INQUIRY INTO POLICE RESPONSIBILITIES & REWARDS

APPENDICES

VOLUME 2

INQUIRY INTO POLICE RESPONSIBILITIES & REWARDS

APPENDICES

VOLUME 2

Presented to Parliament by the Secretary of State for the Home Department, the Secretary of State for Northern Ireland and the Secretary of State for Scotland by Command of Her Majesty June 1993

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APPENDIX I

LIST OF VISITS UNDERTAKEN BY THE INQUIRY AND ITS MEMBERS

1992

Date	Force	Inquiry Member
July		
16	Kent County Constabulary	Sir Patrick Sheehy
24	West Midlands Police	Professor Campbell
28	Nottinghamshire Police	Professor Campbell
31	Essex Police	Mr Caines
August		
4	Thames Valley Police	Mr Bullock
5	Greater Manchester Police	Mr Bullock
7	Gwent Constabulary	Mr Bullock
	Suffolk Constabulary	Mr Caines
10	Hampshire Constabulary	Sir Paul Fox
17	Metropolitan Police Service	
	Public Order Training Centre	Sir Patrick Sheehy
		Sir Paul Fox
18,19,20	Royal Ulster Constabulary	Sir Patrick Sheehy
		Sir Paul Fox
28	Kent County Constabulary	Sir Patrick Sheehy
	Metropolitan Police Service	
	Ponders End Police Station	Mr Caines
31	Notting Hill Carnival	Mr Bullock
September		
2	Royal Ulster Constabulary	Professor Campbell
		Mr Caines
3	Metropolitan Police Service	
	New Scotland Yard	Sir Patrick Sheehy
		Mr Bullock
4	Lothian & Borders & Tayside	
	Police	Professor Campbell
	Metropolitan Police Service	
	Performance Information Bureau	Mr Bullock
11	North Yorkshire Police	Sir Paul Fox
	Peckham Police Station	Mr Caines
16	Dyfed Powys Police	Sir Patrick Sheehy
18	National Criminal	
	Intelligence Service	Sir Paul Fox
	Metropolitan Police Service	
	New Scotland Yard	Mr Bullock
22	Sussex Police	Mr Caines

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Date	Force	Inquiry Member
September		
23,24,25	Lothian & Borders Police	Sir Patrick Sheehy Mr Bullock
	Strathclyde Police	Sir Patrick Sheehy
	Northern Constabulary	Mr Caines
29	South Yorkshire Police	Sir Paul Fox
	Metropolitan Police Service	
	New Scotland Yard	Sir Patrick Sheehy
October		
2	Lancashire Constabulary	Sir Patrick Sheehy
6	Metropolitan Police Service[1]	Sir Paul Fox
10	West Midlands Police	Professor Campbell
20	Metropolitan Police Service	
	Notting Hill Police Station	Sir Patrick Sheehy
24	Metropolitan Police Service	
	Battersea Police Station	Professor Campbell
28	Metropolitan Police Service	
	New Scotland Yard	Sir Paul Fox
29	Metropolitan Police Service	
	The Receiver	Mr Bullock
November		
3	Merseyside Police	Sir Paul Fox
5	Metropolitan Police Service	
	New Scotland Yard	Professor Campbell
6	Northumbria Police	Sir Patrick Sheehy
	West Yorkshire Police	Sir Paul Fox
10	Thames Valley Police	Mr Bullock
12	National Criminal	
	Intelligence Service	Sir Patrick Sheehy
14	Northamptonshire Police	Professor Campbell
19	Police Training Centre Ashford	Mr Bullock
27	Gwent Constabulary	Mr Bullock
30	Police Complaints Authority	Sir Patrick Sheehy
December		
7	Serious Fraud Office	Mr Bullock
9	Thames Valley Police	Mr Bullock
10	Greater Manchester Police	Mr Bullock
15	Regional Crime Squad, Herts	Sir Patrick Sheehy
16	Metropolitan Police Service	
	Carter Street Police Station	Mr Bullock

1 Community Involvement Policy Unit, Crime Prevention Unit and Tottenham Police Station

APPENDIX I

1993

Date	Force	Inquiry Member
January		
8	Metropolitan Police Service Peckham Police Station	Mr Caines
12	Kent County Constabulary	Sir Paul Fox
14	HMIC Conference – Police Staff College, Bramshill	Mr Caines
15	Greater Manchester Police	Mr Caines
22	Metropolitan Police Service New Scotland Yard Specialist Operations	Mr Caines
29	Metropolitan Police Service 3 Area Headquarters, Eltham	Mr Bullock
February		
17-20	Australia[2]	Mr Caines
March		
4	Metropolitan Police Service New Scotland Yard	Mr Bullock
15	Metropolitan Police Service New Scotland Yard	Mr Bullock
22	Thames Valley Police	Mr Bullock
April		
8	Metropolitan Police Service New Scotland Yard	Mr Bullock
May		
18-19	Police Federation of England & Wales Conference[3]	Sir Patrick Sheehy

2 From 15 February – 4 March the Secretary to the Inquiry undertook a series of fact-finding visits to police forces in Australia, New Zealand and USA.
3 From 20-21 May the Secretary and Assistant Secretary to the Inquiry attended the Annual Conference of the Association of Scottish Police Superintendents.

Note: On 13 January the University of Nottingham School of Social Studies held a seminar on policing, for Inquiry members attended by leading academics in the field.

APPENDIX II

LIST OF THOSE ORGANISATIONS AND INDIVIDUALS SPECIFICALLY INVITED TO SUBMIT EVIDENCE

Home Departments
Home Office, Northern Ireland Office, Scottish Office Home and Health Department

HM Inspectorates
Her Majesty's Inspectorate of Constabulary for England and Wales
Her Majesty's Inspectorate of Constabulary for Scotland

Local Authority Associations
Association of County Councils
Association of Metropolitan Authorities
Convention of Scottish Local Authorities
Police Authority for Northern Ireland

Police Negotiating Board
Official Side of the Police Negotiating Board
Staff Side of the Police Negotiating Board
Professor L C Hunter CBE

Police Arbitration Tribunal
Professor Sir John Wood CBE LLM

Police Staff Associations

Chief Officers
Association of Chief Police Officers in England, Wales and Northern Ireland
The Association of Chief Police Officers in Scotland

Superintendents
The Association of Scottish Police Superintendents
The Police Superintendents' Association of England and Wales
The Superintendents' Association of Northern Ireland

Federated Ranks
The Police Federation of England and Wales
The Police Federation of Northern Ireland
Scottish Police Federation

Forces
Metropolitan Police Service
Royal Ulster Constabulary

APPENDIX III

LIST OF PERSONS WHO GAVE ORAL EVIDENCE

Central Government

Home Departments:	Mr I M Burns CB	)
	Miss M A Clayton	) Home Office
	Mrs P G W Catto	)
	Mr D J Essery	) Scottish Office Home &
	Mr P M Russell	) Health Department
	Mr D Ledlie	)
	Mr J Lyon	) Northern Ireland Office
	Mr D Lavery	)
	Sir John Woodcock CBE QPM CBIM)	
	HM Chief Inspector of Constabulary	) HMIC
	Chief Superintendent I W Blair, Staff Officer	)

Representatives of Police Authorities

Assoc of County Councils:	Mr S J Day
Assoc of Metropolitan Authorities:	Cllr G Bundred CBE JP DL
Convention of Scottish Local Authorities:	Mr B Fallon
Police Authority for Northern Ireland:	Mr T Rainey CEng MIMECHE FBIM
	Mr J Stewart
	Mr R Armstrong
	Mr M Cameron
	Mr R Brown
	Mr R Emprey
	Mr C Hogg
	Mr J McCormick
	Mr T Millar
Police Negotiating Board – Independent Side:	Professor L C Hunter CBE
	Mr T Carlile CBE
	Mr J F H Pease-Watkin
	Mr P Edwards
Official Side:	Mr C Nolda
	Mr M Cann

APPENDIX III

Police Representatives & Associations

Assoc of Chief Police Officers of England, Wales & Northern Ireland	Mr J H Burrow CBE, President of ACPO Chief Constable Essex Police Miss M C E Barton, General Secretary Mr J A Smith QPM, Deputy Commissioner MPS Mr W R Lawrence QPM BA, Chief Constable South Wales Constabulary Mr P G Whitehouse QPM MA, Deputy Chief Constable West Yorkshire Police Mr G E Pritchard BA(Hons) FBIM, Assistant Chief Constable Dyfed-Powys Police
Assoc of Chief Police Officers Scotland	Mr W Wilson QPM, Chief Constable Central Scotland Police Sir William Sutherland QPM, Chief Constable Lothian & Borders Police Mr D W McMurdo QPM BA, Deputy Chief Constable Central Scotland Police
The Police Superintendents' Assoc of England & Wales	Chief Superintendent P G Wall Chief Superintendent D A Clark Chief Superintendent V Jones
The Assoc of Scottish Police Superintendents	Chief Superintendent J Johnstone Chief Superintendent J Urquhart Chief Superintendent J Adamson Superintendent G Macpherson Inspector I Todd
The Superintendents' Assoc of Northern Ireland	Chief Superintendent W J Davidson Chief Superintendent A Donald Superintendent G Livingstone Superintendent H Wallace

APPENDIX III

Police Federation of England & Wales	Sergeant A Eastwood OBE FRSA Inspector V G Neild Dip NEBSS Inspector R Ellis Sergeant J Moseley Constable S Cadmore
Scottish Police Federation	Constable J Fraser Constable D J Keil Inspector J McDonald Sergeant J Black Dr A Sproull – Adviser
Police Federation of Northern Ireland	Constable S Beattie Sergeant D A McClurg
Metropolitan Police Service	Mr P J Winship QPM MA(Oxon), Assistant Commissioner Commander M Briggs Superintendent C Howlett
Royal Ulster Constabulary	Sir Hugh Annesley QPM, Chief Constable Mr K W Masterton OBE LLB(Hons)BL, Deputy Chief Constable Superintendent McQuillan MBA BSc(Hons)
Metropolitan Police Federation	Sergeant M Bennett Constable J Barnie Inspector C McIlwrick MBE Sergeant M Bayliss Constable P Roberts Constable H Slipper (Retd)
London Branch of National Assoc of Retired Police Officers	Mr C B Hasler Mr R H Pamplin OBE

APPENDIX IV

SUBMISSION OF EVIDENCE FROM ORGANISATIONS

Adam Smith Institute
Atomic Energy Police Federation
British Air Transport Association
British Transport Police Federation
Community/Police Consultative Group for Lambeth
Defence Police Federation
European Regional Airlines Association
Greater Manchester Police Authority
Hampshire Police Authority
Hertfordshire Constabulary – Joint Branch Board of the Police Federation
Kensington & Chelsea Police Consultative Committee
Kent Police Authority
London Borough of Lewisham
London Borough of Newham and the Association of London Authorities
London Chamber of Commerce & Industry
Manchester Airport plc
Metropolitan Police Federation
National Association of Retired Police Officers – Executive Committee
National Association of Retired Police Officers – London Branch
National Criminal Intelligence Service
National & Local Government Officers Association
The North West Bristol Crime Prevention Panel
Panel of Lay Visitors to Lambeth Police Stations
The Pedestrians Association
Public Concern at Work
Securicor Security Services Ltd
Social & Market Survey Research
Suffolk Police Branch of NALGO
Surrey Joint Branch Board of the Police Federation

APPENDIX V

LIST OF CONSULTANTS TO THE INQUIRY

Alex Marnoch and Hugh Paton, police consultants;
Eldred Tabachnik QC;
Patrick Kilgarriff of the Treasury Solicitor's Department;
Michael Prideaux, Stephen Walzer, Stuart Chalfen and Neil Withington of BAT;
Allan Duguid, Craig Baker and John Laffan of Ernst & Young;
Malcolm Higgs and Kathy Codega of Towers Perrin;
Grant Ballantine and Andrew Johnstone of the Government Actuary's Department
Sue Woolfenden, Barry Webb and George Houghton of the Home Office Police Research Group.

APPENDIX VI

THE POLICE SERVICE STATEMENT OF COMMON PURPOSES AND VALUES (ENGLAND AND WALES)

The purpose of the Police Service is to uphold the law fairly and firmly: to prevent crime; to pursue and bring to justice those who break the law; to keep the Queen's Peace; to protect, help and reassure the community: and to be seen to do all this with integrity, common sense and sound judgement.

We must be compassionate, courteous and patient, acting without fear or favour or prejudice to the rights of others. We need to be professional, calm and restrained in the face of violence and apply only that force which is necessary to accomplish our lawful duty.

We must strive to reduce the fears of the public and, so far as we can, to reflect their priorities in the action we take. We must respond to well-founded criticism with a willingness to change.

APPENDIX VII

POLICE FORCES IN SCOTLAND
PUBLIC EXPECTATIONS[1]

The people of Scotland can expect their police to uphold the law fairly and firmly.

To help prevent crime.

To preserve order and provide protection, help and assurance to the community.

To detect offenders and report them promptly and professionally to the Procurator Fiscal.

To act without fear, favour or prejudice.

To treat all members of the public with courtesy and respect.

To behave in a professional manner, even in the face of provocation.

To apply only the minimum force necessary to carry out their duties.

1 Extract from the Justice Charter for Scotland (November 1991).

APPENDIX VIII

ROYAL ULSTER CONSTABULARY

AIM

To provide a high quality, effective police service to all the people of Northern Ireland. We will work to achieve this in partnership with the community and in co-operation with other agencies.

OUR PURPOSE

*to uphold the rule of law.
*to bring to justice those who break the law.
*to play our full part in the eradication of terrorism and the prevention of crime.
*to help preserve the peace.
*to protect, reassure and assist those whom we serve.

OUR VALUES

* honesty.
* impartiality.
* courtesy.
* compassion.
* courage.

OUR STANDARDS AND BEHAVIOUR

* we will perform our duty with integrity, common sense and sound judgement and as far as possible, be sensitive to the views of the community in our actions.

* we will offer reasonable assistance to members of the public irrespective of their age, sex, their political or religious beliefs or their ethnic or social background.

* we will manage our organisation in the most professional manner, seeking the opinions of our staff, promoting equal opportunity for all and showing a willingness to change where such change is necessary.

* we will adhere to our code of professional policing ethics.

APPENDIX IX

EXPLANATION OF THE GOLD, SILVER AND BRONZE COMMAND SYSTEM PROVIDED IN EVIDENCE FROM ACPO ENGLAND AND WALES

"The Service now has a recognised national structure for dealing with instances of public disorder, based on what is known as the gold, silver and bronze command system. This system has been designed to ensure that incidents can be managed effectively and at the right hierarchical level dependent on the nature, the scale, the intensity and the political implications of each situation being faced. Gold, silver and bronze are titles held by officers with particular roles dealing with an incident. Broadly speaking the gold commander is concerned with strategic policy, silver with tactics and the operational management of the incident, whilst bronze commanders have the role of implementing the tactics.

These command designations are not linked to any particular rank. Commonly, dependent on the scale and seriousness of an incident, gold command may be assumed by officers in the rank of chief inspector upwards. As gravity of an incident escalates the three key command roles may be successively assumed by officers of more senior rank. Also built into the system are certain levels of authority which require certain ranks to be involved at certain stages, e.g. chief officer ranks are required to sanction the deployment of offensive weaponry. The system is not simple, but is well structured and the use of it minimises the risk of error.

The system provides for national minimum provisions of training and tactical knowledge and ensures that all forces can work together effectively when disorder crosses both inter and intra force boundaries. It also allows sufficient flexibility for forces with large conurbations or particular problems to develop more complicated strategies for more complicated situations."

APPENDIX X

ROLES AND RESPONSIBILITIES STUDY: SUMMARY OF RESULTS OF STUDY FOR OFFICERS IN THE OPERATIONAL CORE ROLES

Rank Comparison	Different Areas of Responsibility (1)	Same Areas of Responsibility & Different Levels (2)	Same Areas of Responsibility & Same Levels	Same Areas of Responsibility & Same Levels Different Element Levels	
				Lower Rank Element	**Higher Rank Element**
Constable: Sergeant	• Custody • Order Maintenance • Standards, Quality & Ethics • Accountability • People Management • Performance Management • Providing Leadership		• Dealing with incidents	*Monitoring progress* Not applicable	Checking each task/action which has been initiated is completed satisfactorily *Post-incident activities* Carrying out immediate activities which arise from incident, eg. setting up an incident room
			• Investigations	*Resourcing and scheduling* Not applicable *Conducting proactive searches-non terrorist related* Searching for drugs, stolen goods, etc	Organising details of manpower and logistics (for self or others) Supervising proactive searches
			• Law Enforcement	*No different element levels*	

Note: 1) Entries in italics denote that the area is a responsibility of the lower rank but not the higher rank

2) Entries in italics denote that the area of responsibility is performed at a higher level by the lower rank.

Rank Comparison	Different Areas of Responsibility	Same Areas of Responsibility & Different Levels	Same Areas of Responsibility & Same Levels	Same Areas of Responsibility & Same Levels Different Element Levels	
				Lower Rank Element	**Higher Rank Element**
Sergeant: Inspector	• Anti-terrorist Activity • Complaints & Discipline • *Investigations* • Partnership & Liaison • Administration • Project Management • Representing the Service • Operational oversight • Policing policy	• Dealing with incidents • Law enforcement • Standards, Quality & Ethics	• Order Maintenance	*No different element levels*	
			• Accountability	*No different element levels*	
			• People Management	*Succession planning and career development* Identifying an individual's overall training needs to improve standards in current role	Advising on career development and identifying potential for promotion or a new role
			• Performance Management	*Monitoring performance* Supervising by working alongside/shadowing the individual	Monitoring performance against agreed priorities and action plans
				Taking action to improve performance Providing immediate feedback and advice on performance and agreeing next actions	Developing a structured plan to improve performance and address skill gaps
			• Providing Leadership	*Motivation and morale* Creating a united and mutually supportive team	Encouraging full involvement at the lowest possible level, encouraging feedback, contributions and discussion of ideas

Rank Comparison	Different Areas of Responsibility	Same Areas of Responsibility & Different Levels	Same Areas of Responsibility & Same Levels	Same Areas of Responsibility & Same Levels Different Element Levels	
				Lower Rank Element	**Higher Rank Element**
Inspector: Chief Inspector	• *Anti-terrorist activity* • *Custody* • Business Planning • Resource Management	• Order Maintenance • Administration • Operational Oversight • People Management • *Policing Policy*	• Complaints & Discipline	*Establishing the nature of complaints*	
				Informal clarification of complaint	Deciding on severity of complaint and need for further investigation or return to informal resolution
			• Dealing with incidents	*Assessing the incident*	
				Authorising the deployment of additional manpower and/or other specialist resources	Anticipating the likely course of events and predicting additional requirements
				Handling the general public	
				Checking and reinforcing the actions of others	Identifying how best to handle potential problems/sensitive situations before they arise
				Dealing with suspects	
				Pursuing, apprehending and arresting suspects	Not applicable
				Dealing with victims	
				Following up (eg. re-call visits) and arranging liaison with other bodies; ensuring victim/witness welfare	Setting the strategies for victim support and/or witness protection and allocating resources

Rank Comparison	Different Areas of Responsibility	Same Areas of Responsibility & Different Levels	Same Areas of Responsibility & Same Levels	Same Areas of Responsibility & Same Levels Different Element Levels	
				Lower Rank Element	**Higher Rank Element**
				Dealing with witness	
				Interviewing witnesses	Not applicable
				Post incident activities	
				Carrying out immediate activities which arise from incident, eg. setting up an incident room	Agreeing ongoing activities, setting up procedures to follow up on other matters which arise from the incident, ensuring all roles are clear and liaison points established
				Liaising with outside organisations	
				Carrying out immediate short term liaison with other emergency services or agencies	Ensuring strategic liaison with other agencies is developed and maintained
			• Law Enforcement	*Enforcing laws*	
				Monitoring local enforcement of laws	Identifying and agreeing targets for local law enforcement
				Verbal warnings/process	
				Deciding to give a warning or process when an offence is observed, applying own discretion in line with local policy	Deciding local policy on prosecution levels and enforcement
				Using local information	
				Developing initiatives and setting up procedures to obtain local information	Developing law enforcement strategy in the light of local knowledge

