 30 April to 30 June 2005.

The First Stage was undertaken as an exploratory study in synthesis to this Masters research using open-ended questions (refer Section 3.2.) focusing on broad themes to identify and rank elements that impact on PMS design, and fine tune the conceptual framework and methodology to be employed for the Second Stage. The Second Stage approach was more structured and focused on specific themes through open-ended questions (refer Section 3.2) to delve more deeply through a descriptive study into the themes and issues that contribute to designing a relevant PMS within a policing environment.

The two stages included purposive population and sample identification, data sampling, collection and analysis, through structured open-ended group interviews. The structured open-ended group interview (group interviews) approach used predetermined open-ended questions and face-to-face contact with the group interview participants within their organisational setting. This approach was designed to ensure that contributions were not inhibited, and the data gathered could be relied upon as not being contrived or biased according to the principles identified by Saunders, Lewis, & Thornhill (2003).

Data was obtained from a cross Section of officers drawn from within the broad operational geographical and jurisdictional boundaries served by the WAPOL (refer to Sections 3.3.1 and 3.3.2). It was collected from the group interview participants, analysed and coded into categories and themes reflecting relationships, ranking and frequencies of response to the research questions. This process was used to identify key issues and design element for an effective policing PMS within the WAPOL operating and broader NPM environments.

The data was collected in written form for the First Stage group interviews and both written and digital recording formats for the Second Stage group interviews to ensure accuracy of the responses. The organisational data provided useful perspectives on group interview responses. Substantiation of the findings is made through 1) triangulation of the data collected at the two stages—cross-checking the meaning of the data between the researcher and respondents to aid verification (Cavana et al., 2001), 2) the theory and prescriptive professional literature on PMS, and 3) the embedded organisational knowledge of the researcher. More detailed description of the analysis is contained in Chapter 3, Sections 3.3 and 3.4.

1.4.1 Research Roadmap

The roadmap shown in Figure 1 is an aid to the researcher that detailed the research field work and activities of the overall study. Clear study phases were identified in the map, which was also used to articulate the key approaches employed in the study. The roadmap enables the reader to understand the relationship between the different elements of the study and links to the conceptual framework in Figure 4 in Section 2.6. Each step of the research from the identification of the research area; the relevant conceptual and prescriptive literature; the two tiers of study focus; the practical problem; objectives and research questions to be addressed within the conceptual framework; business problem; research objective; research questions; the study approach and intended research outcomes and synthesis that will contribute to the theoretical knowledge and application within policing environments is clearly conceptualised. .

1.5 Outline of Thesis

The thesis is organised into logical chapters that are aligned with the roadmap and include: Chapter 2—Literature Review; Chapter 3—Methodology; Chapter 4—Data Findings; Chapter 5—Research Discussion, Implications and Conclusions for WAPOL PMS Design; and Chapter 6—WAPOL Recommendations.

1.5.1 Chapter 2—Literature Review

A comprehensive literature review sourced from professional journals and academic texts covered relevant areas such as performance management and

appraisal, policing performance, new public management, corporate culture and performance, public sector governance, government performance requirements, strategic human resource management and knowledge management. The review focused on NPM and its impact on the public sector, particularly policing from international and national perspectives; PM and PA system design in the private and public sectors with an emphasis on policing PM; and key operating environment design elements on two study tiers—*conceptual* and *prescriptive*. The intent of the review was to provide an understanding of the theoretical context of PM, its development, acceptance and application in terms of tailoring to fit a policing environment, identifying key PMS elements and benchmarking approaches used in different policing and public sector organisations in Australia, UK and Canada. The conceptual elements were related, contrasted and compared against the prescriptive PMS design principles and the organisational knowledge of the researcher to identify gaps between the theory and practicable applications.

1.5.2 Chapter 3—Research Methodology

This chapter provides a comprehensive overview of the methodology aligned to Section 1.4 in this chapter but provides more detail on the chosen major methodology qualitative approach, the targeted WAPOL population sample, and the data collection methods for both First and Second Stage group interviews.

1.5.3 Chapter 4—Data Analysis

This chapter groups and details the data findings using the coding matrices and provides explanation for the findings. The data analysis is explained using the actual findings with no reference to the literature. The results are linked to the literature review and prescriptive material in Chapter 5.

1.5.4 Chapter 5—Research Discussion, Implications and Conclusions for Police PMS Design

This chapter links the literature review theory and prescriptive research with the findings and results of this thesis research. The three primary research questions are discussed with their relevance to the data and literature. The chapter also discusses and identifies the contributions to both the body of knowledge and synergy with the prescriptive material that can provide action-oriented solutions to

policing environments. The implications of PMS design and approach that can be applied specifically within the WAPOL environment and broader policing jurisdictions are detailed.

1.5.5 Chapter 6—WAPOL Recommendations

This chapter provides directions and actions for the WAPOL Executive to consider. It aims to inform the design of an improved PMS approach seen as more relevant and acceptable by line management and staff. Recommendations and a PM Design Flowchart are included that illustrates the synthesis between the research and the actual practical application.

1.6 Operational Definitions informing PMS Design

Definitions adopted by researchers are often not uniform, so key and controversial terms are defined to establish positions in the research (Perry, 1995). In determining the elements of a PMS, and for the purposes of the research, the following definitions were used to enable better clarification, comparison and contrast.

Key Performance Indicators mean performance indicators that are measurable for key results areas on which managers focus effort and which an organisation can measure its performance against its corporate and strategic plans (Viljoen, 1997). In a WAPOL context it means the target areas of the WAPOL Business Plan (linked to the Strategic Plan) that the Government measures WAPOL performance against (WA Police Service Annual Business Plans).

Organisation Characteristics includes the intangible elements/factors such as, managerial capabilities, human capital, perceived relations, organisational culture and performance that have a significant effect on organisational performance (De Waal, 2004).

Operating Environment means the elements/factors that influence PM at the operational level within a policing organisation (researcher's definition based on organisational experience).

Performance is defined as ‘the conviction and application of effort that is necessary to achieve organisational objectives’. The critical elements of this definition include: (i) ‘Conviction’ at the personal level i.e. performance must be intrinsically valued by the worker; and (ii) ‘Application of effort’ i.e. the worker must actualize their performance beliefs through personal effort (Gillespie, Giles, Young, Hetts & Bond, 2003 – unpublished research).

Performance Appraisal whilst some researchers have aligned PA with organisational strategy the researcher has based this thesis on the term defined as being a focus on an individual’s performance relating to stepped salary increments not aligned to personnel development, but is al component of an overarching organisational approach (Furnham, 2004; Coutts & Schneider, 2003; Cederblom & Pernerl, 2002; and researcher’s knowledge).

Performance Management Approach is defined as a method that encompasses all organisational components and activities relating to individual, team, business area and organisational performance. Such an approach includes PA, strategic and business planning, management accountability and Strategic Human Resource Management – training, development, recruiting and selection (Furnham, 2004; Radnor et al., 2004; Coutts et al., 2003; Cederblom et al., 2002; Vickers et al., 2001).

PM System Elements mean those key components and attributes that combined or part thereof contribute to and enable the establishment, interconnectivity, interdependencies, and ongoing maintenance of a PM approach/system within the policing environment. This derived from a review of the relevant research and author’s professional experience as a senior manager in the WAPOL.

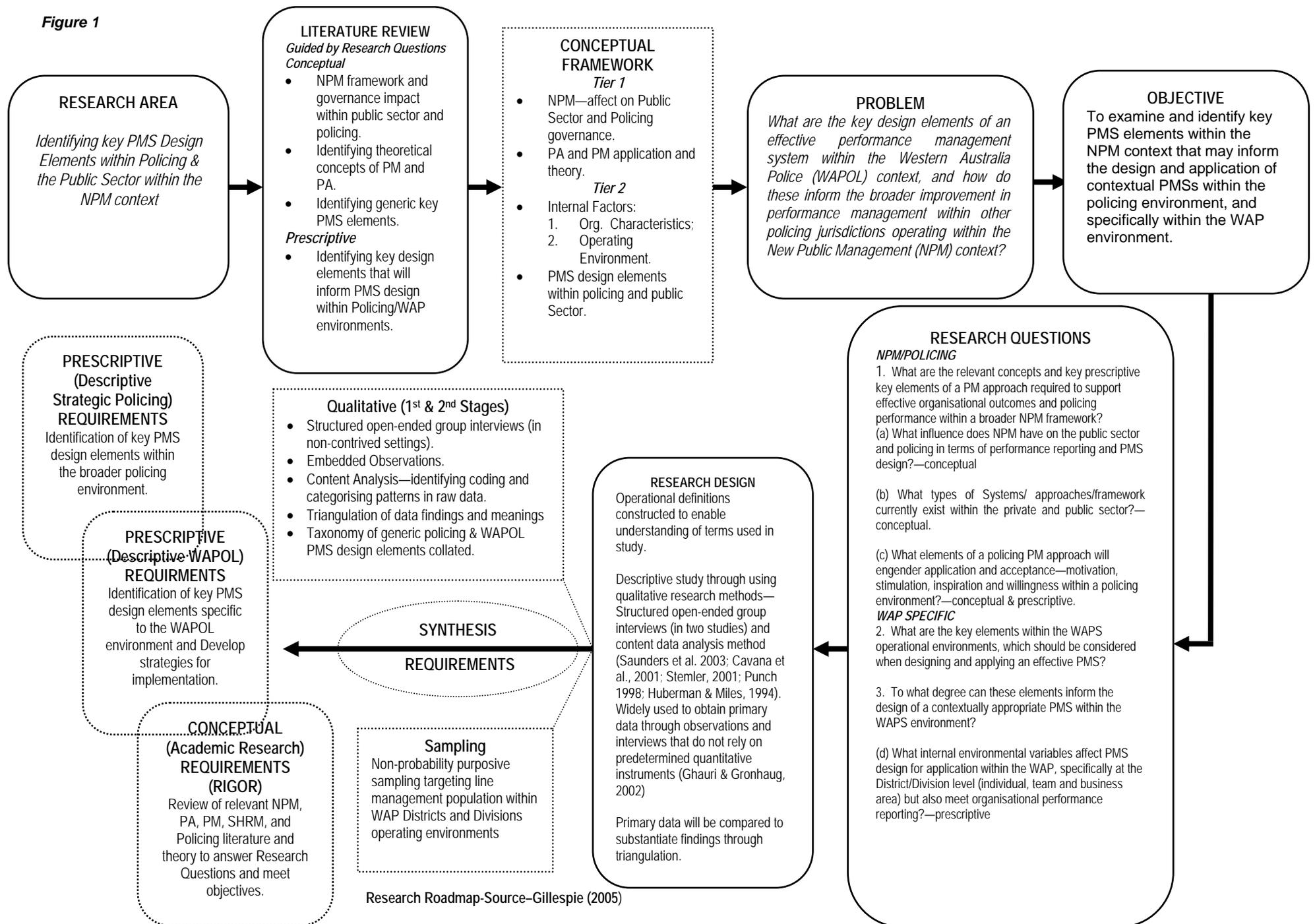
1.7 Expected Outcomes

Undertaking research into the generic elements of effective PM systems and associated variables specific to policing or comparable NPM contexts was a new study focus and contributes to the body of policing knowledge. The research

provides more focus on policing PM and expands on the research carried out by Coutts et al., (2003); Cederblom et al., (2002) and Kramer (1997).

The research process and findings from the study are intended to advance the reader's understanding of the prescriptive design literature and the broader debate on PMS and effective policing. The study achieves this through identifying the implications of NPM and its impact across policing and other public sector environments; Addressing the brief from an internal WAPOL reform project resulting in prescriptive recommendations and a design road map to inform future performance management systems design within the WAPOL; And building on this brief to focus and to provide broader conceptual insights into the field of performance management in policing, and useful lessons for other policing organisations embarking on a similar process. The WAPOL current approach was benchmarked against the contemporary literature with specific reference to NPM. NPM continues to be an important variable that significantly affects public sector strategic management. Whilst the focus has been on PMS application at District/Division level, the research has broader practical implications for organisational PM.

Figure 1



2. LITERATURE REVIEW

2.1 Introduction—Key themes drawn from the Literature

The literature review focuses on a range of fields to identify conceptual elements relevant to an understanding of PM and policing within a NPM context and the PMS design objectives of the study. These fields were confined to the debate in the literature surrounding PM within a broader discourse on NPM and governance, and its impact on the accountability of policing jurisdictions to conform and perform within the new 'accountingization' and commercialisation of government (Hoque et al., 2004; Radnor et al., 2004; Newburn, 2003; Wright, 2002). Australian, Canadian, American, New Zealand and UK perspectives on NPM and policing are explored and the subsequent adoption of NPM principles in Australian State governments covering a range of policing jurisdictions. The compliance versus development, and PA versus PM debate are reviewed to track the contemporary move from PA towards an overarching PM approach in government and to a lesser degree—policing. The review also incorporates allied areas such as HRM and knowledge management, but only as they relate to PMS design and implementation. Consequently, the discussion of the generic HRM and SHRM literature focuses on private sector HRM practices, and is not entirely police specific. The literature identifies PMS elements and approaches that can be adapted within a policing environment, a transition that has not been readily accepted by most policing jurisdictions (Coutts et al., 2004).

The review also discovered some criticisms of PM approaches through proponents of TQM such as Deming (1992) who supports the notion that there is no place for PMS where an individualistic approach discourages a team approach to quality. Further criticism by Winstanley & Stuart-Smith (1996) emphasise that PM approaches lead to unethical assumptions of performance and do not reflect the true nature of behaviour that has the propensity to lead to the de-motivation of employees and overall poor organisational performance. Whilst there are critics, there is overall agreement that there needs to be something in place to guide an organisation's overall performance which forms a practical perspective. It would be extremely challenging without some form of PM schema linking individual, business unit or team and organisational performance.

The review of relevant concepts, models and major themes in the literature identified a need for deeper exploration and identification of relevant PMS design elements within the policing environment. Whilst the literature emphasises a fit between individual objectives with organisational objectives and outcomes there is limited discussion in the area of cultural fit—the design of a system that is culturally attuned to and in keeping with the values, beliefs and behaviours of the people. This is particularly important to the development and practical application of a system that is readily accepted by people within an organisation. Whilst some of the writers commented on this area there was a need for further exploratory research to evaluate the relativities within a policing environment. However, whilst culture is acknowledged as an important factor it is not the major focus of this research, as this area would entail another distinct study focus. In identifying key elements that facilitate and enable the WAPOL to evaluate its performance from organisational (Strategic), and business area/team and individual (Operational) perspectives, emphasis will be placed on 1) the impact of NPM policies, managerialism and the related adoption of private sector management approaches in the public sector over the past 15 years from 1990–2005, 2) PA and PM approaches and the variables that affect development, acceptance and application in the operating environment, and 3) PMS design within policing and NPM contexts.

PM and PA systems are widely applied, and used in various ways within organisations. Valued PMSs should facilitate a committed organisational culture by aligning workforce efforts to the achievement of corporate (strategic) and business (operational) objectives (Furnham, 2004; Radnor et al., 2004; De Waal, 2004; O'Neill & Holsinger, 2003; Weatherly, 2004; Norman & Gregory, 2003; Teo, Ahmad & Rodwell, 2003; Dunphy & Stace, 1990; Mclean, 1994). As corporate and business strategies change so must the individuals, teams and groups through a shift in culture, and the PMS itself must also evolve to fit the culture through learning and feedback to accommodate operational realities (Dunphy & Stace, 1996). This view is supported by Prastacos, Soderquist, Spanos, & Wassenhove (2002, p. 61) who state "that strategy should continuously and dynamically absorb, reformulate...and disseminate throughout the organisation, the *temporary 'right'*

values enabling employees to take the corresponding *temporary 'right' decisions* and commit the corresponding *temporary 'right' acts*." Success of such a framework places importance on the understanding of performance and its connectivity with human resource management strategy aligned to corporate and business strategy.

This approach reflects a distinct relationship between human resource management (HRM) and corporate strategy and saw the emergence of Strategic HRM (SHRM) as an organisational field. SHRM recognises that employees are central to achieving competitive advantage. According to Dessler, Griffiths, Lloyd-Walker (2004, p.14):

"SHRM means accepting the HR function as a strategic partner in the formulation of the company's strategies, as well as in the implementation of those strategies through HR activities such as recruiting, selecting, training and rewarding personnel."

HR functions in these terms now take on more emphasis in aligning the workforce to organisational strategy and outcomes (refer to Section 2.3.2.3—*Knowledge Workers*), also supported by Dunphy et al. (1990).

The NPM (new managerialism) ethos—reforming the public sector to be more aligned with private sector practices, and at the same time being under parliamentary obligation—places emphasis on the accountability of individuals, supervisors and managers relative to practices, processes and outcomes, and Chief Executive Officers for organisational performance and meeting government outcomes (Barrett, 2004; Parhizgari & Gilbert, 2004; Hoque et al., 2004; Radnor et al., 2004; Newburn, 2003; Norman & Gregory, 2003; Vickers et al., 2001; Dadds & Scheide, 2000; Cope et al., 1997; Uhr, 1989), with emphasis on a corporate governance approach (Barrett, 2004). The ascendancy of managerialism as a dominant ideology and 'modus operandi' within the broader NPM context has an emphasis on central control rather than empowerment of individuals and creates a dilemma with performance management (Wright, 2002). What is needed is a PM approach that can work within the NPM and governance influence and yet still retain an innovative and creative environment for individuals. These issues are

further discussed in answering the research questions in Sections 5.2.1 to 5.2.3 in conjunction with the data findings.

PMS design is crucial to ensuring a whole of agency approach that threads through organisational to individual performance layers—something that can only be achieved through individual and line management acceptance and adoption. The need to identify a contextually relevant and effective PMS that enables and maintains a performance orientated culture represents a major challenge for the Western Australia Police (WAPOL) and other Australasian policing jurisdictions and public sector organisations. In identifying a strategically aligned and practical PMS (focusing on the District/Division level of WAPOL) a number of elements in both the internal and external environments of the organisation must be considered. These are discussed in Section 2.2 below.

2.2 External Factors that Influence PM

There are a number of external environmental factors that affect the design and application of a public sector PM approach. Many researchers have focused on the impact of performance appraisal (PA) within the private sector. However, the public sector, in particular policing, is attracting more attention by academics regarding the impact and affect of continuous reform that has become a global phenomenon (Radnor et al., 2004; De Waal, 2004, Furnham, 2004). The most significant external influences that have contributed to dynamic and longitudinal reform within policing (and the wider public sector) is 1) the NPM philosophy that arose through international trends in public administration (Cope et al., 1997)—with a focus on a need for whole-of-government financial management and accountability in achieving outcomes; and 2) Royal Commission recommendations. Hoque, et al. (2004, p. 60) refer to NPM ‘as a euphemism representing the series of public sector reforms and innovations occurring within Australia and internationally. This is supported by Bradley et al. (2006, p. 90) who states that “Public sector changes in Australia has followed world trends often referred to as the new public management.” This is now shifting to a governance approach that is focusing on outcomes and accountabilities in providing efficient and responsive services to citizens (Hartley, 2005; Barrett, 2004; Fleming et al., 2004; Moore, 1995)

2.2.1 NPM and its impact on the Public Sector

The NPM philosophy based on the “doctrine of removing differences between public and private sectors—new practices from complying with regulations to getting results” Cope et al. (1997, p. 448-9) has changed the face of public sector management. According to Hoque et al. (2004, p. 63) the practices of traditional accounting and strategic planning “epitomises NPM.” The shift has meant a move away from the role of a “welfare state” to a “competition state” that breeds intensive competitiveness between areas or states Cerny (1993) and Jessop (1993, cited in Cope et al., 1997, p. 446). New governance and existing NPM policy frameworks has increased the pressure for more competitive and efficient delivery of public services based on citizen demand for the provision of better government services. This reflects a shift towards the provision of services based on shared whole of government networks (Hartley, 2005; Barrett, 2004).

McLaughlin et al. (2001, cited in Long, 2003, p. 632) further emphasises the increased competitiveness within the public sector in Westminster style democracies such as Australia,, Canada, New Zealand and the UK and describes the nine features of NPM reform as: (i) the increased emphasis on achieving results rather than administering processes; (ii) the setting of explicit targets and performance indicators to enable the auditing of efficiency and effectiveness; (iii) the publication of league Tables illustrating comparative performance; (iv) the identification of core competencies; (v) the costing and market testing of all activities to ensure value for money; (vi) the externalisation of non-essential responsibilities; (vii) the establishment of a purchaser-provider split; (viii) the encouragement of interagency co-operation; and (ix) the redesignation of clients as ‘customers’, emphasising the competitive nature of the approach.

Researchers Long (2003); Teo et al. (2003); and Winstanley (1996) view the NPM approach as focusing on results that are affected through bureaucratic institutional process and procedures. However, an issue remains as to who is still held accountable for poor performance or mismanagement of a program. Moore & Braga (2003) even query why police managers would actually measure their performance and expose their accountability or negative outcomes. On the other

hand Davis et al. (1993, p. 215) holds the view that there is a traditional managerial and political accountability line, where public servants are only accountable to the head of a department (minister) and not clients/customers, and cannot be penalised for poor service. This is a view that is challenged by Corbett (1992, p. 191-7) who adopts the position that public servants are accountable to clients and stakeholders and 'having a duty to be accountable upwards, outwards, downwards and inwards.' In achieving the outcomes and accountabilities that are emanating from the governance approach public sector organisations, especially in policing are looking at more effective service delivery on the back of shared resources through partnerships with other government and non-government organisations. Interestingly, whilst some services are outsourced or privatised through NPM, responsibility and accountability for the service provision remains with the public sector.

Some authors have observed a link between the adoption of the NPM principles and the increased use of the balanced scoreboard (BSC) approach of Kaplan & Norton (1992). According to its originators Kaplan and Norton, the BSC contributes a number of benefits through: strategy consensus; alignment of organisational goals with individual goals; alignment of targets with long and short term objectives and budget processes, strategy review processes; and the improving organisational learning and development. Whilst this seems to have some alignment with the current NPM requirements, the NPM persuasion is more about management and economic rationalisation (Hoque et al., 2004; Newburn, 2003; Wright, 2002).

2.2.1.1 NPM Accountability

Within the NPM context, public accountability within the public sector encompasses 'political, legal and constitutional accountability, social and community accountability, and personal and ethical accountability' Corbett (1992, p. 191). This is also supported by Behn (2001, cited in Barrett 2004, p. 20) that accountability refers to: 1) Financial accountability – about using funds wisely; 2) Accountability for Fairness – fair legitimacy; 3) Accountability for the Use (or abuse) of Power; and 4) Accountability for Performance – expectations of citizens. There is greater emphasis on accountability relative to the effective, efficient and

economic performance and delivery of services to the community and other stakeholders within current budget funding and resources. Demands for reforms in the public sector have led to requirements for: performance audits in determining efficiency, effectiveness and economy as well as financial and statutory compliance/requirements; and performance measurement and evaluation of financial resources and public sector programs (Lloyd, 1988; Guthrie, Parker & Shand, 1990). The main accountability focusing on the use of resources in pursuing planned programs with appropriate evaluation of performance, an area in which the public value is sought by citizens (Barrett, 2004; Moore, 1995). Program budgeting or OBM (Guthrie et al., 1990; Harman, 1993) has introduced a financial management tool that enables governments to realise actual costings, and measure activities and programs thereby providing financial accountability—ensuring that the government and its public sector agencies maintain accurate information such as accounts and records through an appropriate management framework. Police organisations are not immune to these requirements and the weight of accountability is ever increasing. In distributing that accountability throughout the organisation layers there has to be an administrative means through which this can occur—on the platforms of governance and PM. Moore & Braga (2003) acknowledge this view and emphasise that the distribution of this external accountability has the effect of motivating all personnel throughout the organisation and that they will espouse similar values.

The main thrust of the public sector reform is to move towards quality of service—to improve cost effectiveness and increase the focus on the improvement of government policy outcomes (Bradley et al., 2006; Radnor et al., 2004; Jones, 2003; Long, 2003; Vickers et al., 2001; Management Advisory board and Management Improvement Advisory Committee, 1991;). Behn (2002, p. 6) supports this notion and makes the point that all the collective reforms are motivated towards “the same single purpose: to improve the performance of public agencies; to enhance the results and value produced by government.” In undertaking measurement of those requirements and achievements, policing organisations, as with other public sector areas have had to contend with managerial reform and develop internal systems such as PMSs to meet external requirements. So how does NPM affect policing organisations in terms of conforming and performing?

2.2.2 NPM impact on Policing Jurisdictions

Cope et al. (1997) implies that the current 'new managerialism' (NPM) has become known as the era of a "new policing order" for policing jurisdictions globally – breaking away from the old bureaucratic institutions of tradition and designed to ensure a continuum of change – a dismantling of the 'old policing order'. This has placed significant pressure on policing organisations that in trying to deliver quality policing have to rationalise activities (Radnor et al., 2004; Wright, 2002) to meet management efficiencies through performance requirements relating to financial management and accountability.

As with WAPOL and other Australian Policing Services (Hoque et al., 2004) United Kingdom policing organisations operate within the NPM framework and has had a similar affect on performance requirements at the organisational and individual levels (Long, 2003). This is in difference to private sector approaches that are not constrained, in contrast to policing organisations that cannot exercise autonomy within the legitimacy of Parliament and the NPM context – as it is a government requirement in the pursuit of commercial principles of efficiency, effectiveness and customer service (Bradley et al., 2006; Hoque et al., 2004).

In policing, as with most government services, the desired outcome is effective and efficient service delivery that is achieved through clarity of expectations and responsibilities' – providing clear aims (Long, 2003). While the NPM philosophy emphasise self-regulation and more control for managers Norman et al. (2004) the achievement of set targets provides a basis for a quantitative performance evaluation (Parhizgari & Gilbert, 2003). This approach focuses on efficiency and economy rather than effectiveness at the expense of quality of service delivery – a process of accountability for performance (Norman et al.; 2003; Long, 2003; Wright, 2002; Dadds et al. 2000).

Jinks (1990, p. 6, cited in Vickers et al.,(2001) highlights that the drive for efficiency and effectiveness has had a traumatic impact on the policing workforce where officers are at risk because of the emphasis on doing the right things and assessing the results. Vickers et al. (2001) cites Mckenna (1996, p.22) in supporting that

notion and points out that being focused on efficiency and effectiveness, and having a preoccupation with the “bottom-line” will probably translate into public sector service delivery limitations. The researcher agrees in part with this notion but places more criticism on the requirement to be more efficient than being more effective. This view is supported by Bayley (1996, p. 48) who emphasises that “the greater the insistence on efficiency, the less the attention to effectiveness.”

That situation became evident during significant reform of UK policing services and the push for quality of service (Goodsair, 1993). The rationalisation of policing activities with the shift in focus from professionalism to managerialism through NPM further exacerbates the situation (Wright, 2002). There is little emphasis on achieving outputs and outcomes—it is more about efficiency over effectiveness (Wright, 2002). Hoque et al. (2004) further emphasises that the adoption of NPM commercialisation will not necessarily appease community expectations because they are not directly linked to cost. A view supported by Fleming & Rhodes (2004, p. 34) who assert that the community does not understand policing and the accountabilities attached to the provision of services.

The NPM affect on UK Policing places focus on Borough Command Units (BCUs), similar to the WAPOL Districts and Divisions, as the source of the organisational performance indicators as cited in Long (2003, p. 639)

Policing is essentially a local service, the vast bulk of patrol work and investigation of volume crime is managed at BCU level, as are crime and disorder partnerships. So its not surprising that the commitment we all share to enhance police performance leads us to look at how well BCUs are doing—HMIC 2001b

Much emphasis is placed on BCUs collectively achieving organisational objectives and priorities with a focus on targets, results and benchmarking to compare standards (the BCUs can be compared with the WAPOL Districts who operate in a similar style). Targets are the main objective in policing that attract much cynicism—where unrealistic targets are set and the business areas (organisational business units such as, police stations, detective and traffic offices) do not have the capacity or capability to achieve them, or have no control over the work that

resources undertake, a condition that is supported by Hoque et al. (2004); Long (2003); Wright (2002); and Cherrett (1993 cited in Dadds et al., 2000, p. 2).

According to Moore (1995) the public sector is concerned with providing beneficial social goods and services—public value—to the community, based on political dimension/government policy. Further, the value of activities and programs cannot be effectively measured and is generally based on the amount of effort in the 'political market place of citizens' Moore (1995, p. 31). This highlights the shift in thought from the NPM approach to a more citizen orientated governance approach that takes into consideration outcomes and accountabilities. Through the emergence of the governance approach and limited resource bases there has been a shift towards joined up government and external networks to provide responsive and effective services to the community (Hartley, 2005; Fleming et al., 2004, Barrett, 2004).

Good police governance provides the platform for a democratic framework in the provision of policing services (Jones, 2003). However, Jones (2003, p. 606) cites a paradox of police governance in which on one hand the state “must empower and constrain the police, but at the same time impose clear limitations on its ability to influence policing in its own favour.” A dilemma the WAPOL faces—having to meet government desired outcomes and at the same time, its own Strategic Plan (2001/2006) outcomes and priorities, some of which may compete with limited capacity. This becomes particularly relevant when elections are imminent, and the ripple effects of a government change where monies and programs may be re-directed. A similar situation exists in the QPS where in a case study of that police service Hoque et al. (2004, p. 78) found evidence that suggested the managerial reforms “had a dual purpose—legitimising the police to the electorate, while encouraging efficiencies of resource use.”

2.2.3 Royal Commissions into Australian Policing

As evidenced through royal commissions into Australasian policing organisations, the Fitzgerald Commission of inquiry (into the Queensland PS 1987-1989), Wood Royal Commission (into the New South Wales PS 1994-1997) and the more recent Kennedy Royal Commission (Kennedy RC 2002-2004) into the WAPOL, policing

jurisdictions have undergone significant reform programs in the pursuit of changing culture and developing a corruption free and transparent workplace.

