



Performance audit report

Response of the  
New Zealand  
Police to the  
Commission of  
Inquiry into Police  
Conduct: First  
monitoring report





Office of the Auditor-General  
PO Box 3928, Wellington 6140

Telephone: (04) 917 1500  
Facsimile: (04) 917 1549

Email: [reports@oag.govt.nz](mailto:reports@oag.govt.nz)  
[www.oag.govt.nz](http://www.oag.govt.nz)

Photo credit to New Zealand Police.

# Response of the New Zealand Police to the Commission of Inquiry into Police Conduct: First monitoring report

This is an independent assurance report about a performance audit carried out under section 16 of the Public Audit Act 2001.

June 2009

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## Auditor-General's overview

In 2007, the Commission of Inquiry into Police Conduct (the Commission) released its report. The report criticised the historical conduct of some police officers and their associates. The conduct included inappropriate sexual activity and a culture of scepticism in dealing with complaints about sexual assault.

The Commission's findings included 60 recommendations. Most were for the New Zealand Police (the Police), but some were for the Police Complaints Authority and the State Services Commission.

As recommended by the Commission, the Government invited my Office to monitor, for 10 years, the Police's response to the Commission's recommendations. This is my Office's first monitoring report. We anticipate publishing at least three more reports in the next 10 years.

This report describes the direction, management, and monitoring of the work programme put in place by the Police to respond to the Commission's findings. It does not look in detail at the progress the Police have made in implementing each of the Commission's recommendations. That will be the focus of my Office's next monitoring report, which my staff will complete within 12 months.

### Overall response to the Commission's findings

Overall, the Police have responded in a committed manner to the Commission's findings. The Police's work programme for responding has been comprehensive in terms of commitment of senior staff time and programme management. The response has focused on preparing for, and then working with, the new Policing Act 2008 (which addresses some of the matters raised by the Commission).

There are several matters that the Police need to give further attention to if progress is to be maintained. The Police have been, and intend to continue, providing training courses about the Code of Conduct, leadership, ethical policing, and investigating adult sexual assaults. During the course of our performance audit, the proportion of staff who have attended some of this training increased significantly. I encourage the Police to continue to increase the training rates. Performance appraisal completion rates need to improve too, and be closer to 100%.

The Police also need to review and amend how they report their progress with implementing the Commission's recommendations in their internal and external reporting documents. The reporting documents need to appropriately reflect the importance of the Commission's findings to changes within the Police.

Two surveys of the Police have been conducted so far, in 2007 and 2008, as the primary means, supplemented by other data, to assess organisational health. The

Police and State Services Commission have told us that the next survey of Police is planned for 2010. They are planning to repeat the survey about every 12 months after that, up to and including 2016/17.

I encourage the Police and the State Services Commission to decide on a survey tool that is appropriate and cost-effective, for the purpose of meeting the requirements of the Commission's recommendation about this. I do not have a view at this time on the appropriateness or cost-effectiveness of the survey tool used to date.

At the time of our performance audit, the Police were designing the next phase of their work programme for responding to the Commission's findings. The Police call this an "implementation" phase. It is important that the Police progress the implementation phase as quickly as they can, given the elapsed time since the Commission's report.

The Police will need to ensure that the implementation phase fully involves staff throughout all levels of the Police, and especially at the middle management level. This management level includes Senior Sergeants and Sergeants, who have an important influence on Police culture – particularly through their supervision of staff working directly with the public. The Police said that that the biggest challenge to fully implementing changes will be achieving "buy-in" from staff outside of Police National Headquarters.

### Focus of my recommendations

In my view, the Police should include more analysis and evaluative information in their reports to Ministers and the public about progress with implementing the Commission's recommendations. They should also monitor changes in the Police's service levels and culture of the types signalled in the Commission's recommendations. This includes making information on these changes publicly available. I have made two recommendations about this.

I consider complaints against the Police to be a useful indicator of change within the Police, although the information does need to be interpreted carefully. The project the Police have under way to improve how they record and analyse complaints is important, and needs to be managed carefully.

Making sustained changes within the Police to implement the Commission's recommendations is not easy. The Police organisation is large, complex, and hierarchical. Achieving effective change within this type of organisation takes time and tenacity.

The Commission's report was released in April 2007. It would be unreasonable to expect the Police to have fully achieved all of the changes envisaged by the Commission in a little more than two years. The Police's commitment to making these changes is clear, but there is still much work to do.

I thank the Police for their assistance, co-operation, and openness when working with my staff on this first monitoring report.

A handwritten signature in black ink, consisting of a horizontal line that curves upwards and loops back to the left, ending in a small flourish.

K B Brady  
Controller and Auditor-General

24 June 2009



## Our recommendations

We recommend that the New Zealand Police:

1. include analysis and evaluative information that summarises and assesses the adequacy of progress in responding to the findings of the Commission of Inquiry into Police Conduct when reporting to Ministers and to the public; and
2. monitor changes in service levels and culture, of the types signalled in the recommendations in the report of the Commission of Inquiry into Police Conduct, and report this information publicly.



# Part 1

## Introduction

- 1.1 In this Part, we discuss:
- the Commission of Inquiry into Police Conduct (the Commission);
  - our monitoring work;
  - how we carried out this audit; and
  - the structure, scale, and work of the New Zealand Police (the Police).

### Commission of Inquiry into Police Conduct

- 1.2 In 2004, the Government set up the Commission to carry out a full and independent investigation into the way in which the Police had dealt with allegations of sexual assault by members and associates of the Police. This followed the publication of allegations suggesting that police officers might have deliberately undermined or mishandled investigations into complaints of sexual assault that had been made against other officers.
- 1.3 The Commission's report, released in April 2007, concluded that there were systemic flaws requiring attention from both police management and government legislators. The report's findings included 60 recommendations, 48 of which related directly to the Police. Appendix 1 reproduces the recommendations, along with a summary of the Commission's findings.
- 1.4 The Commissioner stated that, in her view:
- Independent monitoring of and reporting on police progress in making these changes will ... be critical to ensure that the momentum established through the Commission is sustained.*<sup>1</sup>
- 1.5 The Commission recommended that the Government invite the Controller and Auditor-General to monitor the Police's implementation of all of the Commission's recommendations, including the Police's projects and initiatives of the type described in the Commission's recommendation 58. This monitoring role was to last for 10 years and include regular reporting to Parliament.
- 1.6 In September 2007, the then Government invited the Auditor-General to carry out the monitoring role. The Auditor-General accepted the Government's invitation.<sup>2</sup>

1 "Commission of Inquiry into Police Conduct", media statement by Dame Margaret Bazley, 3 April 2007.

2 The State Services Commission was also given a monitoring role for some of the recommendations in the Commission of Inquiry's report. The specific recommendations are R37 (relating to performance management, discipline, and best practice in the public sector), R51 (relating to an organisational health audit of the Police), and R59 (relating to implementing and monitoring projects and best practice in the public sector). The State Services Commission's first report was published in November 2007. The report concluded that, while there were many positive aspects of change within the Police, it was too early to tell if the changes would be effective and sustainable.

## Our monitoring work

- 1.7 This report is the first in our 10-year monitoring programme. Figure 1 outlines the other work that we envisage as part of the monitoring programme. Within 12 months of this report we will produce a second report assessing the specific progress the Police have made in implementing each of the Commission's recommendations.<sup>3</sup>
- 1.8 We may supplement the anticipated reports described in Figure 1 with other work. If the findings of our later reports show that additional work is necessary, we will select from the range of audit and assurance tools available to us, to ensure that we use methods appropriate to the issues being examined.

**Figure 1**

### Plan for monitoring the New Zealand Police's response to the Commission's recommendations

	Main focus	Additional focus	Completed by
Report 1	What is the Police's work programme?	Is it an effective work programme?	30 June 2009
Report 2	Have the Police effectively implemented the projects and initiatives in the work programme?	Have there been changes to the Police's work programme, and is the amended work programme effective?	30 June 2010
Report 3	What sustainable improvements in policing for the New Zealand public have resulted from implementation of the work programme?	Have there been changes to the Police's work programme, and is the amended work programme effective?  Have the Police continued to effectively implement the projects and initiatives in the work programme?	30 June 2012
Report 4	An overview of how the Police's work programme has been implemented and the results it has produced.	Consideration of whether any further work is required.	31 March 2017

<sup>3</sup> It is important to note that approval of the specific elements of the 10-year programme depends on those elements being included in our Office's work plan for each year. The Auditor-General finalises the work plan for each year after consulting Parliament on the work plan's contents.

## How we carried out this audit

- 1.9 We carried out a performance audit to assess whether the Police have prepared an effective work programme for responding to the Commission's recommendations and to describe that programme.
- 1.10 Before starting our performance audit work, we spent time becoming familiar with the work performed by the Police. We observed Police work in three policing Areas<sup>4</sup> and talked with a range of staff in those Areas. We provide more information in Appendix 2 on the ranks and functional responsibilities of police staff we spoke with as part of our audit fieldwork.
- 1.11 To assess the effectiveness of the Police's work programme, we conducted 44 interviews with police staff located in the Auckland region, in the Eastern District, and at Police National Headquarters in Wellington. We chose these locations because together they covered a selection of rural, provincial, urban, and metropolitan policing.
- 1.12 We also spoke with the New Zealand Police Association, the State Services Commission (SSC), and the Independent Police Conduct Authority.
- 1.13 We reviewed and analysed a range of Police documents, and we requested a wide range of statistical information from the Police. We also observed the Police's electronic system for recording progress with the responses to the Commission's recommendations.
- 1.14 The wide range of statistical information we requested included:
- complaints against Police;
  - demographics of Police staff;
  - expenditure in Police bars;
  - performance management and disciplinary information;
  - satisfaction surveys; and
  - training done.
- 1.15 Much of this information has been used to inform this report. We might use some of it as a baseline to assess, later in our monitoring work, the extent to which some of this information has changed.

4 The Police divide the country into 12 Districts, and each District is further divided into a number of Areas.

### Our audit expectations

- 1.16 Potential strategies for influencing changes in the Police include recruitment (of people aligned with desired changes), rules (to encourage wanted behaviours), and community involvement (to increase external scrutiny and potential challenge of unwanted behaviours).<sup>5</sup> These types of strategies need to be supported by appropriate leadership, including professional development, communication, and performance management systems.
- 1.17 We expected the Police to draw on all of these types of strategies and supporting systems to make organisational changes in line with the Commission's findings.
- 1.18 We expected the Police's response to the Commission's findings to involve significant organisational changes, building on some of the ongoing improvement work the Police were doing at the time of the Commission's inquiry. This ongoing improvement work was documented in the Commission's report. It is listed in Appendix 3.
- 1.19 As part of preparing an effective work programme, we expected the Police to have a view of what the organisation will look like in the future and what is required to align the organisation with this future. Part 2 sets out our findings on the direction of the Police's work programme.
- 1.20 We also expected the Police to address overlaps between projects, identify interdependencies, assign priorities, and make resources available to do the work. Part 3 sets out our findings on the Police's management of the work programme.
- 1.21 We expected the Police to be able to track progress in implementing the work programme, and any improvements resulting from it, through establishing appropriate monitoring mechanisms. Part 4 sets out our findings on the Police's monitoring of the work programme.