Rank Comparison	Different Areas of Responsibility	Same Areas of Responsibility & Different Levels	Same Areas of Responsibility & Same Levels	Same Areas of Responsibility & Same Levels Different Element Levels		
				Lower Rank Element	Higher Rank Element	
				Prosecutions Preparing files for court	Liaising with CPS/Procurator Fiscal; prosecuting cases (RUC)	
				Court attendance Giving evidence to prove a case	Not applicable	
			• Partnership & Liaison	*Road safety* Identifying, investigating and addressing local traffic problems, eg. rerouting traffic to control flow	Monitoring traffic related matters through observation, statistics and local information	
				Inter-agency co-operation Attending meetings and corresponding with other agencies in local community	Ensuring appropriate levels of police representation on local committees and at inter-agency meetings	
			• Project Management	*Project planning* Identifying a sequence of tasks to achieve a specified result	Planning the overall strategy for the project - clarifying priorities	
			• Representing the Service	*No different element levels*		
			• Standards Quality and Ethics	*No different element levels*		

Rank Comparison	Different Areas of Responsibility	Same Areas of Responsibility & Different Levels	Same Areas of Responsibility & Same Levels	Same Areas of Responsibility & Same Levels Different Element Levels	
				Lower Rank Element	**Higher Rank Element**
			• Accountability	*Accountability to Police Authority, central government, national and statutory bodies*	
				Not applicable	Providing clear explanation in relation to actions or responses to specific incidents/issues
			• Performance Management	*Assessment of performance*	
				Maintaining ongoing assessments of performance, building up a rounded picture over time	Conducting formal assessments from a managerial or specialist perspective
				Monitoring performance	
				Monitoring performance against agreed priorities and action plans	Taking an overview to identify trends and spot broad training needs, career potential etc.
				Identifying required standards	
				Agreeing individual targets with members of staff	Interpreting set standards to identify and agree appropriate measures against which individuals will be assessed
			• Providing Leadership	*Providing guidance and direction to others*	
				Identifying specific objectives for others and providing guidance/advice on their completion	Acting as high profile leader; communicating a consistent vision of what must be achieved

Rank Comparison	Different Areas of Responsibility	Same Areas of Responsibility & Different Levels	Same Areas of Responsibility & Same Levels	Same Areas of Responsibility & Same Levels Different Element Levels	
				Lower Rank Element	**Higher Rank Element**
Chief Inspector: Superintendent	• Custody	• Dealing with Incidents • Order maintenance • Business Planning • Operational Oversight • Policing Policy • *Providing Leadership*	• Complaints & Discipline	*Investigation of formal complaint*	
				Interviewing the complainant and others to establish the facts; assisting with further investigation	Determining the lines of a complaints investigation (full investigation or informal resolution)
			• Law Enforcement	*No different element levels*	
			• Partnership & Liaison	*Planning/developing crime prevention initiatives*	
				Planning/developing specific crime prevention initiatives eg. through analysis of crime patterns	Developing overall crime prevention strategies
				Dealing with public concerns	
				Responding to letters/other communications expressing concern re-local problems	Anticipating public concerns and acting to address them
			• Administration	*Checking internal/management information*	
				Checking others' work for accuracy and compliance; signing and authorising as appropriate; assessing and grading information	Identifying information needs and ensuring others locate and maintain appropriate up-to-date information
				Use of information technology	
				Ensuring data are entered and stored appropriately	Setting up a structure for databases which enables interrogation

Rank Comparison	Different Areas of Responsibility	Same Areas of Responsibility & Different Levels	Same Areas of Responsibility & Same Levels	Same Areas of Responsibility & Different Element Levels	
				Lower Rank Element	**Higher Rank Element**
				Legal updates Keeping self informed from available information	Reviewing new and changed legislation/statutory requirements, identifying implications and interpreting for others
			• Project Management	*Providing direction* Identifying and steering others towards a series of targets which contribute to overall goals/objectives *Resource allocation* Allocating broad roles and responsibilities to individuals	Identifying overall goal/ objective of the project providing focus for all project activities Identifying overall resourcing requirements
			• Representing the Service	*No different element levels*	
			• Standards, Quality & Ethics	*Development of standards* Interpreting locally standards set at higher level	Developing standards for force or department/division within Force
			• Accountability	*Media and public interest* Responding to specific requests for information, enquiries and expressions of concern	Providing senior level comment on major issues of media and public interest

Rank Comparison	Different Areas of Responsibility	Same Areas of Responsibility & Different Levels	Same Areas of Responsibility & Same Levels	Same Areas of Responsibility & Same Levels Different Element Levels	
				Lower Rank Element	**Higher Rank Element**
			• People Management	*Use of manpower resources*	
				Reviewing and approving requests for additional resources or specialists; allocating resources	Anticipating future resource needs and deciding on resource acquisition/manpower bids longer term
			• Performance Management	*Taking action to improve performance*	
				Developing a structured plan to improve performance and address skill gaps	Monitoring overall levels of performance to plan training and development strategy
			• Providing Leadership	*No different element levels*	
			• Resource Management	*Facilities Management*	
				Maintaining premises and facilities to agreed standards	Overall responsibility for premises; monitoring premises related costs
Superintendent: Chief Superintendent	• Anti-terrorist • *Custody* • *Law enforcement*	• Partnership & Liaison • Administration • Project Management • Performance Management	• Complaints & Discipline	*No different element levels*	
			• Dealing with Incidents	*Dealing with the press/media*	
				Answering specific questions/delivering prepared statements	Briefing others on what to say; answering questions in difficult situations

Rank Comparison	Different Areas of Responsibility	Same Areas of Responsibility & Different Levels	Same Areas of Responsibility & Same Levels	Same Areas of Responsibility & Same Levels Different Element Levels	
				Lower Rank Element	**Higher Rank Element**
				Post-incident activities	
				Agreeing ongoing activities, setting up procedures to follow up on other matters which arise from the incident, ensuring all roles are clear and liaison points established	Discussion and formulation of future strategy
			• Order Maintenance	*General patrolling*	
				Taking tactical decisions on resource deployment for patrol duties to ensure high visibility/impact	Taking strategic decisions on the resource levels to allocate to patrol, taking account of community expectations and needs
				Anticipating and planning for major events	
				Planning resource deployment based on assessment of trends and previous incident	Planning strategy for major events, potential disasters and responding to high level intelligence
			• Representing the Service	*Liaison with external bodies*	
				Ensuring statutory contact with other bodies; attending case conferences and other meetings with associated agencies	Maintaining an overview of liaison activity and development of strategy framework
				Representing force on professional bodies	
				Not applicable	Attending meetings at regional level on behalf of Force

Rank Comparison	Different Areas of Responsibility	Same Areas of Responsibility & Different Levels	Same Areas of Responsibility & Same Levels	Same Areas of Responsibility & Same Levels Different Element Levels	
				Lower Rank Element	**Higher Rank Element**
			• Standards, Quality & Ethics	*Ensuring standards are achieved*	
				Reviewing others' work against set standards in own specialism or work area	Ensuring own work meets set standards
				Inspections	
				Conducting inspections to ensure compliance with Force/national standards	Identifying needs for thematic inspections
			• Accountability	*No different element levels*	
			• Business Planning	*Resourcing priority projects*	
				Bidding for resources for specific projects or initiatives	Authorising reallocation of budgets according to need
				Establishing priorities	
				Reviewing local requirements for resources and establishing clear priorities in the light of local needs	Reviewing demands for resources and allocating in the light of assessed priorities
			• Operational Oversight	*Operational command*	
				Ensuring implementation of incident/other plans, monitor progress and provide direction to deal with variances	Assimilating complex and incomplete information to develop and articulate plans; obtain and deploy all required resources

Rank Comparison	Different Areas of Responsibility	Same Areas of Responsibility & Different Levels	Same Areas of Responsibility & Same Levels	Same Areas of Responsibility & Same Levels Different Element Levels	
				Lower Rank Element	**Higher Rank Element**
			• People Management	*External recruitment and appointments* Interviewing applicants and handling recruitment procedure	Identifying the need for an appointment/numbers to be recruited
			• Policing Policy	*Communicating change* Ensuring there is clear communication cascade internally and to relevant external agencies	Communicating changes to others as directed
				Implementing strategy Implementing strategy at a local level	Reviewing effectiveness of strategy
			• Providing Leadership	*Reviewing working methods and practices* Developing working environment in which improvements/efficiencies are constantly sought	Encouraging others to review and assess their own work - finding ways to improve standards
			• Resource Management	*Vehicle and equipment management* Maintaining equipment day to day and acting as the responsible officer	Not applicable
Chief Superintendent: ACC	• Intelligence • Investigations	• Complaints & Discipline • Dealing with Incidents • Order Maintenance	• Anti-Terrorist Activity	*Anticipating terrorist acts and ensuring security* Maintaining colleagues' awareness of the potential for terrorist traps in day to day policing work	Anticipating and interpreting signs of potential terrorist activity to set strategy for area

Rank Comparison	Different Areas of Responsibility	Same Areas of Responsibility & Different Levels	Same Areas of Responsibility & Same Levels	Same Areas of Responsibility & Same Levels Different Element Levels	
				Lower Rank Element	**Higher Rank Element**
		• Partnership & Liaison • Project Management • Representing the Service • Standards, Quality & Ethics • Accountability • Business Planning • Performance Management • Policing Policy • Providing Leadership • Resource Management		*Continuous personal protection*	
				Deciding on the strategy for personal protection on the basis of anticipated or potential threat	Implementing strategy and deploying resources for personal protection
				Guarding police stations and/or other fixed points	
				Regular assessment of fixed point security needs, liaison with relevant agencies	Ensuring adequate manning for all fixed points in relation to threat levels
				Planning proactive anti terrorist activities	
				Liaising with specialist units and agencies on a national or local basis	Planning, tasking and co-ordinating of specialist units and agencies
				Maintaining personal and family security at all times	
				Ensuring police officers under command remain vigilant and take necessary precautions when off duty	Developing strategy and tactical arrangements to protect police officers and their families
			• Administration	*Checking internal/management information*	
				Identify information needs and ensuring others locate and maintain appropriate up to date information	Checking others' work for accuracy and compliance; signing and authorising as appropriate; assessing and grading information

Rank Comparison	Different Areas of Responsibility	Same Areas of Responsibility & Different Levels	Same Areas of Responsibility & Same Levels	Same Areas of Responsibility & Same Levels Different Element Levels	
				Lower Rank Element	**Higher Rank Element**
				Use of information technology	
				Setting up a structure for databases which enables interrogation	Not applicable
				Administration	
				Monitoring administrative performance in terms of efficiency, quality, speed and turnaround	Maintaining an overview of administrative work in hand and progressing tasks
			• Operational Oversight	*Operational Command*	
				Providing a focus for others by monitoring between different incidents/tasks	Developing strategy, providing a framework which helps others to prioritise
			• People Management	*Use of manpower resources*	
				Anticipating future resource needs and deciding on resource acquisition/manpower bids longer term	Reviewing and approving requests for additional resources or specialists; allocating resources
				Internal placements and promotions	
				Reviewing data on candidates for placement or promotion, assessing suitability and making recommendations	Reviewing recommendations and making promotional/appointment decisions

APPENDIX X

Rank Comparison	Different Areas of Responsibility	Same Areas of Responsibility & Different Levels	Same Areas of Responsibility & Same Levels	Same Areas of Responsibility & Same Levels Different Element Levels	
				Lower Rank Element	Higher Rank Element
				Succession planning and career development	
				Advising on career development and identifying potential for promotion or a new role	Identifying and developing successors for key posts

Rank Comparison	Different Areas of Responsibility	Same Areas of Responsibility & Different Levels	Same Areas of Responsibility & Same Levels	Same Areas of Responsibility & Same Levels Different Element Levels	
				Lower Rank Element	**Higher Rank Element**
ACC: DCC	• *Dealing with Incidents* • *Intelligence* • *Investigations*	• Anti-Terrorist • Representing the Service • Accountability • Business Planning • Operational Oversight • Providing Leadership	• Complaints & Discipline	*Establishing the nature of complaints*	
				Deciding on severity of complaint and need for further investigation or return to informal resolution	Referral of complaint
				Investigation of formal complaint	
				Interviewing the officer concerned and investigating formal complaints	Interviewing the complainant and others to establish the facts; assisting with further investigation
				Involvement with PCA or ICPC	
				Not applicable	Investigating under the supervision of PCA/ICPC
			• Order Maintenance	*General patrolling*	
				Taking tactical decisions on resource deployment for patrol duties to ensure high visibility/impact	Patrolling specific areas, maintaining a visible presence
				Anticipating and planning for major events	
				Planning strategy for major events, potential disasters and responding to high level intelligence	Planning resource deployment based on assessment of trends and previous incidents

Rank Comparison	Different Areas of Responsibility	Same Areas of Responsibility & Different Levels	Same Areas of Responsibility & Same Levels	Same Areas of Responsibility & Same Levels Different Element Levels	
				Lower Rank Element	Higher Rank Element
			• Partnership & Liaison	*Implementing crime prevention initiatives*	
				Identifying the key issues to tackle, providing a focus for crime prevention activities and launching major initiatives	Monitoring the costs and benefits of initiatives
				Developing and maintaining contacts in the community	
				Ensuring regular communication and liaison with specific community leaders/groups	Identifying useful contacts in the local cultural/ethnic/business communities and/or external agencies (eg. for fund raising, public relations etc.)
				Road Safety	
				Identifying, investigating and addressing local traffic problems eg. routing traffic to control flows	Not applicable
			• Administration	*Record keeping*	
				Ensuring that records are kept and accurate/full information is maintained	Exploiting technology to handle complex information
				Information exchange	
				Ensuring proper procedures are in place to facilitate prompt communication of key information	Reviewing information to identify that which is of relevance to other areas/departments

Rank Comparison	Different Areas of Responsibility	Same Areas of Responsibility & Different Levels	Same Areas of Responsibility & Same Levels	Same Areas of Responsibility & Same Levels Different Element Levels	
				Lower Rank Element	**Higher Rank Element**
				Use of information technology Not applicable	Setting up a structure for databases which enables interrogation
				Legal updates Reviewing new and changed legislation/statutory requirements, identifying implications and interpreting for others	Disseminating and/or recommending changes to practice and procedures within the Force
			• Project Management	*Providing direction* Identifying overall goal/ objective of the project providing focus for all project activity	Identifying and steering others towards a series of targets which contribute to overall goals/objectives
				Co-ordination of activities Monitoring and co-ordinating the work of others contributing to the project	Setting up systems to maintain an overview of progress on projects
			• Standards, Quality & Ethics	*Ensuring standards are achieved* Overall monitoring of standards against national requirements	Reviewing others' work against set standards in own specialism or work area
				Generating and reviewing data on service standards Identifying and initiating methods of auditing service standards	Identifying trends in data and areas of performance which are below standard

Rank Comparison	Different Areas of Responsibility	Same Areas of Responsibility & Different Levels	Same Areas of Responsibility & Same Levels	Same Areas of Responsibility & Same Levels Different Element Levels	
				Lower Rank Element	**Higher Rank Element**
				Ensuring understanding of quality and standards related issues	
				Ensuring own understanding of requirements and standards to be met	Identifying need for training on quality related issues and implementing
				Development of standards	
				Developing standards for Force or department/division within Force	Interpreting locally standards set at a higher level
			• People Management	*Use of manpower resources*	
				Reviewing and approving requests for additional resources or specialists; allocating resources	Identifying immediate resource needs; rostering and allocating duties
				Internal placements and promotions	
				Reviewing recommendations and making promotional/ appointment decisions	Reviewing data on candidates for placement or promotion, assessing suitability and making recommendations
				Succession planning and career development	
				Identifying and developing successors for key posts	Advising on career development and identifying potential for promotion or a new role
			• Performance Management	*Assessment of performance*	
				Maintaining ongoing assessments of performance, building up a rounded picture over time	Conducting formal assessments from a managerial or specialist perspective

Rank Comparison	Different Areas of Responsibility	Same Areas of Responsibility & Different Levels	Same Areas of Responsibility & Same Levels	Same Areas of Responsibility & Same Levels Different Element Levels	
				Lower Rank Element	**Higher Rank Element**
				Identifying required standards	
				Interpreting set standards to identify and agree appropriate measures against which individuals will be assessed	Setting the overall standards to be achieved in a professional capacity
				Taking action to improve performance	
				Monitoring overall levels of performance to plan training and development strategy	Developing a structured plan to improve performance and address skill gaps
			• Policing Policy	*Communicating change*	
				Ensuring there is clear communication cascade internally and to relevant external agencies	Developing a process of review and feedback to assess the progress/impact of change
				Developing strategy	
				Contributing to development of Force strategy	Formulation and dissemination of Force policing strategy
				Law enforcement policy	
				Feeding back information and ideas to contribute to the development of law enforcement policy	Formulating and disseminating policy for Force-wide law enforcement, balancing statutory/national requirements with local issues

Rank Comparison	Different Areas of Responsibility	Same Areas of Responsibility & Different Levels	Same Areas of Responsibility & Same Levels	Same Areas of Responsibility & Same Levels Different Element Levels	
				Lower Rank Element	**Higher Rank Element**
			• Resource Management	*Managing the work environment*	
				Assessing suitability of working environment for intended use	Deciding on optimal layout and use of workspaces
				Facilities Management	
				Not applicable	Overall responsibility for premises; monitoring premises related costs
				Resource acquisition	
				Identifying area/department resource requirements, preparing a case for resources and formulating recommendations	Identifying own unit's resource needs and requesting acquisition of resources accordingly
DCC/Chief Constable	• *Anti Terrorist Activity* • *Complaints & Discipline* • *Partnership & Liaison* • *Project Management*	• Representing the Service • Accountability	• Order Maintenance	*Anticipating and planning for major events*	
				Planning resource deployment based on assessment of trends and previous incidents	Identifying potential problems on the basis of local knowledge
				Dealing with incidents of public disorder	
				Assessing and developing command strategy for incidents of public disorder	Assessing a disorder situation and taking immediate actions to control incident

Rank Comparison	Different Areas of Responsibility	Same Areas of Responsibility & Different Levels	Same Areas of Responsibility & Same Levels	Same Areas of Responsibility & Same Levels Different Element Levels	
				Lower Rank Element	**Higher Rank Element**
				Policing major events	
				Planning Force policies and strategies for dealing with potentially volatile events; calling on specialist support/mutual aid from other Forces	Providing police presence at major sporting events, political demonstrations, parades etc, to ensure public order is maintained
				Force strategy and guidelines	
				Setting strategy based on environmental knowledge and experience	Ensuring actions comply with strategy on order maintenance
			• Administration	*Use of information technology*	
				Setting up a structure for databases which enables interrogation	Not applicable
			• Standards, Quality & Ethics	*Ensuring understanding of quality and standards related issues*	
				Identifying need for training on quality related issues and implementing	Ensuring regular communication on standards and quality
				Post incident/investigation reviews	
				Reviewing events through a full debrief with colleagues and other agencies to identify improvements	Contacting others external to the Force for their views on the service given
				Inspections	
				Identifying needs for thematic inspections	Developing Force inspection strategy