In WA the Kennedy RC established a wide range of reform programs focusing on cultural change issues including: recruiting and retaining a diverse workforce, improved organisational internal and external reporting systems, and establishing ethical and corruption prevention measures. Particular emphasis has been placed on the need for better leadership and supervision that is allied with a better performance management system. The emphasis placed on performance management is expressed by Kennedy (2004, p. 165-166):

“Performance management is the centrepiece of new public management approaches. Performance Management relies on measures, standards, rewards and sanctions to motivate organisations...

Monitoring individual performance is an essential function of an effective supervisor. A supervisor’s performance monitoring provides a cue or guide for subordinates regarding the relative importance of various components of the job. Performance Monitoring also has a conjunctive effect on performance. It affects performance when it occurs in conjunction with the provision of performance consequences by the supervisor.

There is a strong link between subordinate performance and the performance monitoring behaviours of their leaders. Performance monitoring need not consume a large amount of the supervisor’s time. The extent of monitoring and the way in which it is carried out are the major factors which differentiate effective from ineffective supervisors in an organisational setting...

Performance management is essential in a police organisation, given the powers and responsibility entrusted to police officers. Improved performance and supervision can occur when individual performance is linked with organisational performance and the achievement of strategic and business goals. Managers will be held accountable for staff performance. Issues of poor performance will be addressed in a timely manner; and productivity increases occur when decreasing and limited resources are common.

For this to occur in the policing organisation awareness needs to be raised. Managers and supervisors should be equipped with the necessary skills; and embed performance management as 'business as usual.'

The extent of the reforms influences all facets of organisational administration and operation systems (refer to Section 2.3.2.). The challenge for the organisation is to layout a pathway for change aligned with the royal commission reform and at the same time government and community expectations. The ultimate responsibility for progressing the reform rests with the Commissioner of Police through a performance agreement with the government. In the case of WAPOL the Commissioner has launched a number of wide ranging initiatives on the back of the Royal Commission reforms. One of those reforms being this research in which The Commissioner has provide authority to access persons, information and systems. As with any organisational change it is important to ensure engagement of the entire workforce to move forward on the reform platform. The most influential vehicle on which to make this happen is through SHRM and PM. This is discussed in more detail in Section 2.5.5.

2.3 Internal Environment Factors that influence PM Design—within Policing and WAPOL Contexts

Identification of the ideal PMS has been a challenge for researchers with most research focusing on performance appraisal and its process, impact, and ongoing maintenance within the private sector. However, understanding the internal environmental and human factors that influence what shape and type a PMS takes has been researched on a limited basis (De Waal, 2003; 2004), particularly within policing organisations. In determining what factors exist within an organisation will assist in determining the design and application of a PMS (together with the prevailing external factors). In undertaking this research the variables of 1) organisational characteristics, 2) operating environment and 3) System elements and impact on PMS design were explored within a WAPOL context at the District/Division level. In the case of the WAPOL the NPM philosophy influences organisational measure by the State Government and is structured to meet service delivery, deliver outputs and achieve outcomes based on government desired outcomes (GDOs) and the WAPOL Strategic and Annual Business Plans.

2.3.1 Organisational Characteristics

Whilst there are a plethora of PMS meanings, a PMS as defined by De Waal (2003, p. 688) relates to “the formal, information based routines and procedures managers use to maintain or alter patterns in organisational activity (adapted from Simons, 2000).” To enable managers undertake these activities there are a number of organisational characteristics that will influence such routines and procedures. Carmeli & Tishler (2004) in undertaking study into the relationships between intangible organisational elements and performance found that the intangible elements (managerial capabilities, human capital, perceived relations, organisational culture and performance) have a significant effect on organisational performance. Siggelkow (2002, cited in Carmeli et al., 2004, p. 1258) identified that organisations are “viewed as systems of core, elaborating, independent and inconsistent elements and the interconnections among all or part of these elements.” The researchers identify resources, activities, processes, and policies as the essential elements that maintain the viability of an organisation through change.

2.3.2 Organisational Change

The effects of a structure will entail how an organisation successfully maintains its strategic fit within the changing environment (Dunphy et al., 1996) and more importantly, how it achieves its goals and outcomes. Royal Commissions into policing organisations have and will continue to be major drivers of change and reform programs. In the current environment Royal Commissions are the primary motivators of change management in Australian policing (refer to Section 2.2.3) that have influenced changes in leadership and management approaches, organisational strategy, structure, systems HR and PM.

Structure is generally concerned with the design of lines of command, reporting relationships and accountability. An organisation generally has two components – an operating component (comprising of the people who actually undertake the service activities) and an administration component (managers and analysts concerned with supervision and coordination) – (Mullins, 1996). Importantly, strategy and emergent operating environment issues will influence the shape and size of a structure, and will also have a reciprocal effect on strategy (Mintzberg, 1994). The strategy will be further strengthened and realised through a vision and mission being established to focus the workforce on achieving outcomes.

The organisational challenge is to align its strategy, structure and systems to maintain its relevance within the environment in which it operates. Norman et al. (2004) identifies that gaining the cooperation from individuals and business areas across the organisation is a common problem. Identifying the “balance of socialisation and measurement that enables cooperation” (Norman et al., 2004, p. 36) is a significant challenge for any organisation. According to Simons (1995, cited in Norman et al. 2004, p. 36) large organisations need to establish control systems “to maintain or alter patterns in organisational activities.” The application of a PMS based on the principles of integrating the internal system with the external system requirements through the distribution of accountability, and linkage with organisational elements, will influence consistency in PM application (Furnham, 2004; Moore et al., 2003). The tangible (facilities, equipment) together with the

intangible elements play an important role in influencing and creating an organisation's value (Carmeli et al., 2004).

Adapting to a contextually relevant PMS will enable and maintain a strategic fit that is also able to measure organisational effectiveness. The overall affect is organisational change through an "increasing emphasis on the 'people factor' and the sophistication of human resource management practices" (Vecchio, Hearn and Southey, 1998, p. 593). The impact of internal sources of change such as the people factor—managerial/employee relationships has created a new dimension in change management. To enable the evaluation of an organisation's performance, reliance will focus on the performance culture and organisational reputation (Carmeli et al.). Managerial capabilities supported through sound SHRM practices attuned to the right outcomes and vision will ensure that the organisation has the right spread of knowledge and skills (diversity) to remain competitive and creative, and change to emergent circumstances. Relevant and sound SHRM practices (refer to Section 2.5.5) attuned to a strategic aligned PMS has the propensity to steer and direct a collective and developmental human effort towards a common goal.

2.3.3 Policing Structures

Through the NPM influence many policing organisations (Hoque et al., 2004) have moved to flatter organisational structures (features that include outsourcing, strategic alliances, decentralization, delegation or empowerment, self-management and the move towards a teams-based approach) to deliver an efficient and effective service delivery to the community. Canals (2000, cited in Carmeli, 2004, p.1259) point out that as the environment moves towards a service orientation, "where knowledge and information are the mainstays of business growth, the importance of intangible resources will come increasingly to the forefront." Well-articulated services need to be aligned with the structure to enable the organisation meet its KPIs and targets and at the same time to ensure service effectiveness (Parhizgari et al., 2003). Restructuring and re-engineering will usually involve increasing spans of control, the reduction of management levels and possibly changing components of the organisation through divestiture or acquisition (Horton 1988; Bailey & Sherman, 1988, cited in Bartol, Martin, Tein & Matthews, 1995).

2.3.4 Differences between Police and other Public Sectors

While the Police are a key public sector organisation there are some generic differences between other public sector organisations (Hoque et al., 2004). Hoque et al. (2004, p. 77) found that because of the rise in NPM there is greater accountability placed on policing services as they have greater public scrutiny for their actions and professional conduct. The generic differences are reproduced in the following Table from Hoque et al. (2004, p. 78)

Table 1—Differences between Police and Other Public Sector Entities

	Police Services	Other Public Sector Entities
Environment	Dynamic, risky and dangerous	May be stable and predictable
Services	Protection of the community and promotion of safety	To provide a community service (e.g. health and education)
Objectives	To minimize costs and reduce the demand for expenditure	To recover costs (to an extent) by adopting a user-pays strategy
Revenues	State Government funding	Fees, charges, taxes, donations and government funding

As indicated by Hoque et al. (2003) police services work in a significantly different environment. The provision of policing services to the community is precariously balanced between the accountabilities and rationalised requirements of governments within the NPM context and the need to remain flexible to emergent issues of the community in which priorities may change. The provision of public policing services relies on government funding. This means that police organisations need to be able to meet government performance outcomes that are focused on financial management and accountability – efficiency, effectiveness and economy, and equally, be able to present budget submissions based on strategic planning and business cases to maintain services that will meet both government and community expectations.

In that context a PMS design within a policing environment will be different to other public sector organisations. This is supported by Parhizgari et al. (2003, p. 226-7) who in undertaking studies into the differences of performance between private and public sector organisations found that where they may be best practices in one sector, those practices cannot be applied as a standard practice across all sectors “as components are not uniform in terms of function.”

The uncertainties of the policing environment and politicisation of the law and order issues in many communities worldwide compared with other more predictable public sector environments place significant pressures on policing leadership and management, strategy, practices and systems. This has particular relevance to the WAPOL that focuses on achieving performance targets, activities and priorities within an OBM process that may not necessarily capture the true realities of operational performance.

2.3.5 Distribution of Accountability within Structure

In supporting the external performance reporting system the organisational internal performance reporting system needs to be aligned with the expectations and goals (Furnham, 2004; De Waal, 2003; Moore et al., 2003; Sharif, 2002; Dobson, 2001; Kramer, 1998; Nankervis et al., 1997; McLean, 1994; Swann, 1991; Bevan & Thompson, 1991). The distribution of accountability (Furnham, 2004; Moore et al. 2003) is particularly relevant especially within the policing environment. In a case study of the Queensland Police Service conducted by Hoque et al. (2004) officers are taking responsibility for performing various tasks and are held accountable for them. The study also revealed that accountability within the QPS is rigid and similar to the Westminster system of accountability.

The distribution of accountability throughout the organisation, not only to assist the external system compliance requirements through NPM, but also the internal system requirements in collecting that information, emphasises the need for a PMS that is able to deliver the information for the KPIs and meet targets (Moore et al., 2003). Moore et al. (2003, p. 441, Moore, 1995) highlights the need for policing organisations to build this accountability framework through a “persistent constituency...and to attach a measurement system to these particular values.” The need to provide guidance to the overall organizational working components is through the establishment of policies that will seek to ensure appropriate standards of performance. But what policies influence PMS design? The importance of the linkage between the elements of an organization and their interconnections will reflect on organisational performance (Carmeli et al., 2004). Figure 2 (refer Section 2.3.6) illustrates the WAPOL reporting accountability requirements to meet internal and external performance planning requirements.

2.3.6 WAPOL Experience—Measuring Organisational Performance through Outcome Based Management (OBM)

The WAPOL, in providing policing services to the wider State, accountability and reporting relationships have been broken into two geographical areas—metropolitan and non-metropolitan (country)—Regions, Districts and Sub Districts, and Divisions (*District* relates to a geographical location within Local Government Authority boundaries that provides the basis of service delivery to a community—*Division* relates to a support area such as Forensic, Intelligence or Crime Investigation). A Standard District Structure Model has been developed and implemented with five management streams: Crime and Operations Coordination, District Governance, 24 Hr Complex, Sub District Operations and Traffic and Support Operations. Specialist policing and administrative support portfolios such as, Crime Investigation and Intelligence Services, Traffic & Operations Support, Corruption Prevention and Investigation, Counter Terrorism and State Security, Corruption Prevention and Investigation, Performance Management, Strategic Policy, Professional Development, Corporate Programs and Development, Media and Public Affairs, Human Resource and Asset Directorates support the Districts/Divisions. All areas of the structure contribute to organisational performance measurement.

WAPOL targets and KPIs (agreed levels of production and performance) output percentage estimation to achieve GDOs are determined through the Corporate Performance portfolio and forwarded to the Office of the Auditor General (OAG). On receiving OAG approval for the KPIs they are presented to the Police Strategic Executive for approval and forwarding to Treasury.

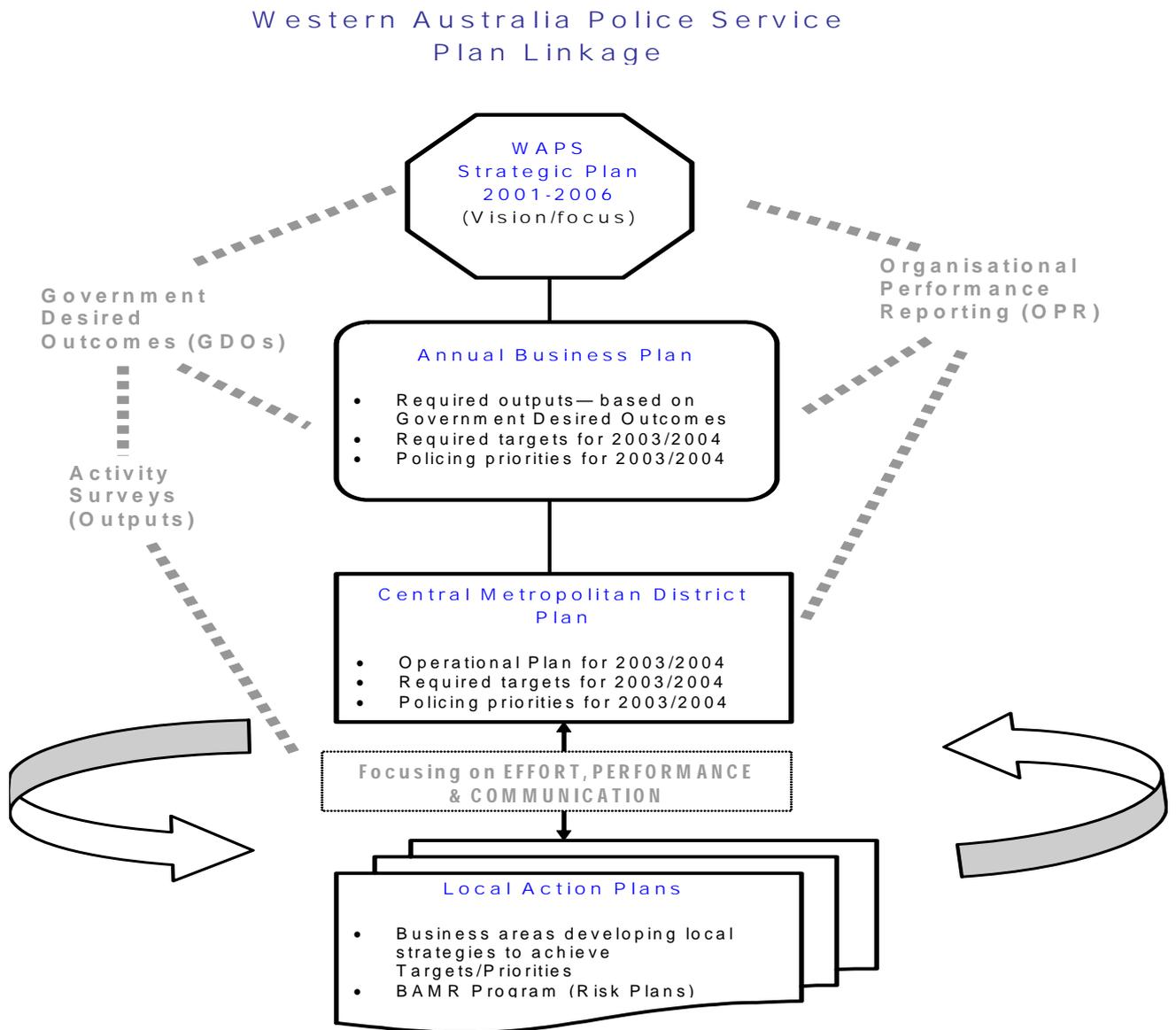
Within the Treasury process decisions are made to determine the resource allocation to achieve the GDOs at the lowest cost. A Resource Agreement is signed between the Commissioner of Police, Treasury officials and the relevant Minister. A similar process is established within the New Zealand Public Sector (Norman et al., 2004). The QPS case study undertaken by Hoque et al. (2004, p.75) shows a direct similarity with the WAPOL outcomes' process that enables area commands'

activities to be aligned with the goals of government in terms of conformance and performance.

In measuring overall organisational performance approach that meets both government and organisational requirements and standards, the WAPOL places reliance on a system known as Organisational Performance Reporting (OPR) in providing a “balanced scorecard”, derivative of the approach developed by Kaplan & Norton (1992). The OPR is timed with government and organisational quarterly reporting requirements. Each District, Division and Portfolio is required to prepare a quarterly OPR and present that report to senior executive in the form of a compstat performance meeting. In this forum issues are raised and debated as to a particular District’s/Division’s performance in contrast to the WAPOL Annual Business (outputs/outcomes) and Strategic Plans’ priorities and goals.

The OPR information is supplemented by organisational activity measurements that are conducted at least four times a year to enable evaluation against the outputs/outcomes. The plan linkage and performance reporting requirements are shown in Figure 2 (next page). Table 2 details the WAPOL responsibilities and accountabilities based on the 2004/2005 Annual Business Plan as per government requirements (NPM requirements).

Figure 2



Typical WAP planning and performance requirements *Source: Gillespie 2001*

Table 2—WAPOL KPIs/Outcomes

Whole of Government	Police Service Desired Outcomes	Outputs (Services)
Goal 1: People and Communities	1: Lawful behaviour and community safety	(1) Services to maintain lawful behaviour and prevent crime (2) Emergency management and coordination
<i>To enhance the quality of life and well being of all people through Western Australia</i>	2: Offenders apprehended and dealt with in accordance with the law	(3) Response to and investigation of offences (4) Services to the judicial process
	3: Lawful road-user behaviour	(5) Traffic Law enforcement and management

WAPOL OBM Framework

Source: WAPOL Annual Business Plan 2004/5

As well as focusing on the achievement of the outcomes, a raft of reforms on the platform of the new WAPOL philosophy, *Frontline First*, also places further requirements and demands on the operational environment. The aim of the philosophy is to increase the agency’s capacity to better policing services to the community of Western Australia. Some of the programs being undertaken to make this happen are detailed in Table 3.

Table 3—WAPOL Frontline First Programs

FRONTLINE FIRST PROGRAMS
<ul style="list-style-type: none"> • Increasing the police presence and visibility within the community • Releasing police personnel from back-office and support areas to operational positions on the frontline • Reducing the administrative burden and bureaucratic ‘red tape’ for all frontline officers • Increasing the flexibility and the quality of police responses to the needs of the community • Improving the standards of supervision and management • Focusing management and reform activities on achieving frontline results • Reporting progress to the community in relation to service delivery outcomes and professional standards

Source: WAPOL Annual Business Plan 2004/5

2.3.7 Operational Environment

The changing context of the operational environment in which a PMS exists or needs to exist will influence design and its application. Furnham (2004, p. 90)

identifies some of these contextual factors as being: decentralisation that will require the system to be “flexible and tailored to specific needs; changing ratios of managerial to non-managerial positions (impact of flatter structures); and the changing scope of jobs and their functionality.”

PMS design aspects will obviously be different between areas even though there is similar structure, functionality and process characteristics (Furnham, 2004; Parhizgari et al., 2003; Australian Public Sector Commission, 2001). In this context there will be operational differences across the spread of business areas that are not uniform relating to function within specialist and geographical areas. This is aligned to task performance that rests on cognitive ability, skill and experience (Fletcher, 2001). The system has to vary to meet the many specific needs of the organisation and its various functions (Stockley, 2004, MacBryde & Mendibil, 2003; Prastacos et al., 2002; Australian Public Sector Commission, 2001). The differentiation in rating scales for these areas will require special consideration in the design of a strategically and contextually aligned PMS to encompass specific environments but still comply with the organisational system requirements of compliance reporting. O'Neill et al. (2003) supports this view where research has indicated that organisations take a simplistic approach to PMS by only fixing the appraisal or seeking a PMS from another organisation that is regarded as best practice but does not meet the specific needs of the organisation or its unique environment.

2.3.7.1 Teams

The desire to streamline and improve services through the decentralization of units geographically and empowerment of employees for particular roles and functions have influenced the move towards a teams-based approach by policing agencies (Sherman et al., 1996). Teams represent a horizontal organisation that reflects self-management, self-motivation aligned with other team activities and organisational goals. Changing to this structure not only creates and invigorates the right performance environment, but is reliant on having the right leaders established who will influence the right employee behaviour (De Waal, 2004). A current royal commission and Frontline First philosophy key reform agenda for the WAPOL is improving supervision and management, and creating a performance culture.

Self-managing, self-motivated teams will have more accountability relative to their inputs, activities, outputs and outcomes if led and managed correctly. Teams should be formed through the right mixture of employees with the appropriate diversity of talents. Leaders will have to consider the values of the team members and assist in moving the organisation towards an environment of continual and continuous learning and improvement. Each team activity will be linked to attaining organisation goals and objectives and be recognised by the organisation as a pivotal component of the structure (Senior & Swailes, 2004).

Scott et al. (2001, p. 110) identify teams falling into two categories: *static* and *dynamic*. The *static* team is characterised by having a full-time stable team. The *dynamic* team is characterised by its short-term establishment to accomplish a particular task. This magnifies the issue with policing PMSs concepts and the unique environment that they operate. Firstly, *one size does not fit all*, for teams or individuals. Secondly, it further substantiates the need for a PMS that is adaptive to the particular set of circumstances—differing functions and operating concepts (project to task force). This is supported by Scott et al. (2001, p. 114) who emphasises that teams are formed for differing functions and tasks. However, when teams operate within a stable and routine condition, the PM emphasis should move to an individual PMS. Similarly, where teams that are within a TQM context, the fostering of employee behaviours is consistent with influencing synergy to improve strategic and operational effectiveness but encompass specific tasks and increased performance emphasis that includes contextual work performance (Haines et al., 2004, p. 157). According to Fletcher (2001, p. 475) contextual performance is viewed as “performance arising from personality and motivation” that links back to an individual feeling responsible for performance results (De Waal, 2004).

The ultimate outcome for the group is a team that is highly motivated in attaining the organisation’s goals. This of course, largely depends on the right leadership and management. In achieving optimum levels of performance the pivotal challenge for police leaders is to work at police employee needs such as, they must believe they have a personal place of value in the work groups—the need to belong

as desired by human beings. The success of group behaviour depends upon the development of personnel policies and procedures, conflict resolution and the need for direction—collective work and collective effort (Senior et al., 2004). The more successful a group becomes, the more cohesive the group and vice versa (Mullins, 1996, p. 190; Bartol et al., 1995). The importance of a HR strategic focus on policy cannot be overstated in terms of organizational strategy and PM.

2.3.7.2 Individuals

Individuals play an important role in contributing to the overall organisational performance outcomes. Individual values, as previously identified, reflect an individual's morals/ethics. These values and attitudes are influenced by the corporate culture and group operational sub-cultures throughout police agencies. Individual officers represent the community and must act in a professional and ethical manner when carrying out their day-to-day duties (Sherman et al., 1996). The reality of today's environment is that if an individual officer misbehaves, the whole policing organisation is publicly criticised and its integrity compromised. This probability is brought about because of the position and job requirements and the powers held by police officers through community consent (accountability for the law and the community) attracting intense media attention and community debate.

2.3.7.3 Discretion

Goldsmith (1990, p. 94) asserts police culture as 'comprising of a distinct set of values, attitudes, rules and practices which influences the way officers exercise their discretion.' Smith & Gray (cited in Goldsmith, 1990, p. 97) asserts through their research that to manipulate the desired behaviour from officers' it may be necessary to assess the *rule effectiveness*. Smith et al. (1990) categorised rules, and their effects on officers' behaviours. The rules are categorised as; *inhibitory*— factors that officers take into account when deciding to act; and *presentational*— which exist to give an acceptable appearance relative to police work.

Police leaders realise that they cannot effectively control the behaviour of street level officers, no matter what management practices are initiated. According to Bersten (1990, p. 309) 'the office of constable confers an original, rather than delegated authority or independent discretion in relation to operational

matters...this discretion is not subject to external direction.' The only method for an organisation to influence and guide street level officers' behaviour and culture is through good leadership, management practices and the appropriate supervision. Sensitisation of these values and using the responsibility in a positive way that can influence performance outcomes can be embraced within a strategically aligned PMS. The PMS will need to take this operating aspect into account in respect to uniqueness of the Constable's legislative authority. Professionalism (and the degree of accountability distribution) of a Police Service can be reflected in a PMS step to guide and improve the standards and values of officers.

2.3.7.4 Police Support Staff

Integration of civilian staff activities and functions into the police service has always been a contentious and challenging issue for most policing services (Goodsair, 1993). The main concern focuses on the differing organisational reporting requirements and supporting infrastructure. These (cultural) differences (within a WAPOL context) extend to union membership, Enterprise Bargaining Agreements, disciplinary/ethical processes, and recruiting and contractual arrangements. These factors pose problems for organisations trying to develop a committed workforce and focus on the organisation. Firstly, the situation reflects a "them and us" divisive condition. Secondly, reforms and performance improvements can be hindered through sectoral jealousies or sabotage. The challenge is to make inroads into parallelism to create more organizational synergy. Again the PMS will have to be adaptive and flexible to meet the differences of sworn officers with support staff.

2.4 From Performance Appraisal to Performance Management

A great volume of the research literature, especially in the latter years, has focused on the performance appraisal (PA) system and its impact on personnel in respect to motivation, supervisor-employee relationship and conduct of the process (Furnham, 2004; De Waal, 2004; Radnor et al., 2004; Fletcher, 2001). Most literature deals with the components of the process, rating and measurement that are considered to be one of the most problematic areas in SHRM (De Waal, 2004; Furnham, 2004; Weatherly, 2004; Coutts & Schneider, 2003; O'Neill et al., 2003; Behn, 2002; Fletcher, 2001; Kramer, 1998; Nankervis et al., 1997; Goodsair, 1993). However, PA within a PM framework is also viewed as a necessary component within organisations that can have a positive effect in relation to organisation culture (shared values), and goal achievement focus on the workforce if applied and adopted in the right way.

Furnham (2004) points out that the origins of a PA system emerged when it was adopted by organisations in America in the 1970s and in Britain in the 1980s/1990s because of government introducing equal employment and civil rights legislation—a different platform on which PM was introduced and viewed. This is further supported by Goodsair (1993) who highlights these factors emerged within British Policing and became part of performance requirements.

PA has been labelled as a failure in terms of developing and motivating people (Fletcher, 2001). According to Lansbury et al. (1988, p. 85) early Australian PA studies found that the objectives of the system were employee counselling and the identification of training and development needs. However, in the current situation PA is more related to appraisal of an individual against performance criteria that is linked to pay increments. A number of common complaints dealing with PA were identified. These mainly focus on: the appraisal period and impact on everyday communication; lack of courage by managers to manage poor performance; appraisals not being cognisant of differing work functions and tasks; poor understanding of the PA measurement requirements, PAs being inflexible; is not applied organisation-wide; feedback is a skill and cannot be readily applied; rating scale skewness; PA investment/benefit within an organisation; and

individual PAs disrupt team spirit (Furnham, 2004). Whilst some of these issues may be true it relies on how the PA or PMS has been implemented and communicated. Some areas of management may align PM with management by objectives (MBO—based on Peter Drucker’s 1968 concept), a primary role of appraising individuals or an annual audit of training and developmental needs (Hartle, 1994; Lansbury et al., 1988). A view supported through a survey conducted and aimed at HR specialists by Nankervis et al. (1997) on PA in which 94% used PA results for employee performance rather than to their future potential, 85% for training and development, 67% to plan future work and 64% to motivate employees. In view of the many meanings of PA and its application within organisations, it could be suggested that PA is more about appraising staff for a stepped pay increment based on performance rather than developing and influence personnel. In this sense PM has wider relevancy and application. Surveys conducted by Nankervis et al. (1997) indicate that the greater in size an organisation becomes the less impetus there is on full PA. The reputation of PA as being an unfair and biased system has exacerbated progress in refining the system.

PA has moved to towards PM in recent times because of its wider set of practices and strategic focus on integrating HR activities and business policies (Cederblom & Pernerl, 2002; Grote, 2000; Fletcher, 2001). According to Dobson (2001, p. 3-4) PM evolved from a traditional ‘command and control’ management approach founded on a “one way street with employees being told what to do, usually with little or no performance planning, guidance or support.” A situation that has evolved, in which PM is viewed as being the organisational overarching system, and PA being one component of the overall system. PM will be regarded in that context in continuing with this segment of the literature review. This is supported by O’Neill et al. (2003) who emphasises that there is still significant room for improving PMS and that most organisations have only focused on PA instead of the broader PM or by copying another organisation’s deemed to be best practice—a practice and activities that have failed to bring about the desired results.

Radnor et al., (2004) emphasises that the terms “performance management” and “performance measurement” are used interchangeably in most of the literature.

According to Lebas (1995, cited in Radnor et al., 2003, p. 246) the terms are more clearly defined:

“Performance measurement: includes measures based on key success factors, measures for detection of deviations, measures to track past achievements, measures to describe the status potential, measures of output, measures of input, etc. and Performance Management: involves training, teamwork, dialogue, management style, attitudes, shared vision, employee involvement, multicompetence, incentives and rewards, etc.”

Like Radnor et al., (2003) the researcher accepts that both terms should be used. This is supported by Cederblom et al. (2002, p. 132) who points out that an overarching PMS should consist of “performance appraisal, as well as other components such as strategic plans, manager accountability, pay, promotion, training/development and discipline.”

PM gained more profile and impetus in the early 1990s when organisations needed to become more competitiveness within the deregulated and global environment (Dunphy & Stace, 1990; Winstanley et al., 1996). PM was embraced by organisations with the need to re-strategise, restructure and implement new ways of business to remain competitive, maintain a strategic fit, but also encourage innovation and creativity.

