



Northern Ireland Audit Office

Continuous improvement arrangements in the Northern Ireland Policing Board

REPORT BY THE COMPTROLLER AND AUDITOR GENERAL
25 May 2011



Northern Ireland Audit Office

Report by the Comptroller and Auditor General for Northern Ireland

Continuous improvement arrangements in the Northern Ireland Policing Board

This report has been prepared under Section 29 of the Police (Northern Ireland) Act 2000 for presentation to the Northern Ireland Assembly in accordance with Section 30 of the Act.

K J Donnelly
Comptroller and Auditor General

Northern Ireland Audit Office
31 March 2011

The Comptroller and Auditor General is the head of the Northern Ireland Audit Office employing some 145 staff. He and the Northern Ireland Audit Office are totally independent of Government. He certifies the accounts of all Government Departments and a wide range of other public sector bodies; and he has statutory authority to report to the Assembly on the economy, efficiency and effectiveness with which departments and other bodies have used their resources.

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Executive Summary

Executive Summary

Background

1. The Northern Ireland Policing Board (the Board) was established on 4 November 2001 by the Police (Northern Ireland) Act 2000, which was designed to put the recommendations of the Patten Report on policing into practice. At the same time, the Police Service of Northern Ireland (PSNI) came into being, replacing the Royal Ulster Constabulary.
2. Section 28 of the Police (Northern Ireland) Act 2000 requires the Board to make arrangements to secure continuous improvement in the way in which its functions, and those of the Chief Constable, are exercised, having regard to economy, efficiency and effectiveness. The Board is required to prepare and publish a performance plan for each financial year, detailing how the continuous improvement arrangements are to be implemented. It also needs to prepare and publish a performance summary.

Basis and scope of the audits by the Comptroller and Auditor General

3. As the Comptroller and Auditor General for Northern Ireland, I am required to audit the performance plan and performance summary under Section 29 of the Police (Northern Ireland) Act 2000 and to send a report to the Board, the Chief Constable and the Department of Justice for Northern Ireland.
4. I have also reviewed the arrangements in place to secure continuous improvement under Section 28 of the Police (Northern Ireland) Act 2000.
5. This is the first report following the devolution of Policing and Justice powers to the Northern Ireland Assembly. The findings from my work are set out in detail in the following parts of this report:
 - Part 1: The performance plan for 2010 - 11 and the performance summary for 2009 - 10
 - Part 2: Operation of the arrangements to secure continuous improvement.
6. Appendix 1 gives further details of the basis and scope of this report.

Main findings of my review

7. On the performance plan 2010 - 11 and the performance summary for 2009 - 10:
 - The Board has prepared and published a performance plan and a performance summary in accordance with the Police (Northern Ireland) Act 2000. An unqualified audit opinion is given at Appendix 2.
 - The Board has put in place 16 performance targets for 2010 - 11 outlined in the performance plan. The targets are reasonable and have clear deadlines for achievement.
-

- The Board's assessment of its own and the Chief Constable's performance in 2009 - 10 is reasonable, and includes clear detail on the outturn against each performance target.

8. The process for developing the plan and the format of the finished documents has remained relatively unchanged since its inception. There is a continued focus upon quantitative targets as a measure of performance. While these have their place, national developments in policing signal a greater emphasis on qualitative targets as a measure of performance.

9. Information flows for reporting performance against performance targets were generally efficient and provided accurate, up to date information. The information flows for each performance indicator are validated prior to reporting. However, the validation of the input data relating to each target is inconsistent. There is consequently a risk that data input to information systems is incorrect, which could lead to inaccurate reporting of performance.

of how it carries out its functions, based on the Audit Commission/Her Majesty's Inspectorate of Constabulary (HMIC) police authority inspection framework¹. The report included some positive findings, but also suggested several areas for improvement. In my view, the most important of these were:

- the Board has been slow to develop a strategic or corporate vision, effective strategic planning or an ethos of continuous improvement; and
- there is little evidence of a systematic approach to value for money.

12. Following research and consultation during 2008 - 09 the continuous improvement strategy for 2009 - 10 was agreed with the PSNI Senior Management Team and subsequently the Resources and Improvement Committee of the Board. The strategy consists of three strands of work.

- Strand 1: PSNI Chief Officers identified and sponsored 30 improvement initiatives and assigned a responsible senior member to lead and deliver on each initiative.
- Strand 2: In consultation with key external oversight bodies such as HMIC and Criminal Justice Inspectorate (Northern Ireland) a programme of external inspections was identified.

On the continuous improvement arrangements

10. The Board has established arrangements for delivering continuous improvement. The Board works in partnership with PSNI to achieve their shared objectives for economic, efficient and effective policing.

11. In February 2010 the Board proactively commissioned an independent review

¹ The Independent Assessment Report, conducted by an independent consultant, a former Superintendent in HMIC.

- Strand 3: A programme of compliance inspections approved by the PSNI Organisational Development Committee and the Board.
13. A key element of the process for securing continuous improvement is ensuring that recommendations made are implemented satisfactorily. As PSNI receives recommendations from several sources and the recommendations can take varying lengths of time to implement, a database (Overview) has been developed so as to enable all recommendations to be captured and thereafter monitored to a successful implementation. Monitoring of implementation is subject to considerable scrutiny by PSNI and by the Board. The focus of this scrutiny is primarily on the number of recommendations implemented.
- The Board should implement swiftly an action plan in response to the Independent Assessment Report.
 - The focus of scrutiny needs to move beyond the quantity of recommendations cleared to examine and challenge the quality of implementation at each stage of the monitoring process.