Rank Comparison	Different Areas of Responsibility	Same Areas of Responsibility & Different Levels	Same Areas of Responsibility & Same Levels	Same Areas of Responsibility & Same Levels Different Element Levels	
				Lower Rank Element	**Higher Rank Element**
			• Business Planning	*Budget management*	
				Deciding on the levels to which budgetary responsibility and fund allocation should be devolved; setting up procedures for the effective monitoring of budgets	Reconciling others' expenditure within an overall budget; allocating money at a local level from an overall budget according to priority
				Establishing priorities	
				Reviewing competing demands for resources between major functions/areas and determining allocation on assessment of Force priorities	Reviewing demands for resources and allocating in the light of assessed priorities
			• Operational Oversight	*Identifying priorities*	
				Providing a focus for others by prioritising between different incidents/tasks	Prioritising standard day to day tasks
				Operational command	
				Ensuring implementation of incident/other plans, monitor progress and provide direction to deal with variances	Assimilating complex and incomplete information to develop and articulate plans; obtain and deploy all required resources

Rank Comparison	Different Areas of Responsibility	Same Areas of Responsibility & Different Levels	Same Areas of Responsibility & Same Levels	Same Areas of Responsibility & Same Levels Different Element Levels	
				Lower Rank Element	**Higher Rank Element**
			• People Management	*Internal placements and promotions* Reviewing data on candidates for placement or promotion, assessing suitability and making recommendations	Reviewing recommendations and making promotional/appointment decisions
				Succession planning and career development Advising on career development and identifying potential for promotion or a new role	Identifying and developing successors for key posts
				Welfare Monitoring the need for professional counselling and guidance and referring as appropriate	Handling straightforward police welfare issues, including visits and moral support
			• Performance Management	*Monitoring performance* Monitoring performance against agreed priorities and action plans	Taking an overview to identify trends and spot broad training needs, career potential etc.
				Identifying required standards Setting the overall standards to be achieved in a professional capacity	Interpreting set standards to identify and agree appropriate measures against which individuals will be assessed

Rank Comparison	Different Areas of Responsibility	Same Areas of Responsibility & Different Levels	Same Areas of Responsibility & Same Levels	Same Areas of Responsibility & Same Levels Different Element Levels	
				Lower Rank Element	**Higher Rank Element**
				Taking action to improve performance	
				Developing a structured plan to improve performance and address skill gaps	Monitoring overall levels of performance to plan training and development strategy
			• Policing Policy	*Communicating change*	
				Developing a process of review and feedback to assess the progress/impact of change	Ensuring there is clear communication cascade internally and to relevant external agencies
				Developing strategy	
				Formulation and dissemination of Force policing strategy	Developing strategy at a local level in line with Force policy/priorities
				Implementing strategy	
				Planning and reviewing implementation of strategy against critical milestones	Implementing strategy at a local level
				Organisation development	
				Designing organisation structures and arrangements to deliver Force strategy	Developing management arrangements at a local level in line with Force policy/guidelines to ensure effective use of resources

Rank Comparison	Different Areas of Responsibility	Same Areas of Responsibility & Different Levels	Same Areas of Responsibility & Same Levels	Same Areas of Responsibility & Same Levels Different Element Levels	
				Lower Rank Element	**Higher Rank Element**
				Law enforcement policy	
				Formulating and disseminating policy for Force-wide law enforcement, balancing statutory/national requirements with local issues	Monitoring and reviewing law enforcement practice to ensure compliance with overall policy
			• Providing Leadership	*Motivation and morale*	
				Encouraging full involvement at the lowest possible level, encouraging feedback, contributions and discussion of ideas	Communicating a constant belief in the team; motivating staff to face and overcome setbacks
				Reviewing working methods and practices	
				Encouraging others to review and assess their own work finding ways to improve standards	Critically reviewing activities to identify good practices and areas for improvement
			• Resource Management	*Information technology*	
				Evaluating suitable software and hardware for procurement	Maintaining software and hardware systems, including virus checking
				Resource acquisition	
				Identifying own unit's resource needs and requesting acquisition of resources accordingly	Assessing financial implications of resource acquisition in the light of Force needs and establishing priorities for acquisition

APPENDIX XI

CORE ROLE PROFILES FOR EACH RANK IN OPERATIONAL/CORE ROLE FAMILY

Area of responsibility[1]	Level of responsibility[2]			
	1	2	3	4
Operational Responsibilities				
1 Anti-terrorist activity	Insp		CS/ACC	DCC
2 Complaints, discipline & severance procedure		Insp/CI/Sup/CS	ACC/DCC	
3 Custody responsibility	Sgt		Insp	Sup
4 Dealing with incidents	PC/Sgt	Insp/CI	Sup/CS	ACC
5 Intelligence				ACC
6 Investigations	PC/Sgt		ACC	
7 Law enforcement	PC/Sgt	Insp/CI/Sup		
8 Order maintenance	Sgt/Insp	CI	Sup/CS	ACC/DCC/CC
9 Partnership, liaison & community safety				
10 Security & secret activities		N/A	N/A	ACC
Support Responsibilities				
11 Administration and management of information		Insp	CI/Sup	CS/ACC/DCC/CC
12 Project management	Insp/CI/Sup	CS	ACC	DCC
13 Representing the service	Insp/CI/Sup/CS	ACC		DCC/CC
14 Standards, quality & ethics	Sgt	Insp/CI/Sup/CS		ACC/DCC/CC
Managerial/Supervisory Responsibilities				
15 Accountability	Sgt/Insp/CI/Sup/CS	ACC	DCC	CC
16 Business planning & management	CI	Sup/CS	ACC	DCC/CC
17 Operational oversight & command	Insp	CI	Sup/CS/ACC	DCC/CC
18 People management		Sgt/Insp		CI/Sup/CS/ACC/DCC/CC
19 Performance management		Sgt/Insp/CI/CI/Sup	CS	ACC/DCC/CC
20 Policing policy, strategy & change management		CI	Insp/Sup/CS	ACC/DCC/CC
21 Providing leadership	Sup/CS	Sgt/Insp/CI	ACC	DCC/CC
22 Resource management		CI/Sup/CS		ACC/DCC/CC

Table shows the areas of responsibility identified by the majority of the respondents in the rank and role as critical or important to the role and the most common level they identified as relevant to their role.

1 The description given in the Roles and Responsibilities Questionnaire of each area of responsibility is at A.
2 The description given in the Roles and Responsibilities Questionnaire of the level of responsibility is at B.

APPENDIX XI

A: AREAS OF RESPONSIBILITY

Area of Responsibility	Description
1. Anti Terrorist Activity	Anticipating or reacting to both real and perceived terrorist threats against property, security and/or life both on or off duty.
2. Complaints, Discipline and Grievance Procedure	Investigating and resolving disciplinary issues and both formal and informal complaints against individual police officers or support staff, to ensure public satisfaction and to maintain the ethical and moral status of the Service.
3. Custody Responsibility	Maintaining custody procedure in line with legal requirements to ensure the safe and professional treatment of suspects and others during detention.
4. Dealing with Incidents	Assessing incidents and initiating the best course of action in an attempt to resolve all aspects of the situation effectively.
5. Intelligence	Building up intelligence information and disseminating to relevant parties, ensuring targeted intelligence activity is carried out to maintain up-to-the minute information on potential and actual criminal activity.
6. Investigations	Conducting enquiries and gathering evidence to investigate, analyse, collate, recommend and progress crimes, accidents, disciplinary matters and other incidents to a successful conclusion.
7. Law Enforcement	Enforcing the law in both a reactive and proactive capacity, deciding on appropriate actions to reinforce the law and attending court.
8. Order Maintenance	Ensuring the formulation and effective implementation of policies and practices to maintain public order and resolve instances of public disorder.
9. Partnership, Liaison and Community Safety	Carrying out a range of liaison, training and crime prevention activities in the local community to ensure good community relations and satisfaction with the service.
10. Security and Secret Activities	Involvement in National/International security issues, liaison with security services and allied matters.
	Approximate proportion of time spent.

APPENDIX XI

SUPPORT RESPONSIBILITIES

Area of Responsibility	Description
11. Administration and Management of Information	Developing systems and procedures, ensuring accurate and complete records are kept, administration is completed efficiently and compliance maintained.
12. Project Management	Developing, implementing and monitoring plans to achieve specific operational or organisational objectives.
13. Representing the Service	Representing the Service both formally and informally in the local community and through membership of official bodies and committees at a local, national or international level, to ensure the Police Service has a voice and can exert influence on issues which impact on the service provided.
14. Standards, Quality and Ethics	Ensuring a consistent focus on the achievement of standards and delivery of a quality service; monitoring achievements and identifying the potential to improve in order to ensure the highest standards of service are delivered.

APPENDIX XI

MANAGERIAL/SUPERVISORY RESPONSIBILITIES

Area of Responsibility	Description
15. Accountability	Being accountable for actions and performance; being answerable to community, government and representative bodies.
16. Business Planning and Management	Developing business plans and assessing financial requirements; managing expenditure to budget to ensure an effective basis for resource allocation and value for money policing within the Force corporate plan.
17. Operational Oversight and Command	Developing and/or maintaining control of operations through planning, co-ordinating and monitoring of activity for efficient and cost-effective policing to meet operational requirements.
18. People Management	Managing police and/or other personnel, ensuring recruitment, training, welfare and development needs are addressed to maintain a full complement of appropriately trained and motivated staff.
19. Performance Management	Identifying and agreeing Force, group and/or individual performance standards and assessing achievements against these to ensure performance is continually improved.
20. Policing Policy, Strategy and Change Management	Developing and implementing policing and law enforcement policy and strategy, ensuring clear communication of direction and providing a focus for activity at all levels.
21. Providing Leadership	Providing direction and mobilising support and commitment to delivering quality policing.
22. Resource Management	Ensuring effective acquisition, use and maintenance of equipment, buildings and other non-personnel resources; carrying out planned renewal and research into suitable replacement to maximise efficiency and cost effective use of resources.

B: LEVEL OF RESPONSIBILITY

AREA	*LEVEL*			
	1	*2*	*3*	*4*
Anti Terrorist Activity	One-off/minor threats, preceded by a warning	Regular threats causing significant disruption	Serious threats to security	Continuous/day to day life threatening situations
Complaints, Discipline and Grievance Procedure	Informally resolving minor disciplinary issues	Informally resolving minor complaints	Formally resolving disciplinary cases	Formally resolving alleged criminal offences by officers
Custody Responsibility	Handling day to day custody suite/ cell block activities	Supervision of activities in custody suite/ cell block	Providing authorisations within terms of legislation	Overall monitoring to ensure statutory compliance
Dealing with Incidents	Minor and/or straightforward incidents	Incidents requiring limited support	Major incidents handled by Force and other agencies from own area	Major incidents requiring assistance from other Forces and/or specialist agencies
Intelligence	Building intelligence at a local level	Building intelligence Force-wide	Building intelligence across Forces	Building intelligence internationally
Investigations	Investigations within a local area	Investigations within the Force	Investigations across Force boundaries	International investigation
Law Enforcement	Enforcing statutory responsibilities in line with policy	Monitoring local enforcement	Interpreting law enforcement policy to others	Developing policy on law enforcement
Order Maintenance	Maintaining order by following procedures	Organising within policy or strategy guidelines	Monitoring to feedback and contribute to policy development	Developing policy for maintaining order at future events
Partnership, Liaison and Community Safety	Individual activity within local area	Multi-agency activity at a local level	Multi-agency at a senior level	Developing Force policy for partnership and liaison
Administration and Management of Information	Implementing established procedures	Monitoring and ensuring compliance	Monitoring to recommend improvements	Developing strategy and policy
Project Management	At a local level	Within an area or department	Across functions/ Force-wide with significant resources	Multi-Force projects with major resource implications
Representing the Service	Local representation	Force representation	National representation	International representation
Standards, Quality and Ethics	Implementing standards	Monitoring standards	Interpreting policy on standards	Establishing policy on standards
Accountability	Local accountability	Functional accountability	Force accountability	National accountability

APPENDIX XI

AREA	*LEVEL*			
	1	*2*	*3*	*4*
Business Planning and Management	Setting priorities for the station, unit and/or shift	Managing budgets at a local level	Planning for a territorial area or department	Planning across the Force
Operational Oversight and Command	For a station, unit or shift	Within a sub-division	Within a division or department	Across the Force
People Management	As a tutor/ mentor	As a supervisor of a team	As a supervisor of a number of teams	As a manager of a territorial area or department
Performance Management	Implementing policy in accordance with standards	Monitoring and ensuring compliance with standards	Monitoring and recommending change to standards	Setting and developing policy
Policing Policy, Strategy and Change Management	Managing implementation	Monitoring implementation	Communicating policy to others	Establishing policy
Providing Leadership	Providing leadership on a specific incident or task	On-going team leadership at a local level	Leadership of an area or department	Leadership across the Force, linking to external stake-holders
Resource Management	Using and maintaining resources	Identifying resource requirements	Assessing costs and benefits of options	Deciding on acquisition and priorities

APPENDIX XII

ALLOCATION OF RESPONSIBILITIES BETWEEN RANKS IN OPERATIONAL/CORE ROLE FAMILY IN NEW RANK STRUCTURE

Area of responsibility	Level of responsibility			
	1	2	3	4
Operational Responsibilities				
1 Anti-terrorist activity	Insp	Sup	ACC	ACC
2 Complaints, discipline & severance procedure	Sgt/Insp	Insp/Sup	ACC	ACC/CC
3 Custody responsibility	PC	Sgt	Insp/Sup	Sup
4 Dealing with incidents	PC	Sgt/Insp	Sup	ACC
5 Intelligence	PC/Sgt/Insp	(specialist role)	(specialist role)	(specialist role)
6 Investigations	PC/Sgt/Insp	(specialist role)	ACC	ACC
7 Law enforcement	PC	Sgt/Insp	Insp/Sup	ACC
8 Order maintenance	Pc/Sgt	Insp	Sup	ACC
9 Partnership, liaison & community safety	PC/Sgt	Insp	Sup	ACC
10 Security & secret activities	N/A	N/A	N/A	ACC/CC
Support Responsibilities				
11 Administration and management of information	PC	Sgt	Insp	Sup
12 Project management	Insp	Sup	ACC	CC
13 Representing the service	Sgt/Insp	Sup	ACC	CC
14 Standards, quality & ethics	PC	Sgt/Insp	Sup	ACC/CC
Managerial/Supervisory Responsibilities				
15 Accountability	Sgt/Insp/Sup	ACC	CC	CC
16 Business planning & management	Insp	Sup	Sup	ACC/CC
17 Operational oversight & command	Sgt/Insp	Insp	Sup	ACC/CC
18 People management	Sgt	Insp	Insp	Sup/ACC/CC
19 Performance management	Sgt	Insp	Sup	ACC/CC
20 Policing policy, strategy & change management	Sgt	Insp	Sup	ACC/CC
21 Providing leadership	Sgt	Insp	Sup	ACC/CC
22 Resource management	PC/Sgt	Sgt/Insp	Insp	Sup/ACC

Table shows the rank(s) which might typically be responsible for each level of responsibility in future.

APPENDIX XII

COMPARISON OF AREAS AND LEVELS OF RESPONSIBILITY - CURRENT V PROPOSED

	ROLES AND RESPONSIBILITIES STUDY **Number of areas of responsibility by level**					NEW ROLE DEFINITIONS **Number of areas of responsibility by level**				
Level of responsibility	1	2	3	4	Total	1	2	3	4	Total
Constable	3	–	–	–	3	10	–	–	–	10
Sergeant	7	3	–	–	10	12	6	–	–	18
Inspector	6	9	2	–	17	6	9	5	–	20
Chief Inspector	4	11	1	1	17	–	–	–	–	–
Superintendent	4	7	5	2	18	1	4	10	4	19
Ch Superintendent	3	5	7	2	17	–	–	–	–	–
Assistant Chief Constable	–	2	8	10	20	–	1	2	16	19
Deputy Chief Constable	–	–	4	12	16	–	–	–	–	–
Chief Constable	–	–	–	12	12	–	–	–	12	12

Table shows comparison between the current number of areas of responsibility by level at each rank and the number which might typically be expected under the new rank structure.

APPENDIX XIII

PROFILES FOR THE CORE ROLES WITHIN A REVISED RANK STRUCTURE

OPERATIONAL OFFICER – CONSTABLE

Core Responsibilities

Custody responsibility

Processing and interviewing persons in custody – ensuring detainees' immediate needs are met.

Dealing with incidents
Assessing the incident – identifying the nature and scale of the incident and the need to dispatch police officers to the scene.

Organising and progressing the situation – taking responsibility as first officer at scene; reacting to observed situation; completing necessary tasks (e.g. taking statements, protecting life and property, crowd control, etc).

Handling the general public – carrying out face to face activities; dealing with immediate concerns/needs;

Dealing with suspects – pursuing, identifying and arresting suspects.

Dealing with victims – dealing with the needs of the victim face to face;

Dealing with witnesses – interviewing witnesses.
Liaising with outside organisations – carrying out immediate short term liaison with other emergency services or agencies.

Intelligence
Collecting information – collecting intelligence by observation, desk research, plain clothes work, etc as instructed; identifying a range of possible sources of valuable intelligence.

Evaluating/verifying information – checking accuracy of documentation.

Collating and analysing information – collating and compiling intelligence from a range of sources.

Disseminating information – disseminating intelligence as instructed.

Investigations
Carrying out enquiries – investigating less serious crimes, conducting enquiries (visits, phone calls, searches, desk research) and attending the scene of the crime.

Obtaining evidence – sifting and reducing evidence, documenting findings, validating evidence and checking quality.

Law enforcement
Enforcing laws – observing whilst on patrol and acting to enforce the law; enforcing statutory requirements.

Verbal warnings/process or arrest – deciding to give a warning, process or arrest when an offence is observed, applying own discretion in line with local policy.

Using local information – improving knowledge of local issues and keeping self informed.

Prosecutions – preparing files for court.

Court attendance – giving evidence.

Maintenance of order
General patrolling – patrolling specific areas, maintaining a visible presence.

Public order – operating individually or as a member of a team to preserve good order and maintain the Queen's Peace.

Partnership, liaison and community safety
Planning/developing crime prevention and anti-vandalism initiatives – feeding back ideas or opportunities for initiatives.

Developing and maintaining contacts and partnership in the community – interacting with community members, listening to concerns, providing advice/guidance (e.g. when on patrol).

Administration and management of information
Checking internal/management information – checking own work for accuracy and compliance, tracking down missing information to ensure records are complete; assessing and grading information.

Record keeping – maintain information in hard copy and/or on computer.

Information exchange – supplying information to others on request.

Use of information technology – ensuring data are entered and stored appropriately.

Administration – carrying out day to day tasks; processing paperwork, etc.

Legal updates – keeping self informed from available information.

Standards, quality and ethics
Ensuring standards are achieved – ensuring own work meets set standards.

Monitoring ethical standards – ensuring all personal actions comply with ethical standards.

Road safety – advising on traffic-related issues, providing education and guidance.

Additional/Non-core Responsibilities

Anti-terrorist activity
Continuous personal protection – acting as an armed bodyguard for VIPs or other personnel assessed to be at risk.

Liaison and control of military personnel – acting as a liaison point between the military and the general public.

Guarding police stations and/or other fixed points – guarding police stations and other important installations.

Proactive anti-terrorist operations – undertaking foot or mobile patrol and/or co-ordinating military support.

Vehicle checkpoints under PACE or Emergency legislation performing vehicle checks with or without military support.

Maintaining personal and family security at all times maintaining personal vigilance and ensuring members of family do likewise.

Dealing with incidents
Using firearms – handling and use of firearms in operation.

Investigations
Plain clothes investigation – carrying out undercover detective work.

Co-ordination of investigations – co-ordinating own activities with those of others contributing to the current investigations.

Conducting interviews – taking witness statements, establishing facts, etc.

Conducting proactive searches – searching for drugs, stolen goods, munitions, explosives and other terrorist materials.