### What we did not audit

- 1.22 We did not audit:
- the responsibilities of the Commissioner of Police set out in section 16(2) of the Policing Act 2008, in which the Commissioner must act independently;
  - the competence or performance of individual police officers or other staff;
  - the Police's responses to individual complaints about police conduct;
  - the effectiveness of specific projects and initiatives in the Police's work programme, because we expect this to be the subject of one of our later monitoring reports; and

<sup>5</sup> Chan, Janet B L, (1997), *Changing Police Culture: Policing in a Multicultural Society*, Cambridge University Press, Cambridge.

- the sustainable improvements and outcomes resulting from the Police’s work programme, because we expect these too to be the subject of one of our later monitoring reports.

## About the New Zealand Police

- 1.23 The New Zealand Police is a large organisation, with about 11,500 full-time equivalent staff.<sup>6</sup> They provide services 24 hours a day, seven days a week, for the entire country through 12 Districts and through specialised units. Appendix 4 lists the Districts and units, with the total number of full-time equivalent staff in each.
- 1.24 The Police have direct contact with the public in a variety of ways. For example, in an average year they:
- receive about 660,000 emergency (111) calls;
  - receive about 1,088,000 non-emergency calls;
  - respond to about 444,000 incidents;
  - investigate about 420,000 crimes; and
  - prosecute about 140,000 offenders.
- 1.25 The work of the Police is challenging. It can involve being in difficult situations where the safety of staff and others may be at risk. Such situations require police to exercise discretion, and appropriately use the Police’s considerable powers. Appropriately using discretion involves exercising judgement and being accountable. A facilitator’s training guide produced by the Royal New Zealand Police College notes that the “use of discretion is not based on personal values but needs to follow the rule of law, show impartiality and be mindful of public perception”.<sup>7</sup> Appendix 5 outlines the functions and principles of policing.
- 1.26 Police staff with constabulary powers must act independently when enforcing the law. This places a high degree of individual responsibility on these staff, some of whom may have relatively little policing experience. The Police have told us that 15% of staff with constabulary powers have fewer than two years of service.
- 1.27 The Police have a hierarchical command and control structure. Senior constabulary staff are known as commissioned officers (COs). These include Inspectors, Superintendents, and a hierarchy of Commissioners. People in these positions, as well as some Police staff without constabulary powers, are the Police’s senior managers at Area, District, and national levels.

<sup>6</sup> Nearly 8500 of these staff have constabulary powers (previously called sworn officers). Constabulary powers include the power to arrest or search any person. Nearly 3000 of these staff do not have constabulary powers (previously called non-sworn staff). Of Police staff with constabulary powers, 17% are female. Of Police staff without constabulary powers, 65% are female.

<sup>7</sup> *Contemporary Policing in New Zealand (Discretion, ethics and professionalism) Facilitator’s Guide – November 2008*, Training and Development Group, The Royal New Zealand Police College, Porirua.

- 1.28 Non-commissioned officers (NCOs), including Sergeants and Senior Sergeants, oversee staff working directly with the public. The staff working directly with the public are Constables. Constables comprise more than half of the Police's total workforce.
- 1.29 Figure 2 shows the number and percentage of staff by rank, gender, and average length of service.

**Figure 2**

**Number of full-time equivalent staff by rank, gender, and average length of service (as at 30 June 2008)**

	Men		Women		Total	Avg. length of service (years)*
	No.	%	No.	%		
Commissioner	1	100	0	0	1	33.4
Deputy Commissioner	1	50	1	50	2	33.4
Assistant Commissioner	8	100	0	0	8	30.9
Superintendent	46	88	6	12	52	30.7
Inspector	287	82	62	18	349	27.1
Senior Sergeant	400	85	69	15	469	22.6
Sergeant	1,304	86	205	14	1,509	18.7
Constable	5,266	78	1,487	22	6,753	9.1
Matron	0	0	1	100	1	-
Recruits	185	76	58	24	243	0.2
Not equivalent to sworn rank	548	27	1,477	73	2,025	-
<b>Total</b>	<b>8,046</b>	<b>71</b>	<b>3,366</b>	<b>29</b>	<b>11,412</b>	

\* This is the average length of service for staff with constabulary powers.

Source: New Zealand Police.

- 1.30 Communication throughout the hierarchy is a challenge for the Police, because of the large number of staff, the rank structure, wide geographical distribution, and high degrees of functional specialisation. This challenge was commonly identified by the people we interviewed. As one of our interviewees said, "communication through a chain of command has its problems – information can be misinterpreted or sifted out along the way". Another told us that there was a "filtering mechanism" that takes place at each level in the chain of command.

## Part 2

# Direction of the New Zealand Police's work programme

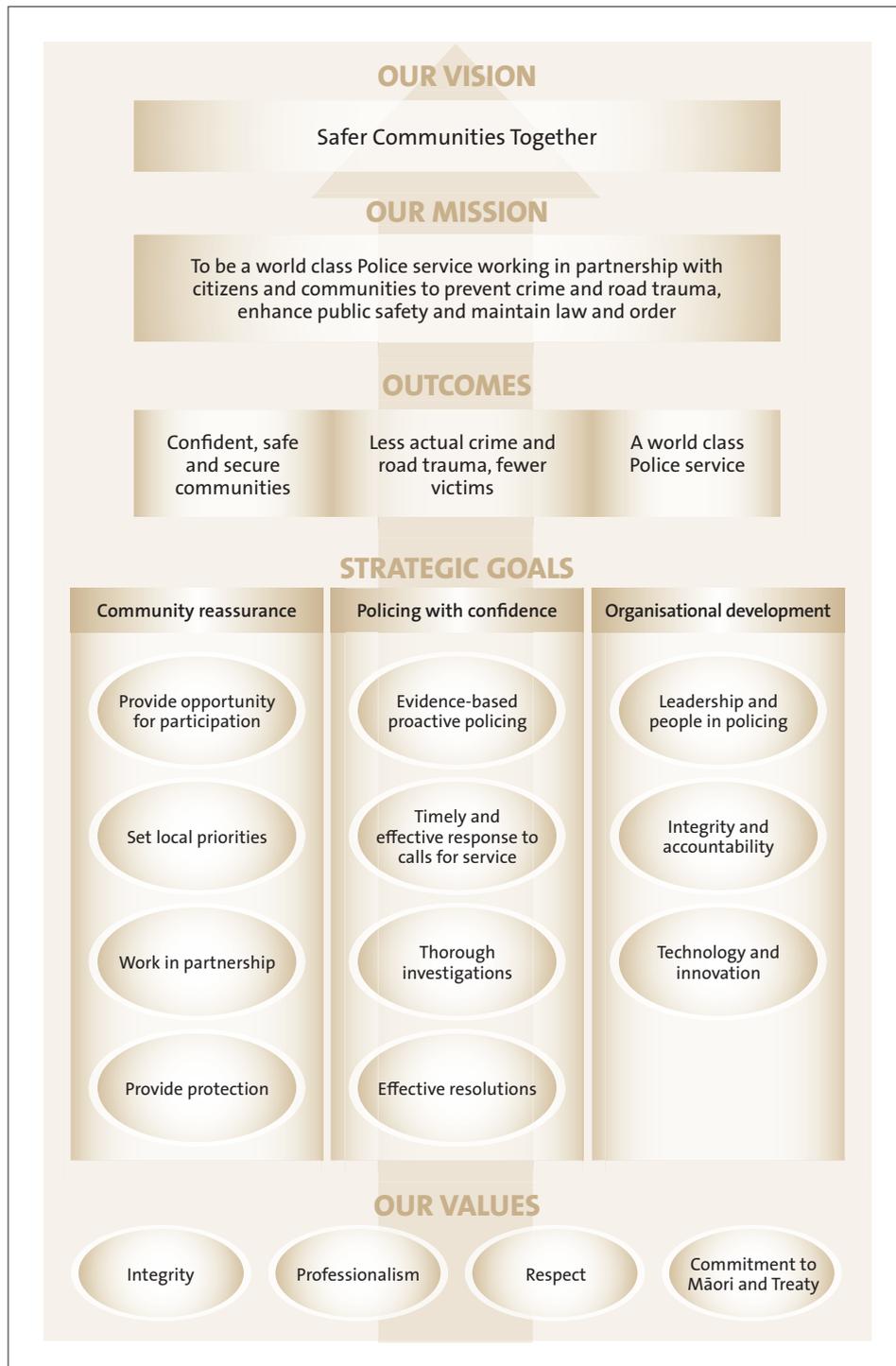
- 2.1 In this Part, we set out our findings about the steps the Police have taken to ensure that their work programme for responding to the Commission's findings:
- has been informed by a view of what the Police organisation will look like in the future; and
  - includes what is required to align the Police with this future.
- 2.2 Having a clear understanding of what an organisation wants to achieve is critical to any change process. Without this, it is difficult to unify change efforts within an organisation and know when intended changes have been achieved.
- 2.3 We were guided by the Commission's findings when defining the Police's work programme. We defined the Police's work programme as the combination of the Police's:
- implementation of the Commission's recommendations;
  - existing initiatives and projects (listed in Appendix 3); and
  - further projects that arise from the Government's response to the Commission's findings (we had not identified any such projects at the time of our performance audit).

### View of the New Zealand Police in the future

**The Police have articulated what their organisation should look like in the future. Individual staff have described what the Police organisation could look like when changes to give effect to the Commission's findings have been fully implemented.**

- 2.4 The Police have published a strategic plan covering the period until 2010. The plan was prepared when the Commission's inquiry was under way. The content of the strategic plan is reflected in the Police's *Statement of Intent 2008/09 – 2010/11*.
- 2.5 The Police stated their vision, mission, strategic goals, and values in their strategic plan (see Figure 3). They and the supporting detail in the strategic plan indicate, in general terms, what the Police believe their organisation should look like in the future.
- 2.6 In our interviews with Police staff, we discussed what the Police organisation should be like when the Commission's recommendations have been fully implemented. In response, one of our interviewees described the future of the Police as one being "the peoples' Police" rather than "policing the people". Another described it as moving away from a "we know" culture.