The PM focus is the linking of individual and business unit activities with corporate goals and strategy, and distributes accountability (Weatherly, 2004; De Waal, 2004; Moore et al.; Cederblom et al., 2002; Behn, 2002; Fletcher, 2001; Grote, 2000; Nankervis et al., 1997) through improved organisational structure and systems. In this approach to PM there is an emphasis on “proactively aligning individual effort to organisational objectives and supporting people to manage their own performance” Dobson (2001, p. 4). This view is also supported by Sharif (2002) emphasising that a sound and grounded PM methodological approach should be aimed at communicating the strategic goals of the organisation in conjunction with discussing perspectives and relevant measures for each aspect. This approach is aligned to the NPM reforms as emphasised by Norman et al. (2004, p. 38) where clear objectives are continually pursued that can coerce and influence achievement, and a means to enhance accountability. The internal PMS

must be aligned to the requirements of the external reporting requirements and goals (Nankervis et al., 1997; De Waal, 2003; Moore et al., 2003; Sharif, 2002; Dobson, 2001; Kramer, 1998; McLean, 1994; Swann, 1991; Bevan & Thompson, 1991).

This era placed impetus on refocusing HRM (refer to Sections 2.1 and 2.4.1.3) from its traditional mainstream administration task-process oriented role to one of having a more strategic focus, aligning employees with achieving the goals of the organisation, and steering the workforce through change (Dessler et al., 2004; Nankervis et al., 1997; Dunphy et al., 1996; Winstanley, 1996; McLean, 1994; Goodsair, 1993; Bevan et al., 1991). There is now more scope for the HRM function through SHRM to focus on adding value to the strategic and operational levels of the organisation (Dessler et al., 2004; Dunphy et al., 1996). In adapting to a PM culture, HRM practices will become more oriented in the assessment of employees and development of competencies to enhance performance (Fletcher, 2001; Bevan et al., 1991). This extends to the recruiting of personnel and ongoing developmental needs that attract and retain the right people, and give them regular training to maintain capacity and currency within the field of SHRM (refer to Sections 2.1 and 2.4.1.3).

There have been opponents of PM practice (Furnham, 2004; Haines et al., 2004) especially in the arena of total quality management (TQM) based on the principles of Deming (1992). This criticism has focused on the fact that PMSs are not compatible with TQM, hinder the quality transformation, and have no place in quality-driven organisations because it focuses on individuals rather than systems (Haines et al., 2004). However, in TQM studies conducted by Haines et al. (2004) this was not supported. The research examined whether a quality emphasis—focusing on continuous improvement to product reliability and customer satisfaction was associated with the adoption of a PMS. The findings identified that “PMS components that are consistent with a quality emphasis have a strong positive influence on PM effectiveness in a quality driven organisation” (Haines et al. (2004, p. 147). This view was further substantiated through the findings of a survey on PA conducted by Nankervis et al. (1997). Cederblom et al. (2002, p. 9) in a case study of PA within the Washington State Patrol similarly support this notion

in that “bolstering TQM will be achieved through focusing on core competencies within a PMS. The main and consistent failure of PA or PMS is the implementation and application practices of line management and its impact on demoralising or de-motivating employees/workforce (Haines et al., 2004; Fletcher, 2001; Winstanley et al., 1996).

2.4.1 But Why Have a PMS?

Winstanley et al. (1996, p. 72) views PM being aligned to “Taylorism,” where performance objectives, measures and monitoring “places PM at the centre of the process for controlling the labour process in the public sector.” Whilst that may align with the thinking of Norman et al. (2004) in terms of the NPM philosophy and accountingization (Hoque et al., 2004) that view has lost its impetus as more recent research emphasises the importance of a strategically aligned PMS. According to Weatherly (2004, p. 2-3) research emphasises that a PMS should be the “key building block” to motivating and developing the human factor within organisations. This means that organisations need information to make decisions on training and development, but more importantly need PMS to remedy performance problems and evaluate that success. Grote (2000, p. 2) further implies that PMS is designed to “forge a visible link between organisational and individual goals to reinforce predetermined core competencies.” A national benchmarking study of American organisations (Grote, 2000) found that best-practice organisations are using PMS as “the primary driver in forcing culture change.” High Government expectations about police performance and the continual scrutiny of performance through the politicisation of safety and security issues significantly highlight the need for a strategically aligned PMS.

2.5 What System Elements should be considered for a Police PMS?

“Though current performance models give the appearance of rational management, in practice ‘there is an absence of rationality because of the absence of understanding about the relationship between input, behaviour, output and outcome’ (Neyroud and Beckley 2001: 121). What is required is a value-systems approach in which managers are enabled not simply to manage resources but to lead the organisation in a direction based on agreed principles and values.”

Long (2003, cited in Newburn, 2003)

Long (2003) has summed up the main issue confronting policing services world-wide in respect to being able to cope with complying with government requirements of accountability through the NPM philosophy and meeting the performance expectations of the government and community (Hoque et al., 2004, Radnor et al., 2004).

For a policing jurisdiction to be better positioned and operate within the NPM context a more suitable PM approach is required that is both tailored to suit a particular environment but is also flexible to contend with emergent issues. In considering what shape and context a policing oriented PMS should take to maintain fit in this order depends on the right elements being present, and the environment in which the policing jurisdiction operates within—no one system or framework will fit every policing jurisdiction strategic and operational activities whether nationally or internationally (Weatherly, 2004; Sharif, 2003; Kramer, 1998; Nankervis et al., 1997; Swann, 1991).

PM is a complex and problematic area but is nevertheless an essential Human Resource (HR) tool that assists to achieve desirable organisational outcomes (Nankervis et al.). This notion is supported by Lawler & McDermott, 2003 (cited in Weatherly, 2004, p. 2) who emphasise that “a great deal of theory concerned with human motivation and human development argues that an effective PMS should be a key building block of every organisation’s human capital management system” A PMS influenced through a strategic human resource management approach and aligned to corporate and business strategy captures the performance of the overall organisation, business areas and individuals (Weatherly 2004;

Furnham, 2004; Haines et al., 2004; De Waal, 2003; Moore et al., 2003; O'Neill et al., 2003; Kramer, 1998; Nankervis et al., 1997; Winstanley et al., 1996; Mclean, 1994; Teo et al.).

The failure of most PMSs has been linked to the limited identification of the true drivers of performance (Macbryde et al. 2003). A number of factors and elements are important in designing a contextually appropriate police PMS. Weatherly (2004, p. 6) emphasises design, development and implementation of a formal system as being important. A claim supported by McLean (1994, p. 1.4-1.8) and Kramer (1998, p.21) and emphasise the design providing a defensible management evaluation system. According to Fletcher (2001, p. 473) there are three different models of PM: 1) performance management as a system for managing organisational performance; 2) performance management as a system for managing employee performance; and 3) performance management as a system for integrating the management of organisational and employee performance. The type of PMS will depend on a number of environmental variables: strategy, the particular characteristics of the organisational structure, spread and systems (Weatherly, 2004; Scott et al., 2001; Fletcher, 2001; Haines et al. 2004), the accountability framework (Hoque et al., 2004; Moore et al., 2003) and the particular human capital factor (Parhizgari et al., 2003; Prastacos et al. 2002). The latter, being the preferred model blending both organisational and individual performance effort.

Bernardin et al. (1998, p. 5-6, cited in Furnham, 2004, p. 93) emphasise three foundations on which to base an effective PMS and design: precision, measurement and constraints. Precision is concerned with accurately defining and measuring performance dimensions (such as function based on efficiency and effectiveness, need for supervision or interpersonal impact) with a focus on valued outcomes. Measurement is about linking performance dimensions to internal and external reporting requirements. A situation also supported by Moore et al. (2003) and Prastacos et al. (2002). Constraints deal with incorporating situational constraints into the PMS to allow for constraints on performance through self and supervisory rating processes. By taking into consideration these elements the PMS should have the ability to ably evaluate performance and use the information to “shape

individual and organisation outcomes” (Furnham, 2004, p. 94). The effectiveness of a PMS is measured on the extent to which employees “actually feel responsible for the results, and their willingness to use the system to obtain performance information which may help to improve the results” Euske et al. (1993, cited in De Waal, 2004, p.304).

So what elements need to exist that are essential to a policing oriented PMS at the District/Division level? Mclean (1994, p. 1.6) points out that in designing a strategically aligned PMS a number of key elements must be identified in the context of an organisation’s needs and characteristics. These elements involve: 1) What are the objectives of the PMS? 2) What is to be measured? 3) What is the organisational focus on measures? 4) What is the nature of the review process? 5) What rating scale is to be used? and 6) What will the form of the design look like? Some of these elements are supported by O’Neill et al. (2003) and Weatherly (2004, p. 6) in analysing the results of a fortune survey that identified a number of critical success factors that also included the linkage to job descriptions, compensation and reward systems. Bevan et al. (1991, p.37) during early research into PMS literature “suggested” that a PMS should have the elements detailed in Table 4.

Table 4—Bevan and Thompson PMS Elements

PMS Elements (Bevan and Thompson)

- The organisation has a shared vision of its objectives, or a mission statement, which it communicates to all its employees
- The organisation sets individual performance management targets which are related both to operating unit and wider organisational objectives
- It conducts a regular, formal review of progress towards those targets
- It uses the review process to identify training, development and reward outcomes
- It evaluates the effectiveness of the whole process and its contribution to overall organisational performance to allow changes and improvements to be made

In reviewing the overall literature on PMS it is evident that the elements and purposes of a PMS have not swayed too much from the research undertaken by Bevan et al. (1991). Most of the elements remain tangible and have relevance in today’s environment. The next sections identify and discuss a range of PMS elements that have relevance within a policing context. These elements are 1) Overall System Design, 2) System Objectives, 3) Performance Measurement 4)

Participation, 5) SHRM and Knowledge Workers, 6) Leadership and Line Management, 7) Rewards/Recognition, 8) Training, 9) Transparency and Publicity, 10) Process Design—Manual/IT Based, and 11) Reviewing System.

2.5.1 Overall System Design

PMSs have commonly focused on individual performance appraisals – training and development, and job competencies (Haines et al., 2004; Nankervis et al., 1997; Winstanley et al., 1996) rather than overall organisational performance. The study undertaken by Nankervis et al. (p. 89) emphasises that organisations need to integrate their performance appraisals “more closely with organisational outcomes.” This view being an important element in the PMS design that is supported by Weatherly (2004), Kramer (1998) and McLean (1994). The need to ensure that there is connectivity of organisational strategic outcomes and reform with SHRM and PM is paramount. SHRM cannot operate in isolation to a PMS, it must be in unison to ensure a collective focus on organisational objects. The PM needs to move towards being an overarching system that encompasses a number of components that include appraisal, strategic planning and goal setting (Radnor et al., 2004; Coutts et al., 2003; Vickers et al., 2001).

So what will a PMS deliver? What should it deliver? Furnham (2004, p. 83) in undertaking research into PMS identified that in America PMSs may accommodate different purposes as outlined in order of relevance in Table 5.

Table 5—American PMS Purposes

Table : Purpose of PMS	
1. Improving work performance	9. Better working relationships
2. Administering merit pay	10. Helping employees set career goals
3. Advising employees of work expectation	11. Assigning work efficiently
4. Counselling employees	12. Making transfer decisions
5. Making promotion decisions	13. Making decisions about layoffs and terminations
6. Motivating employees	14. Assisting in long-range planning
7. Assessing employee potential	15. Validating hiring procedures
8. Identifying training needs	16. Justifying other managerial actions

Source: Furnham (2004)

Hartle (1994, p. 96-97) in commenting on the relevance and process of PMS, identified the main purposes of PMS as encompassing the following elements as

listed in Table 6. As emphasised by previous researchers into PMSs there is commonality in what a PMS should be concerned with and what elements should be included. Hartle (1994) views the PM process as being part of the planning cycle and should be part of an integrated system.

Table 6—Hartle PMS Elements

PMS Elements

- Strategy and objectives
- Job definition
- Objective setting
- Coaching and counselling
- Performance Review
- Skills training
- Performance related pay
- Training and development

Source: Hartle (1994)

An organisation needs to look at what it wants to achieve through PMS and assess its compatibility with the structure and strategy (Furnham, 2004). Kramer (1998, p.21) emphasises the importance of appropriate individual organisational PMSs because of the uniqueness of each policing agency such as: size, jurisdictional type, and size, vision, and mission, geography, funding levels, community and political expectations.

Fletcher (2001) identified three types of PMS and the need for an organisation to identify what a PMS will achieve in terms of a mechanism that can develop and motivate people (refer Section 2.5, p. 48). Most researchers agree that the PMS should be constructed to get the best out of the human capital investment (O'Neill et al., 2003; Prastacos et al., 2002) and aligned to corporate and business strategy that captures the performance of the overall organisation, business areas and individuals (Weatherly 2004; Furnham, 2004; Haines et al., 2004; De Waal, 2003; Moore et al., 2003; O'Neill et al., 2003; Kramer, 1998; Nankervis et al., 1997; Winstanley et al., 1996; Mclean, 1994; Teo et al.). Lawler & McDermott (2003, cited in Weatherly, 2004, p. 1) supports the PMS concept in that "Organisations, meanwhile, need performance information to direct training and development resources to those individuals who can gain the most by them. Finally organisations need performance information to correct performance problems and assess the effectiveness of their improvement efforts."

2.5.2 System Objectives

PMS is an instrument that influences employees and supervisors understanding and create synergistic thinking about the organisational goals and mission (Scott et al., 2001). PM evaluations are an effective way in which to communicate and reinforce organisational values (Furnham 2004; Weatherly, 2004; O'Neill et al., 2003; Moore et al., 2003; O'Neill et al., 2003; Australian Public Sector Commission, 2001; Kramer, 1998). In designing a system it must be amenable to the environment in which it operates, and meet the specific needs and characteristics of the individual organisation. Whilst the NPM emphasis requires an organisational performance focus, PM should not focus just on the organisational results, but the individual, team, business area and overall organisation (Weatherly, 2004; Prastacos et al., 2002; Kramer, 1998; Nankervis et al., 1997; McLean, 1994).

The PMS must link into organisational outcomes within NPM and governance approaches, and fits in with the external and internal control systems (Furnham, 2004; Moore et al., 2003). As found in a case study of the QPS by (Hoque et al., 2004, p. 75-76) from a District perspective—regional office budgeting is linked into PM for external and internal reporting requirements in managing and achieving outcomes, and from an individual perspective “each police officer is expected to set the goals and objectives that they wish to achieve within a financial year.” The objectives and goals of each must be aligned to the overall organisational strategy and be achieved (Latham, 2003). The main purposes of a PMS (adapted from those identified by Furnham, 2004 in Table 5 and Hartle, 1994 in Table 6) within a policing environment should focus on the suggested objectives within Table 7 .

Table 7—Suggested Policing PMS Objectives

Suggested PMS Objectives in Policing

- | | |
|--|--|
| 1. Linkage to organisational Strategy and objectives | 8. Public recognition—reward |
| 2. Influencing a performance culture of shared values | 9. Identifying training needs/training and development |
| 3. Job definition | 10. Assisting in long-range planning |
| 4. Objective setting—assigning work efficiently | 11. Assessing employee potential/ Helping employees set career goals |
| 5. Continuous communication—advising employees of work expectation | 12. Making promotion decisions |
| 6. Coaching and counselling/better working relationships | 13. Counselling employees for poor performance |
| 7. Motivating employees/Improving work performance | 14. Making transfer decisions |
| | 15. Making decisions about employment options |
| | 16. Justifying other managerial actions |

The objectives as well as taking into account overall performance must also provide for poor performance issues and management. Management of poor performance is a particular problem within any PMS where the rater/ratee or officer/supervisor relationship is tested and avoided to the demise of the overall system (Weatherly, 2004; O'Neil et al., 2003; McLean, 1994). Providing design mechanisms to manage this sensitive issue must be progressed in a fair and just environment and at the same time being industrially defensible. Mechanisms in dealing with poor performance will form part of the overall design that is intrinsically linked to training and development, and to motivational factors through a SHRM knowledge environment.

The design of the PMS may encompass a number of criteria relevant to the specific functions of the organisation, business area or team. Grote (2000, p. 9) in studies of some American public sector agencies identified: 1) Categorising groups according to skill demand; 2) The importance of reinforcing specific organisational competencies or "core values" – values or competencies that an organisation expects from employees no matter where positioned; 3) "Performance essentials" skills or proficiencies that are narrower than the core values; and 4) Competencies that vary from group to another dependent on the functionality of a group or area. Grote (2000) recognised the importance of this innovative concept in that the PMS was adaptive to the various divisions of task/function within an organisation. Cederblom et al. (2002) in a case study of the Washington State Patrol identified a new appraisal approach. The new approach comprised of three Sections: 1) core dimensions intended to apply at all levels of officers, 2) A Section focusing on the officers' efforts toward local strategic objectives, and 3) a Section for ensuring knowledge of critical job practices Cederblom et al. (2002, p. 135) that are aligned to those identified by Grote (2000).

Haines et al. (2004, p. 152) in studying PMS design in quality organisations found that performance practices focusing on skill development used competency-oriented criteria and task-mastery performance criteria and training needs analysis as a coherent set of performance practices was not generally used. The setting of objectives should be more about managing performance rather than measuring it

(Winstanley et al., 1996). The researcher also emphasises that there is sometimes a conundrum with setting job related performance objectives and advocates the use of SMART (simple, measurable, agreed, realistic and timely) objectives method in remedying this dilemma, an approach also supported by Grote (2000).

2.5.3 Performance Measurement

Skills and knowledge will differ from one group to another, therefore it is important to recognise the diversity and attributes within the operating environment and develop rating scales appropriate to the area. Having a PMS focusing on performance variables rather than personal traits will enable its effectiveness Smither (1998, cited in Coutts et al., 2003, p. 68).

Finding the right measurement is a perplexing problem that has challenged organisations and is identified as the main barrier to the use and acceptance of PMS. The move towards more objective behavioural measurement rather than subjective measurement that has managerial and supervisor rater bias tendencies is becoming more appropriate within PMSs. However, the reliance on objective measures may lead to managers and supervisors focusing on those things that are easy to measure, resulting in a skewed organisational performance. This is emphasised by Lipe & Salterio (2000, cited in De Waal, 2003, p. 689) in which studies “found that managers’ cognitive limitations may prevent organisations to fully benefit from a PMS, and that cognitive differences between managers may lead them to use the PMS differently.” This is also supported by Smith, Harrington & Houghton (2000, p.24) in conducting their research into PA discomfort, found that the related cognitive literature indicated that organisational values and culture are influenced, through what the raters think about when conducting appraisal evaluations. The system must focus on vital measures (Furnham, 2004; Weatherly, 2004; Norman et al.; McLean, 1994; Kramer, 1998) that articulate a clear vision, expectations, and a confidence in major goal achievements enabling the construction of momentum through an engaged and collective workforce.

Team Ratings

Team ratings take on a different perspective compared with individuals. Measurement will depend on the task, tenure, stability of the membership and

work time. In undertaking research into teams PM MacBryde et al. (2003) found that traditional methods used in measuring individuals and business units (on function) were used to measure teams PM and that gaps in performance were found. Scott & Einstein (2001, p.108) and Deming (1992) support the use of outcome-focused appraisal for teams but not for individual team members because of the interdependency of tasks. MacBryde et al. (2003, p. 727) conclude that there are three components within the formation of team context, "the task or process that the team is responsible for, the team itself, and the organisational context in which the team operates." The study concluded that there was no team analysis component within PMS frameworks.

Individual Ratings

Ratings for individual performance will need to ensure they capture both a contextual performance perspective – subjective (personality and motivation) and a task performance/goal oriented perspective – objective (cognitive ability, skill and experience) measures (Kramer, 1998; Fletcher, 2001). Rating scales that may be nominal, ranking or interval measurements need to be determined and consistent that provides line management with an equitable evaluation platform.

Overall Ratings

Overall ratings from a business area and organisational perspective will be evaluated through organisational performance rating requirements. Ratings used for each area need to be calibrated to enable organisation-wide consistency when applied by managers and supervisors (O'Neill et al., 2003). O'Neill et al. (2003) view this factor as being a particularly important part of the PMS as the lack of consistent measurement standards will cause employee confusion and anxiety. In a survey of 300 large American organisations (O'Neill et al., 2003) results indicated that "consistent, demanding standards of performance foster a high performance culture" and that at least 50% of the survey participants had critical measures of employee performance in place. This emphasises the obvious importance of having the right measures in place. However, in considering the differences between PA and PM, PA will require measurement that provides a fair and equitable basis to enable assessment for stepped organisational salary increments managed by HR. PM on the other hand will require measurement that will enable

leaders and managers to develop, direct and influence personnel, has wider application and is activated by relevant area and business managers.

Tziner, Joanis & Murphy (2000) undertook research into the rating scales developed and applied at a large Canadian Metropolitan Police business area. The representative population sample consisted of 28 Sergeants and 18 Lieutenants. In that study the researchers identified three rating scales types shown in Table 8.

Table 8—PM Rating Scales

Rating Scale Format	Description
Behavioural Observation Scale (BOS)	Ask raters to report the frequency of specific job-related behaviours
Behavioural Anchored Rating Scale (BARS)	Use behavioural statements to illustrate levels
Graphic Rating Scale (GRS)	Ask raters to provide general evaluations of ratees' performance in specific areas

Source: Tziner et al. (2000, p. 176)

The crucial element in the PMS design is getting participant satisfaction with the appraisal method (Tziner et al., 2000). Further, this will also have different impacts if the appraisal application is linked to pay increments. The use of rating scale formats that focus on particular behaviours has a positive impact on the ratee/rater comfort and acceptance of feedback (Petit & Haines, 1994, and Latham, Fay & Saari, 1979 cited in Tziner et al., 2004, p. 177). In an assessment of the three scales the researchers found that BOS and GRS were superior to BARS in terms of ratee satisfaction. BOS should provide behavioural information where developmental goals can be “structured around improving those specific behaviours” (leads to more specific individual goals), whereas “GRS and BARS represent a supervisor’s evaluation of what occurred.” In achieving a less subjective assessment the BOS rating scale is more appropriate and is “less prone to cognitive distortions” Tziner et al. (2000, p. 186). However, subjective measures will still remain in terms of measuring the qualities of leadership, integrity and teamwork (Kramer, 1998).

The essence of the acceptance of PMS by organisation employees will rely on the right performance standards being put in place. The use of BOS is one method in

ensuring that fair and just ratings are made without rater bias. It is also important not to define standards too clearly otherwise this may have a counter-productive effect where other things not explained or missed will be ignored (Furnham, 2004). According to Murphy & Cleveland (1995, p. 265, cited in Furnham, 2003, p. 87) appraisal accuracy will be improved when: "1) good and poor performance are clearly defined; 2) the principle of distinguishing among works in terms of their levels of performance is widely accepted; 3) there is a high degree of trust in the system; 4) low ratings do not automatically result in the loss of valued rewards; and 5) values rewards are clearly linked to accuracy in performance appraisal."

2.5.4 Participation and Communication

It is important for employees to know what they are being measured against, why that measurement, and how it is being done. Participation in the setting of goals will influence ownership, satisfaction and synergy of effort. Employees expect accurate, meaningful and timely feedback on their performance so that performance can be realigned with the evolving goals of the business area and organisation as a whole (Furnham, 2004; Moore et al., 2003; Coutts et al., 2003). Regardless of the measure it is important for the employee to see the relevance of the performance indicators that have to be achieved in tune with performing tasks. Therefore emphasis is placed on managers and supervisors to ensure that goals are made clear and understood, and the appraisal is undertaken fairly, clearly and explicitly (Coutts et al., 2003; Kramer, 1998; Anderson, 1994).

"The degree in which one feels responsible is expressly different from the degree in which one is made responsible" (De Waal, 2004, p. 304). Kramer (1998) emphasises that where a PMS allows the participation of employees' equal input to the performance evaluation process it will work best. This is supported by De Waal (2004) who signifies the fact that the degree of responsibility that employees will feel for their performance results, will depend on the relevancy of performance indicators. This is also relevant in the planning and design where it is important to have employee input with the process so that the system is understood from the ground up (Furnham, 2004, Weatherly, 2004, O'Neill et al., 2003; Roberts, 2003; Coutts et al., 2003; Smith et al., 2000, Dobson, 2001; McLean, 1994, Bevan et al., 1991) and there is active contribution to the measures and assessment standards. A

system that allows for employee/participants to have equal and fair input, and provides clear targets/objectives, will work the best.

Targets/objectives need to be determined and owned through engaging the officers/employees that have to achieve them. Officers/employees need to know *why are we doing what is being measured* (Long, 2003) so that the measures are relevant to the work being performed and can be evaluated through equitable and appropriate ratings. Vosselman (1999, cited in De Waal, 2004, p. 305) supports this notion emphasising that the need to influence performance results “asks for involvement of organisational members in defining the right performance indicators for their responsibility areas.” A unified and committed approach through common values will facilitate effective individual and organisational performance (Weatherly, 2004; Kramer, 1998;) with the absence of guiding cultural values often resulting in the opposite.

2.5.5 SHRM & Knowledge Workers

SHRM is particularly important to enable the preservation of organisational assets. In those terms, the knowledge (explicit and tacit) of workers within an organisation becomes an asset that has to be garnered and managed (Whicker & Andrews, 2004). Most of the important knowledge types cannot be separated from particular human capital work groups, and the means in which these groups and the knowledge is managed has implications for organisational performance (Newell, Robertson, Scarborough & Swan (2002). In garnering and managing that knowledge, it is important that the characteristics of knowledge workers as distinct employee groups is recognised and used to enhance organisational strategy (Newell et al., 2002). Mintzberg (1994) supports the notion that to enable better progression of complex tasks, performance and maintain organisational direction that groups or project teams of like workers with special skills and knowledge is the most logical approach. This is particularly important within the WAPOL where pockets of workers throughout the organisation have particular skills and knowledge to deal with the specific issues relevant to the area of expertise or geography. Enhancing strategic knowledge capability (sourced from core competencies) and the emergence of other capabilities will enhance an organisation's performance and maintain a strategic fit (Whicker et al., 2004;

Dunphy et al., 1990). According to Whicker et al. (2004, p. 158) in order for an organisation to maximise the benefits of knowledge:

“HRM must: provide expertise in understanding the defining firm-level strategic knowledge capabilities; develop and manage knowledge workers by leveraging the knowing – learning – doing nexus; build knowledge value as an organisational as well as an individual asset; and minimise the organisation’s knowledge risk associated with loss of requisite capability and knowledge.”

Police officers are classified as proficient knowledge workers according to Luen & Al-Hawamdeh (2001, cited in Collier, Edwards & Shaw, 2004, p. 458-9) because of the need to perform their duties, officers have to be “able to access, assimilate and use knowledge effectively to discharge their duties.” Whicker (2004, p. 159) identifies knowledge workers as those that “solve challenging and complex problems relying on imagination and creativity and high levels of education and skills.” This notion supports the role of police officers in undertaking operational duties, the roles of police support staff in specialist administrative support roles and certain team functions. Organisational spread creates knowledge clusters (such as knowledge in operations, budgets and resources, performance in particular areas, community issues, planning etc) throughout the organisation in which the information becomes useful in undertaking organisational activities (Collier et al., 2004). The SHRM function supported through a strategically aligned PMS needs to move the current emphasis from the “provision, coordination and monitoring of training programs for individual employees” towards “developing the strategic knowledge capabilities of the organisation in such a way that they may be rapidly developed and deployed” (Whicker et al., 2004, p.161). This relates to a significant shift from the traditional HR approach. As iterated earlier, this area is not the main focus of the research and would require undertaking a research project in its own right. However, the area of knowledge management is an important consideration that has to be factored into the design of a PMS.

2.5.6 Leadership and Line Management

Management and leadership have a close relationship especially in the interdependent use of the roles in the workplace Mintzberg (1975). Behn (2002, p. 6) emphasises that the move towards a more performance-oriented and results-

driven approach means that the focus by public managers and employees in following the rules will move towards “improving performance, producing results and adding value.” The performance of organisations can only be improved through the establishment of sound governance and through the motivation of employees through non-coercive means by managers/leaders.

Whilst some research has been undertaken analysing corporate and organisational culture, and performance, research indicates that a strong culture does not necessarily mean a strong performance, and that good corporate performance may result from no formal organisational structure and few formal rules (Kotter & Hesikett, 1992). The authors in this case have ignored individual and team effort/performance, and primarily focused on overall profit bearing organisational performance. However, to instil the ideal PM culture two elements are required if PM is to become an everyday reality: 1) individual and line manager acceptance, and 2) corporate commitment and direction based on a foundation of governance. Element one, which is supported by Kotter et al. (1992, p.92) stating that “middle leaders can make change occur for the CEO.” This is a different viewpoint from the previous claim regarding no structure and informality, an issue raised by Kennedy (2004, p. 166).

The emergence of NPM with the focus on conforming and performing (Norman et al.; Hoque et al.; Wright, 2002) emphasised the importance of a whole of organisational approach hinging on good leadership and management. Orchard (1998, cited in Bradley et al., 2006, p. 92) indicates that “public sector managers have embraced the new management framework.” However, managers need to employ the ideals of PM and commit to its strategic and operational value and application (corporate governance) rather than pretend that they are (Behn, 2002). At the early planning and design stages senior management and strong, visible leadership (through strong communication) will drive commitment of the PMS. Senior management support will influence the line managers to establish the system to enable a collective approach in achieving organisational objectives (De Waal, 2004; Weatherly, 2004; Newburn, 2003; Norman et al., Kramer, 1998; McLean, 1994). Mahoney (1995, cited in Carmeli et al., 2004, p.1260) identifies that the

attributes of the management team (capabilities and skills) may have the potential to meet the requirements for achieving and maintaining competitive advantage.

There appears to be confusion by many officers in relation to understanding the term accountability. According to Mullins (1996, p. 571) *accountability* is defined as *ultimate responsibility*. In illustrating this interpretation, managers have to accept responsibility for the control of their staff, performance of their business area and the resultant outcomes. In other words, the practitioner is responsible to the manager for his tasks, and the manager responsible to higher management to ensure the task is completed. Mullins (1996, p. 572) asserts 'that managers should protect and support subordinate staff and accept, personally, any reprimand for unsatisfactory performance.'