Partnership, liaison and community safety

Implementing crime prevention initiatives – giving advice on safety, security and crime prevention to the general public.

Public relations activities and support of local events attending and organising community events, meetings and social functions as a representative of the Service.

School support and liaison – visiting local schools on specific issues; delivering in-service training to teachers.

Project management
Project planning – identifying a sequence of tasks to achieve a specified result.

Co-ordination of activities – co-ordinating own activity and contribution.

Standards, quality and ethics
Generating and reviewing data on service standards – organising and carrying out surveys and other methods of data collection.

Post-incident/investigation reviews – carrying out an informal review of own/others' roles and actions.

Operational oversight and command
Keeping track of progress – ensuring colleagues have up to the minute knowledge of events and status of current activity/investigations that you are involved with.

Providing leadership
Briefing – attending formal briefings and informally briefing colleagues.

Resource management
Vehicle and equipment management – maintaining equipment day to day and acting as the responsible officer.

FRONT LINE SUPERVISOR - SERGEANT

Core Responsibilities

Complaints, discipline and grievance procedure
Establishing and recording the nature of complaints – informal clarification of complaint.

Custody responsibility
Custody procedure – complying with formal procedure.

Dealing with custody incidents – resolving custody incident using resources to hand.

Processing of prisoners and other detainees – responding to the needs of the range of detainees.

Dealing with incidents
Assessing the incident – identifying the scale of incident and the need to dispatch police officers to the scene.

Taking the necessary steps to protect life and property.

Monitoring progress – checking each task/action which has been initiated is completed satisfactorily.

Handling the general public – checking and reinforcing the action of others.

Dealing with suspects – identifying suspects to be arrested/interrogated.

Dealing with witnesses – assessing the reliability of a witness.

Post-incident activities – carrying out immediate activities which arise from incident e.g. setting up an incident room. Debriefing officers at the end of an incident and assessing individual performance.

Liaising with outside organisations – ensuring on-going relationships are maintained after the incident according to need.

Intelligence
Collecting information – identifying a range of possible sources of valuable intelligence.

Evaluating/verifying information – validating source and/or information.

Collating and analysing information – identifying gaps in information and need for further intelligence activity.

Disseminating information – reviewing and assessing relevance of intelligence to other interested parties, ensuring information goes to appropriate persons.

Investigations
Handling evidence – identifying uses of findings, including to whom information should be passed.

Supervising and reviewing investigations carried out by constables.

Arranging identification parades – organising, co-ordinating and attending identification parades.

Law enforcement
Enforcing laws – monitoring local enforcement of laws.

Verbal warnings/process or arrest – deciding to give a warning, process or arrest when an offence is observed, applying own discretion in line with local policy.

Using local information – developing initiatives and setting up procedures to obtain local information.

Prosecutions – liaising with Crown Prosecution Service/Procurator Fiscal.

Maintenance of order
General patrolling – making tactical decisions on resource deployment for patrol duties to ensure high visibility/impact.

Public order – operating individually or as a member of a team to preserve good order and maintain the Queen's Peace.

Anticipating and planning for major events – identifying potential problems on the basis of local knowledge.

Partnership, liaison and community safety.

Planning/developing crime prevention initiatives planning/developing specific crime prevention initiatives, e.g. through analysis of crime patterns.

Implementing crime prevention initiatives – monitoring the costs and benefits of initiatives.

Public relations activities and support of local events – ensuring officers are taking an active part in community events; monitoring levels of involvement.

Developing and maintaining contacts and partnership in the community – ensuring regular communication and liaison with specific community leaders/groups.

Administration and management of information
Checking internal/management information – checking others' work for accuracy and compliance; signing and authorising as appropriate; assessing and grading information.

Record keeping – ensuring that records are kept and accurate/full information is maintained.

Information exchange – reviewing information to identify that which is of relevance to other areas/departments.

Administration – maintaining an overview of administrative work in hand and progressing tasks.

Representing the service
Liaison with external bodies – ensuring statutory contact with other bodies; attending case conferences and other meetings with associated agencies.

Standards, quality and ethics
Ensuring standards are achieved – reviewing others' work against set standards in own specialism or work area.

Generating and reviewing data on service standards – identifying trends in data and areas of performance which are below standard.

Post-incident/investigation reviews – reviewing events through a full debrief with colleagues and other agencies to identify problem and suggest improvements.

Operational oversight and command
Identifying priorities – prioritising day to day tasks.

Keeping track of progress – debriefing to ensure all participants share knowledge.

Operational command – giving clear briefings and instructions.

People management
Use of manpower resources – identifying immediate resource needs; rostering and allocating duties.

Welfare – giving basic advice on day to day operational problems, monitoring stress and morale, providing support and guidance.

Performance management
Assessment of performance – observing performance in one-off situations and informally assessing performance.

Monitoring performance – supervising by working alongside/shadowing the individual.

Identifying required standards – agreeing individual targets with members of staff.

Taking action to improve performance – providing immediate feedback and advice on performance and agreeing next actions.

Constables' line manager for appraisal system.

Policing policy, strategy and change management.

Implementing strategy – implementing strategy at a local level.

Providing leadership
Motivation and morale – creating a united and mutually supportive team.

Reviewing working methods and practices – critically reviewing activities to identify good practices and areas for improvement.

Briefing – giving briefings (internal and/or external).

Resource management
Managing the work environment – ensuring the day to day work environment is conducive to effective performance.

Vehicle and equipment management – maintaining equipment day to day and acting as the responsible officer.

Additional/Non-core Responsibilities

Anti-terrorist activity
Anticipating terrorist acts and ensuring appropriate security, maintaining vigilance once alerted to the possibility of terrorist acts.

Taking special precautions – checking validity of reported incidents before attending.

Dealing with terrorist incidents – following instructions and completing allocated tasks.

Liaison and control of military personnel – acting as a liaison point between the military and the general public.

Proactive anti-terrorist operations – undertaking foot or mobile patrol.

Vehicle checkpoints under PACE or Emergency legislation supervising vehicle checks with or without military support.

Maintaining personal and family security at all times maintaining personal vigilance and ensuring members of family do likewise.

Dealing with incidents
Using firearms – issuing, checking and accounting for firearms and related equipment or providing tactical advice to operational commander.

Investigations
Identifying what to investigate – identifying specific lines of enquiry within an investigation.

Resourcing and scheduling – organising details of manpower and logistics (for self or others).

Carrying out enquiries – monitoring and controlling the investigation.

Undercover investigation (non-terrorist related) – co-ordinating undercover investigation.

Co-ordination of investigations (non-terrorist related) identifying and co-ordinating with other enquiries running in parallel within the force.

Conducting interviews (non-terrorist related) – interviewing suspects.

Conducting proactive searches (non-terrorist related) supervising proactive searches.

Partnership, liaison and community safety
Road safety – identifying, investigating and addressing local traffic problems, e.g. re-routeing traffic to control flow.

Dealing with public concerns – responding to letters/other communications expressing concern re local problems.

School support and liaison – monitoring quality of service and co-ordinating local activity.

Inter-agency co-operation – attending meetings and corresponding with other agencies in local community.

Project management
Project planning – identifying a sequence of tasks to achieve a specified result; developing a detailed project plan: what, how, who, where, when.

Resource allocation – delegating specific tasks.

Co-ordination of specific activities – monitoring and co-ordinating the work of others contributing to the project.

Manpower Command Responsibilities
Typical number of officers under command – up to 10 police officers possibly plus some civilian support staff (all reporting directly).

TEAM LEADER - INSPECTOR

Core Responsibilities

Anti-terrorist activity
Anticipating terrorist acts and ensuring security – maintaining colleagues' awareness of the potential for terrorist incidents in day to day policing work.

Dealing with terrorist incidents – following instructions and completing allocated tasks.

Complaints, discipline and grievance procedure.

Establishing and recording the nature of complaints – informal clarification of complaint.

Investigation of formal complaint – interviewing the complainant and others to establish the facts; assisting with further investigation.

Dealing with poor performance and disciplinary issues – handling minor instances of performance which do not reach set standards but do not require formal disciplinary action.

Custody responsibility
Custody procedures – scheduling and planning to ensure ethical/statutory requirements can be met.

Dealing with custody incidents – assessing potential severity of incident and requesting support as appropriate.

Processing prisoners and other detainees – monitoring welfare and handling of detainees.

Supervision of the work of custody officers.

Dealing with incidents
Assessing the incident – authorising the deployment of additional manpower and/or other specialist resources to protect life and property.

Organising and progressing the situation – taking operational command, co-ordinating and instructing other officers and ensuring their welfare.

Monitoring progress – maintaining an overview of the incident as a whole.

Handling the general public – checking and reinforcing the actions of others.

Inspector Dealing with press/media – answering specific questions, delivering prepared statements.

Dealing with suspects – prioritising suspects for further investigation.

Dealing with victims – setting the strategies for victim support and/or witness protection and allocating resources.

Dealing with witnesses – deciding which witnesses are essential to take the case further.

Post-incident activities – agreeing on-going activities, setting up procedures to follow up on other matters which arise from the incident, ensuring all roles are clear and liaison points established. Debriefing of personnel involved in incident to ensure any improvements necessary are achieved.

Liaising with outside organisations – ensuring strategic liaison with other agencies is developed and maintained.

Intelligence
Collecting information – identifying areas to monitor on on-going basis to develop intelligence, taking account of the level of risk.

Evaluating/verifying information – assessing the importance and usefulness of information.

Collating and analysing information – analysing and interpreting information.

Disseminating information – ensuring proper procedures and systems are in place to disseminate intelligence.

Investigations
Handling evidence – using evidence to compile a case.

Conducting identification parades – authorising identification parades; ensuring legal compliance; checking defendant's satisfaction with procedures.

Law enforcement
Enforcing the law – identifying and agreeing targets for local law enforcement.

Using local information – developing law enforcement strategy in the light of local knowledge.

Court attendance – giving evidence (to prove a case); giving evidence concerning supervision of investigation and interviews.

Maintenance of order
General patrolling – making strategic decisions on the resource levels to allocate to patrol, taking account of community expectations and needs.

Anticipating and planning for major events – planning resource deployment based on assessment of trends and previous incidents.

Policing major events – providing police presence at major sporting events, political demonstrations, parades, etc to ensure public order is maintained. Acting as a team leader in preplanned or spontaneous public order incidents.

Force strategy and guidelines – supervising the maintenance of order within guidelines.

Partnership, liaison and community safety
Planning/developing crime prevention initiatives – developing overall crime prevention strategies.

Implementing crime prevention initiatives – identifying key issues to tackle, providing a focus for crime prevention activities and launching major initiatives.

Public relations activities and support of local events identifying potential public relations opportunities and ways to promote the objectives of the force (internally and externally).

Developing and maintaining contacts and partnership in the community – identifying useful contacts in the local cultural/ethnic/business communities and/or external agencies (e.g. for fund raising, public relations, etc).

Road safety – monitoring traffic-related matters through observation, statistics and local information.

Dealing with public concerns – drawing together a number of local citizens to address a shared concern.

School support and liaison – developing school support policy.

Inter-agency co-operation – ensuring appropriate levels of police representation on local committees and at inter-agency meetings.

Administration and management of information
Checking internal/management information – identifying information needs and ensuring others locate and maintain appropriate up to date information.

Information exchange – ensuring proper procedures are in place to facilitate prompt communication of key information.

Administration – monitoring administrative performance in terms of efficiency, quality and speed of turnaround.

Legal updates – reviewing new and changed legislation/statutory requirements, identifying implications and interpreting for the benefit of others.

Project management
Providing direction – setting clear tasks to be achieved and reviewing progress against these.

Project planning – developing a detailed project plan: what, how, who, where, when.

Resource allocation – identifying overall resourcing requirements; allocating broad roles and responsibilities to individuals.

Co-ordination of activities – setting up systems to maintain an overview of progress on projects.

Representing the service
Liaison with external bodies – identifying agencies and resources which could assist in the work of the force.

Consulting with the community on policing policy – attending local consultation meetings.

Standards, quality and ethics
Ensuring standards are achieved – reviewing others' work against set standards in own specialism or work area.

Generating and reviewing data on service standards – identifying and initiating methods of auditing service standards.

Ensuring understanding of quality and standards-related issues ensuring regular communication on standards and quality.

Development of standards – interpreting locally standards set at higher level.

Post-incident/investigation reviews – contacting others external to the force for their views on the service given.

Inspections – conducting inspections to ensure compliance with force/national standards.

Monitoring ethical standards – regularly monitoring performance and activities of others within specific location or function to ensure implementation of ethical standards.

Identification of poor performance in individuals and the initiator of remedial action.

Accountability
Media and public interest – responding to specific requests for information, enquiries and expressions of concern.

Business planning and management
Resourcing priority projects – bidding for resources for specific projects or initiatives.

Information systems strategy – identifying specific tasks requiring IT support.

Operational oversight and command
Identifying priorities – providing a focus for others by prioritising between different incidents/tasks.

Keeping track of progress – maintaining overview of operations to ensure effective use of resources.

Operational command – ensuring implementation of incident/other plans, monitor progress and provide direction to deal with variances.

People management
Use of manpower resources – reviewing and approving requests for additional resources or specialists; allocating resources.

Internal placements and promotions – collecting required data on candidates and providing reports and observations (sergeants); reviewing data on candidates for placement or promotion, assessing suitability and making recommendation (constables).

Succession planning and career development – identifying an individual's overall training needs to improve standards in current role (sergeants); advising on career development and identifying potential for promotion or a new role (constables).

Welfare – giving basic advice on day to day operational problems, monitoring stress and morale, providing support and guidance (sergeants); handling straightforward police welfare issues, including visits and moral support.

Performance management
Assessment of performance – maintaining on-going assessments of performance, building up a rounded picture over time.

Monitoring performance – monitoring performance against agreed priorities and action plans.

Identifying required standards – agreeing individual targets with members of staff.

Taking action to improve performance – developing a structured plan to improve performance and address skill gaps.

Reporting officer for sergeants and countersigning officer for constables under appraisal system.

Policing policy, strategy and change management.

Policy development – making recommendations on possible improvements on basis of experience.

Communicating change – communicating changes to others as directed.

Developing strategy – developing strategy at a local level in line with force policy/priorities.

Implementing strategy – planning and reviewing implementation of strategy against critical milestones; implementing strategy at a local level.

Managing change – implementing change as requested, ensuring that others understand the reasons.

Law enforcement policy – feeding back information and ideas to contribute to the development of law enforcement policy.

Providing leadership
Motivation and morale – promoting a constant belief in the team; motivating staff to face and overcome setbacks.

Reviewing working methods and practices – encouraging others to review and assess their own work, finding ways to improve standards.

Briefing – identifying the scope of formal briefing sessions.

Resource management
Managing the work environment – deciding on optimal layout and use of workspaces.

Facilities management – overall responsibility for premises and equipment; monitoring premises-related costs.

Resource acquisition – identifying own unit's resource needs and requesting acquisition of resources accordingly.

Additional/Non-core Responsibilities

Anti-terrorist activity
Taking special precautions – checking validity of reported incidents before attending.

Liaison and control of military personnel – taking operational control and co-ordination of military personnel.

Guarding police stations and/or other fixed points – ensuring adequate manning for all fixed points in relation to threat levels.

Proactive anti-terrorist operations – planning, tasking and co-ordinating foot or mobile patrols with or without military support.

Vehicle checkpoints under PACE or Emergency legislation authorising and planning vehicle checkpoints.

Maintaining personal and family security at all times maintaining personal vigilance and ensuring members of family do likewise.

Exercising powers under the Northern Ireland (Emergency Provisions) Act – exercising specific powers.

Investigations
Identifying what to investigate – identifying the need for an investigation and deciding whether to follow up; identifying the boundaries for each aspect of the investigation, ensuring no conflict with other operations.

Resourcing and scheduling – authorising resources to carry out research/ investigation; setting up HOLMES incident room.

Carrying out enquiries – deciding on scope of enquiries and broad parameters of the investigation.

Undercover investigation (non-terrorist related) – identifying the need for undercover work and assessing the risks involved.

Undercover investigation (terrorist related) – co-ordinating undercover investigation.

Co-ordination of investigations (non-terrorist related) ensuring co-ordination and communication with other forces, external bodies, nationally and internationally.

Co-ordination of investigations (terrorist related) – identifying and co-ordinating with other enquiries running in parallel within the force.

Conducting interviews (non-terrorist related) – monitoring conduct of interviews.

Conducting interviews (terrorist related) – interviewing suspects.

Conducting proactive searches (non-terrorist related) – planning and authorising proactive searches.

Conducting proactive searches (terrorist related) – supervising proactive searches.

Maintenance of order
Dealing with incidents of public disorder – assessing a disorder situation and taking immediate actions to control incident.

Project management
Providing direction – identifying and steering others towards a series of targets which contribute to overall goals/objectives.

Project planning – planning the overall strategy for the project, clarifying priorities.

People management
External recruitment and appointments – interviewing applicants and handling recruitment procedure for support staff.

Welfare – monitoring the need for professional counselling and guidance and referring as appropriate.

Manpower Command Responsibilities
Typical number of officers under command – up to 50 police officers plus civilian support staff, including around 8 reporting directly.

Additional responsibilities for manpower command might include acting as head of operations/deputy operational commander for command units up to around 250 police officers.

APPENDIX XIII

OPERATIONAL COMMANDER – SUPERINTENDENT

Core Responsibilities

Anti-terrorist activity
Anticipating terrorist acts and ensuring security – maintaining colleagues' awareness of the potential for terrorist traps in day to day police work.

Dealing with terrorist incidents – taking charge of command centre, including deployment and co-ordination of resources.

Continuous personal protection – implementing strategy and deploying resources for personal protection.

Guarding police stations and/or other fixed points – regular assessment of fixed point security needs, liaison with relevant agencies.

Maintaining personal and family security at all times – ensuring police officers under command remain vigilant and take necessary precautions when off duty.

Complaints, discipline and grievance procedure
Establishing the nature of complaints – deciding on severity of complaint and need for further investigation or return to informal resolution.

Investigation of formal complaint – interviewing the officer concerned and investigating formal complaints.

Dealing with poor performance and disciplinary issues – handling formal disciplinary situations.

Custody responsibility
Custody procedures – making spot checks to ensure procedures comply with ethical/statutory requirements.

Dealing with custody incidents – identifying strategy and initiating special resources to resolve incident.

Carrying out statutory requirements apertaining to the rank under PACE and its Codes of Practice as well as under similar legislation, etc in Scotland and Northern Ireland.

Dealing with incidents
Assessing the incident – anticipating the likely course of events and predicting additional requirements.

Organising and progressing the situation – planning strategy and actions to deal with contingencies and initiating action for cross-force support.

Assuming command of incidents as appropriate.

Handling the general public – identifying how best to handle potential problems/sensitive situations before they arise.

Dealing with the press/media – delivering prepared statements; answering questions in difficult situations.

Post-incident activities – ensuring a proper debriefing of all involved in incident; discussing and formulating future strategy.

Law enforcement
Verbal warnings, process, arrest – deciding local policy guidelines and enforcement options.

Court attendance – giving evidence concerning suspects' treatment while in police detention or in other cases where personally involved.

Maintenance of order
General patrolling – taking strategic decisions on the resource levels to allocate to patrol, taking account of community expectations and needs.

Anticipating and planning for major events – planning strategy for major events, potential disasters and responding to high level intelligence.

Dealing with incidents of public disorder – initiating response to large scale events and use of support; taking command to restore order.

Policing major events – commanding policing of major events; acquiring support from within force as required.

Force strategy and guidelines – ensuring actions comply with strategy on order maintenance.

Partnership, liaison and community safety
Inter-agency co-operation – identifying needs and initiating inter-agency liaison.

Project management
Providing direction – identifying overall goal/objective of the project providing focus for all project activity for projects in command area.