**Figure 3**  
The New Zealand Police's vision, mission, outcomes, strategic goals, and values



Source: New Zealand Police, *Policing with Confidence, the New Zealand Way: Strategic Plan to 2010*.

- 2.7 In 2007, the SSC, with the assistance of PricewaterhouseCoopers, asked Police staff what “Police of the future” would be like if change is successful. The responses included:
- *Complaints will be fewer, with complainants being happy with the manner in which their inquiries are handled.*
  - *Training plans will be in place throughout all levels and will be applied consistently with consequences for any non-compliance.*
  - *There will be more focus on internal standards and with more checks and balances and a proactive rather than reactive stance with respect to police integrity.*
  - *Public trust and confidence will improve and will be evidenced by survey results.*
  - *Employee satisfaction will be high.*
  - *Our staff will have a strong customer focus.*
  - *Middle and senior managers will be modelling good behaviour, and professionalism.*
  - *Police staff will be proud.*
  - *District leaders will have the tools and support as well as the leadership of wider executive to enable them to deal effectively with issues like the Rotorua incident.*
  - *People problems will be dealt with more expeditiously with performance being more actively managed.*
  - *Police personnel will understand policies and processes, operating these consistently across the organisation.*
  - *There will be a culture of unity.*
- 2.8 In June 2008, the Commissioner of Police addressed an Area Commanders’ conference and described what the future should be like in terms of public satisfaction. He talked about timely and credible public satisfaction information, incentives to improve, and measures that were visible to Police staff.

## Aligning the work programme with the New Zealand Police's future

### **Elements of the Police's work programme to address the Commission's findings align well with the Police's goals, values, and priorities.**

- 2.9 In their strategic plan and national business plan for 2008/09, the Police have identified that implementing the Commission's recommendations is an activity that supports integrity and accountability under the strategic goal of "Organisational development". We were told that this was for the purpose of "housing" the Commission's recommendations, because the Police's strategic plan was prepared before the Commission's final report was released.
- 2.10 The Police acknowledged that, while they have linked implementing the Commission's recommendations to only one strategic goal in their planning documents, the recommendations affect or link to more than one of their strategic goals.
- 2.11 Various elements of the Police's strategic direction are especially pertinent to the Commission's recommendations. These include:
- thorough investigations, under the "Policing with confidence" strategic goal;
  - integrity and accountability, under the "Organisational development" strategic goal;
  - providing opportunity for participation, under the "Community reassurance" strategic goal; and
  - the integrity and respect values.
- 2.12 Making progress with the Commission's recommendations is one of 16 national priorities in the Police's National Business Plan 2008/09, under the "Organisational development" strategic goal. Similarly, some of the other priorities also relate to the Commission's recommendations. Figure 4 lists the 16 priorities.

**Figure 4**  
The New Zealand Police's 16 priorities for 2008/09

<b>Strategic goal 1: Community reassurance</b> <b>Outcome 1: Confident, safe and secure communities</b>
1. Implement the new Service First programme and training.
2. Integrate additional community-focused officers.
3. Implement specific Māori initiatives.
<b>Strategic goal 2: Policing with confidence</b> <b>Outcome 2: Less actual crime and road trauma, fewer victims</b>
4. Progress the [Family Violence Interagency Response System]
5. Improve our Case Management programme.
6. Establish the [Organised Financial Crime Agency of New Zealand]
7. Implement elements of the Electronic Crime Strategy to 2010.
8. Focus on strategic road policing outcomes.
9. Develop our deployment/demand management framework including further consideration of options for addressing non-emergency calls
10. Develop and implement the National Intelligence Project.
11. Continue Tactical Options Deployment Review.
<b>Strategic goal 3: Organisational development</b> <b>Outcome 3: A world-class police service</b>
12. Continue to implement the Code of Conduct.
13. Progress the [Commission of Inquiry into Police Conduct] recommendations.
14. Commence the new national Digital Radio Project.
15. Continue implementing the Leadership and Management Development Framework.
16. Implement new legislation replacing the 1958 Policing Act.

Source: New Zealand Police, *National Business Plan 2008/09*.



## Part 3

# Managing the New Zealand Police's work programme

- 3.1 In this Part, we set out our findings about the steps the Police have taken to manage their work programme for responding to the Commission's recommendations. We examined how the Police have managed the work programme and the extent to which they have:
- addressed overlaps and identified interdependencies within the work programme and between the work programme and other Police work;
  - prioritised the projects and components within the work programme, and between the work programme and other Police work;
  - made resources available to implement the projects and the work programme as a whole; and
  - made progress with selected parts of the work programme.
- 3.2 Effective governance and management of the Police's work programme is necessary to help ensure that the various initiatives in it are well planned, coordinated, and controlled. Without effective governance and management, there is potential for resources to be wasted and delays to arise from unaligned initiatives and practices.

### Our overall findings

- 3.3 The Police have shown a strong and comprehensive commitment to addressing the recommendations made in the Commission's report. The Police have appropriate management and governance provisions in place.
- 3.4 The Police are now moving to a new phase in their work programme. In our view, this next phase needs to focus on behavioural and attitudinal changes – winning the “hearts and minds” of staff. The Police told us that this new phase will focus on supervisors and NCOs in Districts and Areas throughout the country.

### Project and work programme arrangements

**Overall, the Police have taken a structured approach to managing their work programme. This has included a considered approach to addressing overlaps and identifying interdependencies, both within the work programme and between the work programme and other Police work.**

### Governance of the work programme

- 3.5 Governance describes the means by which the work programme is kept aligned with the Police's strategic direction and how the main risks are controlled.

- 3.6 The Police assigned each of the Commission's recommendations to a sponsor, a business owner, and a recommendation owner. A programme manager oversees the programme of recommendations. Recommendation owners are responsible for implementing or addressing recommendations and for evaluating risks and issues. They report to business owners. Business owners identify and assess the recommendation risks and issues and report directly to the programme manager. The programme manager compiles information received from business owners into a monthly report for the recommendation sponsors. All recommendation sponsors are members of a steering committee.
- 3.7 The steering committee is a 12-member committee that consists of senior Police managers. The Commissioner of Police chairs the steering committee. The committee meets monthly to discuss the highest priority recommendations and any high-level risks (for example, if a recommendation is at risk of not being implemented).

### Management of the work programme

- 3.8 After the Commission was set up in 2004, the Police started a range of initiatives related to issues raised by the Commission.<sup>1</sup> The management of these initiatives was distributed between various sections within the Police.
- 3.9 In the early stages of the Police's response to the Commission's findings, the Police assigned the 48 recommendations relating to the Police (and responsibilities for implementing them) to the business units responsible for similar tasks. That is, if an existing Police programme was aimed at achieving a recommendation's objective, then the manager of that programme was made responsible for the recommendation.
- 3.10 The Police later hired a programme manager to address overlaps and identify interdependencies between the Police's responses to the Commission's recommendations and other Police work. The programme manager has, to a large extent, co-ordinated the oversight and implementation of the Police's responses.
- 3.11 The programme manager designed and implemented a technical project management application on the Police's intranet. This project management application and the steering committee have been the main mechanisms the Police have used to manage and govern the work programme. In Part 4, we discuss how the Police have used the project management application to record and report their progress in implementing the Commission's recommendations.

1 We describe these initiatives in Appendix 3.

### Overlaps and interdependencies

- 3.12 Under the project management approach to their work programme, the Police integrated initiatives described in Appendix 3 within the project and governance structure for responding to the Commission's recommendations.
- 3.13 For example, the Police were working on a Corporate Instrument Review project at the time of the Commission's report. They grouped the first four of the Commission's recommendations (related to Police policies and procedures) into a corporate instruments<sup>2</sup> workstream. This brought the management of the corporate instruments project under the governance of the steering committee.
- 3.14 The programme manager organised a workshop for the recommendation owners to identify interdependencies among the 48 recommendations. This took place after the Police addressed overlaps between the recommendations and existing Police programmes.
- 3.15 After grouping recommendations by logical workstreams related to existing Police work, the recommendation owners reviewed each recommendation for other dependencies. Some recommendations were grouped if they depended on the same event to occur (for example, if they all relied on a particular policy or programme being in place).
- 3.16 Recommendations were then reviewed for time-dependency with other recommendations. That is, the programme manager assigned timeframes to the recommendations based on whether the Police needed to address them before, after, or at the same time as other recommendations.
- 3.17 The programme manager mapped dependencies in programme areas and timeframes. This formed the basis of the Police's project management system for the work programme.

### Next phase in the work programme

- 3.18 The Police said that the biggest challenge to fully implementing the Commission's recommendations will be in achieving "buy-in" from staff outside of Police National Headquarters. This could be described as the challenge of encouraging attitudes and behaviours that lead to Police staff supporting the need for change, as well as the actual changes being made.
- 3.19 To address this challenge, the Police were, at the time of our audit fieldwork, planning a transition from the technical phase of their response to the Commission's recommendations to what the Police have called an "implementation phase". This next phase is intended to support all staff to

2 Corporate instruments are the policies and procedures that the Police use to manage their business.

implement the Commission's recommendations. This includes staff in all Districts, Areas and business units, service centres, and Police National Headquarters.

- 3.20 As Police management move to the next phase of their work programme, it is important that they ensure that the work programme actively involves NCOs, Field Training Officers, and staff working directly with the public. NCOs have an important role within the Police because of their influence on Police culture, and because they supervise staff working directly with the public (including supervising Police recruits during their two-year in-service probationary period).
- 3.21 We were told that Police staff learn through experience, and that they are strongly influenced by the behaviours of others. We were also told that, in terms of change, a focus on staff working directly with the public is where you will get "the most bang for the buck".
- 3.22 Interviewees made the following comments about the influence NCOs have:
- "If you have good Sergeants, you will have good Constables."
  - NCOs are like "your mum and dad".
  - Senior Sergeants are the "grunt of providing change in an Area".
  - NCOs are "absolutely essential to ... cultural change".
  - Sergeants and Senior Sergeants "run the Police".
  - If you get a bad Senior Sergeant, it is "the beginning of the end" for staff.
- 3.23 We encourage the Police to ensure that the next phase of their work programme involves NCOs.