Recommendations

- The Board should review its approach to assessing police performance. The Policing Plan should contain a mixture of both quantitative and qualitative indicators, having regard to the principles of improving police performance outlined in the Policing Green Paper. Targets should be formulated with due regard to the effect they will have on police activity, especially on how their achievement will impact on the desired policing outcomes.
 - Data input to information systems used to generate PSNI performance information should be validated.
-

Part One:

The performance plan for
2010 - 11 and performance
summary for 2009 - 10

Part One:

The performance plan for 2010 - 11 and performance summary for 2009 - 10

Introduction

1.1 In this part I report whether:

- the performance plan published in the Policing Plan for 2009 - 12 meets the Board's statutory obligations;
- the proposed performance indicators and standards are reasonable;
- the systems in place to produce performance information in support of the performance indicators and standards are appropriate; and
- the performance summary published in the Board's annual report for 2009 - 10 meets the Board's statutory obligations.

The performance plan

1.2 The Board has prepared and published a continuous improvement performance plan for 2010 - 11, within the 2010 - 13 Policing Plan². The performance plan includes a planned approach to continuous improvement by PSNI and the Board and includes performance indicators and targets.

1.3 The performance plan has therefore been prepared and published in accordance with the Police (Northern Ireland) Act 2000. An unqualified audit opinion is given at Appendix 2.

The proposed performance indicators and standards

1.4 The Police (Northern Ireland) Act 2000 requires that the Board identifies performance indicators and targets in its performance plan to measure the performance of existing functions of the Board and PSNI. Part Two of the three-year Policing Plan for 2010 - 13 includes a number of performance indicators and targets that have been determined by the Board following consultation with the Chief Constable, District Policing Partnerships and the public.

1.5 The 2009 - 10 performance plan set 26 targets. The number has decreased to 16 for the 2010 - 11 plan. The reasons for discarding some of the 2009 - 10 targets are explained in the Policing Plan: some have been removed as they are no longer considered a strategic priority; for others, the Board does not see the need for continued scrutiny.

1.6 The process for developing the plan and the format of the finished documents has remained relatively unchanged since inception³. There is a continued focus upon quantitative targets as a measure of performance. While these have their place, national developments in policing signal a greater emphasis on qualitative targets as a measure of performance. There is also little evidence within the plan of benchmarking performance against other police services in the UK or internationally.

2 The Northern Ireland Policing Board and the Police Service of Northern Ireland Policing Plan 2010 - 13, published in March 2010.

3 The Northern Ireland Policing Plan Review of the Planning Process 2009.

- 1.7 I have assessed whether each target is Specific, Measurable, Achievable, Relevant and Time related. I found that the targets are generally fairly expressed against the five criteria. However, some targets are not specific, in that while they indicate that performance should be improved, they do not specify the degree of improvement necessary. Detailed findings from my review of individual standards and indicators are set out at Appendix 3.

Recommendations

- Targets should be specific, indicating the degree of improvement that is required.
- The Board should review its approach to assessing police performance. The Policing Plan should contain a mixture of both quantitative and qualitative indicators, having regard to the principles of improving police performance outlined in the Policing Green Paper. Targets should be formulated with due regard to the effect they will have on police activity, especially on how their achievement will impact on the desired policing outcomes.
- A watching brief should be kept on both national and international developments in policing and reporting trends, with more focus placed on developing benchmarking opportunities.

Systems to produce performance information in support of the performance indicators and standards

- 1.8 Performance information comes from data systems, the results of the Northern Ireland Omnibus Survey and PSNI's integrated Call Management system. The data drawn from PSNI's crime recording systems is validated by PSNI's Central Statistics Unit (CSU) which follows Home Office guidelines. CSU includes staff seconded from the Northern Ireland Statistics and Research Agency (NISRA), working to the National Statistics Code of Practice. The data drawn from other PSNI business systems is reviewed by CSU for month-to-month consistency. I have reviewed the system of validation checks (which includes the new targets for 2010 - 11), and consider them to be appropriate.
- 1.9 PSNI introduced a new crime recording system called NICHE, which replaced the Integrated Crime Information System (ICIS) from April 2007. The information flow into NICHE from individually completed crime recording forms is sufficient to support the measurement of the targets. However, there continue to be some problems in achieving timely completion of the road traffic collision reporting forms and delays to their entry into the NICHE system. This has, again, led to delay in the reporting of performance against road safety targets.

Part One:

The performance plan for 2010 - 11 and performance summary for 2009 - 10

1.10 The data for the call handling target (target 2.5) is drawn from PSNI's integrated call management system. The data drawn from the systems each month is validated immediately by the Call Management Project team and at District level within PSNI. The validated data is then forwarded to the Information and Communications branch for wider dissemination.

1.11 The Northern Ireland Omnibus Survey is undertaken by NISRA, which is independent of the Board and PSNI. NISRA follows the National Statistics Code of Practice. The survey is conducted twice a year, in April and September. The Board's use of statistics provided by the Omnibus Survey informs the results against the indicator for the percentage of people who are confident in the police's ability to provide a day-to-day policing service for all the people of Northern Ireland. The report helps the Board meet its statutory requirement under Section 3 (3) (D) (ii) to "assess the level of public satisfaction with the performance of the police and the district policing partnerships." Its use is considered appropriate for this purpose.