Project planning – planning the overall strategy for the project, clarifying priorities.

Resource allocation – identifying overall resourcing requirements; allocating broad roles and responsibilities to individuals.

Representing the service
Liaison with external bodies – maintaining an overview of liaison activity and development of strategic framework.

Representing force on professional bodies – attending meetings at regional level on behalf of force.

Influencing national/international policing policies/legislation – contributing to regional/national level policies.

Standards, quality and ethics
Ensuring standards are achieved – overall monitoring of standards against agreed requirements.

Ensuring understanding of quality and standards-related issues identifying need for training on quality-related issues and implementing.

Development of standards – developing standards for command area.

Inspections – identifying needs for thematic inspections; conducting inspections to ensure compliance with force/national standards.

Monitoring ethical standards – random sampling of performance, activities and practices to ensure ethical standards are adhered to at all levels.

Accountability
Accountability to Police Authority, central government, national and statutory bodies – providing clear explanation in relation to actions or responses to specific incidents/issues.

Media and public interest – providing senior level comment on major issues of media and public interest.

Business planning and management
Corporate planning – contributing to corporate planning process.

Budget preparation – preparing local/departmental budgets and annual bid for approval.

Budget management – allocating and managing expenditure/overtime within a given budget to provide good value for money.

Resourcing priority projects – bidding for resources for specific projects or initiatives; authorising reallocation of budgets according to need.

Establishing priorities – reviewing local requirement for resources and establishing clear priorities in the light of local needs.

Operational oversight and command
Identifying priorities – developing a strategy, providing a framework which helps others to prioritise.

Keeping track of progress – maintaining overview of operations to ensure effective use of resources.

Operational command – assimilating complex and incomplete information to develop and articulate plans; obtain and deploy required resources.

People management
Use of manpower resources – anticipating future resource needs and deciding on resource acquisition/manpower bids longer term.

External recruitment and appointments – identifying the need for an appointment/numbers to be recruited; reviewing application and interview data prior to authorising recruitment recommendation/appointment.

Internal placements and promotions – reviewing recommendations and making promotional/appointment decisions; reviewing data on candidates for placement or promotion, assessing suitability and making recommendation.

Succession planning and career development – advising on career development and identifying potential promotion or a new role for immediate reports; identifying an individual's overall training needs to improve standards in current role for immediate reports.

Welfare – monitoring the need for professional counselling and guidance and referring as appropriate for immediate reports.

Performance management
Assessment of performance – conducting formal assessments from a managerial perspective.

Monitoring performance – taking an overview to identify trends, broad training needs, career potential, etc.

Identifying required standards – interpreting set standards to identify and agree appropriate measures against which individuals will be assessed.

Taking action to improve performance – monitoring overall levels of performance to plan training and development strategy.

Reporting officer for inspectors and countersigning officer for sergeants under appraisal system.

Policing policy, strategy and change management
Policy development – carrying out analysis on the basis of full review/ consideration of cost and effectiveness of approaches.

Communicating change – ensuring there is clear communication cascade internally and to relevant external agencies.

Developing strategy – contributing to development of force strategy.

Implementing strategy – reviewing effectiveness of strategy.

Organisation development – developing management arrangements at a local level in line with force policy/guidelines to ensure effective use of resources.

Managing change – identifying how best to implement change, addressing possible blocks to progress.

Law enforcement policy – monitoring and reviewing law enforcement practice to ensure compliance with overall policy.

Providing leadership
Providing guidance and direction to others – identifying specific objectives for others and providing guidance/advice on their completion.

Motivation and morale – encouraging full involvement at the lowest possible level, encouraging feedback, contributions and discussion of ideas. Ensuring a two-way communication flow at all times and regular dialogue with staff associations and trade union representatives.

Reviewing working methods and practices – developing working environment in which improvements/efficiencies are constantly sought.

Resource management
Managing the work environment – assessing suitability of working environment for intended use.

Resource acquisition – identifying area/department resource requirements, preparing a case for resources and formulating recommendations.

Additional/Non-core Responsibilities

Anti-terrorist activity
Taking special precautions – deciding to declare zones "out of bounds" on the basis of risk assessment.

Liaison and control of military personnel – liaising with military commanders to agree operational plans.

Planning proactive anti-terrorist activities – liaising with specialist units and agencies on a national or local basis.

Proactive anti-terrorist operations – planning, tasking and co-ordinating foot or mobile patrols with or without military support.

Exercising powers under the Northern Ireland (Emergency Provisions) Act – granting specific authorisations.

Investigations
Undercover investigation (terrorist related) – identifying the need for undercover work and assessing the risks involved.

Co-ordination of investigations (terrorist related) – ensuring co-ordination and communication with other forces, external bodies, nationally and internationally.

Conducting interviews (terrorist related) – monitoring conduct of interviews.

Conducting proactive searches (terrorist related) – planning and authorising proactive searches.

Manpower Command Responsibilities
Typical number of officers under command – up to around 250 police officers plus civilian support staff, including around 8 reporting directly.

Additional responsibilities for manpower command would typically be for larger commands, in the range 250 to 500 police officers.

POLICY FORMULATOR – ASSISTANT CHIEF CONSTABLE

Core Responsibilities

Anti-terrorist activity
Anticipating terrorist acts and ensuring appropriate security measures – anticipating and interpreting signs of potential terrorist activity to set strategy for area.

Dealing with terrorist incidents – identifying, developing and establishing plans to address potential terrorist activity.

Continuous personal protection – deciding on the strategy for personal protection on the basis of anticipated or potential threat.

Planning proactive anti-terrorist activities – planning, tasking and co-ordinating specialist units and agencies; liaising with specialist units and agencies on an international basis.

Proactive anti-terrorist operations – developing long-term strategy in proactive anti-terrorist operations with or without military support.

Maintaining personal and family security at all times developing strategy and tactical arrangements to protect police officers and their families.

Complaints, discipline and grievance procedure
Investigation of formal complaint – determining the lines of a complaints investigation (full investigation or informal resolution) and supervising investigations.

Involvement with Police Complaints Authority (PCA) or Independent Commission for Police Complaints (ICPC) – investigating under the supervision of PCA/ICPC.*

Dealing with poor performance and disciplinary issues – advising, guiding, recommending (and in the Metropolitan Police Service deciding) on serious disciplinary issues, including dismissal.

Dealing with incidents
Using firearms – authorising use of firearms.

Dealing with the press/media – identifying and setting appropriate media strategy for major incidents; handling high profile media liaison.

Investigations
Identifying what to investigate – agreeing force policy on prioritisation of investigations; monitoring overall compliance.

**In Scotland with the Procurator Fiscal Supervising major investigations (series or serial murders).*

Co-ordination of major investigations – maintaining oversight of major investigations, ensuring co-ordination with other forces, external bodies, nationally and internationally.

Law enforcement
Law enforcement policy – agreeing force policy on law enforcement targets; monitoring overall compliance.

Maintenance of order
Dealing with incidents of public disorder – assessing and developing command strategy for incidents of public disorder; assuming command of incidents as appropriate.

Policing major events – planning force policies and strategies for dealing with potentially volatile events; calling on specialist support/mutual aid from other forces where appropriate.

Force strategy and guidelines – setting strategy based on environmental knowledge and experience.

Partnership, liaison and community safety
Partnership and liaison policy – agreeing force policy and strategy for partnership and liaison; monitoring overall performance.

Security and secret activity
Involvement in national/international security issues, liaison with security services and allied matters.

Project management
Providing direction – identifying overall goal/objective of the project providing focus for all project activity (force-wide projects).

Representing the service
Consulting with the community on policing policy – co-ordinating force's response to community representations.

Representing force on professional bodies – representing force at national level meetings.

Influencing national/international policing policies/legislation – leading national policy reviews or co-ordinating cross-border policing.

Standards, quality and ethics
Ensuring standards are achieved – overall monitoring of standards against agreed requirements.

Development of standards – playing an active role in national committees/ bodies set up to agree standards; developing force framework for standards within national agreements.

Inspections – developing and participating in force inspection strategy.

Accountability
Accountability to police authority, central government, national and statutory bodies – accounting for performance, value for money and priorities.

Media and public interest – developing and leading the implementation of policy to deal with media and public interest issues.

Business planning and management
Corporate planning – preparing strategic options for corporate plans.

Budget preparation – collating bids and developing force business plan.

Budget management – reconciling others' expenditure within an overall budget; allocating money at a local level from an overall budget according to priority.

Resourcing priority projects – finding and allocating funds for new projects; authorising reallocation of budgets according to need.

Establishing priorities – reviewing demands for resources and allocating in the light of assessed priorities.

Information systems strategy – analysing business needs across force and identifying opportunities to improve information systems.

Operational oversight and command
Identifying priorities – developing a strategy, providing a framework at force level which helps others to prioritise.

Operational command – taking command of events or incidents which have major operational and/or resource implications which span command area boundaries.

People management
External recruitment and appointments – identifying the need for an appointment/numbers to be recruited; reviewing application and interview data, prior to authorising recruitment recommendation/appointment for senior posts.

Internal placements and promotions – reviewing recommendations and making promotional/appointment decisions.

Succession planning and career development – identifying and developing successors for key posts.

Performance management
Identifying required standards – setting the overall standards to be achieved in a professional capacity.

Reporting officer for Superintendents and countersigning officer for inspectors under appraisal system.

Policing policy, strategy and change management
Policy development – identifying priorities and the size and scope of a policy review.

Communicating change – developing a process of review and feedback to assess the progress/impact of change.

Developing strategy – formulation and dissemination of force policing strategy.

Organisation development – identifying opportunities to improve organisation; commissioning further work, designing organisation structures and arrangements to deliver force strategy; a participative approach to management and a two-way flow of communication.

Managing change – identifying the need for change and deciding on appropriate strategies.

Law enforcement policy – formulating and disseminating policy for force-wide law enforcement, balancing statutory/national requirements with local issues.

Providing leadership
Providing guidance and direction to others – providing others with broad goals to strive for.

Resource management
Resource acquisition – assessing financial implications of resource acquisition in the light of force needs and establishing priorities for acquisition.

Additional/Non-core Responsibilities

Anti-terrorist activity
Exercising powers under the Northern Ireland (Emergency Provisions) Act – reviewing the exercise of powers and authorisations.

Manpower Command Responsibilities

The ACC might expect to have up to 12 staff reporting directly, with indirect responsibility for all police officers and civilians under their command.

CHIEF EXECUTIVE OFFICER – CHIEF CONSTABLE

Complaints, discipline and grievance procedure
Hearing of formal discipline proceedings – determining the lines of a complaints investigation in respect of a chief officer.

Involvement with Police Complaints Authority (PCA) or Independent Commission for Police Complaints (ICPC) – investigating under the supervision of PCA/ICPC in cases involving chief officers.*

Dealing with poor performance and disciplinary issues advising/guiding on serious disciplinary issues involving chief officers.

Security and secret activity
Involvement in national/international security issues, liaison with security services and allied matters.

Project management
Providing direction – identifying overall goal/objective of the project providing focus for all project activity in respect of major force-wide or multi-force projects with significant resource implications.

Representing the service
Consulting with the community on policing policy – presenting force policies to police authority, government and other national bodies.

Representing force on professional bodies – representing force in international fora.

Influencing national/international policing policies/legislation – recommending major policies at national/international levels.

Media and public interest – available to media on key strategic and policy issues.

Standards, quality and ethics
Development of standards – consultation in service, agreeing force standards with senior management team and police authority.

Inspections – agreeing force inspection strategy; overall monitoring of compliance.

Accountability
Accountability to police authority, central government, national and statutory bodies – providing clear explanations of force policing and enforcement strategies and priorities.

**In Scotland with the Procurator Fiscal*

Accountability for force performance and value for money explaining force performance in respect of published key performance indicators to general public, media, police authority and central government; accounting for use of resources and value for money.

Business planning and management
Corporate planning – determining appropriate balance of expenditure between police officers, civilian staff and equipment to achieve best value for money from resources available to force; agreeing corporate plans with police authority.

Budget preparation – developing force budget strategy with financial advisers; lobbying police authority/government for additional resources.

Budget management – deciding on the levels to which budgetary responsibility and fund allocation should be devolved; setting up procedures for the effective management of budgets.

Resourcing priority projects – finding and allocating funds for new projects.

Establishing priorities – reviewing competing demands for resources between major functions/areas and determining allocation on assessment of force priorities.

Operational oversight and command
Maintaining overview of policing issues and priorities maintaining sufficient level of awareness of operational policing developments in force area to be able to take well-informed decisions about policing priorities and allocate resources accordingly.

People management
Human resource policies – developing with professional advisers force human resource policies in light of new flexibilities contained in the Government White Paper and outlined in the report of the Inquiry into police responsibilities and rewards; agreeing these with representatives of police and civilian staff associations and the police authority.

External recruitment and appointments – identifying the need for senior appointments; reviewing application and interview data prior to authorising recruitment recommendation/appointment.

Succession planning and career development – identifying and developing successors for chief officer posts.

Maintaining regular consultations with representatives of staff associations and trade unions.

Performance management
Developing force performance management framework – adapting the outline proposals in the report of the Inquiry into police responsibilities and rewards in respect of performance management to ensure that the force's performance management policies and systems fully support achievement of force goals.

Policing policy, strategy and change management
Organisation development – identifying opportunities to improve organisation; commissioning further work; authorising major organisation changes.

Managing change – identifying the need for change and deciding on appropriate strategies.

Providing leadership
Providing guidance and direction to others – acting as high profile leader; communicating a consistent vision of what must be achieved; leading the senior management team.

Manpower Command Responsibilities

Typically responsibility for around 6 direct reports. Ultimate responsibility for the actions and welfare of all police officers and civilian staff in the force whatever size.

APPENDIX XIV

GUIDANCE ON THE APPLICATION OF THE MATRIX

1. Defining the factors

Four sets of factors have been defined to assess the basic pay for each officer from the rank of Constable to the revised Superintendent rank. These factors comprise:

- role scope: responsibilities, scale and specialist requirements associated with job;
- circumstances: circumstances relating to the environment and related requirements impacting on the role;
- experience and skills: experience and skills required for the role; proven track record and skills possessed by the individual;
- performance: sustained performance of the officer in the particular role.

The factors affecting Chief Constables and the revised ACC rank are set out in Chapter 5 of the main Report.

Each of these sets of factors can be described in terms of points. The total number of points which an officer in a particular rank and doing a particular job has, will determine the position on the salary scale. Table 1 summarises the points allocation matrix.

Table 1: Points allocation matrix

Factor	Points
Role scope	1-3
Circumstances	0-3
Experience and skills	0-3
Performance	0-3

The points selection has been kept deliberately narrow in order to produce a scale which can be easily comprehended and applied consistently. The larger the scale or the more intermediate points there are, the more difficult it becomes to administer the scheme.

It is intended that the points scale gives recognition both to the roles being undertaken and to the qualities of the individual. The proposed arrangement specifically seeks to avoid salary drift by removing the present disproportionate influence of time served as a factor in determining an officer's basic pay.

2. Using the factors

The use of the matrix assumes that the role an officer is undertaking is compared to the core role for the rank. These have been developed following the Roles and Responsibilities study and the subsequent spans of control investigation. They have also been endorsed by our police consultants. They comprise:

- patrol constable;
- patrol sergeant;
- operational command inspector;
- operational command superintendent.

As a starting point in the application of the factors and the points matrix, the range of responsibilities for the core role should be reviewed and compared with the role being examined. It is then necessary to assess the circumstances relating to the policing environment and the related requirements impacting on the role.

The next step is to consider the experience and the skills required to undertake the core role and the variations from the role being examined should be identified. In addition, any specific enhancement the individual brings to the role should be separately identified.

Finally, the application of the performance factors for each officer undertaking a specific role should be used to reflect the delivered performance of the incumbent.

3. Defining a role

Central to the use of the points allocation matrix is the definition of a role and its scope. In defining a role it is important to identify it in terms of a job which you would typically expect an officer to undertake for at least one year.

The matrix is not intended to be used to reflect small or temporary reallocation of tasks or activities. Too fine a gradation of roles could lead to too frequent a requirement to change the points allocation.

Short-term postings where an officer is expected to return to the original role should be dealt with by reflecting the demands of this in the annual review.

It is not intended to be prescriptive in role definition. However, Table 2 lists examples of constable roles taken from the Roles and Responsibilities study.

Table 2: Constable roles

List of Constable roles from Roles and Responsibilities Study
■ Patrol
■ Community Beat
■ Support Group/Anti-terrorist
■ Specialist Patrol
■ Operations Support
■ Special Branch
■ CID
■ Intelligence
■ Community Liaison/Crime Prevention
■ Traffic Patrol
■ Training
■ Firearms Instructor
■ General Support
■ Administration of Justice
■ Gaoler/Custody
■ Security

Appendix XIII sets out profiles for the core roles for the revised rank structure.

4. Detailed descriptions of the factors

Further description of the components of each of the factors and their associated points scale are provided in the following paragraphs.

■ **Role Scope: Responsibilities, scale and specialist requirements associated with the job (Scale 1-3)**

There are three points available for role scope:

- **Point 2** on the scale reflects the points associated with the definition of the core role for the rank. This scale point should be awarded if the range and level of responsibilities and scale factors in terms of manpower/budgets match those defined in the core role. This is the base line against which other roles should be judged;

- **Point 1** on the scale should be used for roles which are evidently narrower in scope of responsibilities and/or smaller in scale than the core role definition;

- **Point 3** on the scale should be used in situations where the role encompasses at least the equivalent of all of the factors in the core role definition and in addition requires the incumbent to

accept clearly defined additional responsibilities and/or is of a greater scale in terms of manpower/budgets.

Table 3 illustrates the application of these factors using the definitions from the Roles and Responsibilities study.

Table 3 Application of Scope Factor

Application of scope factor from Roles and Responsibilities Study	
Role	Scope Points
Patrol	2
Support Group/ Anti-terrorist	3
Specialist Patrol	2
Operations Support	2
Community Beat	3
Special Branch	2
CID	2
Intelligence	1
Community Liaison	1
Traffic Patrol	2
Training	1
Firearms Instructor	3
General Support	1
Admin of Justice	1
Gaoler/Custody	1
Security	1

- **Role Circumstances: the circumstances associated with the policing of the environment and related requirements impacting on the role (Scale 0-3)**

  Role circumstances encompass a range of factors impacting on the role including:

  - relative risk of assault/availability of support;
  - nature of working pattern/disruption to personal life;
  - nature of policing environment;
  - requirement to work long hours without overtime payment;
  - exceptional difficulty in filling the role.

These factors represent general guidelines only, they are not intended to be prescriptive.

There are four possible scores relating to role circumstances:

- **Point 0** on the scale would be used for roles in which there are no "adverse" circumstances. Example: an office-based role operating on a primarily office hours basis would score 0 on this scale.

- **Point 1** would be used where one or two of the factors impact on the role to a significant degree. Example: a constable operating on a shift pattern in a residential suburb facing a relatively low risk of assault.

- **Point 2** would be used where three or more of the factors impact on the role to a significant degree. Example: a constable in an area initiative team working exceptionally long hours in difficult conditions.

- **Point 3** would be used where the circumstances are extremely difficult and where their impact has a direct bearing on the role scope. Example: a patrol constable in a highly volatile inner city area facing a high assault risk and exceptionally demanding work pressures.

■ **Experience and Skills Required (Scale 0-3)**

The experience and skills scale is intended to address two components:

- **the requirements of the role for specific training and for experience;**

- **specific skills and/or relevant experience brought to the role by the officer and which add clear value to the performance of the role.**

Thus it is possible for an officer to accumulate points through a combination of changes in role requirements and through the acquisition of particular skills and experience which add value to a role.

The application of the experience and skills factor requires that the role being examined should be compared to the core role. If specialist training and experience are required beyond that inherent for the core role, then experience and skills points are added.