This is reflected by De Waal (2004) in emphasising the importance of management behaviour and conduct—through informal (expressing interests in development and improvement) and formal (through team meetings and using PM information) approaches will demonstrate visible commitment to the PM approach to the employees. Clearer lines of accountability to provide better management and by giving trust (Norman et al.) give line managers the impetus to achieve the intended outcomes. Authorising managers (and employees) to take independent and swift action on problems without having to ask permission will influence performance (De Waal, 2004). Operational managers that have an investment in the performance indicators for a particular business area will be more concerned about the effects of poor performance results if the results reflect on the District/Division performance and will have more impetus to remedy rather than discount and take no action.

In research of the Queensland Public Service undertaken by Bradley & Parker (2006, p. 96) it would seem that public sectors are adapting to NPM effects and desirous of a "more flexible externally-oriented culture" rather the internal process model. This shift away from traditional bureaucracy means that there is some improvement in public sector governance by managers wanting to build on human capital for enhanced performance but managers are still constrained by the ability of organisations to change processes and structures. However, whilst managers

may have embraced NPM, public sector employees still believe their organisations are internally and controlled focused rather than being flexible (Bradley et al., 2006).

In the PMS role management will have to demonstrate behaviour that is both directive (explicitly steer on results) and coaching (give support to employee to achieve results) (De Waal, 2004). De Waal (2004, p.305) denotes the three elements of visible commitment, clear steering and support as being the stimulus for encouraging the desired management style. Visible commitment should be reflected in the style that a manager applies in dealing with his employees on a face-to-face basis, at meetings, using performance information/intelligence to make adjustments and show a genuine concern for his employees. Clear steering is concerned with focusing the employees on the desired performance and is usually characterized by establishing clear goals, planning and monitoring within parameters. Support focuses on motivating employees on performance through participation as previously identified by De Waal (2004) in which employees feel responsible for their performance.

De Waal's notion is supported by Norman et al who in interviews with a number of public sector managers identified clarity of direction being important for improved performance, as the empowered managers, as well as being given trust will perform better. This is also supported by Moore et al. (2003), emphasising the need to distribute accountability throughout the organisation to stimulate motivation and outcomes. De Waal (2003) in studying PM behavioural factors found that the communication of positive outcomes by managers also had the effect of generating better motivation.

Motivation

The commitment to perform is derived from the participation of the individual through his/her function (ability x motivation) (Mullins, 1996, p. 480). Police officers and support staff must believe that they have a personal place within the organisation to perform at an optimum level (Moze, 1989). According to Herzberg (1963, p. 6) "factors in producing job satisfaction (and motivation) are not separate and distinct from the factors that lead to job dissatisfaction." This being

the case, it is important that leaders (team and organisation) understand the factors that drive employees. Leaders must consider the *effects of motivation factors Herzberg (1963, p7), such as hygiene (extrinsic) – organisational policy, supervision, interpersonal relationships, work conditions, salary and status; and motivator (extrinsic) – achievement, recognition* for achievement, the work itself, responsibility and growth or advancement.

Studies validate that employees have a high level of satisfaction with the intrinsic factors and low satisfaction with the extrinsic factors. Prastacos et al. (2002, p. 67) supports this notion in that whilst motivation of employees within a human capital perspective is “extremely complex...emotional payment, including empowerment and encouragement acts complementary’ to other forms of reward. Coaching and mentoring is essential within the workplace and must take into the consideration the human factor and characteristics (Furnham, 2004; Prastaco et al., 2002). Supervisors and leaders must be continually aware of their employees’ values and what motivates them to maintain an operational and strategic focus.

The establishment of a strategically aligned PMS will gather and tether these characteristics into the design to ensure that it motivate rather than de-motivates employees. To enable the alignment of workforce effort with organisational plans and outcomes it is crucial to the organisation having a strategically aligned individual PMS. Whilst there are unique conditions in which a police specific PMS will operate some of the considerations are derived from aspects of PMS requirements that operate within the private sector. Elements will exist in both systems and at the same time there be some unique elements that need to be a composite of the system within a policing and NPM environment.

2.5.7 Rewards/Recognition

Individual compensation, bonus and reward systems are a common PM incentive/element that exists in the private sector to ensure shareholder value through employee retention and motivation. It is not an element that exists within the NPM philosophy or a public sector PMS, other than industrially negotiated Enterprise Bargain Agreements between the Government and respective union based on agreed organisational performance targets.

Motivation (refer previous Section 2.5.6) plays a significant part in maintaining organisational performance. As previously discussed, incentives to motivate employees do not necessarily have to be in terms of monetary incentive. Within the public sector monetary incentives exist in terms of contractual agreements for levels of performance at management levels. There are usually limited monetary incentives for employees at the operational level. It is important for the human capital, one of the intangible elements of the organisation (Carmeli et al., 2004) to be vested within the organisational values that ultimately have an effect on overall performance. As Radnor et al. (2004) found, during a case study of a public health sector in the UK, the payment of a cash bonus did not motivate staff to performance and managers “worked the system” to comply with the requirements. The UK situation highlights the accuracy of PA approach versus a PM approach. As iterated, payment for performance is based on a PA approach designed to determine salary increments based on individual performance against certain performance criteria. The PA approach is normally managed and initiated by the HR area. To overcome the biases associated with this approach the PA forms part of the overarching PM approach for the organisation focusing on personnel development and organisational relevance.

Public recognition is a means of providing reward to employees for good performance through: trophies, certificates, making it known at meetings, advertising in the company newspaper, letters of thanks or by celebrating at a ceremony. Haines et al. (2004, p. 152, 157) assessed public recognition in terms of how effective performance was recognised. The results of their survey indicated that public recognition has an association with a quality emphasis and synergised/motivated employee participation.

2.5.8 Training

The success of a PMS will depend on the application of the system within the operational environment through the knowledge and skills of the persons applying it. Training for supervisors is critical, relative to management components, particularly in PM application and conduct of appraisals to instil a performance culture and increase organisational learning and understanding at all levels. The

effectiveness of an organisation's PMS will be reflected in its impact on overall performance, a prerequisite for ensuring the success of its selection, training, and employee motivation practices (Coutts et al., 2003). The literature on this issue focuses on training aspects concerned with rater's observational skills, reducing judgemental biases, providing objective, meaningful and constructive feedback, and dealing with poor performance.

2.5.9 Transparency and Publicity

An integral part of a PMS will be transparency of the overall appraisal process and alignment with the objectives. Behn (1997, cited in Moore et al., 2003, p. 444) emphasises an influential feature of the PMS is the "visibility and publicity of the reports." The need for performance issues to become public to enable behavioural changes that are aligned with the organisational value is critical to improving individual, team and business area performance. The portability of member performance and skills profiles should form part of the overall PMS that transcends to every part of the organisation. A PMS will not succeed if performance information is kept as a secret when employees move from one business area to another business area otherwise the system will not have validity, reliability and integrity with the overall organisational workforce (Moore et al.).

2.5.10 Process Design—Manual/IT based

The design of a management system that will be able to appropriately accommodate the PM reporting needs of line management and the organisation is important but receives the least amount of effort and focus (McLean, 1994). What format the design takes, either hard or electronic pro-forma, will still require a simplistic but effective approach. Line managers traditionally complain about the impost reporting has on their time and how it interferes with other responsibilities (Weatherly, 2004; O'Neill et al., 2003; Kramer, 1998; Nankervis, 1997) so this is important for reporting and rating consistency organisation-wide.

2.5.11 Reviewing System

Emphasis is placed on having a PMS that can adapt, and be fine-tuned from one temporary condition to another through feedback and review, essential to an organisation maintaining its strategic position. Success of such a framework places

importance on the understanding of performance elements and their connectivity with human resource management strategy aligned to corporate and business strategy within NPM. As corporate and business strategies change through government and community desired outcomes, the system itself must also evolve to fit the new culture through learning and feedback to accommodate operational realities (Furnham, 2004; Weatherly, 2004; Newburn 2003; Norman, et al.; McLean, 1994). Importantly periodic system assessments (Weatherly, 2004) will ensure that the system also maintains relevance with the organisational vision, mission and values, and that the various components are aligned to ensure organisational consistency and direction. Periodic assessment of the overall system is: essential in providing timely adjustments of organisational direction and objectives to line managers; critical to effective communication and implementation from a 360 degree perspective; and more importantly communicates and reinforces organisational behaviours and objectives/priorities.

In this part of PMS the exchange of horizontal information between policing Districts/Divisions will enhance awareness of the environment and indicate the organisation's performance. This has the added bonus of enabling the exchange of problems and solutions, fostering a problem-solving and performance-drive organisation (De Waal, 2004).

2.6 Research Framework

At this stage it is important to emphasise that the Roadmap in Figure 1 provides details relating to the research fieldwork and activities associated with the overall study. The conceptual framework provided the foundation for the research focus and the answering of the research questions (Saunders, Lewis & Thornhill, 2003). Importantly, the data obtained to answer the research questions should have linkage to the conceptual framework in Figure 4.

The conceptual framework provides a representation of the concepts identified from preliminary information gathering relevant to the identified problem. The concepts were identified through the First Stage and literature search, and strengthened through the researcher's knowledge and experience. The First Stage

offered preliminary insights into PMS issues from the perspective of respondent officers and a clearer understanding of relevant PMS concepts from the literature reviewed to that point. The outcomes from this stage assisted in aligning the research questions with the framework and vice-versa. The literature review assisted identifying theories and ideas (Saunders et al., 2003; Punch, 1998) that could be tested against the data obtained through the study.

A subsequent literature search identified further concepts and themes relevant to PMS design in a police environment. This situation was a normal occurrence of the research process in which further concepts are likely to be identified or discarded, is an expected and likely effect of taking an exploratory approach through several iterations.

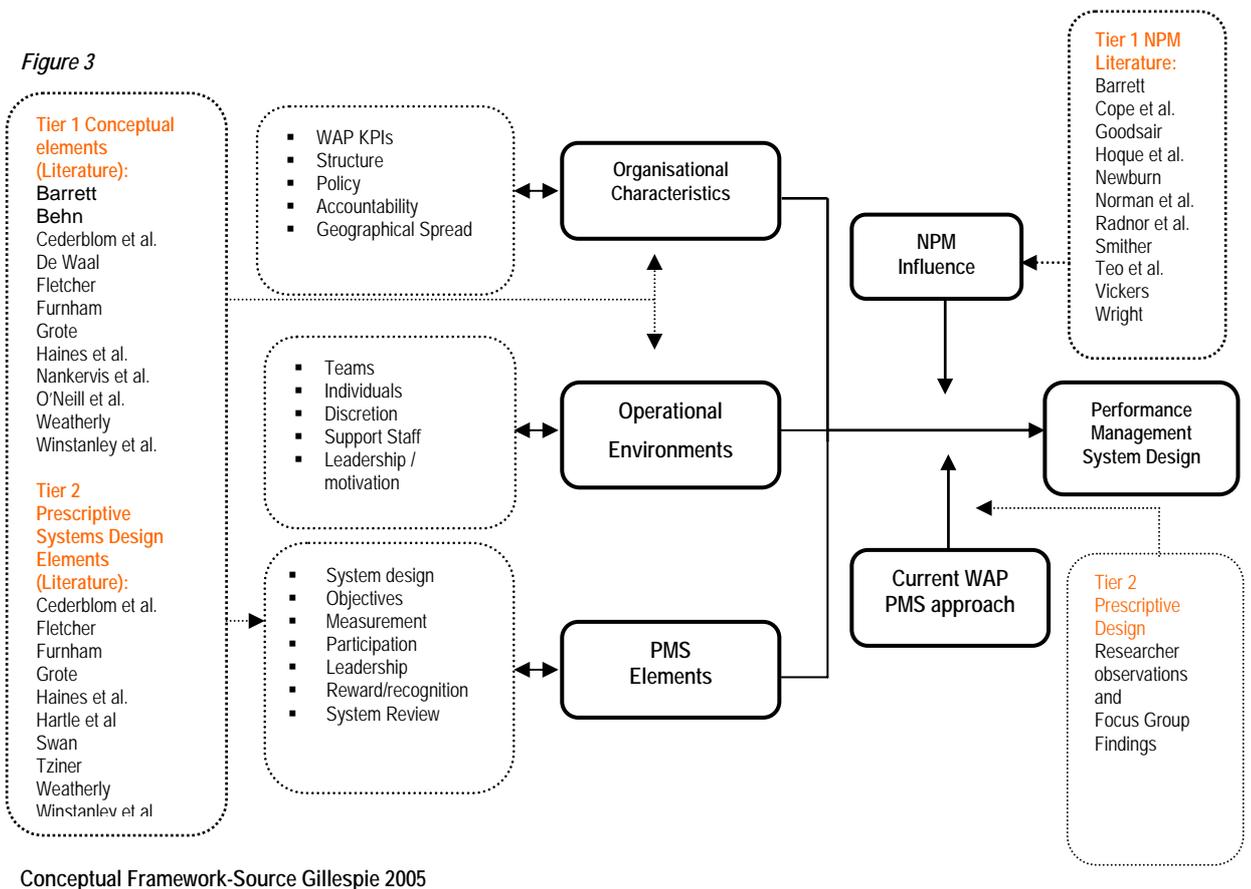
The use of the two tiered research approach assisted in the integration of the data findings with the theoretical and prescriptive ideas, theories and observations looking at the relationships between concepts. In viewing Figure 4, Tier 1 guided the research through a theoretical approach looking at conceptual PM elements focusing on their relationships within organisational characteristics and operational environments within the WAPOL and NPM contexts. Tier 2 guided the research based on literature outlining prescriptive frameworks and principles and systems drawn from within private and public sector and police examples.

A research objective was developed (refer p. 67) that together with the initial information gathering assisted in refining the extent of concepts that contributed to the problem, in unanimity with the development of the research questions. It was important to ensure the link between the data and the questions. The development of the conceptual framework in Figure 4, together with the operational definitions (refer Section 1.6) provided a better insight of the concepts through a descriptive study to comprehend the phenomenon, discover and retrieve the right data to answer the research questions and objective, and assist the methodology approach.

The research focused on a network of associations that enabled the identification of key PMS elements that may influence the design of police related systems within

the NPM environment. Based on the concepts and research questions the central objective of the research was defined as:

To examine and identify key PMS elements within the NPM framework that may inform the design and application of contextual PMSs within the policing environment, and specifically within the WAPOL environment



2.7 Conclusion

This chapter has explored the many theoretical concepts and prescriptive material relating to NPM, and PA and PM applications. The next chapter deals with the research methodology approach employed to obtain data covering both the theoretical aspects of PM within NPM and policing with the practical system design findings drawn from the group interviews' participants. Chapter 4 provides the results of the data analysis from the structured open-ended group interviews' responses showing the linkage with the organisational characteristics, operational environments and PMS elements variables within the conceptual framework. Chapter 5 links and synthesises the theoretical and prescriptive ideas

and theories with the data findings to answer the research questions, and provide insight to key design element and issues for a PMS approach within broader policing and WAPOL environments.

3. RESEARCH METHODOLOGY

3.1 Introduction

Empirical research into PMS design, implementation and impacts within the policing sector, have been based on cases largely derived from the private sector. Researchers have generally used quantitative approaches using questionnaires and surveys as a means to measure the effectiveness of PM with an emphasis on PA.

This study takes a practical focus on PMS design using the researcher's senior management experience and direct access to the target organisation (WAPOL) as an advantage in terms of insights gained, whilst acknowledging the limitations of subjectivity placed on the study. Each step of the research including the research design is outlined in the *Research Roadmap* in Figure 1 that the reader can employ to navigate the study. The primary research questions (broader NPM/Policing, and WAPOL specific in Sections 1.2.3.1 and 1.2.3.2) provided boundaries for the study and confined the effort of the researcher to the problem area where time and resources needed to be managed appropriately. This chapter describes and justifies the qualitative research approach taken, incorporating structure open-ended group interviews, the population sample, and the data collection and analysis process. A two stage data collection approach was taken by the researcher, the First Stage being part of a Business Research Methods unit project, and the Second Stage being the main data collection phase for this research.

3.1 Justification for the Methodology

A primarily qualitative research approach (structured open-ended group interviews (refer Section 3.1.1) was the major methodology used to collect the data and to answer the research questions and objectives. A quality assured systematic data collection and structured content analysis approach (refer Section 3.5) was adopted to support the, exploratory and generative aims of the study that focused on the What? How? and Why? of PMS design informed by the perspectives of police officers from line management and supervisory roles within various operating environments.

The research combined structured open-ended group interviews for data collection, and content analysis for data analysis—identifying and ranking the frequency and percentages of categories and themes. Content analysis also provided a supporting quantitative application in the form of frequencies (recording of words used) and consensus that added another dimension to the collection and analysis of the data, and supported the structuring and reporting of data. However, the main focus of the study was more about “understanding and examining peoples words, action and records rather than analysing through mathematical analysis” Maykut & Morehouse (1994, cited in Cavana et al., 2001, p. 134) from a qualitative perspective. Punch (1998) supports this notion in which a qualitative research approach offers more diversity in trying to explore and understand the true phenomena. Importantly, the approach is about discovering “how humans construct meanings in their contextual settings” Cavana et al. (2001).

3.1.1 Group Interview Approach

The use of structured open-ended group interviews through an exploratory/descriptive approach is more consistent with a qualitative research approach than a quantitative approach (Saunders et al., 2003; Cavana et al., 2001). In considering these views, resource and time constraints, a group interview qualitative method governed by predetermined questions was used for both the First and Second Stages. The First Stage was used to identify broad PM themes, and the Second Stage to generate useful insights into the attitudes and beliefs of officers relating to PM application and process within their specific organisational settings. The approach for both the First and Second Stages is discussed in more detail in Sections 3.4.1 and 3.4.2.

Whilst one-on-one interviews are not dissimilar to group interviews, a group interview approach is likely to draw out more views through group interaction, is more flexible and can be adapted to suit particular situations (Punch, 1998). The group interview approach was able to uncover—what was happening, seek new insights and clarify understanding of the problem (Saunders et al., 2003). A method that is best applied in understanding a problem where questions will be asked of participants either individually or in groups, or observations made from an empirical research perspective (Saunders et al., 2003). The First Stage was

undertaken as an exploratory study to better comprehend the PM relevancy and application within WAPOL line management. This was able to be undertaken with a population sample with the least researcher interference. The Second Stage was undertaken as a descriptive study to generate deeper insights into PMS design elements for the researcher from individual and organisational perspectives (Cavana et al., 2001).

Using the group interview approach (refer Section 3.1.2) the researcher sought to elicit responses to a structured predetermined set of questions or themes identified in the preliminary research stages (refer to roadmap Figure 1) and contributed to the PMS design recommendations in Section 6.1. This allowed the groups to interact in a way that assisted in “the production of data and insights that only the group would generate” Morgan (1988, cited in Punch, 1998). A well facilitated group interview can be the catalyst or activator in identifying issues that may or would not otherwise have surfaced through other research methodology. There are some benefits in group interviews – the approach allows a variety of views and issues to emerge and enables the groups to discuss these views or issues (Saunders et al., 2003). Importantly, the group interview approach extracts direct data on the issues being researched and identifies similarities and disparities in participants’ opinions Morgan (1998, cited in Cavana et al., 2003). Punch (1998) supports this view and further implies that the group interview approach is “inexpensive, data-rich, flexible, stimulating, recall-minding, cumulative and elaborative.” The approach assisted the researcher to explore and explain particular ideas and concepts that contributed to answering the research questions and meet the objective.

3.1.2 The Two Stage Approach

In this research particular emphasis was placed on the First and Second Stage groups being interviewed having varied experiences in the operating environment relating to managerial and supervision roles, with the probability of participants having similar beliefs and opinions on the research focus.

The First Stage was part of a preliminary Masters focus that broadly explored issues that impact on PMS design from managerial perspectives. The findings

enabled the broad identification and ranking of relevant PMS design elements that would be further and more deeply explored by the Second Stage approach. The Second Stage, building on from the First Stage findings was more specific in extracting more detail on PMS elements and themes. This approach ensured that the extent of the group sample opinions and views was fully explored based on depth of insight rather than the sample breadth.

The Second Stage took a more structured approach (through descriptive study) and was chosen to enable the groups to remain focused on the relevant research areas. This enabled the researcher to gain a more enhanced appreciation of themes. The approach also assisted the researcher to manage the groups within existing timeframes and resources. Because of time constraints the group interview approach allowed the researcher to interview a large number of people rather than trying to interview individuals that would be time consuming and more expensive in terms of travelling.

The type of data that was collected from the group interviews was considered to be more appropriate by the researcher to enable the identification of sub themes that emerged in each session in response to the dominant themes of the research. This data could then be examined through the use of content analysis – coding data and the identification of categories. This also provided the researcher with a deeper insight into themes that would inform PMS design elements ensuring alignment with the research focus.

Taking this approach within the research design enabled a better appreciation of the actual human picture within the WAPOL organisation, and provided rigor and reliability as to the true opinions and views of the officers and support staff within the sample. The hallmarks of a qualitative research (Xuang – lecturer on Business Research Methods, Edith Cowan University – personal communication, 23 September 2004), credibility, dependability, designing, conducting and documenting were used by the researcher to enable rigour, reliability and validity for this study.

3.2 Group Interviews—Structured Questions Development

Questions were predetermined for the both the First and Second Stage group interviews to enable more focused data outcomes that were aligned with the conceptual framework and research questions. Structured open-ended questions were used to get the interview going and to keep it moving (Cavana et al, 2001).

3.2.1 First Stage Questions

The First Stage was used to broadly identify issues that impact on the application and design of a PMS from business unit managers/Officers in Charge perspectives, and aligned to the objective of this Masters research. The First Stage group interviews conducted with two different groups (Officer Development and Key Sergeants Conference) were posed with two questions (refer below) that would encourage discussion, generate views and identify broad issues relating to PM themes and to identify and rank elements that impact on PMS design. The following two questions were developed for the First Stage group interviews:

When establishing a PM approach in your business area:

- 1. What elements will assist you?*
- 2. What elements will hinder you?*

Further, the First Stage provided more scope relating to the conceptual framework and research questions to sharpen the research focus, the identification of key issues and fine tuning of the methodology employed for the Second Stage. This resulted in a more rigorous, reliable and valid methodology that would unearth the right data to answer the research questions.

3.2.2 Second Stage Questions

As iterated, the First Stage findings were used to further refine the Second Stage research and provide more investigative objectivity through a more structured group interview approach. This led to the development of six group interview questions focusing on specific PMS design themes. The questions permitted the researcher to deeply probe the elements and issues that would contribute to a good PMS design in a particular environment, taking the study into a more specific area of research than the First Stage. This enabled research objectivity and focus to elicit

the right issues, and that the data were collected and recorded in an orderly way to enable better management of the data and analysis to answer the research questions. The following six pre-established questions were developed for the Second Stage group interviews:

When establishing a PM approach in your business area:

1. *What are the KPIs/outcomes of your District/Division/business area?*
2. *What should be measured?*
3. *How should it be measured?*
4. *What design form should the PMS take?*
5. *What elements are essential to it working?*
6. *What elements will assist you?*

3.3 Research Procedures—Sampling

In undertaking the research it was important to ensure that the sampling unit (a single element or group of elements subject to selection in the sample) represented the target population group within the WAPOL. The First and Second Stage samples spread assisted the study in determining the prevailing elements that exist in the current approach or need to exist in determining a more enhanced approach to PM. The First and Second Stage data collections (groups) were based on a non-probability sampling design using purposive sampling. This sampling approach according to Saunders et al., (2003) allows the researcher to make judgements in relation to the sample selection that will best enable the answering of the research questions.

This is supported by Cavana et al., 2001) in that using this sampling method allows the researcher to target the appropriate persons who are better positioned (within an organisation) to provide the right information to answer the search questions. In this case whilst there are a number of positions spread across the WAPOL it was better to target Managers/Officers in Charge and supervisors from a variety of Districts and Divisions who would be able to identify relevant emergent themes associated with PMS approaches and design. The purposive sampling also contributed to limiting disruption to frontline and organisational requirements. It

was important for the researcher to ensure that the sample was sufficient to collect reliable and valid data to understand the participants' true experiences within their environment (rather than statistical validity) relevant to PM approaches Jackson (1993, cited in Cavana et al., 2001). Focusing on participants' experiences for this study to obtain the right qualitative data was the primary consideration to identify the true themes and issues, not just statistics.

3.3.1 First Stage Group Interviews Sample

The First Stage was used to assist identify some broad issues relating to PM application and design from business unit managerial perspectives, and provide further research objectivity for the Second Stage within the Masters Research proposal. The First Stage consisted of two group interview sessions. The first session group interview sample was drawn from the Officer Development Course (ODC) consisting of 24 State-wide participants (20 male and 4 female). The participants were not selected by the researcher but through the normal course admission process. The second session group interview sample was sourced from a Central Metropolitan District Key Sergeants' Conference (CMDKSC) consisting of 22 participants (20 male and 2 female—including police support staff). In progressing with a sample design, a non-probability sampling approach was adopted where the sample selected was based on personal judgement and convenience. As iterated purposive sampling was chosen as the most appropriate technique because of the particular characteristics and demographics of the selected sampling unit—a group of Managers/Officers in Charge (Sergeants to Inspectors) undertaking professional development. This purposive sample level was targeted on the basis that the officers have accountability for managing business units (E.g. Detectives Office, Police Station, and the ODC is usually comprised of broad State-wide representatives), and its frontline and administration experiences in respect to the implications of PMS applications.

Participants from the ODC in this study were provided with a letter from the researcher outlining the research and the research questions to be asked. The group interview session formed part of an overall strategic management presentation. All participants consented to being involved in the group interviews. Participants in the CMDKSC group interview were registered conference

participants who were informed of the scheduled presentation and data to be obtained at least two weeks prior to the conference. The conference participants agreed to participate in the group interview. As emphasised earlier the First Stage group interviews were conducted as a group approach (varied from the Second Stage) that assisted the researcher in determining a better research approach, methodology and refinement of the research questions for the Second Stage.

3.3.2 Second Stage Group Interviews Sample

Group interviews were conducted in seven operating environment categories within the WAPOL covering District, Division and Specialist policing areas as identified in Table 9. The sample size consisted of 38 participants of which 33 were male and 5 female. Again, purposive sampling was used to focus on the rank levels of Senior Constable, Sergeant and Senior Sergeant, and police support staff level categorisations within the WAPOL operating levels shown in Table 9.

Table 9—2nd Study Operating Environment Sample

Operating Environment	Group Size	Gender Mix		Rank				
		M	F	PC	S/C	Sgt	S/Sgt	S/Sta
Police Academy	6	5	1	1		5		
South East Metropolitan District	5	5			2	1	2	
Commercial Crime Division	5	5		1	3	1		
Wheatbelt District	7	4	3		3	3		1
South Metropolitan District	7	7			1	4	2	
Community Safety Division	4	4			1	1	2	
Police Operations Centre	4	3	1		1	2		1

Source—Gillespie 2005

The purposive sample size of 38 participants provided a wider population sample rather than relying on a proportionate sample of the various levels of the overall organisation. Importantly, the study focused on all levels of the organisation with an emphasis on line managers and supervisors. It was important in this part of the methodology to ensure that the sample population targeted, provided the research with a much truer reflection of how the various groups responded and imparted

more insight as to their actual beliefs and thoughts about PMS design within the organisational context. Each level had varying dynamics such as gender mix, number weighting, age, explicit and tacit knowledge, culture exposure and effect, and geographical and operational impact. The study was applied at a broad scope of the WAPOL operating environment providing greater reliability on the data and a truer indicator of the current variable relationships (organisational characteristics, operational environment and PMS elements) and identification of PM related themes and issues. The data gained in this study was used to further validate the broad theme data collected in the First Stage and vice versa, especially through the more structured open-ended group interview approach guided by the six predetermined questions.

Importantly, as the WAPOL is progressing with increasing the ratio of women officers, the group interview samples (First and Second Stage) also captured a more highly representative group of women from the policing and police support backgrounds. In trying to obtain reliable and valid data (breadth of target population and experiences) that can withstand scrutiny and testing, the women representatives provided a feminist point of view to the research (science) that is normally based on a masculine perspective Blaikie (1993, cited in Punch, 1998).

Volunteer group interview participants were requested through emailing WAPOL District/Division senior managers in the seven operating environment areas with the consent of the Commissioner of Police, for the Second Stage. Group Interview Information Packs were forwarded to each of the seven areas for the identified participants approximately three weeks before the group interviews commenced. Each participant was contacted to verify the participation and a schedule prepared for the group interviews.

Seven sample areas (refer Table 9) were chosen so that the researcher was able to travel to the various locations (within the metropolitan and country areas) and apply the right time frame to enable better interaction with the participants and undertake the group interviews through a quality approach.

3.4 Research Procedures—Data Collection

The group interview method taken by the researcher was a structured open-ended approach through the development of predetermined questions facilitated and moderated by the researcher. In the First Stage two group interview sessions were conducted through the ODC and CMDKSC forums. During the Second Stage the researcher conducted only two group interview sessions per day to ensure time management and more importantly more accurate recording of the data. Taking a more structured approach enabled the group interview participants to answer the same questions, in the same order to explore the specifics of the topic, and assisted in the collation of the data (Punch, 1998). This enabled better canvassing of the concepts through the questions to gain better insights into the identification of key issues and design element for an effective policing PMS.

The data collected was only as good as the empirical research undertaken and on which the data was based (Punch, 1998). As indicated by Cavana et al. (2001, p. 153-154) the group interview data collection method is very similar to the interview process and was based on six factors: investment in entry and exit times; the ability to listen; questioning by the facilitator to guide and control interactions; the use of paraphrasing to reassure participants that they are being heard; probing by the facilitator to uncover all the required data; and the facilitator encouraging responses to ensure the right level of involvement and understanding.