## Working out the priority of the Commission's recommendations

**The Police could have taken a more integrated approach to prioritising the Commission's recommendations in the context of the Police's overall work programme. The approach taken by the Police does not appear to have compromised the priority they have given to responding to the Commission's findings.**

- 3.24 The Commission identified the risks that the workload of implementing the recommendations alongside the Police's other initiatives and projects may prove unmanageable, and that important initiatives arising from the Commission's report may not be prioritised.
- 3.25 The Police evaluated and prioritised the recommendations after identifying interdependencies between recommendations. They used 10 criteria to assess

and prioritise each recommendation. Five of the criteria related to the importance of the recommendation.<sup>3</sup> The other five criteria related to the complexity of the recommendation.<sup>4</sup>

- 3.26 After evaluating the recommendations against the criteria, each recommendation was given a score and the recommendations were sorted into three priority levels.<sup>5</sup>
- 3.27 Recommendation priority ratings can change over time, because their assessment against some of the criteria can vary. For example, the “assurance” recommendations (the Commission’s recommendations R37, R51, R59, and R60) are at a higher priority level when a review by the SSC or the Office of the Auditor-General is under way.
- 3.28 As implemented by the Police, the prioritisation ratings for the recommendations are self-contained. That is, they are not influenced by the Police’s National Business Plan priorities (except for being one of those priorities) or by other Police work. The Police’s approach does not appear to have compromised the high priority they have given to responding to the Commission’s findings.
- 3.29 The Police told us that their Executive Committee rated the priorities in the National Business Plan, including the work programme to address the Commission’s recommendations, against service and capability risks. The Police believe this approach enabled them to give separate attention and high priority to the Commission’s recommendations during the technical phase of the work programme. The Police also told us that they recommend taking a more integrated approach to prioritisation as part of the implementation phase of their work programme. According to the Police, this has already taken place for some recommendations that have moved into the implementation phase.

## Resources allocated to responding to the Commission’s recommendations

**The Police have allocated considerable resources to responding to the Commission’s recommendations, and managing their response to those recommendations.**

- 3.30 The Police have set up a Commission of Inquiry Team (of two positions, including the programme manager), to oversee and support the management and governance arrangements. As well as these people, several senior managers have

3 The five importance criteria were strategic alignment, public perception/expectation, benefits to confidence improvements, timeline constraints, and ensures adherence (that is, meeting compliance requirements).

4 The five complexity criteria were change magnitude, financial cost, dependency with a high-rated recommendation, risk to the Police if implementation is delayed, and the number of groups involved or affected.

5 Those recommendations that scored the highest against the criteria were categorised as Priority 1 recommendations. The Priority 1 recommendations receive the most attention from the steering committee.

set aside dedicated time for the steering committee governance arrangements. The Police's externally provided Project Management Office has also been monitoring the work programme.

- 3.31 The Police do not have separate funding for responding to the Commission's recommendations. Rather, the Police's responses have been resourced from existing budgets.

### Progress to date

- 3.32 The Police have assessed that they have completed a number of the projects from the technical phase. The Police consider that they completed their response to eight recommendations in 2007/08<sup>6</sup> and had completed their response to six more as at 31 March 2009.<sup>7</sup>
- 3.33 In Figures 5 and 6, we comment on the progress of some of the training and development, and human resources work that the Police have committed resources to as part of their work programme.

6 This includes Recommendations R2, R4, R5, R33, R41, R42, R43, and R44.

7 This includes Recommendations R3, R7, R34, R35, R38, and R40.

**Figure 5**  
**Training and development responses to the Commission's findings**

<b>Work performed to date</b>
<p>The Police have implemented training in leadership, ethical policing, and sexual assault investigation as part of their response to the Commission's findings.</p> <p>The Police offer rank-specific leadership development training as part of a leadership development pilot project started in response to the Commission's report. This training is primarily for Senior Sergeants, Sergeants, and Constables. The Police also provide leadership training specifically for women.</p> <p>By March 2009, the following numbers of staff had participated in these various leadership development programmes (LDPs):</p> <ul style="list-style-type: none"> <li>• Women's LDP – 293 staff;</li> <li>• Women's Senior Sergeant LDP – 27 staff;</li> <li>• Senior Sergeants LDP – 79 staff;</li> <li>• Sergeants LDP – 300 staff; and</li> <li>• Constables LDP – 120 staff.</li> </ul> <p>A strong component of the Police's leadership training is the importance of ethical leadership. Since 2003, the Police have required all staff and supervisors to complete ethics training. By 20 April 2009, more than half (52%) of Police staff had received specific ethics training. The completion rate for the ethics training was highest among NCOs, with a lower completion rate among COs and supervisors.</p> <p>The Police's new mandatory "Contemporary Policing in New Zealand" training programme also contains some ethics training, as well as covering the Code of Conduct and the Policing Act 2008. As at 20 April 2009, less than 20% of Police staff had completed this training. The Police told us that this had increased to 66% of staff as at 15 June 2009, and that they are closely monitoring the course completion rates.</p> <p>The Police ran adult sexual assault investigators' courses in seven Districts in 2007/08, in five Districts in 2008/09, and at the Royal New Zealand Police College in both 2007/08 and 2008/09.</p>
<b>Our assessment</b>
<p>In our view, it is important that all Police staff receive training in leadership, ethical policing, and sexual assault investigation – where relevant to their roles – and that the Police continue to increase the number of staff who receive this training. We acknowledge that training the entire relevant workforce will take time and needs to be carefully scheduled so that it does not detract from the Police's delivery of services to the public.</p> <p>Given the important influence that Sergeants and Senior Sergeants have on Police culture, we encourage the Police to continue offering leadership training to staff in these positions of influence.</p>

- 3.34 The Police have performed a variety of work, as outlined in Figure 6, to prepare for, and then operate with, the performance management and disciplinary arrangements outlined in the Policing Act 2008. The Police's preparatory work has meant that they have been well positioned to give effect to the Act from its commencement in 2008.

**Figure 6**  
Human resources policy and practice responses to the Commission's findings

#### Background

The Commission described the Police's legislative framework for managing performance and discipline issues as "cumbersome, time-consuming, and outdated", and identified the need for a "more sensible and efficient system". The Police also characterised the framework as "rigid" and "overly prescriptive". For example, costly and time-consuming disciplinary hearings were used to manage poor performing staff, while cases of the most serious misconduct were delayed in a statutory process.

At the time of the Commission's inquiry, the Police had begun to develop a less formal investigation process for lower-level performance or misconduct issues so a response could be provided in a timely manner. However, major reform needed legislative change. The Police were able to replace the old disciplinary and tribunal system with a modern approach to managing performance, based on the Code of Conduct, when the new Policing Act was passed in 2008.

#### Work performed to date

The Police introduced a single Code of Conduct for all staff on 1 February 2008, in response to the Commission's recommendations. (Before this date there was no Code of Conduct for staff with constabulary powers.) The Code of Conduct was enforceable on 1 October 2008 with the implementation of the Policing Act 2008.

By April 2009, nearly half of Police staff had completed the Code of Conduct familiarisation training. On average, throughout Districts and business units, 62.4% of Police staff have signed the Code of Conduct (56.9% of the Police staff with constabulary powers and 73.4% of Police staff without constabulary powers). It is important to note that the Policing Act 2008 makes the Code of Conduct a legislative duty for all Police staff to follow, regardless of whether they have signed it.

Since introducing the Code of Conduct, the Police have told us that there have been 36 cases where misconduct allegations were determined to be potentially serious (by 15 April 2009). The cases were distributed across Districts, service centres, and rank, with no apparent clustering of cases.

The Police have also increased their use of a performance appraisal process, but they recognise that they could improve further. The current process requires staff to complete a performance appraisal each year. Staff and their supervisors agree to the individual objectives to be met during the appraisal period. At the end of the appraisal period, staff members complete a self-review of their progress and achievements, and they discuss this with their supervisors. After this discussion, both the staff member and their supervisor sign the performance appraisal form.

Supervisors are expected to monitor staff performance during the appraisal period and discuss progress, to ensure that objectives for the appraisal period will be met. We were told that supervisors vary in the extent to which they use the performance appraisal process as a staff development tool.

Most Districts have completed performance appraisals in the past five years, but some service centres could do better. Since 2003/04, all but one District maintained an average performance appraisal completion rate above 90%. Most of the service centres had an average completion rate below 80% for the same period.

#### Our assessment

Completing performance appraisals is important for the effective performance management and professional development of staff. We encourage the Police to increase the completion rates. The completion rates need to be closer to 100%.

We note that adherence to the Code of Conduct is compulsory. We encourage the Police to increase the proportion of staff who have completed Code of Conduct training.

## Part 4

# Monitoring the New Zealand Police's work programme

- 4.1 In this Part, we set out our findings about the mechanisms the Police have for monitoring<sup>1</sup> the:
- progress of their work programme to implement the Commission's recommendations; and
  - outcomes from their work programme, including identifying any value added to the Police's functions and responsibilities.
- 4.2 Effective monitoring can help the Police to keep the work programme on schedule. It also enables continued informed amendments to the work programme as progress is made. It can also help the Police to know what the programme has achieved.

### Our overall findings

- 4.3 The Police have a robust system for monitoring progress in implementing the Commission's recommendations, and for reporting this information publicly and to stakeholders.
- 4.4 The Police need to ensure that they have arrangements for monitoring the outcomes of their responses to the Commission's findings, in terms of the service levels and cultural changes of the type signalled in the Commission's recommendations. While these are not easy things to monitor, the Police need to do more work on this. We have made two recommendations about this work.
- 4.5 The Police and SSC have told us that the next survey of the Police to assess organisational health is planned for 2010. The survey will be the primary means to assess organisational health, as recommended in the Commission's recommendation R51. The Police and SSC are planning to repeat the survey about every 12 months after 2010, up to and including 2016/17. We encourage them to decide on a survey tool that is appropriate and cost-effective, for the purpose of meeting the requirements of the Commission's recommendation R51. We do not have a view at this time on the appropriateness or cost-effectiveness of the survey tool used to date.

<sup>1</sup> We use "monitoring" in its broader sense to include project tracking, reporting results, and evaluating results.

## Monitoring progress in implementing the Commission's recommendations

**The Police have taken a project management approach to monitoring progress in implementing the Commission's recommendations.**

### Monitoring within the work programme

- 4.6 The Police have a project management application to monitor progress in implementing the Commission's recommendations. We discussed this application in paragraph 3.11. The application has been very helpful in monitoring the Police's progress with the Commission's recommendations.
- 4.7 The application allows a user to record and view the progress of the project for any given recommendation, as well as a summary of progress for all recommendations.
- 4.8 The Police use the information recorded in the application for reporting their progress with the Commission's recommendations. Progress against the Priority 1 recommendations is reported monthly to the steering committee.
- 4.9 Information from the application is also used for quarterly reporting of progress to Ministers (of Police and Justice), to other public entities, and to the public through the Police's website.<sup>2</sup>
- 4.10 The quarterly reporting of progress to Ministers has been largely descriptive. The reports have focused on progress made rather than the effect achieved. In our view, the reports would be more useful if they included analysis and text that clarifies what the described pieces of work actually mean, or could mean, for changes in the way the Police work and the services they deliver. The reports would also benefit from an assessment of whether the described progress is satisfactory.