- **Point 0** would be used where an officer had the basic experience and skills to undertake the core role.

- **Point 1** would be used for roles requiring specialist training and/or relevant experience. For example a CID constable's role has a specific training requirement.

- **Point 2** would be used for roles requiring continuing specialist training or very extensive initial training. For example a support group constable working with an armed response vehicle may be on this point as there is both public order and firearms training required together with a requirement to update annually firearms training.

In addition to assessing the skill and experience requirements in relation to the core role, one point may be awarded on the basis of the incumbent's relevant experience. It is intended that an experience point should be awarded to the incumbent only where the specific experience adds value to the role being performed over and above the basic requirements of the role. This experience point may be awarded irrespective of the role requirement points, to reflect experience gained applicable to the current job. Thus an incumbent in a role earning two experience points may be awarded a further point as well as an incumbent in a role earning zero experience points.

Examples of experience points being awarded to incumbents could include the following:

- an experienced detective constable returning to a uniformed patrol role who is equipped to provide uniformed colleagues with specialised knowledge and thus enhance the team's performance;

- a patrol constable who has language skills in a common language encountered in a local ethnic community and is thus able to assist in a range of actions and initiatives involving that community;

- an officer undertaking a particular role and performing consistently well, but who is not a candidate for promotion and for whom there is not an opportunity to extend the scope of the role. For example, a patrol constable of demonstrated effectiveness with substantial experience in the role.

This scale provides a total of three points. However, the make-up of the points can vary in balance between role requirements and individual experience.

For example a constable in a core role may get no points for role requirements but up to two points for a combination of specialist skills brought to the core role and extensive experience combined with a good track record of performance in this role.

Alternatively a constable in a role requiring continuing specialist training who has been performing the role at an outstanding level over a number of years may acquire two points for role requirements and an individual point for personal experience.

- **Performance (scale 0-3)**

The performance scale is applied to the individual role incumbent. The rating is based on evidence of sustained performance within the role at the level indicated.

- **Point 0** should be used for incumbents whose performance is unsatisfactory or for incumbents new to the role who are going through a learning curve.

- **Point 1** should be used for incumbents whose performance in all aspects of the role is satisfactory and meets expected requirements.

- **Point 2** should be used only for those incumbents who have demonstrated sustained performance in excess of expected role requirements.

- **Point 3** should be used only for those incumbents who have consistently over more than one year demonstrated truly outstanding performance in the role.

It is important to avoid double counting of experience points awarded to incumbents and performance.

APPENDIX XV

AREA COMMAND TRIAL ON APPLICATION OF THE POINTS MATRIX

Purpose

1. The application of the points matrix was tested out in an Area Command with two specific purposes in mind:

a) to examine the practical application of the matrix with an Area Commander and his senior officers;

b) to test the proposed distribution of points used in the national pay model which were derived from the review of roles and responsibilities and the spans of command study.

Approach

2. The consultant team spent time with senior officers both to present and discuss the development, purpose and detail of the matrix and also to model the Area Command using the points formula. The main conclusions from this exercise are set out below.

Conclusions

3. The proposed framework represents a shift of perspective, away from an emphasis on time served and rank, towards the assessment of roles, policing circumstances, experience and performance. In principle this shift was welcomed, although it was recognised that there would be a significant learning curve in achieving its ownership and implementation. There would need to be a period of development and tuning to apply the principles fairly and effectively for better management.

4. The key points emerging from the exercise are:

a) the matrix system gives senior officers greater flexibility in putting the right person in a particular post, when needed, and to reward that person appropriately for that role and their performance within it;

b) the system provides a mechanism for specifying more clearly how and why particular roles – and the component parts of those roles – are valued. It provides a critical examination of roles and allows local managers, in accordance with force guidelines, to decide on the relative significance of particular features and to weight them accordingly. For example, it allows them to address the balance between specialisms which have a narrow focus but may require particular skills and experience and first-line patrol officer duties with a broader focus which may be less predictable and more stressful;

c) the process used during the application of points provides scope for dealing with posts identified as being hard to fill and also informs the assessment of posts which might be appropriate for civilianisation;

d) the examination emphasised the need for both the Area Command's senior officers and senior policy makers at force headquarters to achieve a full understanding of the matrix, its potential and its limitations. It was felt that application of the matrix called for accurate and informed judgements about roles within the force and the competence and confidence to assess the respective weight of the roles identified;

e) senior officers thought that the range of points available was about the minimum which they would require to reflect the diversity of roles within the force. They felt that it was important to have a balance of weighting between the role characteristics and the individual characteristics;

f) it was also felt that there would be a number of issues, such as the availability of information, which would arise around the actual implementation of the system. These could be assessed by the application of the matrix, initially in a small number of forces, which were most well placed to do so in terms of:

   i) financial management and information systems;

   ii) culture and readiness for change.

APPENDIX XVI

EXAMPLES OF APPLICATION OF POINTS ALLOCATION MATRIX TO INDIVIDUAL OFFICERS

Role	Incumbent	Points	Salary
PC Foot/Car Patrol (Brixton)	– 2 years' experience – Above average performance	– Scope 2 – Circumstances 3 – Experience 0 – Performance 2 Total 7	£17,135
PC Foot/Car Patrol (Hampstead)	– 2 years' experience – Above average performance	– Scope 2 – Circumstances 1 – Experience 0 – Performance 2 Total 5	£15,608
PC Foot/Car Patrol (Hampstead)	– 6 months' experience – Learning performance level	– Scope 2 – Circumstances 1 – Experience 0 – Performance 0 Total 3	£14,082
PC CID Operations (Brixton)	– 3 years' experience plus special training – Above average performance	– Scope 3 – Circumstances 3 – Experience 1 – Performance 2 Total 9	£18,662
PC CID Operations (Hampstead)	– 2 years' experience – Superior performance	– Scope 3 – Circumstances 2 – Experience 0 – Performance 3 Total 8	£17,899
PC Firearms Instructor	– 3 years' experience plus specialist training – Satisfactory performance	– Scope 3 – Circumstances 1 – Experience 2 – Performance 1 Total 7	£17,135
PC Gaoler (Brixton)	– 1 year's experience – Satisfactory performance	– Scope 1 – Circumstances 3 – Experience 0 – Performance 1 Total 5	£15,608
PC Gaoler (Hampstead)	– 1 year's experience – Satisfactory performance	– Scope 1 – Circumstances 2 – Experience 0 – Performance 1 Total 4	£14,845
PC Gaoler (Hampstead)	– 4 years' experience – Superior performance	– Scope 1 – Circumstances 2 – Experience 1 – Performance 3 Total 7	£17,135
Tutor Constable (Hampstead)	– 3 years' experience plus special training – Above average performance	– Scope 3 – Circumstances 1 – Experience 2 – Performance 2 Total 8	£17,899

APPENDIX XVI

Role	Incumbent	Points		Salary
PC Domestic Violence Unit (Brixton)	– 5 years' experience plus special training – Above average performance	– Scope – Circumstances – Experience – Performance Total	3 3 2 2 10	£19,425
PC Domestic Violence Unit (Hampstead)	– 2 years' experience – Special training – Satisfactory performance	– Scope – Circumstances – Experience – Performance Total	3 1 1 1 6	£16,372

Sergeants and Inspectors would follow a similar pattern to the above

Superintendent Operational Commander (Brixton)	– 3 years' experience plus special training – Above average performance	– Scope – Circumstances – Experience – Performance Total	3 3 2 2 10	£43,723
Superintendent Operational Commander (Kennington)	– 18 month's experience plus special training – Satisfactory performance	– Scope – Circumstances – Experience – Performance Total	2 3 1 1 7	£39,492
Superintendent Operational Commander (Hampstead)	– 3 years' experience plus specialist training – Above average performance	– Scope – Circumstances – Experience – Performance Total	3 1 1 2 7	£39,492
Detective Superintendent (Brixton)	– 3 years' experience plus special training – Above average performance	– Scope – Circumstances – Experience – Performance Total	3 3 2 2 10	£43,723
Detective Superintendent (Hampstead)	– 2 years' experience plus special training – Satisfactory performance	– Scope – Circumstances – Experience – Performance Total	3 1 1 1 6	£38,082
Superintendent Head of Traffic Area HQ	– 18 months' experience plus special training – Satisfactory performance	– Scope – Circumstances – Experience – Performance Total	1 1 1 1 4	£35,261

APPENDIX XVII

EXAMPLES OF RANGE OF POSTINGS WHICH COULD BE WITHIN VARIOUS SCALE POINTS AT PC LEVEL

Constable roles with total score of 2 points (excluding performance)
– Intelligence
– Community liaison/crime prevention
– Training
– General support
– Administration of justice
Constable roles with total score of 6 points (excluding performance)
– Patrol – inner city
– Community beat
– Specialist patrol
– Special Branch
– CID

APPENDIX XVIII

ILLUSTRATIVE EXAMPLES OF SCOPE FOR VARIATION IN PERFORMANCE WITHIN AND ON MOVEMENT BETWEEN PAY BANDS

The following examples follow three career paths illustrating lateral and vertical growth.

Path A "Average" Path

Year	Role	Allocation Matrix					Salary
		Role Scope	Circumstances	Experience	Performance	Total	
1 (Probation)	New entrant, non-grad. age 29 no relevant experience, no difficulty in filling post	0	0	0	0	0	10,630
2 (Probation)	New entrant, non-grad. age 29 no relevant experience, no difficulty in filling post	0	0	0	2	2	11,734
3	Patrol in Hampstead	2	1	0	0	3	14,082
4	Patrol in Hampstead	2	1	0	1	4	14,845
5	Patrol in Battersea	2	2	1	1	6	16,372
6	Patrol in Battersea	2	2	2	2	8	17,899
7	CID in Battersea	3	3	2	1	9	18,662
8	CID in Battersea	3	3	2	2	10	19,425
9	Patrol Sergeant Hampstead	2	2	0	1	5	20,344
10	Patrol Sergeant Hampstead	2	2	1	1	6	21,127
11	Patrol Sergeant Battersea	2	2	2	1	7	21,909
12	Patrol Sergeant Battersea	2	2	2	2	8	22,692
13	Det. Sgt. Battersea	3	2	2	2	9	23,474
14	Det. Sgt. Battersea	3	2	2	3	10	24,257
15	Det. Sgt. Special Branch	3	3	2	3	11	25,039
16	Det. Sgt. Special Branch	3	3	3	3	12	25,822
17	Det. Insp. Battersea	2	2	1	1	6	27,263
18	Det. Insp. Battersea	2	2	1	2	7	28,273
19	Det. Insp. Special Branch	3	3	1	2	9	30,293
20	Det. Insp. Special Branch	3	3	1	3	10	31,302
21	Det. Insp. Special Branch	3	3	2	3	11	32,312
22	Det. Insp. Special Branch	3	3	3	3	12	33,322

Path B "High Flyer"

Year	Role	Allocation Matrix					Salary
		Role Scope	Circumstances	Experience	Performance	Total	
1 (Probation)	New entrant, non-grad. age 22 no relevant experience, no difficulty in filling post	0	0	0	0	0	12,286
2 (Probation)	New entrant, non-grad. age 22 no relevant experience, no difficulty in filling post	0	0	0	2	2	13,390
3	Patrol in Hampstead	2	1	0	1	4	14,845
4	Patrol in Brixton	2	3	0	2	7	17,135
5	Patrol in Brixton	2	3	1	3	9	18,662
6	Sergeant Battersea	2	2	0	1	5	20,344
7	Sergeant Battersea	2	2	1	2	7	21,909
8	Det. Sgt. Brixton	3	3	1	2	9	23,474
9	Patrol Insp. Brixton	2	3	1	1	7	28,273
10	Patrol Insp. Brixton	2	3	2	2	9	30,293*
11	Insp. HO Pol Unit	3	0	2	3	8	29,283
12	Supt. Ops. Battersea	2	2	0	0	4	35,261
13	Supt. Ops. Battersea	2	2	0	1	5	36,671
14	Supt. Ops. Command Battersea	2	2	1	2	7	39,492
15	Supt. Ops. Command Battersea	2	2	2	3	9	42,313
16	Supt. Ops. Command Brixton	2	3	2	3	10	43,723
17	Supt. Ops. Command Brixton	2	3	2	3	10	43,723
18	ACC. Ops.	2	2	0	1	5	49,339
19	ACC. Ops.	2	2	0	2	6	51,236
20	ACC. Ops.	2	2	1	2	7	53,134
21	ACC. Ops.	2	2	2	2	8	55,031
22	ACC. Ops.	2	2	2	3	9	56,929

* Note: move for promotion/development - maintain salary at 30,293

Path C "Low Flyer"

Year	Role	Allocation Matrix					Salary
		Role Scope	Circumstances	Experience	Performance	Total	
1 (Probation)	Non-graduate, age 20 no relevant experience, no difficulty in filling post	0	0	0	0	0	10,630
2 (Probation)	Non-graduate, age 20 no relevant experience, no difficulty in filling post	0	0	0	1	1	11,182
3	Patrol in Hampstead	2	1	0	0	3	14,082
4	Patrol in Hampstead	2	1	1	0	4	14,845
5	Patrol in Hampstead	2	1	1	1	5	15,608
6	Gaoler in Brixton	1	3	0	1	5	15,608
7	Gaoler in Brixton	1	3	1	1	6	16,372
8	Patrol in Battersea	2	2	1	2	7	17,135
9	Patrol in Battersea	2	2	2	2	8	17,899
10	Patrol in Battersea	2	2	2	2	8	17,899
11	Patrol in Battersea + tutor constable	3	2	2	2	9	18,662
12	Patrol in Battersea + tutor constable	3	2	2	2	9	19,425
13	Patrol in Battersea + tutor constable	3	2	2	3	10	19,245
14 onwards – further scope can include: ■ increased scope ■ experience rating.							

APPENDIX XVIII

Comparison of proposed career paths and base salaries with current scales

Year	Path A "Average"		Path B "High Flyer"		Path C "Low Flyer"	
	New	Existing	New	Existing	New	Existing
1 (Probation)	10,360	12,555	12,286	15,807	10,630	12,555
2 (Probation)	11,734	13,425	13,390	15,807	11,182	13,425
3	14,082	15,807	14,845	15,807	14,082	15,807
4	14,845	16,179	17,135	16,179	14,845	16,179
5	16,372	16,713	18,662	16,713	15,608	16,713
6	17,899	17,289	20,344*	20,043*	15,608	17,289
7	18,662	17,838	21,909	20,952	16,372	17,838
8	19,425	18,390	23,474	21,690	17,135	18,390
9	20,344*	20,043*	28,273*	22,992*	17,899	18,933
10	21,127	20,952	30,293	23,709	17,899	20,043
11	21,909	21,690	30,293	24,636	18,662	20,952
12	22,692	22,407	35,261*	35,508*	18,662	20,952
13	23,474	22,992	36,671	36,414	19,425[1]	
14	24,257	22,992	39,492	37,414		
15	25,039	22,992	42,313	38,556		
16	25,822	22,992	43,723	38,598		
17	27,263*	22,992*	43,723	38,598		
18	28,273	23,709	49,339*	46,542*		
19	30,293	24,636	51,236	46,542		
20	31,302	25,368	53,134	46,542		
21	32,312	26,103	55,031	47,709		
22	33,322	26,103	56,929	47,709		

* = promotion point

[1] = further increases dependent on role scope and experience

APPENDIX XIX

OUTLINE APPRAISAL FORM

PERFORMANCE PLANNING AND REVIEW FORMS

NAME: RANK: DATE OF BIRTH: HOME ADDRESS/TEL NO: NEXT OF KIN/CONTACT POINT:	
DATE JOINED FORCE: QUALIFICATIONS: EXPERIENCE (INTERNAL): EXPERIENCE (EXTERNAL):	DIVISION/SECTION: ROLE:

PRINCIPAL ACCOUNTABILITIES 199___

Principal Accountabilities (The main enduring tasks associated with the Role)	Standards of Required Performance/Indicators of effective contribution for each accountability	Actual Performance
Example: Patrol Sergeant 1 Partnership, liaison and community safety 2 3 4 5	Example ■ Effective implementation of required crime prevention initiatives. ■ Attendance at local consultative committee meetings. ■ All officers under command fulfil planned activities in support of local events.	

Annual Objectives 199____

Individual Objectives (to be related to the Force Annual Plan)	Critical Success Factors (What are the indicators of an effective contribution in relation to each objective)	Actual Performance
Example: Patrol Inspector: To develop skills and performance of the sergeant team. 1. 2. 3. 4. 5.	Example: ■ Achievement of individual sergeant objectives. ■ Completion and implementation of development plans. ■ Conducting monthly team development meetings.	

COMPETENCIES

Competencies	Required Level	Level Demonstrated	Development needs and action
(List here the non-technical/behavioural competencies (eg. interpersonal) and technical competencies (eg. Investigation) required in the role)	**(Describe here the level of the competency required in the role)**	**(Comment here on the actual level of the competency demonstrated)**	
Example: Non-technical Meetings	**Example:** Organises and chairs meetings effectively and encourages the participation of others		

Overall Summary of Performance

Performance in terms of objectives

(This section would contain a brief narrative summary of overall performance against objectives)

Performance in terms of principal accountabilities

(This section would contain a brief narrative summary of the performance in terms of principal accountabilities)

Overall level of competence

(This section would contain a brief narrative summary of overall competence, based on the competencies form)

Overall assessment of performance

☐ 0 Unsatisfactory ☐ 0 Below satisfactory but improving during learning of role ☐ Satisfactory

☐ 2 Commendable ☐ 3 Outstanding

APPENDIX XIX

SELF-ASSESSMENT FORM

Before your appraisal discussion you may find it helpful to give some thought to what you have achieved and the way you have performed, using the headings below to prompt your thinking.
Performance in terms of objectives (You may wish to think about what you have achieved in terms of your agreed objectives)
Performance in terms of principal accountabilities (This may help you to form a view on the extent to which you met or exceeded the agreed accountabilities for your role)
Your overall match with competency requirements (It may be helpful to focus on those competencies which you believe are the most important and to think about the extent to which you have or need to develop each competency)

Behaviours which reflect the force Mission and Values
Obstacles to performance (If there were any factors which affected your performance in any respect, you may wish to note them here)
Comments on the future (You may wish to use this space to outline your thoughts on any aspect of your role or career direction which you would like to be changed in the future)

DEVELOPMENT NEEDS AND ACTION

AREA OF REVIEW	NATURE OF GAP/ DEVELOPMENT NEEDS	ACTION PROPOSED	RESPONS-IBILITY	RESOURCES/ SUPPORT REQUIRED	TARGET DATE	REVIEW DATE
Objectives						
Principal Accountabilities						
Competencies						
Career Development (Planning for expansion of role and experience)						

COUNTERSIGNING OFFICER'S COMMENTS

(This section would enable the countersigning officer* to comment on the reporting officer's appraisal)

*The countersigning officer must be an officer of at least one rank senior to the reporting officer.