It was important for the facilitator (researcher) to maintain control in conducting the group interviews to ensure that there was no dominant groups or individuals, and at the same time play a neutral role (Punch, 1998). The average or ideal size of such groups to ensure the right conditions to interact and collect data is considered to be between about four to ten participants. The First Stage group interviews (refer Section 3.3.1) consisted of the overall participant size, whereas the Second Stage (refer Section 3.3.2) groups consisted of an average six participants in which the researcher was able to be maintain control in the conduct of the group interview (Saunders et al., 2003). The smaller group interviews allowed the researcher to interact more with the participants to enable better discussion on the issues raised (Ghauri et al., 2002).

3.4.1—First Stage Group Interviews

The First Stage group interviews were conducted through the ODC and CMDKSC groups over the period 23 April 2004 to 31 August 2004. In maintaining objectivity participants were approached by the ODC and CMDKSC facilitators and researcher and fully informed about the research intent, the Commissioner of Police consent and support for the research (provision of a letter), and intended data collection to ensure that the best responses (tacit knowledge) were extracted in confidence. It was emphasised that contributions were voluntary and would be recorded in an unbiased way. This was especially important to enable participants to volunteer their views and beliefs honestly rather than “going through the motions” because the Commissioner of Police supported it.

Prior to the group interview sessions the participants had been presented with a learning module on strategic management and its connectivity with PM including definitions of terms used in the group interview approach. The same definitions were presented to the Second Stage participants.

The CMDKSC sample consisted of a five table group comprised of mixed ranks and gender. The ODC sample consisted of six existing separated groups comprised of varied rank, work experiences and responsibilities. The participants were asked to discuss the questions (refer to Section 3.3.2), and collate their data (on butcher’s paper) that was presented to the class, tutor and researcher through a selected spokesperson. A time limit of twenty minutes was placed on the groups to discuss and answer the questions. Each spokesperson presented their group’s ideas and answers and some discussion was encouraged on some of the commonalities between the groups and the issues affecting PM. The discussion entailed clarification of issues raised by and between presenters and Table groups on the commonality of the issues raised and perceived difficulties. Notes were recorded and used for reference by the researcher.

3.4.2 Second Stage Group Interviews

In undertaking the Second Stage group interviews State-wide, WAPOL senior management approval and support for the research and records access was sanctioned. Whilst a letter of support was provided to the researcher from the

Commissioner of Police, a further letter of support was obtained to undertake the data collection intra-State and inter-State. The letter was developed to outline the intent of the research to be undertaken, and the researcher's authority to conduct group interviews State-wide in consultation with the various Portfolio heads and District/Division Superintendents.

The Second Stage was conducted between 30 April and 30 June 2005. In maintaining objectivity participants were informed of the intended group interviews' purpose through an email communication and information package. A Group Interview Package (refer Appendix 3) was prepared outlining the process, definitions and the six structured questions (refer to Section 3.3.2) to be asked. The use of the term "Focus Group" in the package was not amended (to Structured Open-ended Group Interview) because of time and constraints. Each Package contained the following:

- *Original Information Consent Document* (for signing by the participant)
- *Copy Letter of Introduction* from the Commissioner of Police
- *Copy Information letter*
- *Copy Information Consent Document*
- *Work sheets* (Questions 1 to 6)
- *Comment Sheet*

Prior to the commencement of each group interview an entry interview (refer Appendix 4) was conducted by the researcher outlining, the Group Interview Package content, the research and intended data collection to ensure that the best responses (tacit knowledge) would be extracted in confidence. It was emphasised that contributions were voluntary and would be recorded in an unbiased way. Individuals were encouraged to provide responses outside the group responses in a confidential nature.

The group interviews entailed each population sample being grouped into the various line management rank levels with police support staff. This was dependant on the availability of officers and support staff (especially in non-Metropolitan locations). This enabled better communication without persons

having to provide contrived answers that did not reflect the true nature of their feelings as the data would be skewed and be both unreliable and invalid. It was important to provide an environment where each sample group could freely reflect their tacit knowledge through homogeneity. It was particularly important that each group reflect that group's position and values on the current and perceived PM condition. The sample enabled the researcher to fully explore relevant and specific themes and was intended to provide qualitative validity.

The Group Interview Package included instructions on how the group interviews were to be conducted, research intent and definitions. A different group interview approach was taken in this study (compared with the First Stage) in which individuals were requested to provide their views firstly rather than taking a group view. This was important as it enabled active and equal input from all participants. This countered dominance by individuals within any of the groups and ensured the identification of wider range of views and opinions.

The process firstly entailed each individual to answer the six questions using the supplied Group Interview Package forms. Secondly, for each individual to assess each answer and rank scale the answers—the most important viewpoint ranked number one, the next most important two and downwards. Thirdly, at the conclusion of that activity each individual was asked to discuss the questions, their responses and rankings with their group. The group appointed a scribe and spokesperson and was asked to come to a nominal group consensus on what they perceived as being the most important responses for each question and present the consensus through the spokesperson.

The group data was collated using the Group Interview Package for presentation to the rest of the participants and researcher through a selected spokesperson. A reasonable time limit was apportioned for each stage on the groups— to answer the questions, for group discussion and presentations. Each spokesperson presented the groups' consensus where discussion was encouraged on some of the commonalties between the groups and the issues affecting PM. The eliciting of individual and group responses enabled the identification of PMS themes that were able to be analysed using content analysis through word frequency.

The data was collated by the researcher in note form and the group consensus discussions were digitally recorded.

3.5 Research Procedures—Data Analysis Method

The researcher chose the qualitative method, content analysis that used theme frequency to manually analyse both the First and Second Stage group interviews' data. The analysis method was used to enable the development of themes and identification of patterns between the First and Second stages, a view supported by Stemler (2001) and Punch (1998).

The analysis method allowed the researcher to use a theme frequency count to identify, code and categorise themes expressed by the group interview participants, and place them into coding data index matrices. Theme frequency in this research analysis refers to the coding of data through the identification of words and sentences of similar definition or meaning that link to a theme being coded (labelled) to enable data analysis and interpretation by the researcher (Stemler, 2001; Punch, 1998). The analysis enabled coding (or labelling) of the data into more appropriate themes through theme frequency that could be aligned with the research focus and analysis categories based on overall group interviews individual and group responses. The use of the pre-established group interview open-end questions and method in the First and Second Stages assisted the collation and management of the data for this analysis method.

As Cavana et al. (2001) points out, the use of content analysis allows raw data to emerge into themes, which the researcher can further refine within a qualitative focus. This is supported by Punch (1998) who emphasises that the first set of codes will emerge from the raw data and then codes can be built from the initial analysis.

Content analysis is described as a “systematic, replicable technique for compressing words of text into fewer context categories based on explicit rules of coding” Berelson, 1952; GAO, 1996; Krippendorff, 1980; Weber (1990, cited in Stemler, 2001, p. 1). It enables the researcher to sift through large amounts of data

systematically to ensure that the data is analysed properly. More importantly, the material being analysed must be codable through words having similar meaning or connotation (Stemler, 2001), and that categories should be mutually exclusive and exhaustive.

Each group and individual data for each question in both the First and Second Stages were analysed and categories of themes derived from the word frequencies. The categorised themes identified from individual and group data were placed into data index matrices (as displayed in Tables 10 to 23), a method known as the Miles and Huberman framework (Punch, 1998). The word/theme frequencies were developed and recorded in 14 data index matrices under the heading *Themes*. The categories were derived from three sources: the use of terms that emerged from the data; terms based on the participants' responses; and terms used in existing theory and literature as identified by Strauss and Corbin (1998, cited in Saunders et al., 2003) and contributed to answering the research questions.

As themes were identified through the word frequencies, they were quantified against the themes in the matrices, providing frequencies based on number and percentage weightings under the headings *Frequency and percentage (%)*. This enabled the researcher to compare and contrast the findings that could be made in correlation with the conceptual framework. *Consensus* was used in the group matrices to highlight number weightings based on the number of participants in a particular group interview. Care was taken by the researcher to ensure that words and sentences were aligned to the themes—an important principle when using content analysis.

This was even more relevant in the Second Stage because of the more detailed investigation of specific PMS themes. As iterated earlier the research approach allowed the production of structured data focusing on the identification of ranked broad and more detailed themes and issues for PMS design rather than seeking quantitative validity.

The First Stage themes in Tables 10 and 11 are arranged in order of theme hierarchy. The Second Stage themes in Tables 12 to 23 are arranged in their level of

hierarchy but retain their original theme number, example 1 to 9, from the data analysis to maintain consistency and sourcing accuracy. The reader can easily differentiate the First and Second Stage research findings and data collection approach through the displayed data. The First Stage having broader perspectives in PMS design that flowed into and supported the Second Stage that had a more detailed perspective on specific PMS themes.

As iterated the First Stage was progressed as part of a prerequisite Masters Subject component and had Ethical Clearance, and is acknowledged as being primary data. The First Stage findings provided a research flow into the Second Stage and had the effect of synthesising the two stages' findings. This provided robustness to the reliability and validity of the research method and data analysis.

Because of time constraints, limited resources, and the analysis primarily being of a qualitative nature, the First and Second Stage analysis were carried out manually (or intuitively) rather than using computing software.

3.5.1—First Stage Group Interviews Data

The ODC and CMDKSC data were collected through themes and issues being recorded on butcher's paper by each of the table groups and those themes and issues being presented to the overall group for discussion, and notes recorded. The researcher retained and secured the butchers paper and notes for analysis for further substantiation and scrutiny if required. In this study each group interviews' data is presented on a group by group basis.

Using the content analysis approach, as described by Cavana et al. (2003); Stemler (2001) and Punch (1998) the raw data from the butchers paper and notes were firstly analysed. Three categories, and particular themes relating to the two questions—elements that would hinder PM, and elements that would assist PM—were identified and further built up as the analysis progressed. Each group interview was source coded that provided an audit trail for the identified themes within the data. Working papers (matrices) were developed to enable a better and more managed collation of the data and analysis based on the categories and

themes. The matrices were checked to ensure accuracy of the themes and frequency counts.

The three categories identified: 1) *Appropriate Design*, 2) *Assists Acceptance and Use*, and 3) *Hinders Acceptance and Use* for both group interviews (ODC and CMDKSC) were arranged into two matrices—Tables 10 and 11. The themes that emerged from the coding of the data were listed in the appropriate category data index matrix and their frequency recorded.

The broad findings from both the ODC and CMDKSC group samples were analysed and compared for the First Stage, then those findings contrasted with the Second Stage findings. The combination enabled the determination of some reliability (consistency) in the measurement through the coding analysis to reduce error. Reliability in the analysis (word/theme identification) was achieved through the theme and categorization process. Importance was placed on ensuring that the coding was aligned to similar words of meaning and connotation to enable better recording of the frequency and ranking. Validity was achieved through the systematic coding approach and where the measurement adequately captured the most important parts of the word/theme frequencies. As the researcher was the sole analyser of the data, consistency was maintained in relation to the coding meanings and connotations therefore contributing to the reliability and validity of the data collected. The broad themes identified in this Stage were used to refine the Second Stage approach in which more structured open-ended questions were predetermined to enable a more in depth investigation into specific PMS design element themes.

3.5.2—Second Stage Group Interviews Data

In the Second Stage content analysis was also used to maintain consistency in analysing the data to enable the data to be compared and contrasted with the First Stage data analysis findings. In this stage the participants compiled an individual sheet and group consensus sheet from the supplied Group Interview Package (appendix 3). These were collected by the researcher. During the group discussion notes were recorded both in writing and by digital recorder. The recordings were

not transcribed but checked (through playback) against the notes that the researcher recorded.

Prior to the data analysis, a number of predetermined themes were identified relating to each of the six questions (the categories) by the researcher based on the literature review and researcher's knowledge. The researcher was able to predetermine some of the themes for the analysis through being present at group interviews as facilitator and moderator. Analysis sheets were developed for each of the six questions (categories) for individual and group responses to systematically record the code sources, themes and identify further themes as the analysis was progressed. The questions were classified as categories because of their specific and more detailed PMS design theme focus.

Each District/Division group interview data were analysed firstly, by focusing on the individual data and notes. And secondly, the group consensus data and notes, that were recorded on overall group work sheet. After each District/Division group interview data were analysed. Further themes in different categories emerged as a result of the analysis and added to the researcher's initial predetermined themes. The overall seven group interviews have been presented as a single account for each of the six questions (categories) based on group and individual analysis in Tables 12 to 23. As emphasised in the First Stage consistency in the method was able to be maintained and controlled by the researcher being the sole analyst.

The data findings and results were compared with each individual and group consensus response and triangulated with the First Stage data, the researcher's embedded knowledge and the literature. As iterated the combination of the First and Second Stage findings using this analysis method provided the researcher with a much clearer understanding of key PM themes and issues that would impact on PMS design. A reasonable degree of reliability (consistency) in the measuring was achieved through the theme coding to reduce error. Validity was achieved through the use of the ordered and systematic content analysis approach and the measurement adequately identifying and quantifying the coding theme.

Constraints were placed on the research in terms of researcher and sample access (time and resources) but have provided scope for more longitudinal study perspectives in this area of research within other policing jurisdictions.

3.6 Ethical Issues

As a student of the Edith Cowan University, I abided by the ethical Code of Conduct established by the University. Ethical clearance was obtained through the ECU Human Research Ethics Committee to progress the Second Stage group interviews data collection. Letters were been prepared for the participants outlining the research purpose, use of the data, data management and provision of an independent contact.

Ethical Clearance requirements meant that the researcher was unable to formally collect data until the approval had been granted. The data obtained through the First Stage phase is acknowledged as primary data and was used for data analysis for a prerequisite Business Research Methods unit with Ethical approval working towards this thesis research focus.

During the research (including the First Stage) the researcher maintained responsibility to protect participants, ensuring that correct research procedures were undertaken, records and results are managed appropriately and that there were no inherent risks. Ethics were maintained through observed and expected societal norms of behaviour and code of conduct whilst conducting the research in respect to participants, their organisation, and any sponsors.

All records are maintained by the researcher and secured for further substantiation/reference of data collection and findings during the research period. Records have been deidentified through the removal and destruction of the interview and group interview participant details in accordance with ECU policies.

4. RESEARCH FINDINGS

4.1 Introduction

In the previous chapter, research design (aligned to the conceptual framework in Section 2.6), sampling, data collection and justification for the research methodology were discussed. This chapter is restricted to the presentation and analysis of the collected First and Second Stage data without reference to the work of other researchers discussed in the literature review. Chapter five will discuss the results of the analysis in the context of the theoretical and prescriptive themes within the literature, conceptual framework and researcher's knowledge as illustrated in the roadmap in Figure 2.

4.2 Analysis Findings

The identified themes were grouped and correlated into three categories for the First Stage group interviews, and according to the six structured questions (categories) for the Second Stage group interviews. As discussed in Chapter 3 the data collected was analysed (using content analysis) in which key themes were identified and categorised for the First and Second Stage group interviews—summarising and displaying the data in Tables. Further analysis from theoretical and practical approaches identified gaps to enable benchmarking and determination of the most appropriate design elements of a contextually appropriate PMS for adaptation by policing organisations.

The First Stage research undertaken and the Second Stage of further extensive and more rigorous explanatory study further strengthened reliability and validity of findings. The combined group interview approach assisted in determining from face-to-face perspectives the prevailing elements that exist in the current approach or need to exist in determining a more enhanced and contextually relevant approach to PM. The Second Stage population sample at the District/Division Senior—Constable to Senior Sergeants level of the organisation were better positioned within the WAPOL organisation to answer the group interview questions. As iterated, The Second Stage data findings and results were compared with First Stage group interviews' data collected from other WAPOL

representative samples (ODC and CMDKSC) in Tables 10 and 11. The Second Stage group interviews' results are reported in the sequential context of the group interview questions one to six in Tables 12 to 23. Whilst the ODC and CMDKSC group interview questions are not exactly aligned to the Second Stage group interviews' questions there is sufficient correlation of the findings in relation to PM themes and issues.

4.3 Analysis Findings—First Stage Group Interviews

4.3.1—Officer Development Course

The two questions posed during the group interview were intended to identify from the participants their true beliefs about what hinders or assists the establishment of a PM approach within policing, specifically the WAPOL operating environment. The questions also tested the group interview method to fathom whether or not they would trigger the right views and discussion. The testing became particularly relevant to: 1) ensure that themes and issues could be identified, 2) reliability and validity in the data collection, and 3) provided the researcher with avenues to improve the research method for the Second Stage research.

The group sample (24 people grouped into 6 Tables) identified elements, grouped into three main categories of *Appropriate Design*, *Assists Acceptance and Use*, and *Hinders Acceptance and Use* with themes recorded in Table 10. Frequency of themes for each category varied. Most groups (5/6—30% frequency) agreed that communication was particularly important, and having consistent and accurate ratings/measurement was important in design. Half of the group sample (3/6—14% frequency) had the view that the design should be simple, timely and have built-in transparency and transportability, supported corporately and through training. What was surprising that culture was identified on one occasion only as a separate element, but a number of the listed elements collectively denote a cultural condition. The findings were further compared with those of the Key Sergeants Conference in Table 11 and discussed further in this Section.

Table 10—ODC Elements that affect the acceptance and use of a PMS

	<i>Elements</i>	<i>Frequency</i>	<i>%</i>
1	Appropriate Design	21/54	39
	1 Having consistent and accurate ratings /measurement	5	24
	2 Having a simple system	3	14
	3 Having a timely system	3	14
	4 Having built-in transparency/ transportability	3	14
	5 Flexible system	2	9.5
	6 Easily adaptable	2	9.5
	7 Review process built in	1	5
	8 A contemporary system	1	5
	9 Resourced appropriately	1	5
		21	100
2	Assists Acceptance and Use (Behavioural)	17/36	47
	1 Communication	5	30
	2 Corporate support / leadership	3	17
	3 Knowledge and training	3	17
	4 Credibility—honest ratings and no biases	2	12
	5 Tackling poor performance	2	12
	6 Acknowledging good performance	2	12
		17	100
3	Hinders Acceptance and Use	17/48	35
	1 Poor knowledge and training	3	18
	2 Inconsistency—differing ratings and measures	3	18
	3 No transportability of performance history	3	18
	4 Inflexibility of approach	3	18
	5 Impost on time	2	13
	6 Resistant culture	1	5
	7 Poorly resourced	1	5
	8 Unrealistic expectations on measures	1	5
		17	100

Source: analysis of 1st Stage group interview data

4.3.2—Central Metropolitan District Key Sergeants' Conference

Table 11 records the range of design, barrier and assistance elements that assist in establishing a PMS based on the same two questions posed to the ODC group interview. In category 2 most Table groups (4/5—34% frequency) agreed that communication and corporate support/leadership were important in the acceptance and introduction of a PMS within the WAPOL. Over half of the groups (3/5—21% frequency) emphasised that having consistent ratings and measurement, a review process and a timely system in category one were important elements to consider when designing a PMS. What was not a surprising finding, was the variety of barriers to a PMS approach (seven themes) that the groups identified (2/5—14.28% frequency) in category three. This indicates the degree and scope of resistance that needs to be considered when designing and implementing a PMS. This is further discussed in the next Chapter 5.

Table 11—CMDKSC Elements that affect the acceptance and use of a PMS

	<i>Elements</i>	<i>Frequency</i>	<i>%</i>
1	Appropriate Design	14/35	40
	1 Having consistent and accurate ratings /measurement	3	21
	2 Review process built in	3	21
	3 Having a timely system	3	21
	4 Having a simple system	2	16
	5 Easily adaptable	1	7
	6 Flexible system	1	7
	7 Resourced appropriately	1	7
	8 <i>A contemporary system</i>	0	0
	9 <i>Having built-in transparency/ transportability</i>	0	0
		14	100
2	Assists Acceptance and Use (Behavioural)	12/30	40
	1 Communication	4	34
	2 Corporate support / leadership	4	34
	3 Credibility—honest ratings and no biases	1	8
	4 Tackling poor performance	1	8
	5 Knowledge and training	1	8
	6 <i>Staff involvement in planning</i>	1	8
	7 Acknowledging good performance	0	0
		12	100
3	Hinders Acceptance and Use	14/35	40
	1 Resistant culture	2	14.28
	2 Impost on time	2	14.28
	3 Poor knowledge and training	2	14.28
	4 Inconsistency—differing ratings and measures	2	14.28
	5 Poorly resourced	2	14.28
	6 Unrealistic expectations on measures	2	14.28
	7 Lack of corporate support	2	14.28
	8 <i>No transportability of performance history</i>	0	0
	9 <i>Inflexibility of approach</i>	0	0
		14	100

Source: analysis of 1st Stage group interview data

The use of this group interview data was to enable comparison of the participants' (from different organisational contexts) beliefs, opinions and views with those of the ODC to establish correlation, reliability and validity of the measurement and process that also supports identification of relevant elements. The use of test-retest reliability enabled testing of the data collection technique and variance of the group sample responses. The characteristics of this group differed from the ODC because of the respective environments in which the data were collected, and the attitudes, beliefs and values of this group sample. However, reasonable convergent validity was achieved where the data coding indicated a high degree of correlation between the two groups' interview data sources.

In comparing both groups' category frequency percentages (ODC—39/47/35, CMDKSC—40/40/40) the three main categories data were reasonably aligned with

the exception of six themes within the three categories. The themes that differed are recorded in italics in Table 11 within the three categories (one, two and three). Interestingly, Theme 6, *Staff involvement in planning*, under category two in Table 11 was identified as having relevance in the ODC group interview but was not identified by the CMDKSC group interview. Not surprising was the identification of six other themes recorded in Table 11, themes 8 and 9 in category one, theme 7 in category 2 and themes 8 and 9 in category 3. The differences, whilst not major deviations in views or opinion were caused by the varied organisational experiences and contexts (understanding and knowledge) of the group interview samples. The ODC sample was within a focused learning environment and has been previously explained in Section 3.3.1. The KSC sample was within an open forum where perhaps some tacit knowledge may not have been fully extracted. Importantly, the majority of the groups' samples (ODC 5/6—24% frequency, CMDKSC 3/5—21% frequency) identified *having consistent and accurate ratings/measurement* to be most important in design, and *communication and corporate support* in assisting acceptance and use. As with the ODC (3/5—14% frequency), over half of the CMDKSC group (3/5—21 to 16% frequencies) considered that the design should be timely and simple, but in difference to the ODC, this group considered having a built-in review process.

4.4 Analysis Findings—Second Stage Group Interviews

4.4.1 Question One—Key Performance Indicators

Tables 12 and 13 record the range of themes identified through Question 1, which explored group interview participants' attitudes, knowledge and understanding of business planning and related key performance indicators (KPIs) within the participants' operating context. This question was more focused on organisational characteristics and operational environments in conformity with the conceptual framework tiered research approach. The group consensus (4/7 groups—19% frequency) on theme 6—*operating environment* and theme 7—*WAPOL Business Plan KPIs* indicates some level of KPIs understanding within the groups. Interestingly, individual consensus (15/38 individuals—22% frequency) affirmed the view that there should be a *collective approach to individual/business area organisational KPIs* (theme 5). However, not surprisingly, the individual analysis for theme 6—*Based*

KPIs on WAPOL Business Plan (5/38—8% frequency) and theme 7—Based KPIs on Operating Environment (17/38—25% frequency) indicated limited individual understanding about what KPIs really are and how they apply within the organisation in comparison with the group consensus. This is to be expected as the group interview participants are thinking within their operating environment context. This situation will be further discussed in Chapter 5.

Table 12—Group interview Question 1—Group Consensus

Q1—GROUP				
What are the Key Performance Indicators (KPIs)/outcomes of your District/Division/Business Area?				
No.	THEMES	FREQUENCY	%	CONSENSUS
		21/42	50	
5	Identified collective approach to Individual/Business Area/Organisational KPIs	5 (71%)	24	28 (74%)
8	Having an actual plan	5 (71%)	24	27 (71%)
6	Based KPIs on WAP Annual Business Plan	4 (57%)	19	23 (61%)
7	Based KPIs on Operating Environment	4 (57%)	19	24 (63%)
4	Limited understanding of KPIs	2	10	11
1	Focused on Individual measurement	1	5	6
2	Focused on Business Area measurement	0	0	0
3	Limited KPIs knowledge	0	0	0
9	No business/action plan	0	0	0
		21	100	

Source: analysis of 2nd Stage group interview data

Table 13—Group interview Question 1—Individual

Q1—INDIVIDUAL				
What are the Key Performance Indicators (KPIs)/outcomes of your District/Division/Business Area?				
No.	THEMES	FREQUENCY	%	SOURCE
		67/342	19	
7	Based KPIs on Operating Environment	17 (45%)	25	
5	Identified collective approach to Individual/Business Area/Organisational KPIs	15 (39%)	22	
2	Focused on Business Area measurement	13 (34%)	19	
3	Limited KPIs knowledge	5	8	
6	Based KPIs on WAP Annual Business Plan	5	8	
1	Focused on Individual measurement	4	6	
8	Having an actual plan	4	6	
4	Limited understanding of KPIs	2	3	
9	No business/action plan	2	3	
		67	100	

Source: analysis of group interview data

4.4.2 Question Two—*PMS Measures*

Question 2 invited and probed each group and individual to identify what should be measured within a performance management system from an individual perspective but linked to business area or WAP KPIs, and are summarised in Tables 14 and 15. This question had significance with the three variables - organisational characteristics, operational environment and PMS elements aligned to the conceptual framework. Consensus for themes 1, 2 and 5 (3/5—15% frequency) was equally divided on measurement being a combination of *organisational and employee performance* or solely *individual based*. Importantly, the groups realised the linkage between *individual effort towards business area objectives*, group consensus for themes 4 and 8 (5/7—22% frequency and 5/7—22% frequency respectively) and *individual competency* (5/7—22% frequency). The individual responses for themes 4 and 8 relating to the linkage between *individual competencies* and *tasks/objective setting* (33/38—32% frequency and 29/38—29% frequency), were not surprising and only slightly differed in frequency with the group consensus. This highlighted a reasonable degree of understanding and strong belief by the individuals. However, detail on what should be measured (e.g. competencies) was not able to be extracted.

Table 14—Group interview Question 2—Group Consensus

Q.2—GROUP				
What should be measured?				
No.	THEMES	FREQUENCY	%	CONSENSUS
		23/56	41	
4	Individual effort towards targets/outcomes—objective setting aligned to organisational goals	5 (71%)	22	27 (71%)
8	Individual competency—critical job practices	5 (71%)	22	28 (74%)
1	Organisational and employee performance	3	13	14
2	Focus on individual performance	3	13	18 (47%)
5	Identification of training and development	3	13	20 (53%)
6	Individual potential	2	9	13
7	Core dimensions to apply at all levels of the organisation	2	8	11
3	Contribution to overall organisational performance	0	0	0
		23	100	

Source: analysis of group interview data

Table 15—Group interview Question 2—Individual

Q.2—INDIVIDUAL				
What should be measured?				
No.	THEMES	FREQUENCY	%	SOURCE
		99/304	33	
8	Individual competency—critical job practices	33 (87%)	32	
4	Individual effort towards targets/outcomes—objective setting aligned to organisational goals	29 (76%)	29	
2	Focus on individual performance	14	14	
1	Organisational and employee performance	11	11	
5	Identification of training and development	7	7	
6	Individual potential	3	3	
3	Contribution to overall organisational performance	2	2	
7	Core dimensions to apply at all levels of the organisation	0	0	
		101	100	

Source: analysis of group interview data

4.4.3 Question Three—*PM Measurement Methods*

Tables 16 and 17 record the range of themes identified from Question 3 that sought to explore the types of performance measurement that may be acceptable. Further, how individual performance should be measured and importantly, what is not appropriate within the current system. This question had conceptual framework relevance with the Tier two research and the variable – PMS elements that inform design. Not surprisingly, PM forms of measurement do not appear to be well understood and the themes within the group consensus are weighted in three areas through themes 3, 4, and 5 (6/7 – 26% frequency, 7/7 – 31% frequency and 5/7 – 22% frequency respectively). These themes in frequency hierarchy, focus on measurements associated with subjects *being responsible for a task or process* (31% frequency), *overall consistent measurement* (26% frequency) and *being goal oriented* (22% frequency) respectively. Other predetermined themes attracted limited coding frequency. The group frequencies for themes 3, 4 and 5 however, indicate a strong emphasis on particular individual PM measurements to enable more equitable evaluation. This finding is consistent with the individual frequencies for themes 4 and 5 (35/38 – 40% frequency and 35/38 – 40% frequency). The individual classifications of themes 4 and 5 recorded in Table 17 indicate a positive alignment with the group consensus for both themes and reflect a strong preference on individual achievement and effort. The other listed themes did not attract the same frequency and in some cases had no theme frequencies recorded.