1.12 In 2009 - 10 PSNI and the Board agreed that the Quality of Service Survey of Victims would not be conducted and as such target 2.2.1 (the percentage of crime victims satisfied that they have been kept informed regarding their case) was not reported on.

1.13 The District Policing Partnership (DPP) Public Consultation Survey is Northern Ireland's largest policing survey. In

2010, for the first time, information was collected at a PSNI neighbourhood level, to allow police area commanders and DPP managers to assess the level of public satisfaction with the performance of the police and DPPs at a local level. The results have been used to allocate resources and to tailor the police service to local communities across Northern Ireland. This is undoubtedly a positive development.

Recommendation

- In order to facilitate effective monitoring of progress against targets, it is important that the Board and PSNI ensure that timely and complete data is available from all systems which maintain performance information. To achieve this, PSNI should review the system for entering data onto NICHE to identify and address the cause of delays in the production of annual road traffic safety performance information.

The Board's assessment of its own and the Chief Constable's performance in 2009 - 10 by reference to performance indicators

1.14 The Board's assessment of its own performance and the Chief Constable's performance has been published in the Annual Report 2009 - 10⁴.

1.15 The Board has included performance information against all the targets for 2009 - 10 set out in Part Two of the

4 Annual Report and Accounts (published July 2010): pages 26 to 36 give the results of the Board's own performance, and pages 60 to 63 detail the PSNI's performance against the Policing Plan targets.

2009 - 12 Policing Plan. The results for the 26 performance targets are summarised in the following table:

Achieved	Not Achieved	Not Applicable	Total
10	15	1	26

1.16 At the monthly Board meetings, a written report is submitted by the Chief Constable setting out its current performance against each of the targets in the Performance Plan. This reporting is supported by a quarterly formal presentation by the Chief Constable to the Board on performance against key targets. He also answers questions raised on the performance information by Board members and on other PSNI issues of current interest.

1.17 The Annual Report has a summary on page 63 that provides a narrative on the main outcomes and reasons why the majority of targets were not achieved.

1.18 In May 2010 PSNI's internal auditors assessed the adequacy of the framework in place for reporting against the Board's targets for the 2009 - 10 year⁵. It concluded that for the majority of targets there are strong processes in place to ensure that information reported to the Board has been adequately validated. However, while the process for extracting information from PSNI systems is robust, internal audit did not assess the accuracy of information input to the systems.

1.19 I have examined the information flows for the following five specific targets in Appendix 4:

- to increase the number of drug supply gangs; frustrated, disrupted or dismantled (1.2.1).
- to increase the clearance rate for sectarian crimes (2.4.4).
- to achieve the National Minimum Standard of 90% of non-emergency calls answered within 30 minutes (2.5.2).
- to ensure that Neighbourhood Officers work at least 80% of their day on neighbouring policing duties (3.1.3).
- to increase the percentage of custody cases processed within administrative time limits (4.2.1).

1.20 The information flows for reporting performance against targets were found to be efficient and to provide accurate, up-to-date information. The information flows for the performance indicators reported by PSNI are validated prior to reporting. However, the validation of the input data relating to each target is inconsistent. There is consequently a risk that information input to PSNI systems is incorrect, which could lead to inaccurate reporting of performance.

1.21 For example, CSU are supplied on a quarterly basis with statistics on the number of drug supply gangs frustrated, disrupted or dismantled (target

Part One:

The performance plan for 2010 - 11 and performance summary for 2009 - 10

1.2.1). They then prepare the monthly "performance brief" for the PSNI Chief Constable's Forum and the Board. The input data is subject to local verification by the Drugs Squad, but CSU do not carry out any validation checks on the data supplied to them. As a further example, case progression statistics are extracted by CSU from the Causeway Business Information Systems (CBIS) without any further validation of the data (target 4.2.1) by CSU. There are also differences in the way that each District records abstractions from duty. This led to the issuing of a service procedure on abstraction advising on related definitions and how to report on time. The related target (3.1.3) has now been removed from the Policing Plan.

1.22 Overall, CSU validated the performance data for 11 of the 23 targets reported in the 2009 - 10 Policing Plan.

Recommendation

- Data input to information systems used to generate PSNI performance information should be validated.

Part Two:

Operation of the arrangements to secure continuous improvement

Part Two:

Operation of the arrangements to secure continuous improvement

Introduction

- 2.1 In this part of my report I have reviewed:
- the role of the Board and its work with PSNI;
 - the continuous improvement methodology;
 - the 2009 - 10 Reality Testing that replaced Best Value Reviews; and
 - the implementation of recommendations.

Continuous Improvement, and challenges the progress towards implementation. It receives regular updates on the core PSNI strategies. Officials from the Board and from PSNI attend meetings of the Committee.

- 2.5 In February 2010 the Board proactively commissioned an independent review of its performance. The report was written by an independent consultant and focused on the strengths and areas for improvement within the Board. The report included some positive findings, including:

- the Board has a good record of success in complex political and social circumstances;
- a working governance structure is in place and there is a clear understanding of its statutory role in respect of holding the Chief Constable to account;
- members and officials have broad political and business experience and are committed about their individual roles; and
- the Board has been proactive in developing its engagement and consultation arrangements and through its drive and support, neighbourhood policing is becoming more embedded within the Policing with the Community philosophy.