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### Recommendation 1

We recommend that the New Zealand Police include analysis and evaluative information that summarises and assesses the adequacy of progress in responding to the findings of the Commission of Inquiry into Police Conduct when reporting to Ministers and to the public.

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- 4.11 The Police told us that, during the implementation phase of their work programme, they will report progress as we have recommended.
- 4.12 Communication channels other than the project application are used for informing the wider Police organisation about progress in implementing the

<sup>2</sup> See the Commission of Inquiry section of the Police website, [www.police.govt.nz](http://www.police.govt.nz).

Commission's recommendations, or aspects of them. These channels include newsletters, the Commissioner of Police's blog, and the Police's internal bulletin board.

- 4.13 Some of these communications refer to specific projects (for example, the Code of Conduct, new disciplinary process, and ethics training) rather than the Commission's findings or a specific Commission recommendation. The Police told us that they consciously do this because some staff view the Commission's findings negatively rather than as an improvement opportunity. This illustrates the challenges faced when trying to actively involve staff and change the culture within a large and complex organisation.
- 4.14 Figure 7 summarises the Police's self-reported progress, as at 22 May 2009, in implementing the Commission's 48 recommendations that the Police identified as applying to them. Information on progress with each recommendation for the technical and implementation phases of the Police's work programme is shown. The recommendations are grouped by the Police's workstreams within their work programme. We have not assessed the accuracy of the Police's assessment because our next report will assess what progress the Police have made against each recommendation.

### Monitoring outside of the work programme

- 4.15 As well as the programme monitoring arrangements outlined above, the Police also report and monitor progress in implementing the Commission's recommendations by other means.
- 4.16 At the time of our audit fieldwork, the Police had scheduled some assurance work for specific Commission recommendations. This work was to be carried out by the Organisational Assurance Group.<sup>3</sup> The specific projects and the associated Commission's recommendations are:
- Adult Sexual Assault Review (Recommendations R9, R10, R18, and R19);
  - Community Policing Review (Recommendation R57);
  - Code of Conduct Review (Recommendations R34, R35, R36, and R38); and
  - Capability/Recruitment/ability to service diverse communities (Recommendations R50 and R57).
- 4.17 To varying extents, each District or service centre's 2008/09 annual business plan includes activities to give effect to the priority recommendations. Progress against these priorities is monitored through the Police's national quarterly and annual performance reporting processes.

3 The Organisational Assurance Group provides assurance, evaluation, and risk services for the Police.

**Figure 7**  
The New Zealand Police's reported progress, by workstream, in implementing the Commission's recommendations

Workstream	Recommendation	Technical phase	Implementation phase
Adult sexual assault investigations	R9	Complete	In progress
	R10	Complete	In progress
	R15	In progress	
	R18	Complete	In progress
	R19	In progress	
Compliance	R11	In progress	
	R13	Complete	In progress
	R41	Complete	Complete
	R42	Complete	Complete
	R43	Complete	Complete
Complaints	R5	Complete	Complete
	R6	In progress	
	R7	Complete	Complete
	R14	In progress	
	R16	In progress	
	R20	Complete	In progress
Corporate instruments	R57	Complete	Complete
	R1	In progress	
	R2	Complete	Complete
	R3	Complete	Complete
	R4	Complete	Complete
Early warning system	R8	In progress	
	R44	Complete	Complete
	R47	In progress	
	R48	In progress	
Ethics and ethnic minorities	R12	In progress	
	R17	In progress	
	R39	In progress	
	R45	In progress	
	R46	Complete	In progress
	R50	Complete	In progress
	R52	In progress	
	R53	In progress	
	R54	In progress	
	R55	In progress	
R56	In progress		
Performance management and discipline	R33	Complete	Complete
	R34	Complete	Complete
	R35	Complete	Complete
	R36	Complete	In progress
	R38	Complete	Complete
	R40	Complete	Complete
	R49	Complete	In progress
Assurance	R37	[no data provided]	
	R51	[no data provided]	
	R58	In progress	
	R59	[no data provided]	
	R60	[no data provided]	

Source: New Zealand Police.

- 4.18 For the Code of Conduct<sup>4</sup> and the Organisational Health Audit<sup>5</sup> projects, each District was required to prepare an implementation plan as well as its standard annual business plan.
- 4.19 The Police also reported progress in implementing the Commission's recommendations in their *Statement of Intent 2008/09 – 2010/11* and the 2006/07 and 2007/08 annual reports.
- 4.20 The Police do not report on progress with the Commission's recommendations in their national monthly management reports. The focus of these reports is on finance, human resource, operational performance, and asset management metrics.
- 4.21 We were told that the Police anticipate adding some measure of Commission-related process improvements to their six-monthly reviews of District performance. The Police's Organisational Performance Group<sup>6</sup> carries out these reviews, which are described as involving "analysis of results, interviews, and site visits to identify strengths and opportunities for improvement and practices that work in reducing crime and increasing safety".<sup>7</sup>
- 4.22 We encourage the Police to review, and amend as appropriate, their reporting of progress against the Commission's recommendations outside of the work programme reporting mechanisms. In our view, any of the Police's key internal or external reporting documents could reasonably be expected to include some information on progress against the Commission's recommendations.

## Monitoring the results of efforts to address the Commission's recommendations

**The Police are still developing their approach to monitoring the next phase of their work programme and its results.**

### Monitoring the next phase in the work programme

- 4.23 Several of the recommendations in the Commission's report refer to changes in internal or external services delivered by the Police or changes in Police culture. These types of changes can take a long time to achieve.

4 Recommendations R33, R34, R35, R36, and R38.

5 Recommendation R50.

6 The Organisational Performance Group provides quality improvement, statistical, and performance monitoring services for the Police.

7 New Zealand Police, *Annual Report 2006/07*.

- 4.24 Making progress with the Commission's recommendations, according to the Police, "requires a change in behaviour and a shift in the 'hearts and minds' of every person employed by Police".<sup>8</sup>
- 4.25 Changes in service levels and culture can be difficult to monitor and measure. The Police anticipate taking a different approach to monitoring the next phase of their work programme. This approach may include labelling Commission-related work in non-Commission terms. The Police had not finalised their approach at the time of our audit fieldwork.
- 4.26 We support the Police thinking about a different monitoring approach during the next phase of their work programme. This is because the "technical phase" was characterised by putting in place system changes to support organisational changes in the Police. Our analysis of the Commission's recommendations shows that a large number of them included aspects related to a corporate document (a policy or procedure) or a process change the Police are to follow.
- 4.27 We acknowledge that the Police could use some of their existing management or performance measures, where these might provide indications of cultural and other changes. We support this approach because it minimises the amount of additional work for the Police.
- 4.28 Analysing and identifying the extent to which the Police's responses to the Commission's recommendations have contributed to improvements in policing, as experienced by the public and the Police, is important. This is the value added to the way the Police fulfil their responsibilities and functions. However, identifying this value can be difficult because of the complexity of factors that can influence the Police's performance, beyond their responses to the Commission's findings. We encourage the Police to identify this added value to the extent that is possible and measurable.

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**Recommendation 2**

We recommend that the New Zealand Police monitor changes in service levels and culture, of the types signalled in the recommendations in the report of the Commission of Inquiry into Police Conduct, and report this information publicly.

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## The organisational health audit

- 4.29 Recommendation R51 of the Commission's report states:
- The Commissioner of Police should invite the State Services Commissioner to carry out an independent annual "health of the organisation" audit of the police culture (in particular, whether the organisation provides a safe work environment for female staff and staff from minority groups). The need for the audit should be reviewed after 10 years.*
- 4.30 The Police and the SSC decided to use the Gallup Q12<sup>®</sup> survey, supplemented with additional questions, on the culture and safety of the Police as an organisation to work in (issues particularly referenced in Recommendation R51), as the primary means to assess organisational health.
- 4.31 The Police and SSC have told us that this decision was made based on private sector evidence from overseas that suggests higher levels of employee "engagement" raises performance and also helps manage costs, such as the costs associated with staff turnover. They also told us that evidence suggests that an "engaged" and committed workforce improves productivity and service delivery.
- 4.32 The Police and SSC decided to supplement the Gallup survey data with some other organisational health data (including attrition rates, lost-time injuries, sick leave, exit interview results, personal grievances, complaints, and demographics for women and ethnic minorities).
- 4.33 The first Gallup survey was completed in the second quarter of 2007/08 (October–November 2007). The Police and SSC have told us that the first survey was a pilot, administered to a random sample of 6700 Police staff (4880 of whom responded to the survey). The survey found lower levels of staff "engagement" in the Police than in other New Zealand organisations, including New Zealand state sector organisations.
- 4.34 The second Gallup survey was completed in the second quarter of 2008/09 (August 2008). The second survey was administered to all staff (about 11,000 people), with an 82% response rate. The survey found an increase in the percentage of "Actively Disengaged" staff (defined by Gallup as being physically present but psychologically absent). It also showed that those in middle and lower roles/ranks were significantly less "engaged" than their senior colleagues. The results also showed that leaders could be more effective in inspiring staff about the future of the Police.

- 4.35 More positively, the results showed that minority groups (including Asian, Māori, and Pacific staff) were the most “engaged” in relative terms. The results also showed that women were significantly more “engaged” than men.
- 4.36 The Gallup Organisation has told us that the results of their second survey showed the perceptions of Police employees had either declined or stayed the same for all additional questions with particular reference to Recommendation R51.
- 4.37 The Police and SSC have told us that the results of these surveys need to be read in the context of the variability in the level of “engagement” across the state sector and other indicators. For example, public satisfaction with services and confidence in the Police remains high, despite lower-than-desirable “engagement” of some levels in the Police, and staff turnover is very low. Both of these elements are usually associated with a high level of “engagement”. The Gallup Organisation has told us that this inconsistency between the level of engagement and public satisfaction and turnover is to be expected, given the nature of the Police organisation and their interaction and role with the New Zealand public.
- 4.38 We note that PricewaterhouseCoopers, on behalf of the SSC, has completed two reviews of the Police. PricewaterhouseCoopers commented in the second review:
- Given the structural and cultural uniqueness of Police organisations, we wonder about both the appropriateness of [the Gallup Q12® survey] content and the benchmark comparison group. More practically, we have concerns that [the Gallup Q12® survey] is expensive to maintain, given current pressures on Police expenditure.*
- We wonder whether a simpler but more customised system for securing regular upward feedback would not be helpful at this stage in organisational development. On-line bespoke pulse surveys are used in many organisations as overall health checks, and may provide a more cost effective approach for Police. They also have the advantage of being designed for purpose, taking the pressure off “survey time” and reducing the environmental factors that could allow the results to be downplayed or dismissed.*
- 4.39 In January 2009, the Police and SSC told the Ministers of Justice, State Services, and Police that:
- SSC and NZ Police are also in a process of ensuring that the current survey is fit-for-purpose, and providing value-for-money.*