Table 16—Group interview Question 3—Group Consensus

Q3—GROUP				
How should it be measured?				
No.	THEMES	FREQUENCY	%	CONSENSUS
		23/56	41	
4	Outcome focused measurement:	7 (100%)	31	38 (100%)
	• Task or process responsible for		0	
	• Team/Individual effort		0	
	• Operating environment context		0	
3	Overall consistent rating measurement	6 (86%)	26	33 (87%)
5	Ratings that capture both contextual/performance perspectives:		0	
	• Subjective (personality/motivation)			
	• Task performance goal oriented (cognitive ability, skill & experience) measures	5 (71%)	22	32 (84%)
8	Have relevance to employee	3	13	18
2	Overall consistent measurement approach by managers	1	4	5
6	Behavioural observation scale (BOS)—development of goals—improving behaviour	1	4	6
1	Behavioural measurement rather than subjective	0	0	0
7	Not personal traits based	0	0	0
		23	100	

Source: analysis of group interview data

Table 17—Group interview Question 3—Individual

Q3—INDIVIDUAL				
How should it be measured?				
No.	THEMES	FREQUENCY	%	SOURCE
		95/304	31	
4	Outcome focused measurement:			
	• Task or process responsible for	35 (92%)	40	
	• Team/Individual effort		40	
	• Operating environment context		40	
5	Ratings that capture both contextual/performance perspectives:		40	
	• Subjective (personality/motivation)			
	• Task performance goal oriented (cognitive ability, skill & experience) measures	35 (92%)	40	
3	Overall consistent rating measurement	7	8	
2	Overall consistent measurement approach by managers	6	7	
8	Have relevance to employee	5	5	
1	Behavioural measurement rather than subjective	0	0	
6	Behavioural observation scale (BOS)—development of goals—improving behaviour	0	0	
7	Not personal traits based	0	0	
		88	100	

Source: analysis of group interview data

4.4.4 Question Four—*PMS Design Form*

Question 4 explored what the group interview participants viewed as being important elements to consider when designing a PMS that would be accepted and used within the policing environment. The range of themes is recorded in Tables 18 and 19. This question had conceptual framework relevance with the three variables—organisational characteristics, operational environment and PMS elements in terms of identifying a PM design based on the group interview responses. Whilst the overall group consensus frequency (28/49—57%) and the individual frequency (85/228—37%) varied this did not necessarily mean a significant deviation in common opinion or views in respect to what PM design form the participants wanted. Interestingly, group consensus indicated robust views for a PM design to be of a *simplistic system* (7/7—25% frequency), take a *single electronic format* (6/7—21% frequency) and that can be *transportable* between business areas (6/7—21% frequency). Not surprisingly, individual responses were spread evenly across themes 1, 2, 4, 5 and 6 with the most theme frequencies focusing on a *single electronic format* (16/38—19% frequency), that is *consistent across the organisation* (20/38—24% frequency), not dissimilar to the group consensus, and is of a *transportable design* (19/38—22% frequency). Overall the group interview participants emphasised that a PMS design form should take a more consistent and simplistic format.

Table 18—Group interview Question 4—Group Consensus

Q4—GROUP				
What design form should the performance management system take?				
No.	THEMES	FREQUENCY	%	CONSENSUS
		28/49	57	
6	Simplistic system	7 (100%)	25	38 (100%)
1	Single electronic Format—cyber personal file	6 (86%)	21	29 (76%)
5	Transportable file system	6 (86%)	21	29 (76%)
4	Consistent format across organisation	3 (43%)	11	15 (39%)
7	Linked to promotion system	3 (43%)	11	19 (50%)
2	Single manual based system with pro forma	2	7	11
3	Format that has balance between frontline and administration requirements	1	4	5
		28	100	

Source: analysis of group interview data

Table 19—Group interview Question 4—Individual

Q4—INDIVIDUAL				
What design form should the performance management system take?				
No.	THEMES	FREQUENCY	%	SOURCE
		85/228	37	
4	Consistent format across organisation	20 (53%)	24	
5	Transportable file system	19 (50%)	22	
1	Single electronic Format—cyber personal file	16 (42%)	19	
2	Single manual based system with pro forma	12 (32%)	14	
6	Simplistic system	12 (32%)	14	
3	Format that has balance between frontline and administration requirements	4	5	
7	Nothing entered	2	2	
		85	100	

Source: analysis of group interview data

4.4.5 Question Five—Essential PMS Elements

Question 5 was designed to explore what the respondent groups and individuals thought are essential elements that would make a PMS successful within the WAP operating environment and the range of themes is recorded in Tables 20 and 21. This question was intended to further explore in more depth PM themes and issues and influence the group interview participants to focus more on essential design elements building on the data from Question 4 and leading into Question 6. The question had conceptual framework relevance with the three variables—organisational characteristics, operational environment and PMS elements in terms of identifying a PMS design based on the group interview sample responses. Whilst the overall frequencies for the group consensus (50/105—48%) and individual (187/608—31%) were quite diverse, this was not surprising because of the varied themes (15) recorded. The variation created a spread of coding frequencies from the individual responses perspective. However, despite this variation there was correlation between the group consensus and individual data analysis (respectively) for themes 6, 7, and 4 based on numbers and frequencies—*communication* (6/7—12% and 25/38—14%); *staff participation in the planning phases* and *identification of individual rating measures* (6/7—12% and 24/38—13%); *credibility* (6/7—12 % and 23/38—12%); and *simplistic PMS design* (5/7—10% and 23/38—12%). Theme 14—*transparency and publicity* had a higher frequency for the group consensus (5/7—10%) than the individuals (13/38—7%). Whilst this does not pose a significant divergence in thinking, there are practical implications in

terms of what the group consensus and individual views considered to be essential. These are discussed in the Chapter 5.

Table 20—Group interview Question 5—Group Consensus

Q5—GROUP				
What elements are essential to it working?				
No.	THEMES	FREQUENCY	%	CONSENSUS
		50/105	48	274/570 (48%)
6	Communication to enable PM understanding and increase knowledge	6	12	34 (89%)
7	Staff participation in PM planning and ratings	6	12	34 (89%)
10	Credibility—honest rating and no bias	6	12	27 (71%)
4	Appropriate simplistic PMS design	5	10	26 (68%)
14	Transparency and publicity	5	10	27 (71%)
11	Line Management support by senior management—leadership/management	4	8	21 (55%)
5	PM approach not being an imposition on—balance frontline requirements	3	6	19
15	Reviewing PMS to maintain strategic fit	3	6	15
2	Linkage to organisational goals/objectives	2	4	14
3	The right measurement being used	2	4	11
8	Line Management/appraiser competency in doing PM—training	2	4	11
12	Tackling poor performance	2	4	10
13	Recognition of good performance	2	4	13
1	Design is part of planning cycle—integrated system	1	2	6
9	Line Management need to provide negative feedback	1	2	6
		50	100	

Source: analysis of group interview data

Table 21—Group interview Question 5—Individual

Q5—INDIVIDUAL				
What elements are essential to it working?				
No.	THEMES	FREQUENCY	%	SOURCE
		187/608	31	
1	Design is part of planning cycle—integrated system	2	1	
2	Linkage to organisational goals/objectives	11	6	
3	The right measurement being used	12	7	
4	Appropriate simplistic PMS design	23 (61%)	12	
5	PM approach not being an imposition on—balance frontline requirements	8	4	
6	Communication to enable PM understanding and increase knowledge	25 (66%)	14	
7	Staff participation in PM planning and ratings	24 (61%)	13	
8	Line Management/appraiser competency in doing PM—training	16 (42%)	9	
9	Line Management need to provide negative feedback	0	0	
10	Credibility—honest rating and no bias	23 (60%)	12	
11	Line Management support by senior management—leadership/management	11	6	
12	Tackling poor performance	6	3	
13	Recognition of good performance	6	3	
14	Transparency and publicity	13(34%)	7	
15	Reviewing PMS to maintain strategic fit	5	3	
16	Linked to promotion	2	1	
		187	100	

Source: analysis of group interview data

4.4.6 Question Six—Essential PMS Design and Application Elements

Question 6 explored PMS elements that will assist in the establishment and maintenance of a system by WAP personnel that is adaptable and acceptable. The question had conceptual framework relevance by focusing on identifying PMS elements. There were varying views on the 11 themes from the overall group consensus frequency (40/77—52%) compared with the individual frequency (131/418—31%) in regards to this question that are recorded in Tables 22 and 23. Individual views did not identify the theme: *balance of frontline and administration* as being of relevance, however, the group consensus took a different viewpoint (5/7—12.5% frequency) and elevated its importance. Not surprisingly, there was consistency in responses by both the group consensus and individuals respectively for theme 1—*consistent PM approach and system design* (6/7—15% frequency and 29/38—22% frequency); Theme 3—*participation by staff/appraisees in PM planning* (5/7—12.5% frequency and 21/38—16% frequency), and theme 8—*communication* (4/7—10% and 22/38—17%). The practical implications of this finding suggest

that WAP personnel believe that a consistent PM approach is needed, it is essential that staff is involved in the planning process, there must be effective communication, and a balance between frontline and administration demands if PM is to be accepted and used appropriately.

Table 22—Group interview Question 6—Group Consensus

Q6—GROUP				
What elements will assist you?				
No.	THEMES	FREQUENCY	%	CONSENSUS
		40/77	52	
1	Consistent PM approach/System Design	6	15	31 (82%)
3	Participation by staff/appraisees in PM Planning	5	12.5	26 (68%)
10	Balance between frontline and administration requirements	5	12.5	29 (76%)
7	Training of appraisers/supervisors/managers	4	10	21 (55%)
8	Communication	4	10	23 (61%)
2	Portability of PM Files between business areas	3	7.5	18 (47%)
4	Recognition of good performance	3	7.5	18
6	Corporate commitment and direction	3	7.5	15
9	Credibility in ratings—honest, no bias	3	7.5	16
11	Frequent review of PMS	3	7.5	15
5	Line management acceptance	1	2.5	4
		40	100	

Source: analysis of group interview data

Table 23—Group interview Question 6—Individual

Q6—INDIVIDUAL				
What elements will assist you?				
No.	THEMES	FREQUENCY	%	SOURCE
		131/418	31	
1	Consistent PM approach/System Design	29	22	
8	Communication	22 (59%)	17	
3	Participation by staff/appraisees in PM Planning	21 (55%)	16	
6	Corporate commitment and direction	12	9	
9	Credibility in ratings—honest, no bias	12	9	
11	Clear objective setting	9	7	
2	Portability of PM Files between business areas	6	5	
4	Recognition of good performance	5	4	
7	Training of appraisers/supervisors/managers	6	4	
10	Frequent review of PMS	5	4	
5	Line management acceptance	4	3	
		131	100	

Source: analysis of group interview data

RESEARCH DISCUSSION, IMPLICATIONS AND CONCLUSIONS FOR POLICE PMS DESIGN

5.1 Introduction

In this chapter there is discussion and synthesis of the findings from Chapter 4 within the conceptual framework. Tier One—conceptual: literature review, primary data findings and Tier Two—prescriptive knowledge through the experience and knowledge of the researcher. This is also derived from the literature on NPM and governance, police management and performance management system approaches, design and application to answer the research questions. This will entail discussion on the identification and application of specific and broader PMS elements necessary to establish and maintain a PMS within NPM and policing contexts.

The findings support what researchers have already discovered in terms of PMS design and application within private sector organisations. The plethora of research literature and articles on PMS theory and practical application is quite overwhelming—an observation supported by Furnham (2004) and De Waal (2004). Policing organisations remain unique in terms of their organisational and operating environment from that of private and other public sector agencies (Hoque et al., 2003). Making sense of PM and its application within the NPM context is essential for the WAPOL and other policing agencies, especially in the face of managing a diverse workforce and changing demographics, rules of governance and knowledge management, and the shift from a functional/task orientated to a relational approach in policing. The discussion in this chapter is intended to provide clarity, substance and direction in police PMS design through answering the three primary research questions.

5.2 Research Results

Whilst the literature identifies some PMS elements that may have relevance and application within policing environments, policing jurisdictions have not made the transition to a more contextually appropriate PM approach that has relevance in their policing context. The reluctance of police organisations to adopt some of the

literature is supported by Coutts et al. (2004) and Behn (2002). The First and Second Stage' research approach and findings have sought to answer the broader and specific research questions as outlined in Sections 1.2.3.1 and 1.2.3.2 of Chapter One. In answering the research questions, there is a distinct contribution to the body of knowledge in respect to PM design and application within policing contexts relating to their unique and specific organisational characteristics and operational environments, and practical material that currently exists.

The research questions (guided by the conceptual framework Tiers One and Two sources in Figure 2) focus on the identification of key PMS elements that will assist to inform the design of a PMS that is understood, simplistic, able to be tailored to fit the policing environment and has relevance within the NPM context. The research questions one to three were fully explored to compare and contrast the First and Second Stage group interviews' data findings, theoretical and prescriptive literature, and the knowledge of the researcher to enable better understanding of broader PMS principles and elements that may inform the design of a strategic police orientated PMS. The following Sections provide more informed discussion and explanation of the findings from Chapter 4 within the context of the research findings, key themes and issues sourced from the literature and researcher knowledge.

5.2.1 Question One—*Key PMS Elements within NPM*

What are the key elements of a PM approach required to support effective organisational outcomes and policing performance within NPM?

Whilst there is a plethora of private sector PM research that can be sourced and adapted in policing environments within a NPM context, and there have been attempts to establish policing PMSs in other policing jurisdictions (Coutts et al., 2003; Cederblom et al., 2002) the literature has not been adopted or is ignored. The abundance of research has solely focused on private sector individual PA and PM systems and components but there is limited research into PM design and application within a policing context. This research has endeavoured to fill that gap. Group interview findings, both from group consensus and individual

responses data (Chapter 4) have identified a number of PM key elements and principles necessary to design, establish and adapt a PMS within the policing, NPM and governance contexts.

5.2.1.1 Monitoring and Achieving—Conforming and Performing

The contextual nature of NPM (and governance) and its impact on the public sector, especially in policing (Hoque et al., 2004; Wright, 2002; Cope et al., 1997; Goodsair, 1993) has placed much emphasis on accountability and performance issues, and the need for organisational effort being focused on government desired outcomes (Parhizgari & Gilbert, 2004; Hoque et al., 2004; Radnor et al., 2004; Long, 2003; Norman & Gregory, 2003; Vickers & Kouzmin, 2001; Dadds & Scheide, 2000; Cope et al., 1997; Uhr, 1989). NPM has focused on reforms within the public sector to emulate private sector practices and to become more efficient as discussed in Section 2.1.1 (Bradley et al., 2006; Radnor et al., 2004; Wright, 2002; Vickers et al., 2001; Cope et al., 1997). However, striving for efficiency and increased accountability has led to a situation where too much is being measured or the wrong things are being measured just to meet government requirements (Radnor et al., 2004; Hoque et al., 2004).

The researcher has been observing this situation unfold in the Pacific Region where the Government of Fiji is now moving into the strategic planning and measurement phase within the NPM context and endeavouring to introduce and grasp the concept of output based management (OBM). What is very clear is that it is simply not possible to attain all the outcomes and that “variables are only controllable at the micro level and not the macro level” (Wright, 2002). This situation presents challenges for policing managers in maintaining conformity with internal controls and at the same time having to perform and achieve goals. The basis of being able to conform and perform within the NPM influence will rely on the basis of a governance approach (refer Section 5.2.1.3) in which relationships between the elements of leadership, ethical behaviour and organisational performance culture is essential (Barrett, 2004) to meet the environmental demands of public value and accountability.

5.2.1.2 Organisational Objectives and Workforce Effort

The literature whilst focusing on organisational performance in an NPM framework (and governance) is limited in terms of identifying key PMS design elements within that context. The literature discusses issues dealing with the impact of NPM and its rationalisation impact (Wright, 2002) on policing but there is nothing specific about linking individual with organisational performance. A point emphasised by researchers Furnham (2004) and De Waal (2004). However, in determining a strategic management approach, the researchers Boice et al. (1997); Hoque et al. (2004); Radnor et al. (2004); De Waal (2004) and Nankervis et al. (1997) agree that the factors of workforce effort, and overall organisational objectives (essential PM factors) must be aligned to develop a committed approach to maintain an organisation's strategic fit with its environment. This becomes even more applicable across the public sector and policing within the NPM conformance and performance environment. To achieve this, policing organisations need to have the ability to attract and retain a diverse workforce (both in a generational and social diversity) that has the depth and knowledge capacity to ensure organisational positioning and relevance. Similar findings about the need to have the alignment of individual work effort with organisational goals were made by this research (refer Tables 12 and 13 in Section 4.3.1).

The alignment of the factors: workforce effort; and organisational objectives are recognised in the Research Roadmap in Figure 1, and Tier One conceptual framework of the research in Figure 4. Importantly, Hoque et al. (2004) identified that there were organisational differences between other public sector agencies and policing based on work practices and accountabilities as shown in Table 1, Section 2.1.2.1 within the NPM environment, and that different considerations should be applied in respect to performance. This seems to have much relevance within policing organisations that have to continually change strategy, structure and systems to meet external requirements. Having the workforce focusing on the right areas with the right effort simply relates to a governance approach in which the entire workforce is attuned to organisational strategy and policy (Bogan et al., 2002). NPM captures both corporate and individual performance—a crucial consideration for PMS design.

5.2.1.3 Corporate Governance—the next approach

Public Sector differences are being closed through the shift from the NPM approach to another stage that researchers refer to as the citizen-centred governance approach (Barrett, 2006; Hartley, 2005). Through the influence of NPM reforms, and citizen demands for more efficient and effective government services, the focus is on outcomes and accountabilities that can be provided and achieved through joint-backed government and shared public and non-government organisations resources and networks (Hartley, 2005; Barrett, 2004; Fleming et al., 2004). Whilst Barrett (2004) espouses the view that conforming and performing have become part of a public sector area's daily traditions and norms the shift in focus on the effectiveness of outcomes through services delivered and related accountabilities will be based on a governance framework that will be able to meet the changing environment through innovation and human relational approaches.

NPM has had a significant impact on the way the public sector including police agencies deliver their services to the community within a competitive environment of limited resources and further rationalisation by governments—imposed targets and no control to achieve them. The wide field of government activities through the NPM influence (outsourcing and privatisation) emphasises the need to maintain networks of providers and partners to ensure alignment with GDOs in the achievement of goals. Further, the public sector remains responsible and accountable for services provided by non government service providers.

In policing it is important for the police to conform to government requirements in relation to the bestowed authority, and at the same time be held to account for the use of resources in policing activities, the effective delivery of services to the community, and maintaining legitimacy. Jones (2003) points out that the “effective mechanisms of accountability and governance are vital in promoting legitimacy” that will influence communities to inform and cooperate with the police on local crime issues. The main governance focus as indicated by Jones is the delivery of policing services that are efficient, effective and responsive (public value) to meet the demands of the community.

The police are expected to have the resources to be able to fulfil their obligations to the government and the community. However, the reality is that the resource base may not have sufficient capacity and capability to meet service delivery demands. Policing over the last few years has moved towards a partnership approach with other government and non government organisations to achieve strategic goals and GDOs—an inter-organisational policing network (Fleming et al., 2004). This approach is especially evident within a community policing strategy that is resource intensive and requires a significant investment by stakeholders. In understanding the extent of service delivery expectations within the NPM context both citizens and the government know where they can or cannot go (Fleming et al., 2004). Within the governance approach policing organisations will need to continually adapt and evolve to remain effective and provide public value.

5.2.1.4 NPM Understanding within the Policing Context

The conceptual framework Tier One focus (refer Figure 4) was taken in answering this question. There is limited reference to the views expressed (NPM context) by the groups for this question in contrast to the other research questions. This is attributed to the group interview methodology seeking viewpoints on current and future PMS design and application within a policing context rather than the effects of NPM, which may not have been greatly understood, and yet probably does, and unknowingly impact on individuals.

The responses from the First Stage group (ODC and CMDKSC) interview source data varied from the Second Stage group interviews' data. The First Stage groups had been in a learning environment in which NPM awareness and understanding was raised in learning modules and influenced more discussion. This has significance relating to the group interviews' views. The combined First Stage group interviews' views identified that: an appropriately designed system that was simple, flexible, and transparent and transportable, and; a PMS that has credibility, corporate support and leadership, better communication, knowledge and training, and staff participation would influence the acceptance and use of a PMS approach.

The Second Stage group interview data did not vary from the views and opinions of the First Stage, despite the First Stage group interviews being in a learning

environment. The data similarity provides some substantiation for PMS design within the WAPOL that may have relevance and acceptance within the NPM framework and shift towards a governance approach.

In the Second Stage it was important to measure the extent of understanding about planning and KPIs (Section 4.3.1) by the group interviews and connectivity within the NPM context as this would enable more the identification of relevant PMS elements. The combined findings of the Second Stage group interviews found that there should be an actual plan for the organisation and various business areas/operating environments with identified key performance indicators (KPIs) to guide performance monitoring and evaluation. Individual results from Table 13 in Section 4.4.1 found that there was limited understanding of the linkage between organisational and business area outcomes (individual with organisational) especially with the frontline operating environment (District/Crime Division) group interviews. However, that understanding was clarified and became clearer to individuals after group discussion and consensus on these issues, a similar situation discovered by Nankervis (1997) when conducting a PM survey of Australian organisations. Some of the group's views were that "there should be measurement against outcomes" but other groups had the view "some KPIs are not relevant." Not surprisingly, there was understanding of the need for organisational performance but limited understanding or knowledge of NPM or governance and their impact. Norman et al. (2003) emphasises this lack of understanding particularly within public service areas that has created a dichotomy of managerial understanding within the NPM context relating to organisational direction and performance – *what should be done – to what is and can be done*. The introduction of PM where managers have imposed targets and priorities, and have limited or no control over the resource capacity to achieve them has compounded understanding and application.

The reason for this limited understanding (by participants) would be related to frontline personnel focusing on the day-to-day operating environment tasks and leaving the administrative functions to supervisors and management (central function) – a natural phenomenon that may occur within most organisations. This factor became evident when analysing KPIs and business planning frequency

through Table 13 where individuals tended to focus more on the operating environment in difference to organisational requirements. One group interview emphasised that “frontline troops do not need to know the objectives, just what they have to do.” This highlights the NPM tensions between managers and employees—managers having to concern themselves with the controlling and directing—employees wanting to do the job without being burdened with bureaucracy and internal controls (Bradley et al., 2006).

This result was anticipated as the research covered varied operating environments (apart from two support portfolios—Academy and Community Safety). The response deviations obviously caused through the diverse organisational experiences (understanding and knowledge) of the individuals within their operating and geographical environments. The current emphasis on frontline policing is reaping benefits for the WAPOL but at the same time the WAPOL must remain cognisant of ensuring that the void between operational and administrative necessities is balanced, especially when it has specific public management accountabilities (Radnor et al., 2004; Behn, 2002; Boice, 1997). In observing some business areas within the WAPOL the lack of understanding of the linkages between individual effort within business areas, and organisational outcomes and performance became apparent, a situation exacerbated by internal administrative processes and demands, and past PA/PMS failures. The group interviews however, did indicate that there is a “need to understand KPIs/Outcomes.”

5.2.1.5 Leadership and Management

Weatherly (2004) found that the use and validity of an organisational PMS had a strong correlation between senior management leadership and line management ownership. Police leaders working within the NPM and governance approaches will require an organisational base that is built on human and knowledge capital to maintain its relevancy and legitimacy in the current and future policing environments. The move from an internally focused and rules driven model to a human relational model (Bradley et al., 2006) within NPM will enable managers to motivate and stimulate the workforce in achieving goals. The challenge for police leaders will be to recruit, develop and retain a diverse workforce that, as well as conforming, can also adjust and perform to keep the organisation strategically

positioned. Tailoring a PM approach will require the workforce to be involved in the design and application to enable contextual relevance, acceptance and application. This is especially important when a policing workforce has experienced, generational and gender diversity and keeping pace with social change.

5.2.1.6 PMS Design Elements within NPM

Having a connected and unified workforce was factored into the research methodology as demonstrated through the group interviews' samples and demographics. The combined (group interviews) views are identified, categorised and listed in hierarchical order in Table 24. Whilst the results of the findings are further discussed in the next two research question Sections the findings had alignment with the organisational PM elements identified by Bevan et al. (1991) as reproduced in Table 4, Section 2.4 and some elements identified by Hoque et al. (2004). In particular, the elements of communication, objective setting—through staff participation and communication, regular review of individuals' performance, training and development (credibility), and review of outcomes. Importantly, the elements also have alignment with the researcher's Policing PMS Objectives in Table 7, Section 2.5.2. Whilst the group interviews' participants may not be cognitive of this alignment the results clearly identify a common thread of PM thinking, and workplace relevance.

Table 24—Identified Key Policing PMS Elements

Essential PMS Elements
1. Communication to enable PM understanding and increase knowledge—coaching and counselling/better working relationships
2. Participation of staff —Objective setting—assigning work efficiently
3. Individual effort towards targets/outcomes—objective setting aligned to organisational goals
4. Identification of training and development
5. Overall consistent rating measurement
6. Credibility—honest rating and no bias—tackling poor performance
7. Transparency and publicity
8. Consistent/simplistic design and approach
9. Line management support by senior management—leadership/management
10. Line management competency—trained to undertake PM
11. Balance between frontline and administration requirements—provision of time to do PM properly
12. Portability of PM files between business areas

Source—Group interview Results

Even though the group interviews' participants had limited appreciation of the organisational requirements for performance reporting through the Organisational Performance Reporting (OPR) process it was evident that PM is viewed as being important and essential to the individual. This area required probing within the study to determine how police managers comprehend the impact of NPM on the WAPOL and their every day accountabilities—an area of further research identified by Hoque et al. (2004). In discussion, and because of the current focus on operational service delivery and that environment, there is a tendency for police officers not to consider or be concerned about corporate requirements. It would be fair to say that most officers and police support staff participants only focus on the day-to-day activities and realities. They would rather, and tend to rely on management to worry about the accountabilities and results required for senior management and government. Furthermore, officers do not realise that the accountable conformance and performance processes undertaken at business areas are a direct result of government reforms through the influence of NPM.

This situation is supported by Neyroud et al. (2001, cited by Long, 2003 in Newburn, 2003) in which there is an absence of understanding of what performance is in terms of "input, behaviour output and outcome.' Dobson (2001) further supports this fact in which it was found that in some circumstances employees were told what to do with limited or no performance planning guidance or support—an internal rules focus (Bradley et al., 2006). This situation lends itself to actually having individual PM as a human relational approach (Bradley et al., 2006) in place to ensure direction, motivation and inspiration on the right organisational activities and focus. This is at odds with the views of Winstanley et al. (1996) and Deming (1992) that do not support individual PMSs. However, a PMS becomes effective when employees feel responsible for business area and organisational results, and accept and use the system to analyse performance and try to improve those results, Euske et al. (1993, cited in De Waal, 2004). A fact supported by Long (2003) where police officers involved in the planning and identification of targets and priorities will have more impetus to achieve outcomes and improve performance. This highlights the importance of the group interviews' results, and research probing where the participants felt compelled through group dynamics to present their honest views on PM within the WAPOL. However,

officers not involved or feel they have no control will only compound PM, breeding cynicism and poor stimulation/motivation.

5.2.1.7 PMS Conclusion

It is clear that corporately, the WAPOL OPR process needs to be better understood by all personnel focusing on line management, and linked into a PMS that is balanced with frontline and administrative demands. As highlighted in research carried out by Norman et al. (2004) two main factors are required for a PM approach to be relevant, accepted and to help improve performance within a NPM context: clarity of direction; and trusting managers. The spread of accountability throughout the organisation has the tendency to motivate and achieve outcomes (Moore et al., 2003) as long as the first two factors are supported by senior management. Carmeli et al. (2004) found a link between the intangible organisational elements—managerial capabilities, human capital, perceived relation and culture—significantly influencing organisational performance. The existence of these elements is supported by Edwards (2002, p. 52) who states that other good governance elements as well as transparency and accountability, include “participation, relationship management, and depending on the context efficiency and/or equity.” Taking these factors into consideration and supported by a strong SHRM foundation provides a basis for good police governance within the NPM influence that can be built into a PMS.

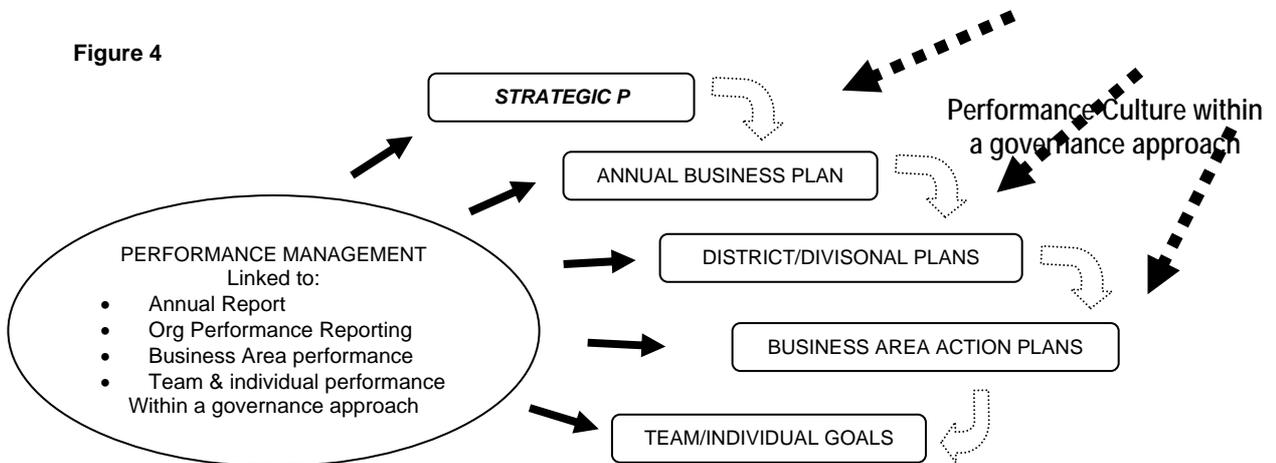
5.2.2 Question Two—Key PMS Elements within the WAPOL Environment

What are the key elements within the WAPOL operating environments which should be considered when designing and applying an effective PMS?

PMSs cannot simply be copied from one policing jurisdiction to another. Most organisations, like some policing jurisdictions take an easy approach and adopt a one-size-fits-all approach (Furnham, 2004, Weatherly, 2004, O'Neill et al., 2004; Scott et al. 2003; Grote, 2000; Kramer 1998) to PMS and will not necessarily work for the organisation (Furnham, 2004; Weatherly, 2004; O'Neill et al., 2004; Scott et al., 2003; Kramer, 1998).

5.2.2.1 An integrated PM Approach

At the WAPOL District/Division level the blending of individual competencies and behaviour with team and business area goals becomes an important facet of PM design (McLean 1994). This blending requires "a high level of integration of planning and management systems by line managers in linking individual goals and competencies to business objectives" (McLean, 1994, p. 17). In a typical PM planning cycle the goals and responsibilities of individuals will be linked to the business area and the organisational goals as a whole (Bevan et al., 1991). A balanced focus based on the efforts of individuals, teams and business areas is required within the model (refer to Figure 2 based on WAPOL) to influence and ensure progression towards priorities and objectives, and meet organisational conformance and performance within a corporate governance framework (Hartley, 2005; Fleming et al., 2004; Jones, 2003)



The development of a PMS that can capture the work value of a policing organisation, support learning, retain knowledge and be able to maintain a strategic fit with the environment will “represent both an innovation and an investment in the organisations administrative systems” Moore & Braga (2003, p. 450).