The role of the Board and its work with PSNI

- 2.2 The Board works in partnership with PSNI to achieve their shared objectives for economic, efficient and effective policing.
- 2.3 The Board meets on a monthly basis with the Chief Constable in private and in public. This provides the opportunity for members to discuss topical issues. Emphasis is also placed on reviewing progress against the Policing Plan targets at these meetings.
- 2.4 The Board's Resources and Improvement Committee has oversight of the continuous improvement responsibility, as well as PSNI information technology and estates strategies. The Committee is constituted from Board members. It receives reports on the progress of recommendations made by the various oversight bodies of PSNI, and under

- 2.6 There were, however, a number of criticisms:
- the Board has been slow to develop a strategic or corporate vision, effective strategic planning or an ethos of continuous improvement;
 - the decision making process is slow, bureaucratic and not outcome-focused;
 - there is strong evidence that the Senior Management Team is not as productive or progressive as it should be;
 - key plans and strategies are either not effectively developed or properly embedded, although some are now being discussed with meaningful intention;
 - there is little evidence of a systematic approach to value for money.

2.7 The Board is currently developing its response to the report. The quality of this response is likely to have a major impact on its capacity to deliver sustained, step-change improvement in policing.

2.8 A Continuous Improvement Strategic Working Group (CISWG), organised and chaired by the Board's Chief Executive, advises both the Board and PSNI on developing and implementing a continuous improvement environment within their respective organisations. Regular attendees include officials representing the Board, PSNI, Northern

Ireland Audit Office, Department of Justice, Criminal Justice Inspectorate (Northern Ireland) and the Association of Police Authorities.

2.9 To be effective, the CISWG needs to meet as often as necessary to maintain a dialogue between the Board, PSNI and the inspection bodies so that closure of recommendations can be tracked and, where appropriate, validated and future reviews and inspections can be well targeted and coordinated. It met only once during 2009 - 10.

Recommendations

- The Board should implement swiftly an action plan in response to the Independent Assessment Report.
- The Board should ensure that focused meetings of the CISWG continue to be held at appropriate intervals throughout the year.

Continuous improvement methodology

2.10 The Police (Northern Ireland) Act 2000 requires that the Board makes arrangements to secure continuous improvement in its own and PSNI's functions, having regard to a combination of economy, efficiency and effectiveness; it is also required to include reviews of the way in which its functions are exercised.

2.11 The 2009 - 12 Policing Plan committed the Board and PSNI to new approaches

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Operation of the arrangements to secure continuous improvement

to continuous improvement, which were put in place for 2009 - 10 onwards. The new approach to continuous improvement involves three strands:

- Improvement initiatives – identifying, documenting and implementing service delivery improvements to front-end customers (strand 1).
- External inspection programme – documenting the areas selected for external inspection by independent bodies to ensure that PSNI is benchmarked against national best practice (strand 2).
- Compliance programme – identifying key areas from policy and oversight reports with which PSNI has to comply and to inspect and report upon compliance. The programme was based upon key policies, procedures and external reports (strand 3).

2.12 **Strand 1:** Following consultation with all PSNI officers, a number of improvement initiatives were identified within the strategy. Each initiative is sponsored by at least one Chief Officer who in turn has assigned a responsible senior member to lead and deliver on the initiative.

2.13 **Strand 2:** The External Inspection Programme was developed in consultation with HMIC and following the Criminal Justice Inspectorate (CJI) Stakeholder Conference held in January 2009. Strand 2 should reflect current thinking in terms of where policing should focus strategic

inspection activities both from a national as well as a local perspective. External Inspection Programmes, such as those undertaken by CJINI, HMIC etc. are, by the nature of these organisations, independent from PSNI's control. The Board addresses this to an extent through the work of the CISWG. This aims to provide coordination of inspection activity and ensures that inspections support the Board's discharge of its statutory responsibility to secure an effective and efficient police service.

2.14 **Strand 3:** The Compliance Programme focuses on key service policies, procedures and external reports. The selection methodology used to design the programme involved a prioritisation matrix of all current policies, procedures and major external reports. Those documents which were considered embedded and not subject to other planned review work progressed to stage 2 of the assessment process. All remaining documents were then scored against 4 criteria and the resulting scores used to rank the documents in order of priority. The program of work in Strand 3 was designed to include the highest priority documents for compliance review during the review cycle. Neither the External Inspection Programmes nor the Internal Compliance Programme take account of the risk registers in the Board or PSNI.

2.15 Further details of these workstreams are shown in Appendix 5.

Recommendation

- The Board and PSNI should have regard to the high risk issues in their respective risk registers when developing the continuous improvement programme.

Reality Testing

- 2.16 Following the decision to replace Best Value as its continuous improvement methodology, last year's report by the NAO recommended that the Board and PSNI formally adopt a new approach. As part of this new approach post implementation reviews have been replaced with Reality Testing. Two reality testing reports were produced in 2009 - 10.
- 2.17 In December 2009, the Board published a Best Value Reality Testing Report. This outlined the findings of reality testing in PSNI resulting from the implementation of recommendations emanating from Best Value Reviews (BVRs) of the Patrol Function, Protecting Vulnerable People, Fixed Penalty Processes and Enquiry Offices. The review found that the recommendations in respect of the reviews of the Patrol Function, Fixed Penalty Processes and Enquiry Offices have been implemented to such an extent that the Board can be satisfied that strategic change and improvement has been made to these functional areas. In respect of Protecting Vulnerable People, changes are still relatively new and not yet embedded and further monitoring of progress was

recommended. There were no outstanding recommendations from this report.

- 2.18 A second Reality Testing Report, of the BVR of Community Engagement, was published in April 2010. Findings focused on two outstanding recommendations. These were:

- the Board should provide appropriate feedback to all those organisations involved in its community engagement activities (this recommendation was marked as finalised); and
- as the community engagement activities delivered by the Board increase, it is vital that effective systems to monitor their usefulness and value are introduced (this recommendation was not marked as finalised).