- 4.40 During the Law and Order Committee's 2007/08 financial review of the Police in March 2009, the Police told the Committee that:
- We have made a decision to do the next survey next year rather than this year to give ourselves some time to get some actions in place and to make a difference that the staff are looking for. We've got some work to do but we're pleased that we have a good feed-back system from our staff, and we will continue to survey staff. Who we use to do that survey will be the subject of an open tendering process.<sup>9</sup>*
- 4.41 The Police and SSC have been reflecting on the lessons learned from the 2007/08 and 2008/09 Gallup surveys. They have told us that a better fit-for-purpose survey is required. They have also told us that information from the current survey gives some very useful information on "engagement" but it does not provide enough data to address all matters relevant to Recommendation R51.
- 4.42 The Police and SSC have told us that these data gaps will be addressed and result in a better fit-for-purpose survey. They have also said that particular attention will be given to the wording of survey questions to ensure that the intent of the question is easily understood and not open to misinterpretation by respondents (which happened with one question related to safety in the 2007/08 and 2008/09 surveys).
- 4.43 The Police and SSC have told us that the next survey to audit the Police's organisational health is planned for 2010 and will be implemented within the first six months of that year (17 to 22 months since the second Gallup survey was conducted). They have also told us that they are planning to repeat the survey about every 12 months after that, up to and including 2016/17.
- 4.44 In our view, the Police and SSC's planned approach is sensible, and we encourage them to decide on a survey tool that is appropriate and cost-effective for assessing organisational health, for the purpose of meeting the requirements of Recommendation R51. In our view, it is important that any tool used supports the collection of a consistent series of information over time. Without consistency, it will be difficult to meaningfully measure changes over time. We do not have a view at this time on the appropriateness or cost-effectiveness of the survey tool used by the Police and SSC to date.

<sup>9</sup> Report of the Law and Order Committee (2009), *2007/08 Financial review of the New Zealand Police*, New Zealand House of Representatives, pages 17-18.

### Citizens' satisfaction survey

- 4.45 The results of independent surveys of the public's experience and attitude towards the Police are another measure of change within the Police. The Police conducted a citizens' satisfaction survey as part of the Service First initiative<sup>10</sup> between February and June 2008. It involved telephone interviews with 8300 people, nearly half of whom have had contact with police. The Police plan to conduct more of these surveys.
- 4.46 The results of the survey are publicly available on the Police's website, and the Police reported selected aspects in their annual report for 2007/08. That annual report notes that the "results will also form part of the wider monitoring of satisfaction with the Police as recommended by the Commission of Inquiry into Police Conduct". The survey focuses on six factors that affect satisfaction with services. These are the extent to which:
- *The service experience met your expectations*
  - *Staff were competent*
  - *Staff kept their promises – that is, they did what they said they would do*
  - *You were treated fairly*
  - *You feel your individual circumstances were taken into account*
  - *It's an example of good value for tax dollars spent.*
- 4.47 The 2008 citizens' satisfaction survey found an 80% level of satisfaction with the quality of the Police's service delivery for those respondents who have had contact with Police staff.
- 4.48 The citizens' satisfaction survey replaces the Police's quarterly Public Confidence and Satisfaction surveys that were conducted from 2001 to 2007.
- 4.49 For 2008/09, the Police have identified changes in public trust and confidence, and changes in public satisfaction, as success measures as part of their national business plan.

<sup>10</sup> According to the Police's annual report for 2007/08, Service First is a service improvement programme and a Police priority. "It aims to improve citizens' satisfaction with policing services by using a citizen centred approach to service delivery. In practice this means: ... knowing who uses Police services and what is important to them; ... providing services that are responsive to these needs ... seeking feedback from recipients of Police services about their levels of satisfaction and dissatisfaction ... using this information to realign, as necessary, and improve services."

### Other measures

- 4.50 During our interviews with Police staff, we asked them what they thought might be useful indicators (direct or indirect) of change in Police culture, attitudes, and behaviour, other than the organisational survey. Appendix 6 summarises what we were told. We acknowledge that interpreting these indicators may be difficult in some instances.

### Complaints

- 4.51 In our view, complaints against Police staff and the outcomes of these are useful indicators of change within the Police. They do, however, need careful interpretation. We agree with the United Kingdom's National Audit Office observation that:

*An effective complaints function is important in keeping people's faith and trust in services and is an essential building block of a high performing organisation. It can also provide the organisation with assurance about the safety and quality of service provision.<sup>11</sup>*

- 4.52 The Police told us that they are unsure whether the number of recorded complaints is a useful indicator of change. They said that an increase in complaints can reflect more trust and confidence in the Police, and therefore the willingness of people to lay complaints. We agree that a number of factors can influence complaints laid against police. These factors need to be considered when interpreting complaints information.
- 4.53 Data about complaints against Police staff was one of the potential indicators of change often mentioned by our interviewees. The Police have provided summary information on complaints in their annual reports. They also said that success would include that it were rare for complaints to be upheld.
- 4.54 Information provided to us by the Police showed that the most common type of complaint was for attitude and/or language issues. We have reproduced, in Figure 8, the information provided to us by the Police for attitude and language complaints, and sexual offending complaints. The information shows that complaints for sexual offending are less than 1% of the total complaints against police. The information also shows that there is variation in the proportion of these complaints upheld between 2005 and 2008.

11 National Audit Office (2008), *Feeding back? Learning from complaints handling in health and social care*, United Kingdom, page 10.

**Figure 8**  
**Complaints against Police staff for attitude and language, and sexual offending**  
**2005/06 – 2007/08\***

Type of complaint	Year	Number received (% of total)		Number upheld (% of type upheld)	
Attitude and/ or language complaints	2005/06	388	(13.7)	46	(11.9)
	2006/07	431	(13.4)	35	(8.1)
	2007/08	438	(14.2)	41	(9.4)
Sexual offending complaints	2005/06	18	(0.6)	4	(22.2)
	2006/07	20	(0.6)	0	(0)
	2007/08	20	(0.7)	0	(0)

Source: New Zealand Police.

\* We also asked the Police to provide the number of specific sexual harassment complaints received. The number of sexual harassment complaints was relatively small (fewer than 10 each year). The Police did not indicate the level of severity of the complaints in the information provided to us.

- 4.55 At the time of our audit fieldwork, the Police had approved a business case to implement a new information system to better record, analyse, and report complaints. The Police expect to take most of 2009 to get the system operating. The system has the potential to enable the Police to identify trends in complaints earlier than they are currently able to.

#### **Observations**

- 4.56 As well as indicators of change, many of the Police staff we spoke with described cultural and other changes that they have observed. We have quoted in Appendix 7 some of the comments made to us during our audit fieldwork about the Police culture and changes to it.
- 4.57 We acknowledge that our interviews were with only a relatively small number of Police staff (less than 1% of all staff). However, there is value in this qualitative information. The Commissioner of Police and others told us that they regard this type of information highly, and that they deliberately spend time “managing by walking around” or in open forum discussions with staff to obtain this type of information.
- 4.58 We encourage Police management to continue their efforts to observe and receive qualitative information about the Police culture and changes within it.

#### **Integrity and conduct survey**

- 4.59 In response to our draft report, the Police provided us with a copy of a December 2007 integrity and conduct survey of the Police. This was performed by an independent and non-profit American organisation called the Ethics Resource Centre as part of a wider New Zealand State Services Integrity and Conduct Survey. The Police told us that the conduct and integrity survey will be repeated in 2010.

# Appendix 1

## Findings and recommendations of the Commission of Inquiry into Police Conduct

### Findings

The Commission found that:

- There was evidence of disgraceful conduct by police officers and associates over the period from 1979, involving exploitation of vulnerable people. There was evidence of police officers condoning incidents involving inappropriate sexual activity and a culture of scepticism in dealing with complaints of sexual assault. However, there was no concerted attempt across the organisation to cover up unacceptable behaviour.
- Police management lacked the policies, procedures, and practices necessary for dealing with misconduct. The Commission considered that misconduct, especially sexual misconduct, poses a risk to public confidence in the Police and that the Police should give high priority to ensuring that this risk is minimised.
- Police did not have any code of conduct or guidelines to provide sworn police officers with clear guidance about what constitutes appropriate behaviour.
- The public could not have confidence, at that time, in the calibre of police investigations into allegations of sexual assault by police officers and police associates. The Commission noted that policies and procedures for such investigations had improved in the past 25 years but considered that further improvements were needed.

### Recommendations

We have reproduced the Commission's recommendations below.

Recommendations marked with an asterisk are recommendations that include responsibilities for organisations other than the Police.

#### **Police policies and procedures**

- R1 New Zealand police should review and consolidate the numerous policies, instructions, and directives related to investigation complaints of misconduct against police officers, as well as those relating to the investigation of sexual assault allegations.
- R2 New Zealand Police should ensure that general instructions are automatically updated when a change is made to an existing policy.
- R3 New Zealand Police should develop a set of policy principles regarding what instructions need to be nationally consistent and where regional flexibility should be allowed.

- R4 An enhanced policy capability should be developed within the Office of the Commissioner to provide policy analysis based on sound data, drawing upon the experience of front-line staff and upon research from New Zealand and beyond.

**Police policies and procedures for complaints**

- R5 New Zealand Police should develop an explicit policy on notifying the Commissioner of Police when there is a serious complaint made against a police officer. This policy and its associated procedures should specify who is to notify the police commissioner and within what time frames.
- R6 New Zealand Police should ensure that members of the public are able to access with relative ease information on the complaints process and on their rights if they do make a complaint against a member of the police.
- R7 New Zealand Police should undertake periodic surveys to determine public awareness of the processes for making a complaint against a member of the police or a police associate.
- R8 New Zealand Police should develop its database recording the numbers of complaints against police officers to allow identification of the exact number of complaints and the exact number of complainants for any one officer.

**Adult Sexual Assault Investigation Policy**

- R9 New Zealand Police should review the implementation of the Adult Sexual Assault Investigation Policy to ensure that the training and resources necessary for its effective implementation are available and seek dedicated funding from the Government and Parliament if necessary.
- R10 New Zealand Police should incorporate the Adult Sexual Assault Investigation Policy in the “Sexual Offences” section of the New Zealand Police Manual of Best Practice for consistency and ease of reference.

**Communication of policies and training**

- R11 New Zealand Police should strengthen its communication and training practices by developing a system for confirming that officers have read and understood policies and instructions that affect how they carry out their duties and any changes thereto.
- R12 New Zealand Police should strengthen its communication and training practices to ensure the technical competencies of officers are updated in line with new policies and instructions.
- R13 Bearing in mind the mobility of the workforce, New Zealand Police should conduct a review of what training should be mandatory at a national level and what should be left to the discretion of districts.