5.2.2.2 PM Resistance and culture

In preliminary study undertaken by this researcher it was clear that PM is not clearly defined or understood within the WAPOL giving significance to embedded resistance. This a natural phenomenon where PM approaches that have been imposed have not worked. Some areas of the WAPOL treat performance seriously whilst other areas treat it as a nuisance and something that adds no value (WAPOL personnel feedback, personal communication,). This view is supported by Cleveland & Murphy (1992, p. 142) who state that “In some organisations, appraisal is treated as important and in others it is treated as a joke.”

Whilst the WAPOL has focused on a process based approach to PM through DPS preliminary research indicates that for the agency to fully adopt a strategically and contextually appropriate PMS (displaying a good fit with the NPM, politicised strategic and operational environment and associated culture of policing in Western Australia), individual and corporate acceptance and commitment is critical. The WAPOL will be able to focus on maintaining a strategic fit by identifying a contextually aligned system that has relevant practical application, is able to embody engagement, and is attuned to the internal and external systems requirements.

5.2.2.3 Organisational and Operational PMS Elements

The relationships of the concepts, organisational characteristics and operational environment were strongly factored into the conceptual framework in Chapter 2 as influencing PMS design and application. A specific PM behavioural research focus that was identified by De Waal (2004) requiring further study. These concepts have an essential influence over the implementation and application of a policing PMS. The existing literature has focused on private sector PA and PM. As iterated, there has been limited focus on the policing or other public sector PM areas with the

exception of Cederblom et al. (2002) focusing on Total Quality Management (TQM) issues and Coutts (2003) analysing police officer PA systems.

These concepts have an affect on the design, application and acceptance of a policing PMS. Furnham (2004) supports this notion in which the changing context of the operational environment means that a PMS needs to be tailored to fit the situation, a factor also supported by Radnor et al. (2004). As the literature emphasised, skills and knowledge will differ from one group or organisation to another as well as the diversity and attributes within the operating environment (something that would be identified in the development of position descriptions within the HR function). Developing performance measurement appropriate to the area within a PMS focusing on performance concepts (not salary based but development focused) will enable its effectiveness Smither (1998, cited in Coutts et al., 2003). This is also supported by Weatherly (2004), Furnham (2004) and Scott et al. (2003) who emphasise that there is no generic PM system that fits all organisations or situations. A PMS has to be unique and adaptable to fit a particular environment—overall organisational or operational/business area. This will entail the organisational adjustment of structure and systems through a corporate governance framework to meet internal and external conformance and performance.

The Second Stage group interview responses (individual and group) relating to specific operating environment PMS elements are recorded in Tables 14 to 17 and the overall key frequencies are summarised in Table 25. Some broader policing PMS elements are included in Table 24 but also may have relevance across the operating environments. This interpretation was gained through the Second Stage operational environment sample as detailed in Chapter 4 of the group interviews' opinions and views. This highlights the delineation between organisational and operational PM application, and the importance of tailoring an approach to a particular environment rather than applying a *one system fits all* approach.

Table 25—Identified Key Operating Environment PMS Elements

Operating Environment PMS Elements

1. Individual job competencies—critical job practices
2. Outcome focused measurement
 - Task or outcome focused
 - Team/Individual effort
 - Operating environment context
3. Ratings that capture both contextual/performance perspectives
 - Subjective (personality/motivation)
 - Task performance goal oriented (cognitive ability, skill and experience)
4. Participation of staff —Objective setting—assigning work efficiently
5. Consistent/simplistic design and approach
6. Balance between frontline and administration requirements—provision of time to do PM properly
7. Portability of PM files between business areas

Source—Group interview Results

When comparing the Second Stage data with the First Stage (ODC and CMDKSC) data, the identified principles and elements have a similar pattern with the Second Stage results. The correlation (triangulation) of the two stages' data and findings provided rigor in terms of reliability and validation in verifying PMS themes and issues PMS elements that could inform PMS design in a variety of policing contexts and needs. In comparing both studies' data the majority of the group interviews identified and viewed the elements: 1) having consistent and accurate ratings/measurement to be most important considerations in PM design; 2) communication; and 3) corporate support in assisting acceptance and use. As with the ODC, over half of the CMDKSC group considered that the design should be simple, timely, but in difference to the ODC. The ODC additionally considered having a built-in review process, an important PNM design consideration that was supported by the literature.

The main themes that were identified through the First Stage focused on design features being relevant, and did not place an imposition on managers, but are simple and effective—a balance between operational and administrative requirements (Radnor et al., 2004). This highlighted the tensions in meeting requirements and having to deliver a service, a situation identified by Hoque et al. (2004); Jones, (2003); Wright (2002); and Vickers et al. (2001). More importantly, views expressed the need for a PMS that has credible, consistent and realistic

ratings and measurements. Input by employees in the planning and what is to be measured and why it is being measured is essential in cultivating ownership and motivation (Jones, 2003; O'Neill et al., 2003; Tziner et al., 2000; Petit et al., 1994) especially within a PM approach. Good governance through corporate support is viewed as being significant to the process of acceptance and use, and creating the ideal performance management environment.

5.2.2.4 Poor and Good Performance

The First and Second Stage group interviews had combined views on the importance of managing poor as well as acknowledging good performance, as it was perceived that managers would not be supported in taking action for poor performance. There were strong views on this issue as it was perceived by the group that poor performance was not managed effectively and would be ignored/bypassed or not become knowledge when a particular individual moved from one operating environment to another. Further, the combined group interviews viewed good performance not being recognized over poor performance and that some form of management recognition was needed but not necessarily a monetary incentive. Poor performance received much more attention and use of resources than good performance, which was perceived as being taken for granted.

5.2.2.5 Impact of DPS

Interestingly, the data obtained through the group interviews' samples, collection periods and operating areas emphasise the current views on the WAPOL *Developing People for Success* (DPS) PMS. A PMS that only embraces limited PM principles, and as the Kennedy Royal Commission commented, whilst it focuses on communication it lacks accountability of process. This is a PMS that has some relevance but lacks relevance because of its imposition, and focus through reliance on line management application that is not always acceptable. This is also supported through a survey of the Central Metropolitan District (CMD—Perth CBD) in November 2004 (the researcher was the former Acting District Superintendent for this District) where 55% (approximately 220 respondents) of the overall District sample was surveyed regarding PM. Analysis of that survey found that: staff had the views that: they were uncertain whether they received PM; had poor supervision feedback and personal development opportunities; good performers were not recognized and poor performers received no consequences,

had uncertainty about senior management support for poor performance reports; had confidentiality concerns; and that PM is ad hoc and lacks momentum. A number of the group interviews' participants echoed the same views emphasising the need for a consistent approach with guidelines.

5.2.2.6 Goals and outcomes linkage

Whilst the organisation has two functional components—operational and administration components—it is important for operational areas through their managers to understand what the organisation requires in terms of planned objectives and priorities. Interestingly, whilst the data in Tables 12 and 13 indicated limited understanding relating to the linkage of organisational outcomes with individual effort, the group interviews' data in Tables 14 and 15, Section 4.3.2 relating to "*What should be measured?*" found that individual and group consensus views strongly support *individual effort towards targets/outcomes – objective setting aligned to organisational goals*. In comparing these results there is synthesis between the literature and the group interviews' identified themes and issues relating to PM design principles. The research indicates that it is important for individual performance to be managed based on competencies to do a particular task or job, and that performance should be measured based on the specifics of a particular work area's job tasks (Coutts et al., 2003; Cederblom et al., 2002; Grote, 2000). Parhizgari et al. (2003) in a study of public and private sector organisations found that practices and functions will differ. Therefore, whilst performance for each aspect of organisational activity may be different (through a KPI focus and compliance), as a whole, will focus activities and effort for overall organisation outcomes (Sharif, 2002). To contend with this situation the PMS has to be flexible to meet the many specific needs of an organisation's varied functions (Stockley, 2004; MacBryde et al., 2003; Prastacos et al., 2002; Australian Public Sector Commission, 2001). The relationship between an individual's, business area's and organisation's performance is critical to overall organisational performance. The views of the group interviews across both collection phases indicate that there is understanding and acceptance of this notion. However, it is also about identifying and establishing a PM approach that has efficacy through good governance, consistency and is equitable across the organisation.

Importantly, whilst some of the theory and prescriptive papers from private sector perspectives see linkages between performance and remuneration as a reward (Furnham, 2004; Weatherly 2003; Boice et al., 1997) the findings from this research (refer to Tables 14 to 19) did not reveal group interviews' views on references to re-establish a pay related performance only that "good performance" should be recognised over "poor performance."

5.2.2.7 Salary based/reward systems

Most group interview responses stressed the "need for follow-up on recommendations, not just lip service" and that there should be "ongoing management." This is a particularly important finding and has synthesis with other views expressed by the group interviews that preferred some management acknowledgement for good performance. This is an essential design consideration within a tailored PM approach on which the recognition of good performance requires more focus and application within the WAPOL environment. The WAPOL has experienced past failures with performance related reward systems and this after effect or stigma may yet be present. What has become clearer is that PA appears to be more related to a performance for salary increments component within the sphere of PM. It does not have the endearing qualities of a staff development focus within a human relational approach.

5.2.2.8 Knowledge Workers and SHRM

Specific operating environments have relevance when discussing knowledge workers (refer Section 2.5.5). As identified in Table 25, individual competencies required to do a particular job or function are important to a specific operating environment as well as measuring performance and competence against specific function requirements. Policing organisations fulfil many core business activities that require a significant spread of skills and competencies by officers and police support officers. Some competencies will be generic across a policing organisation and others will be specific to a particular operating environment or function. This moves the PM design into the reach of knowledge management and workers. This Section of the research does not intend to focus discussion in this area, but acknowledges this subject's relevance and importance linked to SHRM within innovative organisations that need to maintain strategic positioning. The placement and use of knowledge workers within an organisation will depend on

an individual's skills, knowledge and preferred area of expertise that can enhance an organisation's viability and sustainability. As indicated by Dawson (2000, p. 320) "strategy deals with the relationship between the organisation and its environment" and strategy deals with having the right competencies in place to deal with the change and maintain the organisation's position. This relates to the organisation having knowledge capabilities to undertake the change process, build future capacity and to maintain a strategic fit. In the case of policing this is important to maintain pace and relevance in providing more efficient and responsive services to the community in the face of significant changes and future scenarios—a focus of the citizen-centric governance approach. Knowledge capabilities need to be developed and retained, and depend on knowledge workers "who are at the heart of the process that create the most value for the organisation and its clients" (Dawson, 2000, p. 324). This is supported by Hamel and Prahalad's (1993) view that organisations should use HRM as a means to build and configure internal capability to meet the external requirements and future environment.

Within the policing operating environment, the term 'specialists' is not new, however the term 'knowledge workers' is changing thinking in terms of employee recruitment, training, development and retention. Luen et al. (2001, cited in Collier et al., 2004) classifies police officers as knowledge workers because of the need to use knowledge to undertake their activities effectively. The term has more relevance when applied to the operating environment in which specific functional areas require specialist skills and qualifications to fulfil the area's objectives/outcomes.

The knowledge garnered by these areas has implications for organisational performance. The knowledge and skills of individuals should focus on particular tasks/objectives, and that effort, measured against the performance of the specific area. Some of the group interviews emphasised "matching the job with the right person" having relevance in respect to the operating environment. The need for a PMS approach through SHRM is important to maintain clarity of direction and effort, and assist in knowledge worker retention, motivation and focus. Motivation of a diverse and gender balanced workforce is the key to ensuring the spread of knowledge and development of skills through organisational culture and

behaviours that can be managed through an appropriate PMS whose key enablers are leadership, remuneration and recognition (Dawson, 1998; Dawson, 2000).

5.2.2.9 Conclusion

The research indicates that there are a number of key PM elements that are crucial to the design and acceptance of a PMS within WAPOL. Some of the elements identified have common links to those existing in PMS within the private sector as highlighted by Furnham (2003); Hartle (1994) and Bevan et al. (1991). The key PMS elements outlined in the previous Section within Table 24 are aligned with the views of researchers Bevan et al. (1991) and Furnham (2004).

The research has resulted in consistent findings in respect to the identification of PM principles and elements that are important within an operating environment. The research undertaken in this study contributes to the identification of PM themes and issues in terms of key PMS design within broad and unique specific policing environments such as the WAPOL in Tables 26 and 27.

5.2.3 Question Three—*Informing PMS Design within the WAPOL*

To what degree can these elements inform the design of a contextually appropriate PMS within the WAPOL environment?

The development of a PMS design based on identified PM themes and issues have been discussed in the preceding two Sections within NPM, governance and broad policing contexts. This Section is aimed at the unique and special WAPOL environment requirements.

5.2.3.1 PMS Design Relevance

The literature and research emphasise that one PMS does not fit all organisations and situations (Weatherly, 2004; Furnham, 2004; Scott et al., 2003), but what it does do (as an overall approach) is develops and focuses the people factor on the organisational objectives/goals. The system has to be flexible and be able to adapt to a particular environment, but needs to encompass overall organisational measurement. A number of factors will influence the design of a PMS depending upon the environment in which it will operate, and how it is perceived by the overall organisation. The challenge is to clarify and communicate the organisational strategy and then design and implement a PMS that is clearly linked to the strategic plan and objectives. The crucial element is to identify the critical resources and capture related measures that drive performance. This can only be achieved through a grounding of this philosophy within an organisation, and employee participation in the planning and measurement components. According to Furnham (2004) early PA/PM systems were undermined through poor implementation and resistance. This is a situation that reflects no workforce involvement and a system that has been management imposed rather than being tailored.

As highlighted in the research, the shift towards a performance culture and governance focus through the NPM philosophy (and Royal Commission reform programs) has been a significant shift in thinking for organisations and individuals (Bradley et al., 2006; Furnham, 2004, Hoque et al., 2004, Jones, 2003). This is

evidenced through the WAPOL's PA/PM journey moving from a seniority based and stable environment to a more performance and competency based environment that has increased accountability and individual responsibility and competitiveness.

5.2.3.2 Shift towards a PM Approach

In taking the many PA meanings, experiences of some policing organisations and plethora of literature into consideration it would seem that performance appraisal is more about being people appraised for a monetary increment that is salary linked based on performance. PM takes on a wider meaning and captures a wider set of practices and mechanisms to develop and manage the behaviour of staff. The elements of a PMS will take into consideration this difference (refer Section 2.4, p. 44).

Performance remuneration based on pay was not able to be applied appropriately because of equality issues and persons undertaking different functions were paid the same performance reward regardless of their function and output level (Furnham, 2004; Winstanley, 1996) leading to inequality. This is similarly reflected within the WAPOL and is a persistent issue that is raised within the PM scope.

5.2.3.3 WAPOL Context

The DPS was introduced in the right spirit and with the right intent but did not capture overall PM principles—accountability in alignment with performance outcomes based on a more informed design and relevant approach. As discussed in the literature review, the Kennedy Royal Commission recommendations have also imposed further reforms to PM that leaders and managers need to embrace through initiative rather than imposition. Especially, within the accountability requirements of NPM and governance approaches. Kennedy (2004, p.165) emphasised that:

“Performance management is the centrepiece of new public management approaches. Performance Management relies on measures, standards, rewards and sanctions to motivate organisations. The human difficulties of assessment include the unwillingness of managers to judge people as resting at the extremes of a performance continuum (a conservative theory), or to judge colleagues harshly (a lenient tendency).”

Despite the PA/PM problems the WAPOL has persisted with PM but now seeks and needs a more scientific approach through this research to inform the design of a PMS that is tailored and meets organisational and individual needs with more emphasis on managing performance within NPM and governance approaches. Weatherly (2004); Furnham (2004); Radnor et al. (2004); De Waal (2004); O'Neill et al. (2003), Norman et al. (2003), Teo et al. (2003); McLean (1994) and Dunphy et al. (1990) emphasise that valued PMSs should develop a committed organisational (performance) culture by aligning workforce efforts with the achievement of corporate and business outcomes. A PMS that does not have that linkage will be completely ineffective and will not enable the achievement of organisational outcomes (Boice et al., 1997) exposing the organisation to unnecessary criticism and government performance focus.

5.2.3.4 PM Design Components

The synthesis between the elements identified in the literature review and the research results from the group interviews provide a platform on which to identify key PM design elements through 'environmental tailoring' for current and future police systems within the influence of NPM. The research findings are supported by other relevant but limited police related PA and PM systems research undertaken by Coutts et al. (2003), Cederblom et al. (2002) and Kramer (1998). However, this study is much broader and deeper, focusing on the relevancy and identification of key PMS elements and themes that can be tailored into a PM approach within the unique WAPOL policing environment.

Coutts et al. (2003) identified five key components in applying an effective PA system within a specific policing environment: 1) the system focusing on performance variables and not personal traits; 2) having employee input; 3) frequency and nature of supervisor feedback; 4) providing opportunity to promote the achievement of individual and organizational goals, and reflect those identified through the analysis. Cederblom et al. (2002) in a case study of the Washington State Patrol in their development of a PA system found that: 1) employee input; 2) linkage of individual effort with organizational goals; 3) linkage with training and development; and 4) a focus on effective efforts rather than recording activity numbers (efficiency) were important to the officers, including the acceptance and

use of the PA system. Again, the elements are indicative of those highlighted by Coutts and the study findings. Kramer (1997) identifies similar elements with the common factors being: 1) linkages with organizational values and goals; 2) employee input for goals and measurement; and 3) relevance of the PA approach that fits the environment.

O'Neill et al. (2003) research into PM identified design principles that will enable better acceptance and application. Some of those design principles include: 1) senior management support and participation; 2) focusing on the right performance measures—this will depend on the operational and geographical environments; 3) holding managers accountable for performance feedback; 4) integration into HR processes; 5) minimizing the administrative burden; 6) communication; 7) training; and 8) system evaluation and improvement. The design principles are not dissimilar to the findings and views expressed by the participants in both the First and Second Stage.

Poor Performance

The main thrust of the group interview participants' frustration seemed to be focused on the need for better "poor performance" acknowledgement and treatment with senior management support. The group interviews expressed the following points: "better sub performance management and links into process," "portability will highlight poor performance and supervision," "assessed have the ability to recourse," "not just lip service," and "DPS not doing that (dealing with poor performance) only monitoring."

SHRM

Management of poor performance emphasises the importance of SHRM. SHRM will ensure alignment of the workforce with organisational direction and outcomes. This view is supported by Dessler et al. (2004) in which it is recognised that 'employees are central to achieving competitive advantage.' SHRM is the benefactor in ensuring that this occurs and will be intrinsically linked with PM design and application. SHRM and PM together become the mechanisms to influence cultural change and the right behaviours. Schuler and Jackson (1999, p. 52) defined SHRM as: "the pattern of planned human resource developments and

activities intended to enable and organisation to achieve its goals". SHRM becomes an organisation's HR overall focus in which an organisation can pursue and achieve its goals through its people. Police leaders and managers need to be aware of their strategic positioning to remain viable and meet business outcomes by focusing staff skill, knowledge and expertise and towards the achievement of current and longer term agency, business, and personal objectives (Furnham, 2004; Radnor et al., 2004; De Waal, 2004; O'Neill & Holsinger, 2003; Weatherly, 2004; Norman & Gregory, 2003; Teo et al., 2003; Mclean, 1994; Dunphy & Stace, 1990).

5.2.3.5 WAPOL PM Themes and Issues

The research focused on the environmental and organisational factors that impact on the establishment of a PMS, an area that was not explored by other researchers into policing PM. The elements identified through the research results (refer to Tables 4 to 7) provide a basis on which to design a PMS within the WAPOL. PM elements that are essential to informing the design of a PMS for the WAPOL environment are collated in Table 27. Importantly, the group interview methodology enabled police officer and police support officer participation (diverse workforce) in the process—an early phase of consultation and communication—that endeavoured to extract what the participants actually thought what should be within a PM approach within the WAPOL environment without bias or retribution. This was particularly important to ensure that the elements the participants viewed important (to them) were recorded and would assist inform the design of "their" PMS. This consultative approach and focus has been limited within the WAPOL, as PM has sometimes not been viewed as having limited organisational significance that only requires infrequent commitment.

To enable the identification of the true situation within the WAPOL context the participation and input of a broad sample of operational support areas views and opinions were sought. As both the literature and group interviews' participants views strongly emphasised, designing a PM approach without employee participation can lead to implementation problems through resistance, non-acceptance and poor or limited application. In a survey of Australian companies Nankervis et al. (1997) found that PA systems were on most occasions designed by HR specialists themselves and some of the systems had been adopted from

overseas parent companies. This view was also expressed by some of the group interviews. The participants indicated that there would be a variety of PMSs with other organisations that may work and could be adapted by the WAPOL. This view indicated the limited level of awareness by officers in regards to what research the WAPOL had previously undertaken. In fact considerable effort had been taken by the WAPOL in looking at alternative PMSs prior to the implementation of the DPS approach. Importantly, Nankervis et al. (1997) concluded that organisations PA systems with organisational outcomes, acknowledged the need for employee and union involvement in the design and implementation of the systems. In today's industrial environment, involvement of the relevant union is an important element that the WAPOL need to ensure occurs, and is captured in the researcher's recommendations.

In some of the Second Stage group interviews' discussions, participants emphasised the importance of examining other PMSs in use by other agencies or organisations to consider what may also have some relevance to the WAPOL. This presented evidence and validated the fact that officers and police support officers want a more acceptable and appropriate system of PM to replace the current DPS. The extant situation further highlights issues about communication and involvement in design in which officers are not aware that the current PMS design was based on contributions from research into other government departments and some literature review that were in the extant situation.

5.2.3.6 Conclusion

The study approach both from the First Stage and this (Second Stage) research enabled the participants, who will in the future either be the appraisee or appraiser/rater, or both, to express their views on how they see a WAPOL PMS should be shaped through the identification of design elements and principles guided through the group interview questions. The questions enabled group interview (individual and group consensus) views to be probed and bring to the surface key PM themes and issues that would inform a WAPOL PMS design.

The overall conceptual framework focused on identifying key PMS elements that may assist policing environments inform the design of a PMS that should be

adaptable and maintain a strategic fit within the NPM framework. The previous Sections 5.2.1 and 5.2.2 discussed the results obtained from the group interviews' findings. The results are varied but provide validity in the identification of PMS elements that can assist the WAPOL and other policing jurisdictions inform the design of a PMS that can be established, accepted and applied.

The research results indicate that a PMS design within a policing environment may consist of three parts that have relevancy and fit with the organisational and operational factors (Coutts et al., 2003 and Cederblom et al., 2002; Grote, 2000). It is evident that a PMS will consist of firstly, generic organisational competencies that are applicable no matter the operational environment. Secondly, operational environment competencies that relates to a particular area's job activities and function—also suggested by Grote (2000). Thirdly, task oriented objectives for individuals aligned to a business area and organisational objectives and outcomes.

The identification of further appropriate elements for policing environments will ameliorate the PM approach and inform the design. The research undertaken has focused in this area and the views expressed by the group interviews have identified a range of relevant elements that will assist in tailoring a contextual policing PMS design especially for the WAPOL but also have broader application in other policing contexts (refer to Tables 26 and 27).

5.3 Implications for Police PMS Design

This Section will cover the practical implications of this research and their adoption within broad and specific policing environments. The implications take into consideration: 1) the NPM influence and shift to a governance approach, 2) Royal Commission reform, and 3) the need for maintaining a SHRM focus linked to a strategic and contextual PMS design.

Contributions to the research and policing generally, include: a police specific study of PM; using a research approach that the WAPOL can adopt to identify a tailored PM approach that will meet the needs of the NPM environment, the organisation and individual; identifying the purpose of a police PMS; identifying design elements with relevance to the policing operating environment that can also have relevance and be adaptable within the public sector.

5.3.1 Practical implications for broader policing application

As indicated in the previous results discussions (Sections 5.2.1 to 5.2.3) there are a number of considerations relating to PM issues and themes relevance and application that have been derived from this research that may have broader application for other policing jurisdictions.

These considerations encompass the necessary PM elements can inform and need to be tailored into a PMS within the NPM, governance and policing contexts. As highlighted by the research not all elements will be relevant or have application but they can be used as PM design catalogue on which to base a police PMS that may have broader application in the public sector. Before venturing into the PMS design phase there are a number of prerequisites to develop a strategically and contextually appropriate design (as highlighted by the research).

1) Policing organisations need to embrace PM as an overarching system that includes components such as strategic planning, goal setting and development of staff linked to SHRM and supporting the governance approach. Importantly, PA is a component of the PM approach but is not linked to the motivation of staff development rather, it is a motivator for performance that is linked to a salary

increment. 2) Police officers must understand the organisational goals and planned and priorities including the individual linkage to organisational objectives – what they need to know and do and why they have to do it? 3) Objectives and goals are achievable through the allocation of human and capital resources with the intent of providing an efficient and responsive policing service to the community. 4) Whilst the need to conform and perform within NPM and is shifting to a governance approach, a PMS should build on the strategic positioning of the organisation. This can be achieved through introducing contemporary policing practices, and building on the knowledge and human capital of a diverse workforce through shared networks, in a context of integrated and collaborative policing approaches. 5) Monitoring relevancy of purpose and tasks through environment awareness and community expectation that will align and realign organisational direction based on a SHRM and PM approach based on good governance.

The design elements for a strategic policing PMS based on the research are detailed in Table 26 in the next page.

Table 26—Design elements for a strategic policing PMS

Area of Application	Conditions for successful application
Senior Management Support	As well as having ground up support for a PM approach within policing, it will not be successful or sustainable if there is no visible support of the approach by senior management.
Policy	Senior management support and commitment through good governance for a PM can further enhanced and established through the development of a PM policy. This forms the pathway for the organisation to develop a committed rather than a dysfunctional approach to PM. The policy should also emphasise the importance of internal accountability being aligned with external accountability.
SHRM	The establishment of a SHRM that focuses on maintaining employee focus on operational and strategic outcomes. SHRM aligned with PM are the mechanisms in which to bring about a change in culture and strategic direction within a diverse workforce. PM is considered the key building block of an organisation's human resource management system.
Understanding and knowledge	After a policy has been established it is important to ensure understanding of the PM approach and its linkage with SHRM and the organisational goals. Understanding should be addressed at the various business levels of the organisation with particular focus on frontline employees and line management. There is a risk that as an organisation grows there is less emphasis on PM—its approach and application. Communication should be systemic and systematic. SHRM and PM should maintain alignment with those changes.
Employee Participation	A sound and grounded PM methodological approach should be aimed at communicating the organisational strategic goals in conjunction with discussing perspectives and relevant measures for each aspect with employees. Having ownership in the overall design of a PM approach will enable a more committed and motivated approach to achieving organisational goals.
Competencies Identification (Organisation-wide)	Organisational characteristics should be considered in identifying competencies that should become generic across the organisation. This should be done through SHRM.
Knowledge Workers	Organisational information and knowledge capabilities enable an organisation to develop and maintain a strategic fit with its environment. Knowledge workers are the enablers of this organisational capacity that need to be placed in positions that can maximise their capabilities and maintain information and knowledge flows to assist in organisational development and positioning.
Competencies Identification (Operational Area)	PMS design elements will be different from one operating environment to another, including individual and team perspectives. The spread of business areas and functions, and geographical placements especially in policing are not uniform and require different competencies and measurement.
Linkage to Promotion	Competencies are important to ensure that officers can undertake functions properly. Performance relating to individual competence and goal achievement should reflect behavioural attributes that will enable officers to demonstrate ability for promotion and succession planning opportunities. The PMS should be linked to the promotion process.
Operational Area task linkage with organisational goals	The various tasks of each business/functional area all contribute to the overall organisational goals. It is important to recognise diversity and attributes, and identify the activities that an area must focus effort on to ensure linkage with organisational outcomes. Tasks undertaken by employees must be aligned to that outcome to maintain consistency, focus and motivation. Individual and team task performance needs to rely on cognitive ability, skill and experience.
PMS Design	Design, development and implementation of a formal PMS is important for a contextually appropriate police PMS. PM should be regarded as system for integrating the management of organisational and employee performance that shape individual and organisational outcomes. The purpose of a PMS should be aligned to those identified in this research in Table 7. The design has to take into consideration and balance the needs of the frontline and administration. PA should be regarded as a mechanism that is linked to appraising performance and an organisational stepped salary increment and will be a separate system. The combination of PA and PM mechanisms is considered to be the overarching PMS approach.
Training	Systemic training on PM approaches is particularly important for supervisors and managers. This enables better understanding of the process and PM application to overcome the traditional issues of managing poor performance and understanding of PM measurement.
Frequent PMS Reviewing	The changing context of the policing environment is such that a PMS will require frequent reviewing to ensure its relevancy and strategic fit. A system needs to be adaptable and flexible to meet emerging issues.

Source—Research Results

5.3.2 Practical implications for WAPOL

There are a number of specific practical PMS design implications for the WAPOL that require a particular focus and are in addition to the broader PMS design elements in Table 26. The WAPOL specifics are listed in Table 27. A flow chart mapping out these elements and their application is portrayed in Figure 5 (Chapter 6).