STAFF MEMBER'S COMMENTS

(This section would enable the officer to comment on the perceptions of their performance at the conclusion of the appraisal process)

APPENDIX XX

SUMMARY OF FINDINGS OF THE LEVELS CHECKS (BASIC PAY)

1. Base entry rates under current scale

Non-graduate entrant age 22		
Lowest Police Service entry point (current scale) £	Private Sector Median £	%
15,807	10,630	148.7
Graduate entrant age 22		
Highest police service entry point (current scale) £	Private Sector Median £	%
15,807	13,390	118.1

2. Benchmark Roles

Midpoint of Sergeants' scale		
Police Service (current scale) £	Private Sector Median £	%
21,518	19,200	112.1
Midpoint of Inspectors' scale (existing rank)		
Police Service (current scale) £	Private Sector Median £	%
24,548	26,700	91.9
Midpoint of Inspectors'/Chief Inspectors' scale		
Police Service (current scale) £	Private Sector Median £	%
26,015	26,700	97.4
Midpoint of Superintendents' scale (existing rank)		
Police Service (current scale) £	Private Sector Median £	%
37,053	48,000	77.2
Midpoint of Superintendents'/Chief Superintendents' scale		
Police Service (current scale) £	Private Sector Median £	%
38,787	48,000	80.8
Midpoint of Chief Constables' scales		
Police Service (current scale) £	Private Sector Median £	%
Small 56,895	71,500	79.6
Medium 61,184	90,000	68.0
Large 69,287	105,000	66.0

APPENDIX XXI

GUIDANCE AND SCORING MATRIX FOR USE IN MAKING JUDGEMENTS AS TO THE APPROPRIATE STARTING POINT ON ENTRY

In determining the basic salary for new recruits the aim should be to provide flexibility to meet local needs and take account of recruitment market factors.

The entry scale is:

Constable Entry Scale
10,630
11,182
11,734
12,286
12,838*
13,390

*only graduates and those with degree equivalents may enter at this point and above

Position on the scale should be subject to force judgement and should reflect considerations relating to:

- qualifications of entrants;
- relevant experience;
- difficulty in filling posts.

Entry at the fifth point on the scale (£12,838) should be restricted to graduate entrants and those with degree equivalents (although both may be brought in at a lower point).

At the end of the first year of probation a performance appraisal should be conducted to determine progression in salary. The scale should be the same as used in the major matrix.

A 0 rating would lead to no scale movement.

A 1 rating would lead to an increment of one scale point.

A 2 or 3 rating would lead to an increment of two scale points.

On completion of probation entrants should move into the main system and be allocated to the appropriate scale point through normal application of the matrix.

APPENDIX XXII

COMPARISON BETWEEN PRIVATE SECTOR BASIC AND TOTAL PAY SETTLEMENTS

(Non-manual)

Period	BASIC PAY			TOTAL PAY			DIFFERENCE: TOTAL – BASIC		
	LQ[1]	Median	UQ[2]	LQ	Median	UQ	LQ	Median	UQ
31.3.83-1.2.84	5.0	6.0	7.0	5.0	6.0	7.0	.0	.0	.0
1.4.85-31.1.86	5.5	6.3	7.0	5.5	6.5	7.5	.0	.2	.5
8.6.87-7.6.88	5.0	6.1	7.6	5.3	6.5	8.0	.3	.4	.4
8.6.88-7.6.89	6.3	7.3	8.5	6.5	7.5	8.9	.2	.2	.4
8.2.89-7.2.90	7.0	8.0	9.1	7.2	8.0	9.4	.2	.0	.3
8.6.89-7.6.90	8.0	8.5	10.0	8.0	8.6	10.2	.0	.1	.2
8.11.89-7.11.90	8.0	8.9	10.0	8.0	9.0	10.1	.0	.1	.1
8.2.90-7.2.91	8.0	9.0	10.0	8.0	9.0	10.0	.0	.1	.0
8.6.90-7.6.91	6.5	8.0	9.5	6.5	8.0	9.5	.0	.0	.0
8.2.91-7.2.92	4.5	6.3	7.8	4.5	6.5	8.0	.0	.2	.2
8.6.91-7.6.92	4.0	4.6	6.0	4.0	5.0	6.2	.0	.4	.2

[1]LQ = lower quartile
[2]UQ = upper quartile

APPENDIX XXIII

PAY ADDITIONS DESIGNED TO RECOGNISE LONG HOURS WORKING: AN APPROACH TO ALLOCATING FUNDS

1. Our earnings survey showed that approximately 10% of the existing police pay bill (or £440m) was devoted to pay additions relating to long hours working. These include:

a) overtime;

b) standing allowances in lieu of overtime such as those paid to members of the Royalty and Diplomatic Protection Squad in the MPS;

c) rest and public holiday working payments.

2. We have recommended the following approach to recognising long hours working:

a) an element of long hours working should be recognised through changes to the basic pay scales and in positioning on the basic pay scales;

b) overtime should cease to be payable to inspectors;

c) in the case of PCs and Sergeants "incidental" overtime should cease to be paid, but

d) chief officers should have the option to pay:

i) one-off non-pensionable premia in exceptional circumstances to deal with exceptional events;

ii) premia in respect of attending court to appear as a witness;

e) PCs, Sergeants and Inspectors should be entitled to payments on a (revised) hourly basis in respect of rest and public holiday working;

f) chief officers should be able to offer other discretionary pay additions at some or all levels to cope with particular problems which cannot be met by means of any of the pay flexibilities mentioned above;

g) these payments can be made on a one-off or standing basis but be non-pensionable.

Allocating funds

3. We have assumed in the light of 2 a)-c) that an element of existing expenditure on *overtime* should go to supporting changes to the basic pay scales.

4. The changes in entitlements for inspectors (2 b)) and the ending of "incidental" overtime for PCs and Sergeants (2 c)) should allow up to 60% of the current overtime budget to be switched to funding the basic pay bill. This is the assumption made in our costing exercise.

5. Chief officers will need to make their own assessments regarding the percentage of the overtime budget to be switched to the basic pay bill in their force. This assessment will need to take account of the results of applying transitional arrangements to serving officers (see Chapter 10, paragraphs 10.2-10.5) and actual expenditure on the following elements:

a) overtime paid to inspectors (see 2 b)), and

b) "casual" overtime (see 2 c)).

6. The remaining budget will then need to be divided between the purposes listed at 2 a)-g). One approach to determine premium rates would be:

a) in the light of monitoring, deduct the cost of overtime payments relating to court recall – agree premium rates with the courts;

b) determine numbers of necessary discretionary pay additions (2 f)) and their rate – deduct the total cost;

c) revise budget for rest and public holiday working to take account of changes to entitlements (Chapter 9) deduct.

7. This will leave a pool for distribution as one-off premia for long hours working in exceptional circumstances. Policy decisions may then be made as to premium rates by reference to:

a) the size of this pool;

b) monitoring to establish the pattern of exceptional hours working (e.g. by reference to known annual events);

c) contingency needs.

Points to note

8. As well as the existing overtime budget, chief officers will have available additional funding provided by our recommendations regarding

pay uprating (see Chapter 8). This can be distributed between performance bonuses and premium payments at chief officers' discretion.

9. Pending full implementation of our recommendations expenditure on existing allowances, including overtime and its purposes, will need to be monitored in all forces.

APPENDIX XXIV

HYPOTHETICAL ILLUSTRATION OF BONUS POOL ALLOCATION

Force Details

- Total establishment

- BCU Structure

- Rank Distribution (new ranks)

Rank	Number
Chief Constable	1
ACC/DCC	4
Supt/Chief Supt	48
Insp/Chief Insp	224
Sergeant	447
Constable	2,372

- Payroll £70.0 million

Bonus Pool

Assumption
bonus pool=1/3 of average total private sector increase in pay applied to payroll for previous year

- Increases

Year	%
1	3
2	4
3	5

Bonus availability (approximate)

Year	£
1	700,000
2	952,000
3	1,222,000

Bonus Allocation
Assumptions

- Salary Levels

Rank/Assumption	£
Chief Constable base salary	70,000
ACC average base salary	53,000
Supt average base salary	38,000
Insp top range salary	33,000
Sergeant top range salary	25,822
Constable top range salary	20,952

- Bonuses available

Rank	%
Chief Constable	up to 30
ACC	up to 20
Supt	above midpoint – up to 10

- Individual bonus Inspector to Constable up to 5% for those at top of scale showing consistent high performance in role and circumstances justifying top of scale

- Team bonuses for discretionary distribution

- Bonus eligibility/award

Rank	Year	%
Chief Constable	1 2 3	10 20 20
ACC	1 2 3	average 10 average 12.5 average 12.5
Superintendent (assume 20 above midpoint)	1 2 3	average 2 average 3 average 4

- Inspectors assume 5% (11 officers) justifiable at top of scale qualifying for bonus

- Sergeants assume 4% (18 officers) justifiable at top of scale qualifying for bonus

- Constables assume 4% (95 officers) at top of scale justifiably qualifying for bonus

Bonus Distribution

	Year 1	Year 2	Year 3
Bonus Available	700,000	952,000	1,222,000
Top Roles	43,400	64,572	74,253
Individual Bonus (Inspector-Constable)	140,967	143,785	147,620
Team Bonus	515,633	743,643	1,000,127

Comments

Clearly the team bonus poll will not be effective if used purely for providing every officer with this bonus element. It will be important to use the team bonus pool to reward outstanding team efforts and provide a reasonable amount for each team member.

APPENDIX XXV

ILLUSTRATIVE EXAMPLES OF INITIAL MIGRATION ARRANGEMENTS

The following examples examine how the transition from the current structure may operate.

A. Current Pay Above New Scale Position

- PC Foot/Car Patrol Hampstead
- 15 years' experience in role
- Evaluated as satisfactory performance
- Current base pay £20,952
- Scoring under system:

- Scale point determined by scoring = £16,372

- Actions:

  - look to improve performance/change role to secure improved alignment.
  - no incremental movement.
  - scale movement based on scored scale point rather than actual salary e.g. if scales increased by 5% incumbent receives 5% of £16,372 (£819) and not 5% of £20,952 (£1,048) this generates a saving of £229 to apply to "underpaid" cases.
  - process continues until role/performance changes and/or reduced scale increases align value of job and performance with current salary.

B. Current Pay Below New Scale Position

- PC CID Operations in Brixton
- 2 years' experience in role
- Evaluated as satisfactory performance
- Current base pay £14,082
- Scoring under system:

Key Variables	Points
Scope	3
Circumstances	3
Experience/skills	1 (role requirement point)
Performance	1
Total	8

- Scale point determined by scoring = £17,899

- Actions:

  - move officer to correct point on scale (see Chapter 10 paragraphs 10.5-10.7 set out the following option and the circumstances in which it might be necessary to adopt it).
  - scale movement based on scale point salary rather than actual salary e.g. if scales increased by 5% incumbent receives 5% of £17,899 (£895) rather than 5% of £14,082 (£704). This generates an increase of £191 above overall levels.
  - process continues until gap is closed.
  - in overall review any savings from overpayments in excess of requirements may be applied to achieve faster progression in addressing underpayment gaps.

Alternative Migration Examples

Principles

- overpaid officers (on application of role points matrix) receive scale increases on allocated point rather than current salary.
- underpaid officers receive 50% of underpayment on implementation; scale increases on allocated point and move to full adjusted position at end of year 2.
- Year 1 scale increase 3%; Year 2 scale increase 5%.

Example A – Current Pay Above New Scale Position

- PC Foot/Car Patrol Hampstead; 15 years' experience in role. Above average performance; current salary £20,952

- Allocation Points

Key Variables	Points
Scope	2
Circumstances	1
Experience/skills	1 (personal experience point)
Performance	2
Total	6

- Scale Point £16,372

	Actual Salary £	Scale Salary £	Difference in Actual increase v's original scale number £
■ Implementation	20,952	16,372	–
■ Year 1 Scale movement	491	491	(138)
■ Year 1 Salaries	21,443	16,863	–
■ Year 2 Scale movement	843	843	(229)
■ Year 2 Salaries	22,286	17,706	–

Example B – Current Pay Below New Scale Position

- PC CID Operations in Brixton; 2 years' experience in role; Evaluated as satisfactory performance; current salary £14,082

- Allocation Points

Key Variables	Points
Scope	3
Circumstances	3
Experience/skills	1 (role requirement point)
Performance	1
Total	8

- Scale Point £17,899: move to appropriate scale point, or

- Optional approach:

	Actual Salary £	Scale Salary £	Increased Salary £
■ Implementation	14,082	17,899	15,991
■ Year 1 Scale movement	–	537	537
■ Year 1 Salaries	–	18,436	16,528
■ Year 2 Scale movement	–	922	922
■ Year 2 Addition	–	–	1,908
■ Year 2 Salary	–	19,358	19,358

APPENDIX XXVI

SUMMARY OF RECOMMENDATIONS ON PENSIONS AND POST-RETIREMENT BENEFITS UNDER THE NEW SCHEME

Normal Retirement Age	60
Pensionable Pay	Basic pay
Final Pensionable Pay (FPP)	Pensionable pay averaged over last year
Benefit on Age Retirement Pension	1/60 of FPP per year of actual service
Lump Sum	By commutation: £12 per £1 pa pension
Enhanced Service for Risk Benefits Actual service increased by the smallest of	 (i) actual service to date; (ii) 7 years' reckonable service; (iii) one half of potential service to age 60.
Benefits on Medical Retirement If disabled from performing the ordinary duties of his/her rank Pension Lump sum If partially incapacitated but nonetheless able to perform a susbtantial part of the ordinary duties of his/her rank but cannot be retrained is retired on structural grounds Pension Lump sum	 1/60 of FPP per year of enhanced service; By commutation: £12 per £1 pa pension. 1/60 of FPP per year of actual service to date; By commutation: £12 per £1 pa pension. In respect of termination of or failure to offer a further FTA: 1/12 of FPP up to a maximum of 2½ x FPP.
Benefits on Death in Service Spouse's pension Lump sum	 1/120 of FPP per year of enhanced service 2 times pensionable pay
Benefits on Death in Retirement Spouse's pension Lump sum	 50% of member's pension 5 years' pension less payments to date
Benefits on Voluntary Withdrawal Preserved pension Preserved spouse's pension Transfer value may be taken in lieu	 1/60 of FPP per year of actual service 50% of member's pension
Pensions Increases In deferment In payment	 RPI link under Pensions Increase Act RPI link under Pensions Increase Act
Contribution Rates Member Employer	 7% of pensionable pay Balance of cost
Benefits on leaving after completion of FTA Where FTA expires and the officer concerned does not apply for a further FTA or one is refused Lump Sum FTA is terminated by management on structural grounds Lump sum Pension	 1/12 of FPP per year of actual service up to a maximum of 2½ x FPP (except in case of non-renewal on the grounds of misconduct where preserved pension only payable). As above Preserved pension at age 60 (or in the case of an officer aged 55 or over, immediate payment of accrued pension rights regardless of length of service).

APPENDIX XXVII

DISTRIBUTION OF OFFICERS IN PATROL/OPERATIONAL COMMAND ROLES BETWEEN POINTS 1, 2 AND 3

PC/Sergeant/Inspector – Patrol

Points	Met	RUC	Scot	Non-Met	Prov-Met
1	25	0	40	40	30
2	50	50	50	50	50
3	25	50	10	10	20

Inspector-Chief Superintendent – Operational

Points	Met	RUC	Scot	Non-Met	Prov-Met
1	0	30	30	10	
2	70	70	60	60	80
3	30	30	10	10	10

Inspector-Chief Superintendent – Operational (post restructuring)

Points	Met	RUC	Scot	Non-Met	Prov-Met
1	0	0	10	5	0
1	50	70	70	70	60
2	50	30	20	25	40

(For other roles, a single score was used for each role depending on the most typical circumstance)

Table shows percentage distribution, based on a number of assumptions, of officers in patrol/operational command roles between points 1, 2 and 3 available for policing circumstances under the points allocation matrix.

APPENDIX XXVIII

ILLUSTRATIVE APPLICATION OF ROLE ASSESSMENT MATRIX

Rank/Role	Scope	Circumstance	Exp/Skills	Performance	Total Points
Constable					
Patrol – Probation				1	1
Patrol (a)[1]	2	1	1	1	5
Patrol (b)	2	2	1	1	6
Patrol (c)	2	3	1	1	7
Community Beat	3	1	2	1	7
Support Group/Anti-terrorist	3	2	2	1	8
Specialist Patrol	2	2	2	1	7
Operations Support	2	2	1	1	6
Special Branch	2	2	2	1	7
Crime	2	2	2	1	7
Intelligence	1		1	1	3
Community Liaison/ Crime Prevention	1		1	1	3
Traffic Patrol	2	1	1	1	5
Training	1		1	1	3
Firearms Instructor	3	1	1	1	6
General Support	1		1	1	3
Admin of Justice	1		1	1	3
Gaoler/custody	1	1	1	1	4
Security	1	1	1	1	4
Sergeant					
Patrol (a)	2	1	1	1	5
Patrol (b)	2	2	1	1	6
Patrol (c)	2	3	1	1	7
Community Beat	3	1	2	1	7
Support Group/Anti-terrorist	3	2	2	1	8
Specialist Patrol	2	2	2	1	7
Operations Support	2	2	1	1	6
Special Branch	2	2	2	1	7
Crime	2	2	2	1	7
Intelligence	1		1	1	3
Community Liaison/ Crime Prevention	1		1	1	3
Traffic Patrol	2	1	1	1	5
Traffic Management	2		1	1	4
Training	1		1	1	3
Firearms Instructor	1		1	1	3
General Support	1		1	1	3
Admin of Justice	1		1	1	3
Gaoler/Custody	1	1	1	1	4
Security	1	1	1	1	4
Maint of Standards	2		1	1	4

[1]Patrol (a), (b), (c) denotes different policing circumstances.

APPENDIX XXVIII

Rank/Role	Scope	Circumstance	Exp/Skills	Performance	Total Points
Inspector					
Patrol (a)	2	1	1	1	5
Patrol (b)	2	2	1	1	6
Patrol (c)	2	3	1	1	7
Support Group/Anti terrorist	3	2	2	1	8
Specialist Patrol	3	2	1	1	7
Operations Support	2	2	1	1	6
Operational Command	2	1	2	1	6
Operational Command	2	2	2	1	7
Operational Command	2	3	2	1	8
Special Branch	2	2	2	1	7
Crime	2	2	2	1	7
Crime Prevention	1		1	1	3
Traffic Patrol	2	1	1	1	5
Traffic Management	2		1	1	4
Training	1		1	1	3
Firearms Instructor	1		1	1	3
General Support	1		1	1	3
Maint of Standards	1		1	1	3
Admin of Justice	1		1	1	3
Gaoler/Custody	1	1	1	1	4
Security	1	1	1	1	4
Superintendent					
Operational Command	2	1	1	1	5
Operational Command	2	2	1	1	6
Operational Command	2	3	2	1	8
Crime	2	2	2	1	7
Crime Prevention	1		1	1	3
Training	1		1	1	3
General Support	1		1	1	3
Maint of Standards	1		2	1	4

APPENDIX XXIX

ALTERNATIVES TO THE EXISTING POLICE PENSION SCHEME

Approach to Assessment

1. It has in the past been the practice of the Police Negotiating Board to seek a value of existing pension arrangements which can be used in negotiations over remuneration between staff and employers' interests. This assessment has been expressed in the form of a single contribution rate applied to pensionable pay which would be payable throughout the working lifetime of a typical new recruit to the police service in order to secure the pension benefits promised. In looking at the costs of the alternative pension scheme for new recruits to the police service recommended by the Inquiry team, the Government Actuary's Department (GAD) adopted the same methodology. The determination of contribution rates in this manner is known as the entry age method.

2. Under the present scheme police officers pay 11% of pensionable pay towards the cost of their pension benefits. It is proposed that they should pay 7% of pensionable payments towards the cost of the benefits provided under the alternative arrangements. However, only the refunds payable to those who leave service within the first two years of their careers as police officers are dependent upon the rate of employee contribution. For costings purposes, contribution rates were accordingly calculated so as to represent the total cost of providing the benefits whether that cost was to be met by the employer or employee. Given the very limited relationship between the total contribution cost and the rate of employee contribution alternative divisions of the total cost between that element to be borne by the employer and that to be borne by the employee were derived by deducting the desired employee's contribution rate from the total contribution rates proposed.