**Consistency and transparency in complaint processes**

- R14 New Zealand Police should ensure that the practice of providing investigating officers with a reminder of the standards for complaint investigation is applied consistently throughout the country.
- R15 New Zealand Police should improve the process of communicating with complainants about the investigation of their complaint, particularly if there is a decision not to prosecute. Complainants and their support people should be given
- realistic expectations at the start of an investigation about when key milestones are likely to be met
  - the opportunity to comment on the choice of investigator
  - regular updates on progress, and advance notice if the investigation is likely to be delayed for any reason
  - assistance in understanding the reasons for any decision not to prosecute.

**Independence of investigations**

- R16 New Zealand Police should develop a consistent practice of identifying any independence issues at the outset of an investigation of a complaint involving a police officer or a police associate, to ensure there is a high degree of transparency and consistency. The practice should be supported by an explicit policy on the need for independence in such an investigation. In respect of the handling of conflicts of interest, the policy should, among other things
- identify types and degrees of association
  - define a conflict of interest
  - provide guidelines and procedures to assist police officers identify and adequately manage conflicts of interest (including in cases where cost or the need for prompt investigation counts against the appointment of an investigator from another section or district)
  - ensure that the risk of a conflict of interest involving investigation staff is considered at the outset of any investigation involving a police officer or police associate.
- R17 New Zealand Police should expand the content of its ethics training programme to include identifying and managing conflicts of interest, particularly in respect of complaints involving police officers or police associates.

**Support for sexual assault investigations**

- R18 New Zealand Police should ensure that training for the Adult Sexual Assault Investigation Policy is fully implemented across the country, so that the skills of officers involved in sexual assault investigations continue to increase and complainants receive a consistent level of service.
- R19 New Zealand Police should initiate cooperative action with the relevant Government agencies to seek more consistent Government funding for the support groups involved in assisting the investigation of sexual assault complaints by assisting and supporting complainants.

**Management assurance**

- R20 In relation to investigations of sexual assault complaints against police officers or police associates, New Zealand Police should have in place systems that
- verify that actual police practices in investigating complaints comply with the relevant standards and procedures
  - ensure the consistency of such practice across the country, for instance in the supervision of smaller and rural stations
  - identify the required remedial action where practice fails to comply with relevant standards
  - monitor police officers' knowledge and understanding of the relevant standards and procedures.

**Handling of complaints by the Police Complaints Authority**

- R21\* The Police Complaints Authority should improve its accessibility to people who may wish to make a complaint, for instance, by publicising its newly established website and by wider distribution of its information pamphlet.
- R22\* The Police Complaints Authority should, in conjunction with the police, the Ministry of Justice, and other relevant agencies, develop a communications strategy to increase the general awareness of the Police Complaints Authority and its work.
- R23\* The Police Complaints Authority should actively facilitate the reception of complaints by accepting oral statements on the basis that the complainant will confirm the Police Complaints Authority's written record of the complaint.
- R24\* The Police Complaints Authority should ensure it has more regular communication with those people whose complaints are under consideration.
- R25\* The Police Complaints Authority should seek feedback from complainants by way of random sampling on their experience of the complaint process.

R26\* The Police Complaints Authority should develop strategies for addressing its current backlog of complaints, including seeking additional resources as appropriate.

R27\* The Police Complaints Authority should be encouraged to exercise its discretion in favour of accepting historic sexual assault complaints. If there is any doubt about this matter, a further legislative amendment should be included in the Independent Police Complaints Authority Amendment Bill.

**The Police Complaints Authority and legislative requirements**

R28 The requirement for the police to notify the Police Complaints Authority of any complaints received by them “as soon is practicable” (section 15 of the Police Complaints Authority Act 1988) should be amended by adding the words “and in any case no later than 5 working days after receipt of the complaint”, and compliance with this requirement should be monitored by the Professional Standards section at the Office of the Commissioner.

R29\* The discretion in section 29(2)(a) of the Police Complaints Authority Act should be removed so that the Police Complaints Authority is required to notify the Attorney-General and Minister of Police if, within a reasonable time after the Authority makes a recommendation to the police under sections 27(2) or 28(2), the police fail to take action that seems to the Police Complaints Authority to be adequate and appropriate.

R30\* The Ministry of Justice should review the secrecy provision in the Police Complaints Authority Act, and make such recommendations as may be appropriate for those provisions to be repealed or amended (through the Independent Police Complaints Authority Amendment Bill) to ensure that the Act

- encourages the Police Complaints Authority to provide a reasonable level of communication with complainants on the progress of complaints
- does not inappropriately prevent the Police Complaints Authority from investigating complaints that may result in criminal or disciplinary proceedings being taken against a member of the police.

R31\* On the enactment of the Independent Police Complaints Authority Amendment Bill, the Government should ensure that the majority of members of the Police Complaints Authority are from outside the legal profession. If this is not possible with a three-person Authority (if the Authority and the deputy are both lawyers), the Government should give consideration to promoting further legislative change to enable a five-person Authority to be appointed.

R32\* The Government should adopt a policy to ensure that those appointed as members of the Authority reflect community diversity and strengthen the community’s perception of the Police Complaints Authority’s independence.

**Police disciplinary system and procedures**

- R33 Those provisions of the Police Regulations 1992 that establish the disciplinary tribunal system should be revoked as soon as possible to enable a more efficient system to come into force.
- R34 New Zealand Police should implement a best practice State sector disciplinary system based on a code of conduct in keeping with the principles of fairness and natural justice as part of the employment relationship.
- R35 The new disciplinary system should allow independent investigation of alleged misconduct where necessary or appropriate (in accordance with sections 5A and 12 of the Police Act 1958) but should not include the use of a formal disciplinary tribunal.
- R36 New Zealand Police should ensure that the human resource and professional standards functions are fully integrated in all aspects of their operations and systems.
- R37\* The Commissioner of Police should invite the State Services Commissioner to review the police approach to performance management and discipline to ensure their systems and processes are adequate, standardised, and managed to a standard that is consistent with best practice in the public sector.

**Code of conduct for police officers**

- R38 A code of conduct for sworn police staff should be implemented as a matter of urgency. Subsequently, the existing code of conduct for non-sworn staff should be brought into line with the new code for sworn members.

**Police Sexual Harassment Policy**

- R39 New Zealand Police should amend its Sexual Harassment Policy to include a requirement that any mediated resolution of a complaint of sexual harassment be finalised in writing and signed by both parties.

**Police policy on inappropriate sexual conduct and relationships**

- R40 New Zealand Police should develop standards, policies, and guidelines on inappropriate sexual conduct towards, and the forming of sexual relationships with, members of the public. These should be incorporated into all codes of conduct and relevant policy and training materials. The standards, policies, and guidelines should be developed with the assistance of an external expert in professional ethics and should
- specify actions and types of behaviour of a sexual nature that are inappropriate or unprofessional
  - prohibit members of police from entering any relationship of a sexual nature with a person over whom they are in a position of authority or where there is a power differential

- provide guidance to members and their supervisors about how to handle concerns about a possible or developing relationship that may be inappropriate
- emphasise the ethical dimensions of sexual conduct, including the need for police officers to avoid bringing the police into disrepute through their private activities.

**Police email and computer use policies**

- R41 Directions given by New Zealand Police management on what constitutes inappropriate use of police email and the Internet should not allow for any individual interpretation of appropriateness by police officers.
- R42 New Zealand Police should introduce a requirement that all staff sign a document to confirm that they have read and understood the acceptable use policies for the Internet and email. These requirements should be fully explained to all recruits during their training.
- R43 All police officers should be required to acknowledge that they have read and understood any changes to police computer use policies. These requirements should also be fully explained to all recruits during their training.
- R44 New Zealand Police managers should receive regular reports on the use of the Internet by their staff. This reporting requirement should be built into the early warning system that the police are developing (see recommendations R47, R48).

**Ethics training and ethics committees**

- R45 All New Zealand Police districts should implement a nationally consistent ethics training programme that all police officers are required to attend. Police officers should also be required to attend regular refresher courses on ethics.
- R46 New Zealand Police should ensure that the establishment of ethics committees is mandatory for all police districts. There should be a national set of guidelines to guide police districts on the purpose, operation, and membership of their ethics committees.

**Early warning system and performance management**

- R47 New Zealand Police should implement a nationally mandated early warning system in order to identify staff demonstrating behaviour that does not meet acceptable standards and ensure such behaviour does not continue or escalate.
- R48 The early warning system should ensure that all relevant information, sufficient to give a complete picture of an officer's full record of service, is captured in a single database, and is accessible to police managers and supervisors when making appointments and monitoring performance, as well as to complaint investigators when appropriate.

R49 New Zealand Police should review its approach to performance management, including the training provided to supervisors and managers, the performance appraisal process and documentation, and the methods in place to ensure that the follow-up identified in the performance improvement plans actually occurs.

**Police culture**

R50 New Zealand Police should continue its efforts to increase the numbers of women and those from ethnic minority groups in the police force in order to promote a diverse organisational culture that reflects the community it serves and to enhance the effective and impartial investigation of complaints alleging sexual assault by members of the police or by associates of the police.

R51\* The Commissioner of Police should invite the State Services Commissioner to carry out an independent annual “health of the organisation” audit of the police culture (in particular, whether the organisational provides a safe work environment for female staff and staff from minority groups). The need for the audit should be reviewed after 10 years.

**Reporting of allegations of sexual misconduct**

R52 New Zealand Police should review its current policies, procedures, and practices on internal disclosure of wrongdoing, and actively promote a single stand-alone policy for all disclosure, including (but not limited to) those made under the Protected Disclosures Act 2000. The policy should ensure that proper inquiry is always made where information received indicates that a police member or associate may have committed a sexual offence.

R53 New Zealand Police should ensure that the policy and the approach of “report and be protected” are well understood and implemented nationally.

R54 New Zealand Police should ensure that all other relevant policies, procedures, and practices are consistent with the stand-alone policy on the reporting of serious wrongdoing and the approach of “report and be protected”.

R55 The New Zealand Police ethics training programme should aim to foster a culture which encourages reporting of allegations of wrongdoing by police members or police associates and provide support to those who make disclosures, consistent with the “report and be protected” approach.

R56 New Zealand Police managers and supervisors should actively communicate to police members the expectation that they will report any allegations of sexual misconduct made against a colleague or a police associate. Police managers and supervisors should encourage and support members to report such allegations.

