

Planning Toolkit for the National Police Promotions Framework

July 2010

national **AGENCY** POLICING

Roll out of National Police Promotion Framework

Guidance for forces to help plan the transition

Forces could work through the following list of areas for consideration in preparation for implementing the National Police Promotion Framework (NPPF) which incorporates assessment against National Occupational Standards (NOS). This guidance is intended to support forces working through the formal readiness and application criteria and in particular to help you consider resources needed.

The NPIA website will be regularly updated to ensure you are kept up to date with any changes and additions to this document. Please regularly check www.npia.police.uk/promotions

1. **Promotion Policy**
2. **Operating Manual compliance**
3. **Licensing System**
4. **Data capture arrangements**
5. **Marketing and communication to all involved**
6. **Transition plan from OSPRE Part 2 to new approach**
7. **Making information and support available to candidates and supporters**
8. **Resourcing requirements (project team, assessors and verifiers, awarding body/external verifier selection)**

Suggested work	Rationale
Promotion Policy	
Develop a Promotion Policy (if one is not already in existence)	Police Promotions Examinations Board (PPEB) expects force to have policy to ensure fair promotion. The licensing system assures that this is the case
Operating Manual compliance	
Ensure that the force processes and procedures comply with the requirements of the Operating Manual (in respect of steps 1, 3, and 4).	Inspection by NPIA will check compliance with the national requirements. This Inspection may vary in how long it takes according to local circumstances in a force.
Licensing System assessment	
Ensure that the force processes and procedures meet the requirements of the licensing system (in respect of steps 1, 3, and 4). The candidates biographical data will be captured by NPIA at the registration to step 1	Early comparison of requirements of licensing system and existing force position essential. Readiness criteria aligned to the operating manual and licensing system will be considered as a part of the selection process and on take up the licensing system will be applied to ensure QA processes are in place
Data capture arrangements	

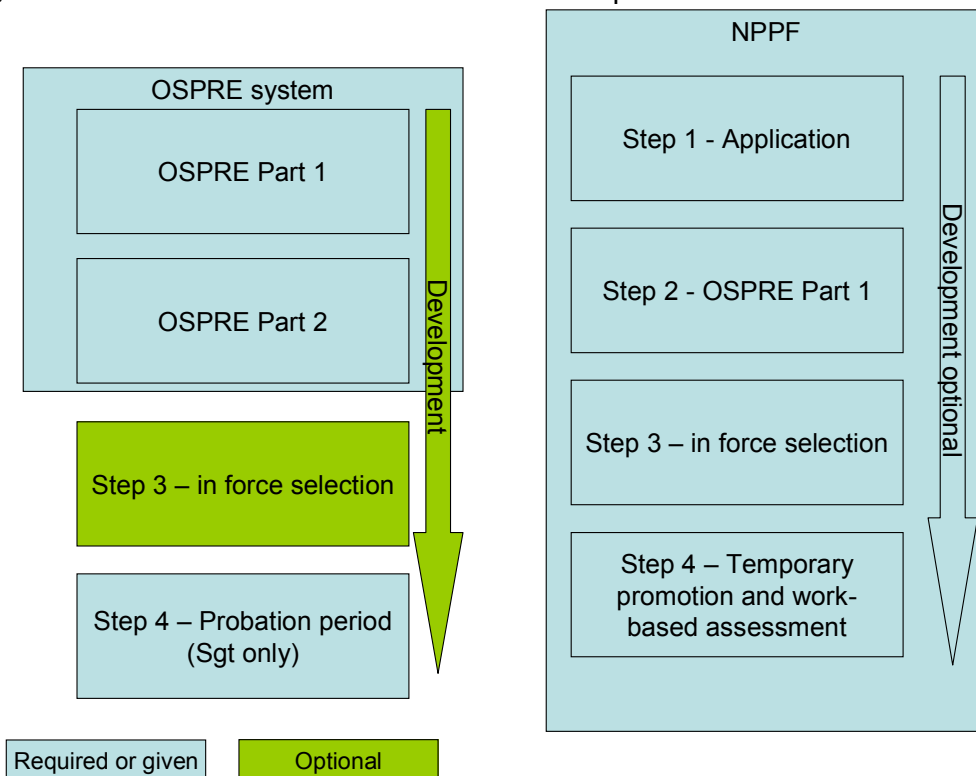
Suggested work	Rationale
Ensure that the force is able to capture and report to NPIA data on all candidates, at their progress through each of the four steps	NPIA will require quarterly updates of the current status of all candidates. The CASA system is used to assist in this respect, and it is working effectively. This data capture requirement will start once a force joins the NPPF to allow those officers already at Step 1, Step 2 and Step 3 to be captured
Marketing and communication to all involved	
New process requires a greater degree of engagement from line managers and commanders; effective communication and marketing is essential	Early and continuing communication is necessary to roll out this change successfully. The force project manager or implementation team should consider working closely with corporate information or communication teams, drawing on national materials where possible. Forces may wish to hold seminars/workshops as part of the rollout to ensure both potential candidates, and line managers, understand the nature and detail of the NPPF
Transition plan from OSPRE Part 2 to new approach	
The force will need to develop a transition plan which ensures that each category of candidate is presented with a clear view of options and deadlines	On the date that the force joins the NPPF, officers with a pass at OSPRE Part 1 will have the one-way option to move from the Part 2 process and into Step 3. More information on this topic can be found on the web page in the FAQ document.
Making information and support available to candidates and supporters	
Full and clear information needs to be made available to candidates, line managers and other advisors	Start building the local intranet site ASAP, including for example FAQ's (which can include a link to the NPIA site at www.npia.police.uk/promotions). This is an essential element to an effective internal communications plan
Resourcing requirements (project team, assessors and verifiers, awarding body/external verifier selection)	
Local business cases may be required to ensure appropriate resources are allocated to the promotion system. Staffing and other non pay costs will need to be built into business plans	Start work on these ASAP. Notes below are intended to help with this. Consideration needs to be given to the make up of both internal assessment and verification, as well as external verification