Table 27—Design elements for a WAPOL strategic policing PMS

WAPOL Application	Conditions for successful application
Policy/Principles	The current DPS PMS has regressed PM application and progress within the WAPOL. As well as Senior management support and commitment to establish a contextual PMS can be enhanced through a PM policy, the need to develop and adopt a set of guiding principles is important. The principles will assist in setting direction for a value PMS approach.
Identifying the PM Culture	In identifying a PMS design and its application it is important to understand the performance culture of the organisation so that the intangible elements can be strategised to increase implementation effectiveness and success within a diverse workforce.
Leadership	It is important to look at leadership in a different light when dealing with employees. Leadership should shift to inspiring people and laying a foundation of trust. This will mean a shift by some managers from being aggressive and having a forceful influence to building relationships, and having good communication that will increase productivity and performance.
Implementation	As the WAPOL has undergone significant reform, and been exposed to a plethora of pseudo PMSs it is important to put more emphasis into the implementation process to enable better acceptance and use by employees
Combined Officer/Support Staff PMS Design	In overcoming the issues with the current PM approach it will be important to align some of the elements identified within this research to have an integrated PMS design. This will reduce the perceived tensions and sub culture that exists in some areas between police officers and police support staff. This approach will enable a more committed approach by all WAPOL personnel.
Training	As well as having training for supervisors and managers, awareness modules must be included within the recruit and other training courses to enable sensitisation of the PM approach to be taken or in place. This communication will ensure that personnel are better informed on their PM and expected management of PM within the WAPOL, and its alignment with organisational outcomes.
Transparency—honesty—credibility	This element has been identified as being critical to the acceptance and use of PM in the work place. The PM needs to be open to enable credibility of the approach and maintaining fairness and justice.
Transportability of files	Whilst this will form part of the PMS design the results of the research indicate a strong desire by WAPOL personnel to have a PMS or appraisal format that is transportable from business area to business area. This will enhance the PM of individuals and provide balance and a measuring tool on supervisor/manager PM application and consistency. The system needs to be electronic and may be linked through the SIMR System.
Tenure—Specialisation (SHRM)	Whilst tenure has been reviewed and is problematic for the WAPOL in terms of employee satisfaction there needs to be a balance in the deployment of resources and knowledge workers (specialists). The loss of skills and experience in specialist areas—forensic, specialist investigation areas and other areas leaves the WAPOL exposed in terms of capacity and capability building. There is a need to retain the right people in the right places and not deplete the organisation of its information and knowledge base. Retention of specialist investigators in particular complicated and complex crime areas is required. This will mean a rethink of tenure and the acceptance of a PM approach to ensure productivity and performance in a corruption free environment. This may also mean looking at salary rates to retain valued employees.
Monetary Incentives	Monetary incentives only provide a once off motivation for workers. It is not a true motivator of performance and there is a tendency for skewed individual performance measurement. However, the WAPOL through better leadership at the supervisory and line management levels will be able to achieve better performance if employees feel satisfied in their work, are providing value and feel valued.

Source—Research Results

5.4 Conclusions about the research problem

The research problem focused on the organisational and operational environmental variables and their relationships with PMSs and the NPM. This focus intended to identify key PM elements to inform the design of a strategically aligned PMS that is both flexible, and adaptable for all organisational performance levels to meet changes in corporate direction and specific operating environment within the NPM context. The outcome of the study was to identify elements and verify whether the identified elements could inform the design of a single PM approach rather than the plethora of PM approaches that currently exist within the WAPOL. The need to balance frontline and administration needs was particularly important. This balance being of strategic importance where the WAPOL (and Australian policing services) have to comply with the NPM requirements, and Royal Commission reform, but at the same time provide a service delivery to the community, which may not be aware of the NPM, and is only concerned in getting a quality service from the police. This a view supported by Edwards (1999, cited in Fleming & Rhodes, 2004, p. 34) that inflated expectations about police is brought by the public not understanding the role of their police. This situation lends itself to highlighting the creating the operational tensions and realities of policing in today's environment.

The research results are comprehensively covered in Sections 5.2.1 to 5.2.3 and provide some PM solutions for the WAPOL as well as other policing organisations. As indicated in Sections 5.2.1 to 5.2.3 and the literature review, the research was limited (through the research questions) to focusing on policing environments and the WAPOL environment specifically. Research into police PM has generally focused on PA schemes and components and not the overall organisational and specific operating characteristics (De Waal, 2004), or the impact of NPM within the operating environment (Hoque et al., 2003). The exploratory study undertaken in this research closes that research gap. Tziner et al. (2000) and Coutts et al. (2003) research into PA within Canadian policing jurisdictions focused on PA ratings, measurement, and system effectiveness. Cederblom (2002) provides some insight to PA design within an American policing jurisdiction (Washington State Patrol). Research material from many sources including theory, papers and technical guides provide an array of material on PA and PMS design (Furnham, 2004) within

the private sector context. Whilst some may have relevance within a policing environment the research material does not focus on the specific operating nature and structure of policing environments and is generalised to a fashion that it does not inform the design of a PMS within policing environments. A probable reason for policing organisations not applying or ignoring the research on PMS design as indicated by Coutts et al. (2003).

5.5 Implications for theory

Research into the public sector, but specifically policing organisations is very limited, as evidenced through the literature review. Most studies into PM relate to the conduct of PA and PM within the private sector as emphasised throughout this research and validated through the literature review. Policing organisations, especially in the USA and Canada have not attempted to include the abundance of PA and PM research (Coutts et al., 2003). This could be a similar situation in Australasian policing jurisdictions.

The research into PMS within policing operating environments is limited as discovered when undertaking the literature review. Whilst Hoque et al. (2004) and Vickers et al., (2001) conducted research into the affects of NPM on Australasian policing the research has limitations in respect to policing PM direction and elements within that environment – an issue for further research that Hoque et al. (2004) highlights. The research conducted by Hoque et al. (2004) highlights the affects of NPM and the operational tensions placed on police to maintain frontline service delivery and legitimise the public whilst at the same time having to meet government efficiency requirements, a situation supported by Radnor et al. (2004). However, the study explored this situation further, which focused on PM themes and issues detail in respect to the linkages between organisational and individual perspectives impacted through NPM. This research takes the work of Hoque and Vickers further and contributes to NPM, governance within policing studies through a strategic and PM focus.

The identified PMS elements detailed in Section 2, Tables 4 to 6 are aligned with the views of researchers Bevan et al. (1991) and Furnham (2004). Whilst there are

common elements that may have relevance within policing environments, there is no specific focus on PM behaviour relating to organisational and operational perspectives (Furnham, 2004; De Waal, 2003) that may identify further appropriate design elements (particularly in policing) and within the NPM context.

5.5.1 NPM Theory

As emphasised by De Waal (2003) further research into organisational and specific operating environments factors will provide some insight to PMS design principles and elements. The research has taken that focus (refer to Research Roadmap and Conceptual Framework) and delved into the policing organisational aspects of structure, geography and specific functionality operating environments. This particular focus has not been undertaken in other areas of research and specifically within a NPM context. Whilst there is an abundance of research material on NPM, this study contributes to the material having significance through the association of the NPM and governance approaches within policing contexts, and specifically within the WAPOL environment. The research provides further insight into the effects of NPM at particular operating and geographical levels within policing that builds onto the study undertaken by Hoque et al. (2004) and Vickers et al. (2001) and bridges the gap in some of the research that was highlighted in that particular study relating to the impact on police managers—concerns, and accountabilities that affect organisational performance.

5.5.2 Identifying PMS Design Elements within Policing

The research problem and questions were aligned to identifying PMS elements within policing environments and specifically the WAPOL environment within a NPM context, and responding to Royal Commission reform. This focus is aligned with De Waal's identification of further research into PM as discussed previously. Importantly, the study has a police research focus contributing to better understanding of the themes and issues that will influence PMS design within police operating environments within NPM. This is consistent with Hoque et al. (2004) view that policing operates differently from the private and other public sectors, and has unique PM requirement considerations. The study also takes into consideration Radnor et al. (2004, p. 257) that there needs to be more understanding of the "context and the balance of various organisational facets in

order to allow effective change and development.” This focus supports the areas identified for further research by De Waal (2004) where the organisational and operating environmental factors have been explored in this study. The significance relates to the study’s association with the NPM philosophy and the specifics of maintaining the functions of a policing organisation within government and public accountabilities, to maintain a balance between administrative and frontline requirements. This is a mounting challenge that modern policing services face with the need to comply with the NPM (Government) accountabilities, and the demands of the community in the provision of public services through strategic planning and performance measurement. This study has sought to identify and determine key PMS elements that will inform the design of a PMS approach that can be tailored to fit and have broad application within policing jurisdictions, especially the WAPOL. The research may also contribute to the identification of PM elements and components for informing PMS design within the public sector.

5.5.3 PM

The research also contributes to the PM literature in that whilst there is plethora of material on PA, most organisations have focused on PA and not PM as the overarching system. The results contribute to validating a more conceptual approach to the design and application of a PMS within an organisation. This has particular relevance within policing environments, which have varied PA/PM requirements and applications compared with the private sector but importantly, identifying a PM approach that can be tailored to bring about the desired organisational behaviour and results, a point supported by O’Neill et al. (2003). Furnham (2004) was critical of the plethora of material on PA and PM that exists today. However, this study provides more scope in relation to PM and PMS design with particular relevance to a PMS application within policing and NPM environments and may be a useful reference for policing jurisdictions (and the public sector) in considering a PMS approach.

5.6 Limitations

The research undertaken for this study sought to identify and determine the necessary relativities and elements from the First Stage and the Second Stage group

interview data analysis to inform the design of a strategically aligned PMS within policing environments but with a specific focus on the WAPOL. During the study of PMS elements some cultural conditions were identified. However, this study maintained a research focus on PM systems and elements limited by the research questions and did not focus on performance culture. It is acknowledged that this area (performance culture) would not be adequately covered during this study, and is an area of further research.

Research and analysis of the findings was also limited by the research population sample being confined to the WAPOL, however, the correlation of the WAPOL data and findings, literature and researcher's own experience and knowledge will have some application for other policing environments and not isolated to the WAPOL environment. Whilst this was the case, the viewpoint is limited and biased towards the WAPOL, but balanced through external findings.

The researcher was able to use experience and knowledge to assist the research. The scope was narrowed to the WAPOL because of time and resources, and the need for a more reliable exploratory study of PM at a specific organisational level. Analysis was undertaken, focusing on sample populations of varied functions and gender at the District and Division levels within the WAPOL—the primary provider of WAPOL organisational performance measurement for government accountabilities. This was identified as the main focus to enable a more informed and reliable basis relating to the intended PM design and applications. A wider population sample may have provided even more reliability and validity. However, the areas sampled, in conjunction with the First Stage contribution provided a breadth of functionality and varied work experiences across the WAPOL as summarised in Section 4.2. Whilst the research focused on the WAPOL operational environment, the data and analysis also identified broader PMS design elements and factors that may have practical application within other policing and public sector environments.

5.7 Further Research

The researcher initially intended to widen the study to other policing jurisdictions. However, this was not feasible because of research time and distance constraints. In furthering this study the researcher's methodology would have included (in addition to group interviews), development of a detailed themes taxonomy, and the development, conduct and analysis of a survey that would be have been extended to other Australasian policing environments. The literature review was able to provide theoretical background and some analysis material on which to compare and contrast the results and importantly assist in answering the research questions within the extant situation. The findings and results from this study however, provide other policing environments and the WAPOL with some practicable PMS design considerations to develop a more adaptable, flexible and strategically aligned PMS that will be accepted, applied and used by all personnel.

Whilst there could be further validity of this research's results through the WAPOL environment, further longitudinal study may focus on other policing jurisdictions (within Australasia) to further explore the impact of NPM and the validity of the PMS design elements discovered through this research; studying developing nations of the Pacific Region where the introduction of NPM is in its infancy and organisations are experiencing more accountability and the need for performance measurement. Policing jurisdictions in this region are only starting to learn about strategic management and performance reporting requirements. Early appreciations of the current environment indicate that Pacific nations will require further development assistance in establishing more external and internal accountable systems within their democratic governing systems. A comparative study of this region with Australasian and European policing would provide a more informed context for policing.

6. WAPOL RECOMMENDATIONS

The research findings have provided a scope of policing PMS elements that can assist to inform and tailor a PMS approach that may be simplistic in design, acceptable and appropriate to the general policing environments and more specific to the WAPOL policing environment. Emphasis is placed on the need to have a PMS that manages overall performance (organisational and individual) rather than a limited focus on individual appraisal. In taking the WAPOL along that journey there are a number of steps that may be taken to improve its current PM situation within the NPM context. This chapter provides recommendations that the WAPOL may adopt for implementation, and also provides a *Design and Application Roadmap* shown in Figure 5 based on Tables 26 and 27.

6.1 Recommendations for the WAPOL

The following recommendations are proposed for implementation by the WAPOL to improve its PMS approach:

Recommendation 1

The WAPOL accept and adopt the practical implications contained in Tables 26 and 27.

Recommendation 2

The WAPOL HRD takes strategic steps to move the HRD and HRM to being more strategically aligned with organisational objectives and goals.

Recommendation 3

The WAPOL establish a Performance Management Committee that operates similar to the Audit Committee (with Police Union and Public Service Union representation) and reports to the WAPOL Executive.

Recommendation 4

The current Developing People for Success is to be maintained in its current form till such time until a new PM approach and design is implemented, including policy, principles and training and format.

Recommendation 5

A Coordination/Implementation Performance Management Group (with Police Union and Public Service Union representation) should be established to ensure successful implementation of the new PM approach with an emphasis on marketing and communication.

Recommendation 6

The WAPOL new performance management approach should be aligned with the requirements of Organisational Performance Reporting (OPR).

Recommendation 7

The WAPOL performance management approach should be transportable between WAPOL business areas through technology alignment with the SIMR system.

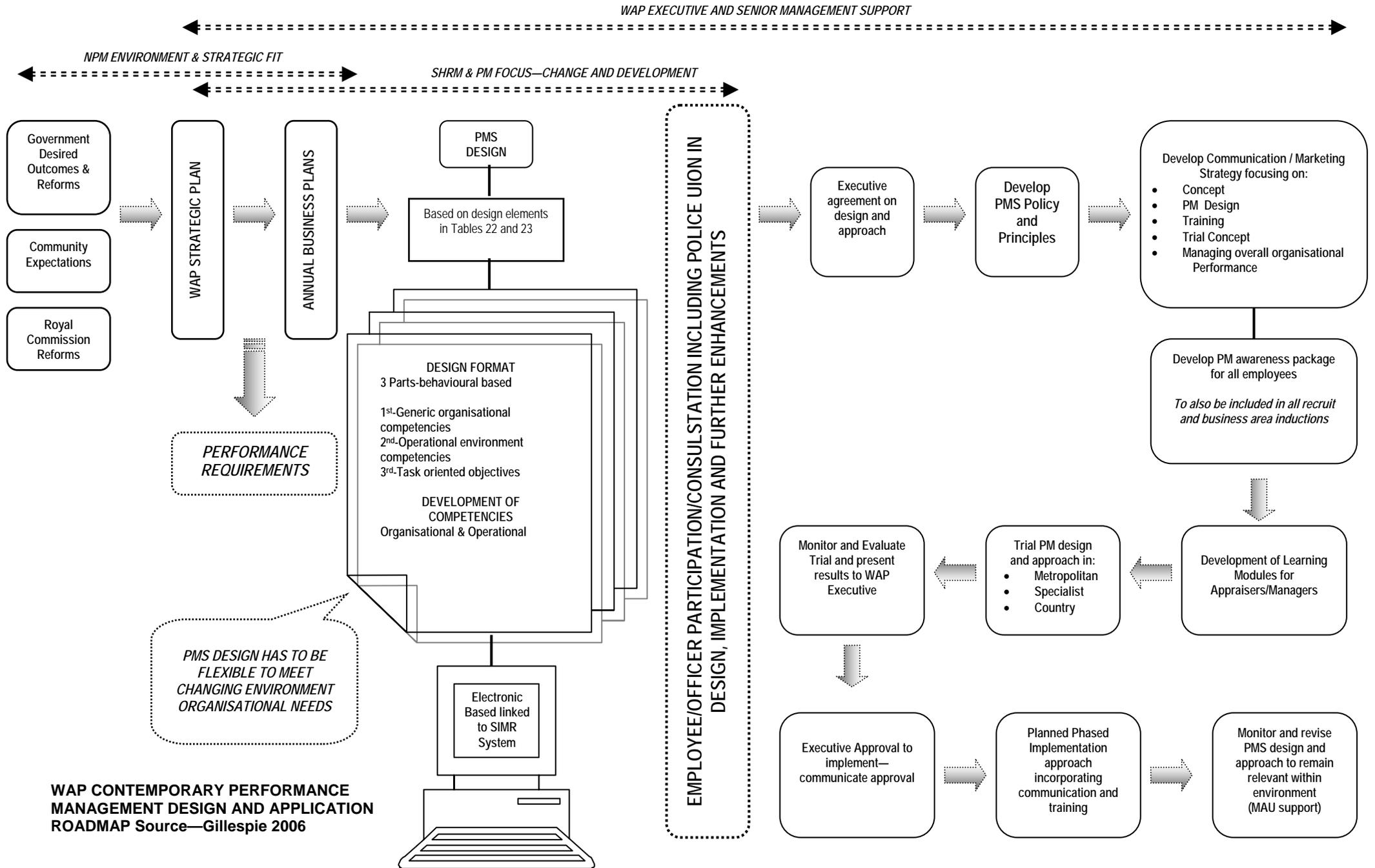
Recommendation 8

The WAPOL performance management approach should form part of the Annual Reporting Requirements for government.

Recommendation 8

Performance management should be an important component within HRD Policies relating to promotion, tenure, transfer and operational capability and capacity based on a SHRM focus for HR development.

Figure 5



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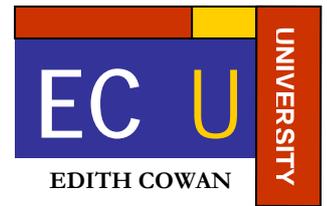
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Final report. Management Audit Unit, Perth, WA.

Western Australia Police. (2002). "Managing Staff Performance:
Recommended Approach for the WAPOL," Final report. Human Resources
Directorate (Advance).

Western Australia Police. (2004). Performance Management Survey. Central Metropolitan
District Office, Perth, WA.

Appendices



**OFFICER DEVELOPMENT COURSE
STRATEGIC MANAGEMENT**

Class Participants Information Letter

Dear Class Participant,

Inspectors Gillespie and Giles (researchers) are undertaking research into performance management systems and culture as part of their thesis. This is a joint strategic approach between the WA Police Service and Edith Cowan University and is aligned with the ethos of the Directions in Australasian Policing strategies.

Commissioner O’Callaghan has given the researchers approval to use Police Service systems to assist with data collection and collation.

It is intended to obtain research data through class activities/focus groups within your current environment. Your contribution to this research effort will be kept in confidence by the researchers and used to provide substantiation to the overall analysis, and will not be used for any other means other for ethical research considerations.

The data will be secured and destroyed at the conclusion of the research project.

It must be emphasised that the data extract through this class activity/focus group will be maintained by the researchers and will not be disclosed to other parties.

Please sign the below class participation agreement.

I agree to participate in this class activity/focus group.

SIGNED:.....(on behalf of the class Table groups)

Class Activity (20 minutes)

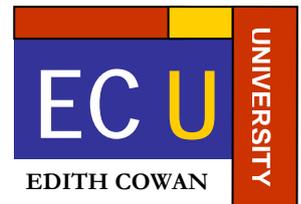
You have ten minutes in which to answer each question, make notes on the provided butcher's paper and appoint a group spokesperson.

Each spokesperson will present their group's dot points to the entire class group. Presentations should be by exception.

When establishing a PM approach in your business area:

- 1. What elements will assist you?***
- 2. What elements will hinder you?***

***Copy of email confirming Group Interview arrangements with Metropolitan
and Regional WA Districts/Divisions***



PERFORMANCE MANAGEMENT (Systems and Culture)

Researchers' Introductory Letter

Dear Portfolio/District/Division Head

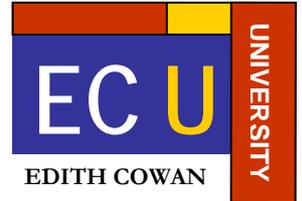
This is a letter of introduction for Inspector Ian Giles of our Police Service and (former Inspector/Acting Superintendent) Mr John Gillespie (researchers) who are undertaking research into performance management approaches and culture within the policing organisational and operational environments as part of their thesis. This is a joint strategic approach between the WA Police Service and Edith Cowan University and is aligned with the ethos of the Directions in Australasian Policing strategies.

The study is timely as it links into the current Royal Commission and Frontline First Philosophy reforms. The findings of the research will assist the Police Service identify and design a more relevant and flexible performance management system that is more appropriate to the policing environment.

As the Commissioner of Police I have given the researchers approval to use Police Service systems and interview Police Service personnel to assist with data collection and analysis.

Yours sincerely

KJ O'CALLAGHAN
Commissioner of Police



INFORMATION LETTER TO PARTICIPANTS

New Public Management influence within the public sector—identifying key Performance Management System elements to inform the design of future policing systems: What are the essential elements?

Dear Research Participant

This project has been approved by the ECU Human Research Ethics Committee.

You have been selected to participate in this research project focus group because of your position within the District/Division operating environment as a supervisory officer or police support officer. The aim of the project is to identify performance management elements that need to exist within the organisational and operational environments as outlined in the Commissioner's Introductory Letter.

It is intended to obtain research data through focus groups within your current environment. Data collection will be paper and audio based (used to ensure accuracy of discussion points). Please read the provided Focus Group Package.

During the research there will be no access to Individual Officer's performance management records by the researcher.

The data will be used to assist the researcher in answering the research questions regarding performance management within your current operating environment. The data will be analysed by the researcher to determine common factors relative to performance management issues within your operational area. The analysis findings will be used to compare theory and practical issues on the cause and effect of performance management approaches.

Your contribution to this research effort will be kept in confidence by the researchers and used to provide substantiation to the overall analysis, and will not be used for any other means other than for ethical research considerations.

The original data will be secured by the ECU School of Business to ensure independence and clarification of data findings. The researcher and co-researcher will have access secondary copies of the data to undertake the study.

It must be emphasised that the data extracted through this class activity/focus group will be maintained by the researchers and will not be disclosed to other parties. Data

will be destroyed at the conclusion of the research project. Some de-identified records may be retained by the researcher for longitudinal studies.

Participation is on a voluntary basis and you may withdraw from this part of the research. The research is being undertaken with limited funding apart from your contribution that takes you away from frontline duties for approximately four hours.

Your participation is most beneficial to ensuring that the researcher/s gain more reliable and valid information about performance management requirements within policing operating environments. The research outcomes hope to identify performance management elements that inform the design of a performance system within organisational and operational requirements. Without your participation and commitment this research will have limited bearing on the study outcomes.

The analysis of and discussions about the focus groups' data will be produced in a Research Thesis, Police Service documentation and other research articles. It is emphasised that the sources of data will not be disclosed.

If you agree to participate in this research project focus group please read the Information Consent Letter and sign the Consent Letter. A copy will be provided to you.

If you have any questions or require any further information about the research project, please contact:

Mr John Gillespie
C/-Inspector Ian Giles
Central Metropolitan District Office

Ph: [REDACTED]
Emails: [REDACTED]

Researcher's Supervisors

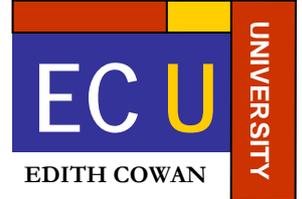
Supervisor
Dr Scott Gardner
Edith Cowan University
Pearson Avenue
CHURCHLANDS WA 6027
Phone: (08) 9273 8735
Email: s.gardner@ecu.edu.au

Co-Supervisor
Dr Charlie Huang
Edith Cowan University
100 Joondalup Drive
JOONDALUP WA 6027
Phone: (08) 6304 5280
Email: x.huang@ecu.edu.au

If you have any concerns or complaints about the research project and wish to talk to an independent person, you may contact:

Research Ethics Officer
Human Research Ethics Committee
Edith Cowan University
100 Joondalup Drive
JOONDALUP WA 6027
Phone:
Email:

(08) 6304 2170
research.ethics@ecu.edu.au



INFORMED CONSENT DOCUMENT

New Public Management influence within the public sector—identifying key Performance Management System elements to inform the design of future policing systems: What are the essential elements?

Researchers

Mr John Gillespie
C/- Inspector Giles (co researcher)
Central Metropolitan District Office

Ph: [REDACTED]
Emails: [REDACTED]

Researcher's Supervisors (School of Business)

Supervisor
Dr Scott Gardner
Edith Cowan University
Pearson Avenue
CHURCHLANDS WA 6027
Phone: (08) 9273 8735
Email: s.gardner@ecu.edu.au

Co-Supervisor
Dr Charlie Huang
Edith Cowan University
100 Joondalup Drive
JOONDALUP WA 6027
Phone: (08) 6304 5280
Email: x.huang@ecu.edu.au

Dear Research Participant

Please sign the below Consent Document.

I have been provided this Focus Group Package that contains:

- Introductory Letter
- Information Letter
- Informed Consent Document
- Focus Group Questions

I have read and understood the contents of the letters of introduction and study information (including the Focus Group Package). I understand that the research data will be collected in hard copy (paper based) and audio means, and later transferred into soft copy format.

I am aware that to ensure accuracy of data collection that audio taping may be used by the researcher/s. I consent to this occurring and understand that the recordings and paper based data collection will be stored at the School of Business at the completion of the research project for clarification purposes, and that the digital recordings will be destroyed after this purpose. The researcher has also advised me that some de-identified material may be retained to enable further studies.

I have been afforded the opportunity to ask questions about the focus group process, the research being undertaken by the researcher and how the information collected will be used for this research project. The researcher’s details have been provided should I have further questions about the research.

I also understand that my participation is voluntary and that I may withdraw from the process at any time without explanation or penalty.

I agree to participate in the research project and the focus group.

SIGNED:.....

Date:



New Public Management influence within the public sector—identifying key Performance Management System elements to inform the design of future policing systems: What are the essential elements?

Focus Groups Work Package

This Focus Group Package has been prepared by (former Inspector/Acting Superintendent) Mr John Gillespie (researcher) who is undertaking research into how New Public Management (NPM) influences public sector Performance Management System in an endeavour to identify elements that inform the design of future policing performance management systems.

The original signed *Information Consent Document* and working sheets within the package will be collected at the completion of the focus group session and secured by the researchers.

Each Package should contain the following:

- Original *Information Consent Document* (for signing by the participant)
- Copy *Letter of Introduction* from the Commissioner of Police
- Copy *Information letter*
- Copy *Information Consent Document*
- Work sheets (Questions 1 to 6)
- Comment Sheet

Focus Group Worksheets

The following instructions will apply to the conduct of this focus group session:

Please read these instructions carefully (if there are any queries ask the researchers for clarification)

- Handwriting should be legible should the researchers read the worksheets
- Sworn officers will be placed into like rank level groups (where possible) such as, Constable, First Class Constable, Senior Constable, Sergeant, Senior Sergeant and Police Support Staff.
- Each of the six questions to be answered will be progressed using the Nominal Group Technique (NGT):
 - Each group member will write down his/her ideas on their worksheet.
 - Each participant will rank each idea (Eg. 1 to 5) in order of importance.
 - The group will then come to a consensus on the selection of the most important ideas that answer the question.
 - A group spokesperson will be appointed for each question who will then present his/her group's ideas together with an explanation on the supplied butcher's paper.
- The researchers will be taking notes on any discussion that emanates from the presentations.
- Further comment can be provided to the researchers by completing the last page of the work sheet.
- ***Definitions of terms used are provided in the next page.***

Definitions

Key Performance Indicators mean the areas of the Annual Business Plan that the organisation and Districts/Divisions are measured against.

Organisation Characteristics means the intangible elements/factors such as, managerial capabilities, human capital, perceived relations, organisational culture and performance that have a significant effect on organisational performance.

Operating Environment means the elements/factors that influence PM at the operational level within a policing organisation.

Performance is defined as 'the conviction and application of effort that is necessary to achieve organisational objectives'. The critical elements of this definition include: (i) 'Conviction' at the personal level i.e. performance must be intrinsically valued by the worker; and (ii) 'Application of effort' i.e. the worker must actualize their performance beliefs through personal effort.

Performance Management Approach means a PM method or system undertaken or progressed within a particular policing District/Division business area (police station, team).

PM System Elements mean those key components and attributes that combined or part thereof contribute to and enable the establishment interconnectivity, interdependencies, and ongoing maintenance of a PM approach/system within the Western Australia Police Service.

Question 1

When establishing a performance management approach in your business area:

What are the Key Performance Indicators (KPIs)/outcomes of your District/Division/business area?

No.	Idea	No.	Idea

Comments

Question 2

When establishing a performance management approach in your business area:

What should be measured?

No.	Idea	No.	Idea

Comments

Question 3

When establishing a performance management approach in your business area:

How should it be measured?

No.	Idea	No.	Idea

Comments

Question 4

When establishing a performance management approach in your business area:

What design form should the performance management system take?

No.	Idea	No.	Idea

Comments

Question 5

When establishing a performance management approach in your business area:

What elements are essential to it working?

No.	Idea	No.	Idea

Comments

FOCUS GROUP MATERIAL

New Public Management influence within the public sector—identifying key Performance Management System elements to inform the design of future policing systems: What are the essential elements?

Entry Interview to Focus Groups

- Objective and purpose of the focus group is to get your thoughts, your views on performance management within the Police Service from both officer and police support staff perspectives.
- We currently have *Developing People for Success* (DPS) that has received mixed reaction and acceptance throughout the Police Service.
- DPS has been criticised by the Kennedy Royal Commission for its lack of application (traction) and “laissez-faire” approach to consistency and standard establishment,
- In progressing this research we are saying that performance management is not about system issues alone—performance management is about:
 - Flexibility
 - Adaptability

The performance management approach that is taken must fit in with our organisational operating environment, and have the portability and flexibility to change with emergent issues and ever changing environment.

- It is important today for you to freely express your views and thoughts on what should be involved in a performance management system—do not hold back. We encourage candid frankness and ideas.
- You have been provided with a Focus Group Package for one component of this focus group dealing with Mr Gillespie’s (former commissioned officer) research:
 - Refer to the Focus Group Package
 - Explain the letter of introduction
 - Explain the letter of participation
 - Provide overview of work sheets
 - Six questions will be asked
- Six questions need to be answered.

Exit Interview

- Summarise the workshop and some of the findings
- Emphasise the use of the data
- Emphasise the ethics
- Thanks to the participants for their contributions and time.