**Community engagement and feedback**

- R57 Each police district should establish groups of community representatives, chaired by recognised community leaders, which meet regularly to provide comment and feedback on police service delivery and policing issues throughout the district. Relevant information obtained from the feedback from the community should be incorporated into the police early warning system (see recommendations R47, R48).

**Implementation and monitoring of police initiatives**

- R58 New Zealand Police should rationalise the projects and initiatives currently in train (including those started in response to this Commission of Inquiry into Police Conduct, and the review of the Police Act 1958) and any further projects arising out of the Government's response to this report, to ensure that overlaps between projects are addressed, interdependencies are identified, priorities are assigned, and adequate resources are made available to do the work. New Zealand Police should address these issues in its annual statement of intent, and consult with the Minister of Police in respect of the priority to be given to projects.
- R59\* New Zealand Police should consult with and involve the State Services Commission and other public sector agencies, where appropriate, to ensure that the projects and initiatives of the type described in recommendation R58 take account of best practice in the public sector. The Government should take steps to remove any statutory impediment to such consultation and involvement.
- R60\* The Government should invite the Controller and Auditor-General to monitor, for the next 10 years, the New Zealand Police implementation of all the projects and initiatives of the type described in recommendation R58, and also the police implementation of the recommendations of this Commission of Inquiry into Police Conduct as approved by Government. The Controller and Auditor-General should report regularly to Parliament on this matter during the ten-year period.



# Appendix 2

## Our policing familiarisation and interviews

### Familiarisation

We observed the work of, and spoke to, Police staff in three Areas and two specialist units to familiarise ourselves with the work of the Police. This included accompanying police responding to incidents on a Saturday evening shift in Wellington and in Lower Hutt.

We carried out our familiarisation work before we started our audit fieldwork.

During our familiarisation work, we observed and spoke to:

- a Police station supervisor;
- Area Commanders;
- Community Constables;
- Community Engagement staff;
- general duties staff;
- Highway Patrol staff;
- staff in the Central Communications Centre;
- staff in the Wellington Police Maritime Unit;
- staff working in family violence teams;
- Traffic Police staff; and
- Youth Aid staff.

### Interviews

We also interviewed Police staff in a range of locations as part of our audit fieldwork. Some of these people were staff with constabulary powers, while others were staff without constabulary powers.

We interviewed one or more staff in each of the following ranks:

- Commissioner;
- Deputy Commissioner;
- Assistant Commissioner;
- Superintendent;
- Chief Inspector;
- Detective Inspector;
- Inspector;
- Detective Senior Sergeant;
- Senior Sergeant;

- Detective Sergeant; and
- Sergeant.

Our interviews were conducted in the Auckland region, in the Eastern District (Hawke's Bay and the East Coast), and at Police National Headquarters in Wellington.

Our District interviews were with Police staff with a wide range of functional responsibilities. These responsibilities included:

- a Tactical Co-ordinator;
- Custody Sergeant;
- District and Area Commanders;
- Human Resources and Policing Development Managers;
- Officer in charge of the Criminal Investigation Branch; and
- Station Supervisors.

We interviewed District managers and national and senior managers in Police National Headquarters. We also interviewed members of the Police's Commission of Inquiry team at Police National Headquarters.

## Appendix 3

# Initiatives under way at the time of the Commission of Inquiry into Police Conduct

This information appeared in Volume 2, Appendix 4 (pages 117-118) of the *Report of the Commission of Inquiry into Police Conduct*.

Police initiatives/Projects	Description
Governance project	Addressing the role of the Police Executive Committee, examining possibility of community input into police governance. Looking at way police manage emerging risks – operational and administrative. Includes establishment of the Assurance Committee.
Culture review	Will make recommendations on ways to minimise improper behaviour and improve job satisfaction within police.
Service Delivery Project	Designed to enhance services to public who interact with police. Includes recommendations from “the 111 review” 2005 and enhancing delivery of services to the victims of crime.
Integrity Project	To ensure Police remain free of corruption. Encompasses review of Professional Standards function and way internal investigations are conducted and overseen.
Improving diversity within New Zealand Police	Includes recruitment and retention of more women and ethnic minorities.
Protocol with Police Complaints Authority (PCA)	Clarifying the respective roles of New Zealand Police and PCA investigators when investigating the same matter.
Police Prosecution Service	Developing guidelines on use of Crown solicitors in operational and prosecutorial contexts (including consideration of circumstance in which external advice should be taken when police consider laying charges against police staff).
Adult Sexual Assault Investigation Policy	Developing mechanisms for keeping the policy under review, and ensuring compliance with it in practice.
Police liaison with Doctors for Sexual Abuse Care (DSAC)	Improving the coordination with DSAC by establishing a national point of contact in the Office of the Commissioner.
Corporate Instrument Review Project	A comprehensive review of all aspects of policy-making and the various documents in which police policy is recorded, designed to review and streamline all police policies and procedures.
Inappropriate relationships	Development of a policy and guidelines on inappropriate relationships by police officers.
Standard commendation letters	Police officers facing criminal or disciplinary charges who resign no longer receive standard commendation letters from Human Resources.
Code of conduct for sworn members	Developing a code of conduct for sworn members within the existing legislative framework.
Integration of Human Resources and Professional Standards sections	Bringing together the two areas so that they are no longer regarded as separate entities.



## Appendix 4

# The New Zealand Police's full-time equivalent staff

As at 28 February 2009, the Police had 11,756 full-time equivalent staff.

Districts and units	Number of full-time equivalent staff
Auckland Metro Crime & Operations Support	292
Auckland City District	887
Bay Of Plenty District	738
Canterbury District	1,010
Central District	791
Commercial Vehicle Invest Unit	106
Corporate Service Centre	9
Counties/Manukau District	986
Crime	170
Eastern District	478
ICT Service Centre	272
International Service Group	84
Legal	20
Licensing and Vetting	27
National Communications	515
National Prosecutions	284
Northland District	374
Police Infringement Bureau	111
Police National Headquarters	362
Southern District	655
Tactical Groups	78
Tasman District	363
Training Service Centre	584
Waikato District	694
Waitemata District	892
Wellington District	974
<b>Total</b>	<b>11,756</b>

Source: New Zealand Police.



# Appendix 5

## Functions of the New Zealand Police and principles of policing

Sections 8 and 9 of the Policing Act 2008 set out the functions of the New Zealand Police and the principles of policing. These functions and principles are reproduced below.

### Functions of Police include:

- keeping the peace;
- maintaining public safety;
- law enforcement;
- crime prevention;
- community support and assistance;
- national security;
- participation in policing activities outside New Zealand; and
- emergency management.

### Principles of policing:

- principled, effective, and efficient policing services are a cornerstone of a free and democratic society under the rule of law;
- effective policing relies on a wide measure of public support and confidence;
- policing services are provided under a national framework but also have a local community focus;
- policing services are provided in a manner that respects human rights;
- policing services are provided independently and impartially; and
- in providing policing services every Police employee is required to act professionally, ethically, and with integrity.



## Appendix 6

# Change indicators suggested by New Zealand Police staff

The following is a list of potential indicators (direct or indirect) of changes to the Police culture, behaviours, or attitudes that were suggested by Police staff during our interviews with them:

- absence of, or reduction in the number of, complaints against Police;
- amount of discussion within Police about what good policing is;
- attitude and disposition of staff at police stations and in the community;
- Code of Conduct related complaints about Police;
- complaints against Police including the numbers upheld (we were told that “complaints are all about public confidence”);
- length of time in a position – especially for supervisors;
- levels of collective problem-solving;
- number of leaks of information;
- number of personal grievances and disputes;
- number of rewards and awards received by Police;
- numbers of applications for vacant positions;
- public satisfaction surveys;
- standard of Police dress, including wearing of caps (an indicator of professionalism);
- statistics on use of force by Police; and
- time and investment in leadership development.



## Appendix 7

# Selected comments about workplace culture within the New Zealand Police

During our interview sessions with Police staff, we asked about what the culture of the Police was like and how this had changed since the Commission of Inquiry into Police Conduct was carried out. We sought this qualitative information to help us better understand the culture of the organisation, the range of people's views about that culture, and whether and how people considered that it was changing.

The following quoted comments were made to us during our interviews with Police staff.

### Police culture

- “action oriented;
- all around the world, Police services have a strong culture;
- being unique to Police is always our excuse for everything;
- generally healthy;
- in the Police the culture is very strong;
- leadership is not the culture of the organisation;
- not a strong performance management culture in the organisation;
- police are a blue collar organisation working in a white collar society;
- there'll always be a Police culture;
- tightly held and extraordinarily political organisation;
- the average police officer would far prefer to confront an armed Mongrel Mob member than have a difficult conversation with an employee; and
- the culture is not so bad that it needs a bomb under it.”

### Changes to Police culture after the Commission of Inquiry

- “a wave of people saying we can do things differently;
- change is still hard, but it is less painful;
- definitely improving;
- in the two years I've been here this place is a different place;
- its not just gut feel decision-making any more;
- [move towards a] more positive space;
- new way of thinking these days;
- no great outward change;
- pockets of resistance are relatively small now;

- some steps forward, but have also experienced some bashes back;
- probably a babe in arms in the change cycle; and
- the hardest battle is yet to be fought.”

#### **Other aspects of changing Police culture**

- “a lot of us are paying for the sins of the fathers;
- leadership is what brings about cultural change; and
- there is a significant risk in tying the responsibility for significant organisational change into a rank structure.“

# Publications by the Auditor-General

Other publications issued by the Auditor-General recently have been:

- Statements of intent: Examples of reporting practice
- The Auditor-General's views on setting financial reporting standards for the public sector
- Inland Revenue Department: Managing tax debt
- Electricity Commission: Review of the first five years
- Local government: Results of the 2007/08 audits
- How government departments monitor Crown entities
- Inquiry into immigration matters
- Central government: Results of the 2007/08 audits
- Annual Plan 2009/10
- Workforce planning in Crown Research Institutes
- Performance audits from 2007: Follow-up report
- Department of Corrections: Managing offenders on parole
- Housing New Zealand Corporation: Maintenance of state housing
- Annual Report 2007/08
- Ministry of Health: Monitoring the progress of the Primary Health Care Strategy
- Ministry of Education: Supporting professional development for teachers
- Inquiry into the West Coast Development Trust
- Maintaining and renewing the rail network
- Reporting the progress of defence acquisition projects
- Ministry of Education: Monitoring and supporting school boards of trustees
- Charging fees for public sector goods and services

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Office of the Auditor-General  
PO Box 3928, Wellington 6140

Telephone: (04) 917 1500  
Facsimile: (04) 917 1549

Email: [reports@oag.govt.nz](mailto:reports@oag.govt.nz)  
[www.oag.govt.nz](http://www.oag.govt.nz)