Resourcing for the National Police Promotion Framework

1. The rest of this paper is intended to help inform forces making the change to the NPPF of the resource and financial implications of the change. It is based on the experience of Thames Valley Police as one of the seven trial forces, but should be seen as a template for application within each force (or consortium of forces).

Preface and important considerations

2. Each force needs to appreciate that NPPF does not simply “replace” the existing system but is a significant change. The diagram shows that the remit of the PPEB for the OSPRE-based system stops after OSPRE part 2, and does not cover the remaining steps, whereas for NPPF the remit covers all four steps.



The existing system assesses potential for promotion through OSPRE Parts 1 and 2. It may be followed by:

- An in-force selection process (eg promotion board)
- Development courses for newly promoted sergeants and inspectors
- Confirmation of competence in the new rank (particularly for sergeants who have a year on probation)
- Leading to substantive promotion.

Note that these latter stages are NOT within the remit of the PPEB and are therefore NOT subject to any form of national standardisation or national quality control. There is therefore no agreed national standard or approach to selection in forces. There are however agreed rank profiles based on the Integrated Competency Framework; mapped to the National Occupational Standards and which should be assessed against as part of the PDR process (required by Home Officer Circular 014/2003).

The NPPF starts earlier, with the initial engagement between candidate and force in agreeing the application for promotion and allowing the candidate to progress to Step 2 (OSPRES Part 1).

It also extends right through to the point of substantive promotion. It entails:

- Step 1 – competence in the current rank, at which point development may start
- Step 2 - OSPRES Part 1 examination of law and procedure
- Step 3 - An in-force selection process (eg promotion board)
- Development programme (eg CLDP) for those going through promotion to sergeants and inspectors
- Step 4 - Temporary promotion to a post at the new rank for a period of 12 months
- Step 4 - Assessment of competence in the new rank against nationally agreed standards, with external validation of the assessment, leading to substantive promotion.

3. In looking at the resource implications of the change it is therefore important to consider:

- In 2003 ACPO Cabinet signed up to a set of principles for the promotion system which included supporting candidates through the promotion process with appropriate learning and development. This set of principles was then adopted by PPEB to underpin the promotion trials. See Appendix 1.
- To provide a baseline, Forces should assess the overall costs to themselves and the service of the whole of the current approach including the “optional” elements, or put another way, the costs which would continue to be incurred if the force did not move to the new approach. It is inappropriate to exclude costs incurred after OSPRES Part 2.
- Forces should forecast costs of the new process and record actual costs against the forecast (see below). Using the NPPF financial template (see web page) will assist forces in working out indicative costs.
- The nationally recognised need to improve the management and leadership skills especially of first and second line supervisors. The HMIC thematic report on this elaborates further, and this aligns with the new Leadership Strategy for the service launched in April 2008.

Determining current and future costs

4. The suggested approach is to take each step of the new approach and determine the resource requirements, identifying the costs, savings and benefits at the same time. These notes address running costs; there will of course be some implementation costs associated with setting up new systems and approaches.

Step 1

5. In the original trial proposals in 2003 all forces were supposed to implement Step 1 – whether sticking with OSPRES Part 2 or joining the trial. In the event only trial forces formally adopted Step 1. The issue of suitability for promotion forms part of the normal career discussion as part of the PDR process.

6. Resource requirements are minimal.

7.