- 2.19 Each of the completed reviews has been published on the Board's website.

Tracking continuous improvement recommendations

- 2.20 A key element of the process for securing continuous improvement is ensuring that recommendations made are satisfactorily implemented. As PSNI receives recommendations from several sources and the recommendations can take varying lengths of time to implement, a database (Overview) has been developed so as to enable all recommendations to be captured and thereafter monitored to a successful implementation (or

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Operation of the arrangements to secure continuous improvement

duly endorsed closure where the recommendation has been superseded).

- 2.21 Overview provides a strong audit trail from recommendation recording, assignment to a named responsible person, and through to discharge with Chief Officer sign-off endorsing the full implementation of the recommendation. It is also used by PSNI to monitor progress in addressing recommendations and as a tool to challenge the quality of and timeliness of implementation.
- 2.22 All staff in PSNI can access the database through the intranet. Training has been provided to relevant staff; for example, in their roles as Accountable Officers for recommendations or managing implementation to a consistent and evidenced standard. For operational reasons, the Board does not have access to Overview.
- 2.23 During 2009 - 10 a process was instigated requesting Chief Officers to review their current outstanding recommendations to ensure that they remain valid. Following this process 170 implementations were either discharged or superseded on Overview. The process was still ongoing at the end of the financial year. This implies that the database was not being updated promptly following implementation.
- 2.24 The corporate governance frameworks of the Board and PSNI exercise challenge and oversight of the implementation process. A six monthly update is produced on Overview and any issues highlighted

are passed on to the appropriate committees. This report relates to progress made by PSNI in implementing recommendations made by oversight inspection bodies. The Resources and Improvement Committee also receive a report each October and May on the PSNI Continuous Improvement Strategy. The focus of this scrutiny is primarily on the number of recommendations implemented. A representative from the Board also attends the PSNI audit and risk committee where outstanding recommendations are reported.

Recommendations

- The focus of scrutiny needs to move beyond the quantity of recommendations cleared to examine and challenge the quality of implementation at each stage of the monitoring process.
- While the Board receives two reports a year on the implementation of recommendations, greater access to information on the progress of recommendations would enhance scrutiny of performance.

Appendices

Appendix 1:

The respective responsibilities of the Northern Ireland Policing Board and the Comptroller and Auditor General

1. Under the Police (Northern Ireland) Act 2000 section 28, the Northern Ireland Policing Board (the Board) is required to make arrangements to secure continuous improvement in the way in which its functions, and those of the Chief Constable of the Police Service of Northern Ireland (PSNI), are exercised, with regard to economy, efficiency and effectiveness.
 2. The Board shall prepare and publish a performance plan and a performance summary for each financial year.
 3. The performance plan must:
 - detail how the Board has made arrangements to secure continuous improvement in the way in which its functions, and those of the Chief Constable, are to be implemented;
 - identify factors (performance indicators) by reference to which performance in exercising functions can be measured; and
 - set standards (performance targets) to be met in the exercise of particular functions in relation to performance indicators.
 4. The performance summary must provide the Board's assessment of:
 - its own and the Chief Constable's performance in the year by reference to performance indicators, and
 - the extent that any performance standard that applied at any time during the year was not met.
 5. In practice, the Board works in partnership with PSNI as part of the continuous improvement framework to enable PSNI to identify actions and review all aspects of its service.
 6. Under the Police (Northern Ireland) Act 2000 section 29, the Comptroller and Auditor General is required to audit the performance plan and the performance summary.
 7. He shall issue a report:
 - certifying that he has audited the performance plan and the performance summary;
 - stating whether he believes the performance plan and the performance summary were prepared and published in accordance with the requirements of section 28;
 - stating whether he believes the performance indicators and performance standards in the published performance plan are reasonable, and, if appropriate, recommend changes to them;
 - if appropriate, recommend how the performance plan or performance summary should be amended so as to accord with the requirements of section 28; and to recommend to the Minister of Justice whether
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to give a direction under Section 31 of the Police (Northern Ireland) Act 2000, requiring the Board to take corrective action to ensure compliance with the Act.

8. Under the Police (Northern Ireland) Act 2000 section 30 the Comptroller and Auditor General may carry out an examination of the Board's compliance with section 28.
 9. This examination of the arrangements to secure continuous improvement may include:
 - liaising with key stakeholders, and in particular attending the Board's continuous improvement strategic working group;
 - discussing with senior management of both the Board and PSNI their plans for 2010 - 11;
 - reviewing the Board's and PSNI's own Post Implementation Reviews of functions; and
 - reviewing the systems in place to produce the required performance information.
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Appendix 2:

The Comptroller and Auditor General's certificate and opinion to the Assembly on the Northern Ireland Policing Board's Performance Plan and Performance Summary

1. In accordance with Section 29 of the Police (Northern Ireland) Act 2000 as amended⁷, I certify that I have audited the Northern Ireland Policing Board and Police Service of Northern Ireland's:

- performance plan for the year ended 31 March 2011; and
- performance summary for the year ended 31 March 2010.

the arrangements for publishing the plan complied with those requirements.

Audit of the Performance Summary

4. I planned and performed my work so as to obtain all the information and explanations that I considered necessary in order to provide an opinion on whether the Northern Ireland Policing Board has prepared and published a performance summary of the Board's assessment of its own and the Chief Constable's performance in 2009 - 10 measured by reference to performance indicators and performance standards.