3. Where costs are identified for police officers who are presently in service, these are generally expressed as that level percentage contribution of pensionable pay required to be paid throughout the remaining part of working lifetime in order to secure the pension benefits which will accrue during that period of their service. Contribution rates jointly payable by employer and employee were assessed by GAD using this method, which is known as the "attained age" method. Here also the restricted element of benefit directly related to the level of employees' contributions allows the cost to the employer of setting alternative rates of employee contribution to be assessed directly from the joint contribution rates proposed.

4. The cost of providing injury benefits on top of pension scheme benefits was not costed since there is no recommendation to change the value of the injury benefit system although some modifications may be necessary to fit with any new structure adopted in other areas.

5. The Report also considered the pension arrangements and associated costs for police officers broadly independent of any change in the structure of the police service. Allowance was made for the introduction of fixed term appointments and for the operation of the pension arrangement where these impinge on the operation of employment and exit from the service. Wider consideration of the implications for pension costs of structural change was considered as part of the overall costings exercise.

Assumptions: Present Scheme

6. The financial implications of changing pension schemes can extend over a considerable period. In order to make some assessment of the financial implications, it was therefore necessary to make a set of assumptions as to the future progress of a variety of factors which will affect the emerging pension costs. These factors can broadly be broken down into two categories: financial assumptions and demographic assumptions.

7. Benefits to be provided under both the present and the proposed alternative pension arrangements are determined at the time the police officer leaves service on the basis of his or her salary and accrued pensionable service at that date. Once benefits are in payment, or where the officer has left the scheme with some deferred benefits (while these remain in deferment), they are increased in line with changes in the retail price index in accordance with the provisions of the Pensions (Increase) Act. The rate of future salary increases and the rate of change of prices once benefits come into payment are therefore of importance in determining the value of the pension benefits to be provided from a pension scheme. Despite the fact that the Police Pension Scheme is not secured through investments in real assets, allowance had to be made for the considerable timing differences between the accrual of the liability and the points at which the benefits are to be paid. The present value of money to be provided many years into the future is much less than that of the same sum due for payment now. The sums which would otherwise need to be set aside to meet the liability can instead be used for other purposes or to reduce the government's borrowing or taxation requirements. An assumption therefore needed to be made for the gross investment return achievable over the long term and which can be used to discount the future liabilities.

8. In practice, it is the rates of return which could be achieved net of general changes in the level of salaries and net of changes in the retail price index which are important in the calculations. It is also the case that over the long term these quantities have exhibited relative stability. In the GAD exercise where the relative values being placed on two pension schemes were of importance, rather than the absolute value, the assumptions made for these investment variables were not considered critical. Nevertheless values were chosen which were considered to be appropriate for a pension scheme investing to secure benefits of a similar type to those provided

under the police scheme in present circumstances. The assumptions used were:

Gross investment return	9% per annum
Investment return net of general salary increases	1.5% per annum
Investment return net of changes in retail prices	3% per annum

9. Other assumptions needed to be made for a variety of factors which can loosely be described as demographic rather than of a financial nature. These included the probabilities of police officers leaving service through each different cause which gives rise to benefit, for example death, medical retirement, age retirement and voluntary resignation. Assumptions were also needed for the future progression of salary through promotion and seniority, the mortality of former members and their spouses once those individuals have left service, and the proportion of police officers and former police officers who were married at the time of their death and therefore give rise to the payment of a widow(er)s benefit. When looking at the costs arising in respect of typical new entrants to police service, it was also necessary to examine the ages at which entry takes place, since there is variation in the cost of providing pension benefits with age at entry. The range of entry ages therefore needed to be examined so that selective ages could be drawn to represent the expected pattern of retirement and which would typify the likely cost of the future pension arrangements.

10. In looking at the patterns of recruitment to the police service and the probabilities of leaving service through different causes, GAD were able to draw on the data collected by the Police Research Group (PRG) at the Home Office. This collected information on a sample of recruitments to the police service during calendar year 1990 and data on exits from service during 1991. This information enabled GAD to update the assumptions used for the assessments of pension costs for the existing scheme in earlier work for the Police Negotiating Board.

11. The average age of recruitment is around 25 for males and 24 for females. However, recruitment for both sexes covers a wide range of ages, but with the majority falling between 19 and 30. For the purposes of this exercise, separate assessments have been shown for entry at each of the ages 19, 25 and 30, together with a weighted value across all entry ages.

12. The proportion of new recruits who are women has continued to increase over recent years. An equal opportunities policy has been in force for some years which may be supposed to have been reflected in recruitment patterns in recent years. Nevertheless, there may be scope for further change in the proportion of recruits who are women, but for the

purposes of the costings exercise it was assumed that 20% of new entrants would be women. A summary of the main assumptions for the present scheme is set out below.

Rate of progression of Pensionable Earnings with Duration of Service

Length of Service	Males	Females
2	100	100
5	109	109
10	122	121
15	136	131
20	145	151
25	153	155
30	160	156
35	170	156

Assumptions for mortality of pensioners and their spouses have been made in line with those adopted for other groups of public service employees. For example, the expectations of life of a policeman retiring at ages 50 and 60 are taken to be 28.3 years and 19.8 years respectively.

13. The introduction of fixed term appointments (FTAs) may mean that some medical retirements are replaced by FTA terminations where FTAs expire shortly before a medical retirement would have taken place. The cash payment on FTA completion and enhanced benefit provision where termination occurs at the employer's request, together match the benefits provided to those who would have retired on medical grounds but who would have been fit to undertake non-police activities. Chief officers will generally be unwilling to grant new FTAs to those whose health is poor. It was assumed for these costings that the timing difference arising from the substitution of contractual termination for medical retirement would have negligible impact.

14. Under the present scheme the incidence of withdrawal is relatively low but officers are able to retire from age 50 onwards on completion of 25 years' service, or from any age on completion of 30 years' service, and in all cases (apart from some senior officers) from age 55. Under the new scheme normal retirements will take place only from age 60, although an immediate payment of benefit will be available for older individuals when a further FTA is not offered. This will be a matter for management discretion and therefore was not susceptible to long-term statistical assessment. The costs of the proposed schemes will depend upon the degree to which this discretion is exercised and therefore the extent to which those presently voluntarily withdrawing or retiring at ages from 50 onwards leave the service through the operation of this management discretion.

15. In order to help the Inquiry assess the significance of this component for total scheme costs, illustrative figures were prepared on a variety of assumptions. When there are no FTA terminations at management request, it was assumed that all those presently retiring would continue in service until the new retirement age with those leaving service voluntarily taking the revised withdrawal benefits. At the other extreme, all those presently retiring and all those withdrawing voluntarily from service were assumed not to be offered further FTAs coincident with their present pattern of leaving service. Two intermediate scenarios were also illustrated with one-third and two-thirds respectively of retirements and withdrawals being denied further FTAs.

16. Fixed term appointments will still allow officers to resign at any period during the FTA, subject to a notice period, or not seek a further FTA when it has expired. The existence of the cash payment on completion of contract will however induce most individuals to remain in service until the end of those periods of contract. In assessing the cost of the cash payments it was assumed that all voluntary withdrawals would remain in service until the end of their FTA. The existence of a FTA system may have some impact upon the incidence of withdrawal relative to the total service completed. For the purpose of the costings prepared for the Inquiry it was assumed that voluntary resignations would occur at the end of a FTA period and therefore slightly earlier or later than under the existing scheme. The overall distribution of payments was assumed to remain unchanged from that applying had there been no FTA system.

17. It may be desirable to change the overall structure of the police service in future. In order to investigate this point GAD were also asked to look at the implications of changing the incidence of scheme wastage by 5% and 10% on top of that presently experienced. Any increase in wastage rates accommodating structural changes must necessarily be as a result of terminations of appointments at management request. In looking at these variations, GAD therefore applied these increases in loss rates to the rates of exits from decisions by management not to offer a further fixed term.

18. The reduced opportunity to obtain an immediate pension before age 60 under the new schemes was thought capable of resulting in some change in the level and pattern of voluntary resignation, particularly at older ages. Assessing the extent of such changes was inevitably fairly speculative, and for the purpose of the GAD report the possibility of any change in voluntary resignation from this cause was discounted. To the extent that such changes are merely bringing forward FTA terminations which would have occurred later, the financial implications are likely to be limited.

19. When looking at a pension scheme where benefits are based upon salary at exit, it is necessary to allow for the extent of promotion and incremental salary increases over and above general pay awards. A future change in the career structure of the police service would have an impact

on the pattern of progression in salaries from those causes. In preparing these costings GAD assumed that the present average pay progression would remain unchanged.

20. Other demographic assumptions, for example the mortality experienced by those in receipt of pensions, were derived from experience gained by the Government Actuary's Department of the Police Pension Scheme over a number of years. These assumptions correspond closely to those used for similar groups in the public service and have been assumed to be unaffected by any change in the provisions of police pensions.

APPENDIX XXX

SUMMARY OF COMBINED EMPLOYER AND EMPLOYEE CONTRIBUTION RATES REQUIRED TO MEET COST OF BENEFITS TO BE PROVIDED UNDER PRESENT POLICE PENSION SCHEME AND PROPOSED ALTERNATIVE SCHEME

Value of pension arrangements expressed as a level percentage of pensionable pay payable throughout the service of a new entrant to the scheme by employer and employee together

	Age at entry to scheme			Weighted Average
	19	25	30	
Present	35.7	36.0	35.0	35.4

Value of pension arrangements expressed as a level percentage of pensionable pay payable throughout the service of a new entrant to the scheme by employer and employee together

Proposed scheme

All individuals are assumed to commute pension to produce lump sums to the maximum extent pensionable.

Age at entry to scheme				Weighted Average
	19	25	30	
1. Present wastage rates Proportion of age retirements and voluntary withdrawals who are treated as severance on structural grounds				
0%	27.4(4.2)	30.3(4.8)	32.1(5.5)	30.0(4.9)
33%	31.4(5.4)	31.8(5.1)	32.8(5.6)	31.9(5.3)
67%	32.6(5.9)	32.9(5.3)	33.5(5.6)	32.9(5.6)
100%	33.2(6.2)	33.7(5.5)	34.1(5.6)	33.6(5.8)
2. 5% increase on present wastage rates				
0%	27.4(4.3)	30.3(4.8)	32.1(5.5)	30.0(4.9)
33%	31.4(5.5)	31.8(5.1)	32.8(5.6)	31.9(5.4)
67%	32.6(6.0)	32.9(5.4)	33.5(5.6)	32.9(5.6)
100%	33.2(6.3)	33.7(5.6)	34.2(5.7)	33.6(5.8)
3. 10% increase on present wastage				
0%	27.4(4.3)	30.3(4.3)	32.0(5.5)	30.0(4.9)
33%	31.4(5.5)	31.4(5.5)	32.8(5.6)	31.9(5.4)
67%	32.5(6.0)	32.9(5.4)	33.5(5.6)	32.9(5.7)
100%	33.2(6.3)	33.7(5.6)	34.2(5.7)	33.6(5.8)

Note: In all cases the costs shown include the cash sums available on termination of contract. The value of these cash sums is shown in brackets throughout the table.

APPENDIX XXXI

EXTRACT FROM EDMUND-DAVIES REPORT

Independent Secretariat

93. The notion of an independent secretariat is closely linked with that of an independent chairmanship. It was favoured by all the staff associations, including the Police Federations. The Home Departments and the local authority Associations did not oppose it, neither did they advocate it, as they did not think there was a great deal wrong with the existing system.

94. From the written and oral evidence of the staff associations, it became clear that there was strong feeling about the role of the Official Side secretariat, which is drawn from the Local Authorities Conditions of Service Advisory Board (LACSAB). The Staff Side secretariat is provided by the individual staff associations, and the usual position has been as follows:

Staff Side Secretary to the Police Council and to Committees C, D and E –	Secretary of the Joint Central Committee of the Police Federation
Staff Side Secretary to Committee A –	Secretary of the Association of Chief Police Officers of England and Wales
Staff Side Secretary to Committee B –	Secretary of the Superintendents' Association of England and Wales

Under the existing arrangements the role of the joint secretaries is an important one, since it is they who undertake the negotiation in joint meetings and who meet together informally at other times in order to clear the ground between the two Sides.

95. The principal charge levelled (by the staff associations) against the Official Side secretariat was that LACSAB's responsibilities for negotiation with various groups of local government and allied workers unduly influenced their approach to police matters. The staff associations had formed (and they conveyed) the firm impression that LACSAB, and through them the Official Side, were oppressed by the possible repercussions of any settlement with the police on other bodies of workers for whom they are also responsible. This prevented them, the argument went, from approaching the negotiating table free from outside influences and aiming solely at achieving an agreement likely to operate in the best interests of the police service.

96. It is important to point out that we formed the impression that there was some imbalance of expertise and experience between the Official Side

secretariat and the various Staff Side secretaries, for this may have contributed to the dissatisfaction which evidently exists at the present time. LACSAB is a professional organisation of highly trained and experienced people whose time is spent entirely on researching for, and undertaking negotiations with, a wide range of workers. The various Staff Side secretaries, on the other hand, have a wide variety of calls on their time, quite apart from Police Council work. And research facilities on the Staff Side are considerably inferior to those existing on the Official Side.

97. We have not considered it necessary to arrive at firm conclusions regarding the validity of the various criticisms made of LACSAB. While appreciating that the Staff Side grievances are genuinely felt and unlikely to be removed, we nevertheless feel bound to reiterate our view that the main cause of difficulty in the Police Council over the past few years has been created by the existence of successive pay policies and the constraints thereby imposed have been outside the control of the Official Side of the Police Council.

98. But, having said that, we have no doubt that the strength of feeling of the staff associations makes some changes highly desirable. A negotiating body cannot function effectively without a reasonable degree of mutual confidence, and at present that is sadly lacking. We also accept that the greater resources of the Official Side secretariat have made the Staff Side feel at a disadvantage. Accordingly we recommend the establishment of an independent secretariat to provide a dual service to both Sides of the negotiating body. *(Recommendation 20)*

99. We see the independent secretariat as the cornerstone of the new negotiating body. We propose that they should be responsible for the administrative arrangements for meetings, for taking the minutes and most important of all, for researching and assessing data on pay, to be supplied to both Sides of the Council before negotiation. They would also be available to provide any other assistance required by either Side of the negotiating body.

100. We have also considered how the proposed new secretariat should be staffed. A secretariat selected by open recruitment would seem to us to have two disadvantages. First, the career structure would be extremely limited, so that good quality people would probably not be attracted. Secondly, as there would be no obvious progression, any staff might well become stale and any unsuitable people appointed might prove difficult to remove.

101. Accordingly we think it would be appropriate for the staff of the secretariat to be drawn from central Government, and we recommend accordingly *(Recommendation 21)*. The most suitable bodies are the Home Departments, who can provide staff familiar with police affairs, and the Office of Manpower Economics who service the various review bodies.

The latter is not a separate government department: it is an independent non-statutory body appointed under the general powers of the Secretary of State for Employment and financed by his department. A secretariat provided by the Home Departments might be open to criticism of too close association with the Official Side of the Council, but if the secretariat were to be kept quite separate from the Departmental team taking part in the negotiations their independence would be assured and preserved. We understand a system of this kind operates quite successfully in England and Wales for the Burnham Committee. Either the Home Departments or the Office of Manpower Economics should be able to provide a continuous supply of suitable people who could spend a reasonable time in the job and then move on in due course. We therefore make no firm recommendation as to which should provide the independent secretariat. No doubt Ministers will come to a conclusion on the matter after consideration of the relevant factors involved.

102. The Superintendents' Associations have proposed that the independent secretariat should service the Police Advisory Boards as well as the negotiating body. The present secretaries of the Boards are Home Department officials, since the Secretaries of State are themselves the Chairmen. We understand that as all the matters discussed are of the traditionally non-negotiable kind (discipline, complaints, recruitment standards, etc), the follow-up action has invariably been through Home Department channels rather than through the Police Council. In these circumstances, it is hard to see what advantage would accrue if the secretariat for the negotiating body undertook this additional task. Even if the independent secretariat were to be provided by the Home Departments, the case for combining the jobs remains unconvincing, because, while negotiable matters form a fairly tight-knit group of subjects in which the secretariat would need to acquire expertise, the range of Police Advisory Board matters is much more diverse. The task of the secretaries of the Boards is, we understand, largely confined to commissioning papers from a range of experts and arranging for them to give advice at meetings of the Board. Accordingly we see no reason to disturb the existing secretarial arrangements for the Police Advisory Boards, and we recommend accordingly. *(Recommendation 22)*

103. We consider that, in addition to the independent secretariat, each Side will continue to need its own secretary to prepare its case, to speak at joint meetings and to conduct the actual negotiations. The choice and appointment of an Official Side and a Staff Side secretary should be a matter for the Side concerned. We recommend accordingly. *(Recommendation 23)*

APPENDIX XXXII

EXTRACT FROM EDMUND-DAVIES REPORT

Independent Chairman

86. The Association of Chief Police Officers and the Police Superintendents' Association proposed in their written and oral evidence that the existing system of the chairmanship alternating between the two Sides of the negotiating body on an annual basis should be replaced by the appointment of an independent chairman. The Home Departments and the local authority Associations did not dissent from this, though not advocating it. The Police Federations favoured direct negotiation with the Home Departments, in which event there would be no role for an independent chairman.

87. We have examined this issue closely. Before the establishment of the statutory Police Council for Great Britain in 1964, a similar non-statutory body undertook under an independent chairman much the same functions as its predecessor for eleven years. The arrangement appears to have worked. The personality and attitudes of the chairman do, of course, have a greater impact on the conduct of affairs under this system than where there are alternating chairmen. The Royal Commission on the Police (which reported in 1962) recommended that the independent chairman should be replaced by a senior Home Office official, in order to strengthen the authority of the Government in regard to police pay and conditions of service. This recommendation was not enthusiastically received and, instead, there was general agreement on the introduction of the traditional Whitley Council system of alternating chairmen, which had been seen to work satisfactorily in other fields.

88. We understand that this arrangement has not given rise to any serious problems and has worked well enough over the years. However, from the evidence submitted by the staff associations, it is clear to us that in recent years friction has arisen between the two Sides of the Police Council for the United Kingdom and the incidence of disagreement has increased. We have not thought it necessary to express any final view on the reasons for this development, though we think that it is due more to the restraints and frustrations of successive pay policies than to basic faults in the negotiating machinery. However, we accept that some changes are desirable, both to improve the machinery itself and to introduce a new atmosphere into the negotiating process.

89. We ultimately concluded that a return to the independent chairman system would not be of advantage. We are aware of other collective bargaining systems which have broken away from the traditional mould by appointing an independent chairman, perhaps most notably the Burnham system for settling teachers' pay. We understand that these operate successfully, although we reiterate that the personality of the chairman can prove all-important in such systems. Besides providing continuity, an independent chairman would supply a genuinely neutral voice in the

to-and-fro of negotiation and could help very considerably in bringing the two Sides to agreement. We envisage that he would preside at joint meetings of the full Police Council and of the more important Committees.

90. Because of the number of Committees it would be necessary to appoint one or more deputy chairmen to preside over some of the committees and to act when the chairman himself was absent.

91. On the whole, we do not consider that the chairman should be a Home Office official. Our reasons are much the same as those which led to the rejection of the Royal Commission's recommendation of such an arrangement, namely that it would be regarded as giving the Home Departments too much influence and as increasing the emphasis on the central Government role in police affairs. We therefore recommend the appointment of an independent chairman of the new negotiating body with one or more independent deputy chairmen. *(Recommendation 18)*

92. We have considered the matter of who should make these appointments. We were unable to accept the suggestion that it should be the Home Secretary, who is already represented on the negotiating machinery. We also rejected the proposal that they should be made by the Lord Chief Justice, since those appointed would not necessarily be drawn from the legal profession. In these circumstances we came to the conclusion that the most appropriate person to appoint the chairman and his deputies would be the Prime Minister himself. We recommend accordingly. *(Recommendation 19)*

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