Basis of my opinion

Audit of the Performance Plan

2. I planned and performed my work so as to obtain all the information and explanations that I considered necessary in order to provide an opinion on whether:

- the plan has been prepared and published in accordance with statutory requirements; and
- the performance indicators and performance standards for 2010 - 11 are reasonable.

5. My work comprised a review and assessment and, where appropriate, examination on a test basis of the evidence supporting performance against the indicators and standards as prescribed in the 2009 - 10 performance plan. I obtained sufficient evidence to satisfy myself that the summary provided includes those matters prescribed in legislation, and that the arrangements for publishing the summary complied with those requirements.

3. In giving my opinion, I am not required to form a view on the achievability of the performance plan. My work comprised a review and assessment of the plan and, where appropriate, examination on a test basis of relevant evidence sufficient to satisfy me that arrangements to secure continuous improvements are in place, that the plan includes those matters prescribed in legislation, and that

Opinion

6. In my opinion:

- the Northern Ireland Policing Board has prepared and published its performance plan for the year ended 31 March 2011 in all significant respects in accordance with the Police (Northern Ireland) Act 2000;

⁷ As reported in the Northern Ireland Policing Board and Police Service of Northern Ireland Policing Plan for 2009 - 12, and relevant sections on its performance as reported in the 2009 - 10 Annual Report and on its website.

- the performance indicators and performance standards included in the performance plan for the year ended 31 March 2011 are reasonable; and
- the Northern Ireland Policing Board has prepared and published its and the Police Service of Northern Ireland's performance summary for the year ended 31 March 2010, in accordance with the requirements of subsection 5A of Section 28 of the Police (Northern Ireland) Act 2000, and has done so within its Annual Report.

Recommendations to the Department of Justice

7. Under section 29 of the Police (Northern Ireland) Act 2000, I am required to recommend whether the Department of Justice issues a direction under section 31.
8. On the basis of my work, I do not recommend that the Department of Justice issues a direction under section 31 of the Police (Northern Ireland) Act 2000.

Kieran J Donnelly
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31 March 2011

Appendix 3:

Analysis of 2010 - 11 performance indicators and standards

Objective 1: Service Excellence

Performance Indicators	Reasonable	Targets	Specific	Measurable	Achievable	Relevant	Time related
1 The amount of officers assigned to front line service delivery roles	Yes	1.1 To increase the number of police officers assigned to neighbourhood and response policing roles by 600.	Yes	Yes	Yes	Yes	Yes
2 The percentage of time spent by police officers on operational duty outside police stations.	Yes	2.1 To increase the percentage of time spent by police officers on operational duty outside stations by 6% points.	Yes	Yes	Yes	Yes	Yes
3 The percentage of people who agree Police and other agencies are dealing with the antisocial behaviour and crime issues that matter in local areas	Yes	3.1 To increase the percentage of people who agree Police and other agencies are dealing with the antisocial behaviour and crime issues that matter in local areas to 60% by 31 March 2012.	Yes	Yes	Yes	Yes	Yes
4 The proportion of crimes reported to the police.	Yes	4.1 To ensure that the proportion of crimes reported to the police reaches 50% by 31 March 2011.	Yes	Yes	Yes	Yes	Yes

Performance Indicators	Reasonable	Targets	Specific	Measurable	Achievable	Relevant	Time related
5 The level of confidence in the fairness and effectiveness of the criminal justice system	Yes	5.1 In partnership with other agencies, to increase the percentage of people confident in the fairness of the criminal justice system to 61% by 31 March 2011.	Yes	Yes	Yes	Yes	Yes
		5.2 In partnership with other agencies to increase the percentage of people confident in the effectiveness of the criminal justice system to 38% by 31 March 2011	Yes	Yes	Yes	Yes	Yes

Appendix 3:

Analysis of 2010 - 11 performance indicators and standards

Objective 2: Tackling serious harm

Performance Indicators	Reasonable	Targets	Specific	Measurable	Achievable	Relevant	Time related
6 The impact on Organised Crime.	Yes	6.1 To report four times per year on the number of organised crime gangs frustrated, disrupted and dismantled.	Yes	Yes	Yes	Yes	Yes
		6.2 To increase the number of PSNI interventions directed at criminal finances.	No	Yes	Yes	Yes	Yes
7 The level of violence with injury.	Yes	7.1 To reduce the number of non-domestic violence with injury crimes by 5%.	Yes	Yes	Yes	Yes	Yes
8 The detection rate for violence with injury.	Yes	8.1 To increase the detection rate for violence with injury crimes by 10%.	Yes	Yes	Yes	Yes	Yes
9 The number of people killed or seriously injured on the road.	Yes	9.1 In partnership with other agencies, to contribute to reducing the number of people killed or seriously injured on the road.	No	Yes	Yes	Yes	Yes
		9.2 In partnership with other agencies to contribute to reducing the number of children killed or seriously injured on the road.	No	Yes	Yes	Yes	Yes

Performance Indicators	Reasonable	Targets	Specific	Measurable	Achievable	Relevant	Time related
10 The percentage of recorded crimes detected.	Yes	10.1 To increase the detection rate for <ul style="list-style-type: none"> Domestic violence with injury crimes by 10% points Most serious sexual crime by 5% points Sectarian crime by 5% points Racist crime by 5% points Homophobic crime by 10% points Robbery by 5% points 	Yes	Yes	Yes	Yes	Yes

Appendix 3:

Analysis of 2010 - 11 performance indicators and standards

Objective 3: Personal Policing – Dealing with local concerns

Performance Indicators	Reasonable	Targets	Specific	Measurable	Achievable	Relevant	Time related
11 The number of incidents of antisocial behaviour	Yes	11.1 To reduce the number of incidents of antisocial behaviour to ensure a 15% reduction by 31 March 2011.	Yes	Yes	Yes	Yes	Yes
12 The number of burglaries.	Yes	12.1 To reduce the number of domestic burglaries by 5%. 12.2 To reduce the number of non-domestic burglaries by 5%.	Yes Yes	Yes Yes	Yes Yes	Yes Yes	Yes Yes
13 The detection rate for burglary.	Yes	13.1 To increase the detection rate for burglary by 5% points.	Yes	Yes	Yes	Yes	Yes

Appendix 4:

Detailed review of 2009 - 10 performance indicators and targets

Target				Achieved
1.2.1	To increase the number of drug supply crime gangs:			
	Frustrated	2008/09	2009/10	Yes
	Disrupted	41	70	
	Dismantled	17	25	
		5	7	
2.4.4	To increase the clearance rate for sectarian crimes.	2008/09 – 15.2%		Yes
		2009/10 – 16.9% (+1.7% point increase)		
2.5.2	To achieve the National Minimum Standard of 90% of non-emergency calls answered within 30 seconds.	90.4%		Yes
3.1.3	To ensure that Neighbourhood Officers work at least 80% of their duty hours on neighbourhood policing duties.	87.8%		Yes
4.2.1	To increase the percentage of custody cases processed within administrative time limits.	2008/09 – 85.5%		Yes
		2009/10 – 85.7%		

Target 1.4.1 To increase the number of drug supply crime gangs, frustrated, disrupted or dismantled

On a quarterly basis CSU requests PSNI Organised Crime Squad to supply statistics on the number of drugs supply gangs frustrated, disrupted or dismantled. The Organised Crime Squad in turn request District Analysts to provide local figures by extracting the relevant information from NICHE. This data is reviewed locally by the District Senior Management team or a CID Detective Inspector and returned to the Organised Crime Squad.

Further checks against the data are carried out by the Organised Crime Squad to ensure there have been no double counting errors (as Organised Crime Squad could have made an arrest rather than District Officers). Statistical information is then submitted to CSU by the Organised Crime Squad. CSU prepare the "Monthly Performance Brief" for the PSNI Chief Constable's Forum and the Board based on the information supplied by Organised Crime Squad. Approximately 2 weeks later the performance information is reported publicly by the Board.

Appendix 4:

Detailed review of 2009 - 10 performance indicators and targets

It would appear that no objective validation is made of this data. The challenge function presented by the monthly meetings between the Chief Constable and the Board is the only apparent quasi-verification tool.

Target 2.4.4 To increase the clearance rate for sectarian crimes.

Detections (or clearances as they may alternatively be known) are, broadly speaking, those crimes that have been 'cleared up' by the police. Crimes are counted as 'detected or cleared' in accordance with strict counting rules issued by the Home Office. They are counted on the basis of crimes rather than the number of offenders involved.

The officer attends the scene of the crime and provides the relevant information for updating on NICHE, noting the perceived motivation for the crime (for example sectarian, homophobic or racist). The District Occurrence Case Management Team (OCMT) ensures the data is appropriately recorded on NICHE.

Where appropriate, District OCMTs will change the status of a crime to 'detected' on notification of a charge or a Public Prosecution Service decision (which is provided via a task on NICHE). The NICHE records are then tasked by OCMT to Central Statistics Unit for validation. CSU will review the details of the crime or detection record against the Home Office Counting Rules and ensure that all required information has been recorded and guidelines applied. If there is insufficient information available to validate either the crime or the detection CSU will return these to the District OCMT to update as required.

Additional checks of crimes and detections with a sectarian motivation are compiled by CSU on a quarterly basis and issued to Districts for compliance. Various sources of information are used to identify crimes/detections which may be sectarian in nature but where the correct identifier on NICHE has not been completed. Districts assess these records and update NICHE as appropriate. This is a quality check that is conducted independently of the basic crime and detection validation process.

Internal audit examined this area and recommended that PSNI ensure that only CSU staff have the ability to validate or un-validate crimes/detections.

Target 2.5.2 To achieve the National Minimum Standard of 90% of non-emergency calls answered within 30 seconds.

Reports are produced on a monthly basis using call data retained on the PSNI telephony system (when a call is received the system records the time taken to answer it) amongst other information available. Information is downloaded and used to prepare statistical reports. These reports are sent to Districts, the Board and the PSNI Resource Improvement Board. Cumulative figures are also sent to CSU on a monthly basis. CSU informed that the Hi Path telephony system records and monitors all calls and issues an electronic report on a monthly basis.

Target 3.1.3 To ensure that Neighbourhood Officers work at least 80% of their duty hours on neighbourhood policing duties.

Each neighbourhood branch maintains a spreadsheet detailing all hours abstracted from duty. A formal report is sent to CSU.

An internal audit report produced in May 2010 requested details from the 8 districts on how their area collates and validates this information. They received 4 responses and noted that each detailed a different process.

For example, in Districts A & E the Neighbourhood Team has direct access to a spreadsheet where they must record any abstractions from their neighbourhood duties. This is validated by the Neighbourhood Sergeants. In District D, Operational Planning retains records of officers' abstractions which is cross checked to the records retained by the Neighbourhood Officers. It appears that H District currently does not have a system to record these figures.

Internal audit recommended that Districts should adopt a consistent approach to recording and validating abstractions from Neighbourhood Officer duties to ensure consistency and completeness of statistics reported to the Board. Priority should be given to those Districts which do not currently record abstractions.

This was accepted however due to the lack of consistency in reporting on this area this target has now been removed from this year's Policing Plan. The recommendation, while valid, is therefore deemed no longer relevant.

A service procedure on abstraction was issued recently advising on related definitions and how to report on time.

Target 4.2.1 To increase the percentage of custody cases processed within administrative time limits.

Case progression statistics are extracted from CBIS by the PSNI Central Statistics Unit on a monthly basis. CSU does not perform any further validation of the information extracted. CSU highlighted during our review that there are plans to consider adapting these targets to bring them in line with the targets of other agencies such as Criminal Justice Board target.

Appendix 5: Continuous improvement workstreams 2009 - 10

Workstream	Contents
Strand 1	<p>Following consultation with all PSNI Chief Officers, a number of improvement initiatives were identified. Each initiative is sponsored by at least one Chief Officer, who in turn has assigned a responsible senior member to lead and deliver on the initiative.</p> <p>Key strategic initiatives selected for inclusion are:</p> <ul style="list-style-type: none"> • Rank ratios to reduce officer management costs • Reducing sick absence rates to improve availability for work and reduce the financial costs of absence • Review the role of the Sergeant to improve front line supervision and the quality of file submissions • Review of the volume crime model to improve clearance rates • Station closures to reduce financial spend • Armoury rationalisation to reduce financial spend • Procurement Plan to reduce procurement costs • Rationalisation of fuel installations and kitchens to realise cost savings and increase facility usage (of those remaining) • Fleet reduction to improve vehicle usage rates and realise cost savings • 10-day prompt pay project to improve corporate reputation • e-Finance P2P project to improve corporate reputation • Electronic payslips to reduce postage costs and staffing levels associated with handling of hardcopy payslips • Comprehensive Spending Review (CSR) and Value for Money (VFM) targets to realise budget savings • CATS review to improve the rape crime referral process • KIDNAP to improve the management of crimes in action • Benchmarking of major crime structures to improve the effectiveness of the PSNI major crime process • COPS IT system to improve the management of RIPA (surveillance) applications • PSNI / UK fingerprint interface initiative to enhance information sharing across forces • Alignment of forensic services to gain improved control of forensic expenditure • Footwear database to increase detection opportunities • Review of Intelligence Branch to streamline processes following the migration of some responsibility to MI5 • Transition of data from ICIS to Niche to improve intelligence handling and facilitate MoPI compliance

Workstream	Contents
	<ul style="list-style-type: none"> • Call Handling to improve the first contact process with the public • Digital pens technology to free up officer time for more front line service delivery • Quality of Service Commitment (QoSC) to improve the quality of interactions with the PSNI • Project HORIZON to improve information management within the Service and with partner organisations • CAUSEWAY project to improve the administration of the criminal justice process along with partner organisations by sharing information electronically • Project UNITY to improve the call management process used by the Service • Mobile Data project, to increase operational officer access to information and increase visibility due to less time spent returning to stations. • CORE review for a slimmer police headquarters
Strand 2	<p>Strand 2 was developed in consultation with Her Majesty's Inspectorate of the Constabulary (HMIC), and following the Criminal Justice Inspectorate for Northern Ireland (CJINI) "Stakeholder Conference" held in January 2009. Strand 2 reflects current thinking in terms of where policing should focus strategic inspection activities both from a national as well as a local perspective. The key strategic areas selected for inspection are:</p> <ul style="list-style-type: none"> • Vulnerable People including Public Protection Units • Professional Standards • District Training • Customer Service • Scientific Support • Road Policing • Serious, major and organised crime • Causeway • Avoidable Delay • Youth Diversion • Interface between PSNI and PPS
Strand 3	<p>The compliance programme focuses on key service policies, procedures and external reports. The following were selected for inclusion within this programme.</p> <ul style="list-style-type: none"> • Dealing With Victims and Witnesses • Public Order and the Use of Force (Including CS incapacitant spray, batons, handcuffs and vehicle mounted water canon)

Appendix 5:

Continuous improvement workstreams 2009 - 10

Workstream	Contents
	<ul style="list-style-type: none"> • Police Searches • Procedure and Guidance in Relation to Public Events • Major Incidents and Emergencies • Policing of Football Matches/ Sporting Events • Streets Ahead a Joint Inspection of the Crime Initiative • Intent on the Police Use of Firearms and Less Lethal Weapons • NI Road Safety Strategy • Police investigations into Unexpected Suspicious Deaths • Health and Safety • Reassurance Policy • Managing Actual/ Potential Critical Incidents • Northern Ireland Elections • Duties of Personnel Attending a Serious Crime Scene • Drugs Policy • The Handling and Management of telephone Calls to PSNI Establishments • First Contact • National Intelligence Model (NM) Implementation in PSNI • Domestic Violence and the Possession of Firearms and Ammunition • Multi- Agency Procedures for the Assessment and Management of Sex Offenders • Civil Contingencies Act 2004 • Chemet Procedures • Belfast Regional Control • Single Officer Patrolling • Role of Police Visibility and Accessibility in Public Reassurance • Without Consent – A report on the Joint Review of the Investigation and Prosecution of Rape Cases • Safety Matters – Review of Officers (Personal) Safety Training

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