Resource type	Changes	Comments
Manager/candidate time	<ul style="list-style-type: none"> • Minimal, career discussion required as part of manager role 	Decision to seek promotion to be evidenced in PDR

Resource type	Changes	Comments
Central/admin team time	<ul style="list-style-type: none"> Administration of Step 1 Provision collection and return of forms Collation of information 	Typically forms small adjunct to existing OSPRE Part 1 process, but force will need to use data capture system and its documents.
Finance	No requirements	The average cost of Step 1 trial Forces is around £12 per candidate, representing admin and manager time.
Systems	<ul style="list-style-type: none"> Possible: Minor change to PDR system to record result of career discussion Appeals Process 	Check the operating manual for guidance
Documentation	<ul style="list-style-type: none"> Provision of Step 1 guidance and forms on intranet, Development of Step 1 form 	Similar Issue to Marketing and Communications. Staff and Line managers will need training to ensure this is a standardised robust process. Some forces are using standardised assessment forms across the force for all forms of assessment

Step 2

8. No change to the process: Step 2 is OSPRE Part 1. However it is worth noting the introduction of Step 1 could possibly cause a reduction of the number of candidates, matched by an increase in the pass rate. In recent years trial Forces typically have a pass rate of 10% above non-trial Forces. Therefore there may be resource/time/cost reductions, but worst case is no extra cost.

Resource type	Changes	Comments
Manager/candidate time	<ul style="list-style-type: none"> If there are fewer candidates this will potentially lead to reduced costs of crammer courses and reduced study leave allowances 	Trial forces have seen a reduction in the number of candidates for Part 1 (although balanced by increases in their pass rate). The time saved equates to nearly one extra officer. Further some trial forces have seen a significant reduction in the level of withdrawal between application and examination, representing savings in administration time and effort.
Finance	<ul style="list-style-type: none"> Potential reduction in costs of crammer courses, and in travel costs for courses and 	The average cost of Step 2 trial Forces is around £75 per candidate, representing admin time, crammer

	examination can be achieved by those forces who provide it.	courses and similar support, exam hall hire.
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Step 3

9. Step 3 is the in-force selection process. Since this is now covered by the PPEB remit the force needs to be able to demonstrate that this process is fair and reliable. At this time also the leadership and management development programme (such as CLDP) can start to impact.
10. There may be resource implications if this process needs “beefing up” to meet the licensing criteria. However each force chooses its own appropriate in-force selection process, and therefore chooses the cost of the process. Forces should note that more objective processes will tend to generate fewer appeals and grievances.

Resource type	Changes	Comments
Manager/candidate time	<ul style="list-style-type: none"> • Any change required to improve fairness and reliability re in-force selection • Equality Impact Assessment • Potential change for participation in CLDP (or equivalent) • Training for Step 3 assessor/ board members 	This could be a significant and positive change in some forces. Also concerns about the capacity to find the time to undertake correctly
Finance	<ul style="list-style-type: none"> • Little change re in-force selection • Potential change for running CLDP (or equivalent) 	Use national training costing model to determine cost changes

Step 4

11. Step 4 is the work-based assessment (in parallel with development). Quality assurance of assessment is best achieved by following standard NOS assessment processes, with registration of candidates with an awarding body which also provides external validation.
12. Step 4 for trial forces is where the main change is seen. It is important to note that this will be in place of any support for Part 2, including allowances for study time. It is also vital to understand that the assessment in Step 4 simply makes formal and structured what should have already been in place. At the Sergeant rank, those newly promoted following OSPRE Part 2 are in probation for a year. In theory at least each force should have mechanisms in place to ensure that promotion to substantive rank is based on clear evidence of competence in the rank, and Police Regulations allow extension of probation or ultimately demotion.
13. As an example, TVP regularly get reports that the process of assessment against defined standards helps in driving up performance. Their assessors act at times as coaches helping individual candidates get to grips with the responsibilities of the role. In a recent survey of those completing the assessment 9 out of 10 candidates said their performance

had improved as a result of the process, although as mentioned above, that should have been happening all along.

14. However this is the step which most forces see as incurring additional costs. When comparing costs however, note that Step 4 is only undertaken by those who have been posted following Step 3; OSPRE Part 2 is taken before in-force selection, and may be double or triple the volume.

Resource type	Changes	Comments
<p>Manager/candidate time for assessment</p>	<ul style="list-style-type: none"> • Depending on the assessor model may require manager time • Candidate will require some time to plan and prepare assessment activity. • A1 Assessor Training (one provider quotes “The A1 Assessor Award is a one-day course with individual assessor support and ongoing assessments as follow-on”). • V1 Verifier Training (one provider quotes “The V1 Verifier Award is a one-day course with individual assessor support and ongoing assessments as follow-on”). • Under the Unified assessment strategy and related to the Qualifications and Credit Framework the requirement for assessors and verifiers to be trained remains • The requirement that they be qualified or working towards A1 or V1 no longer exists. Forces can still choose to qualify to A1 or V1. • Forces must continue to operate quality assurance mechanisms such as standardisation meetings. 	<p>(see below)</p> <p>Portfolios should contain assessors’ decisions; and should not be time consuming collations of evidence prepared by the candidate.</p>
<p>Candidate time for Part 2</p>	<ul style="list-style-type: none"> • No Part 2 study leave nor crammer course attendance for 	<p>For TVP this equates to a substantial saving: say 160 Part 2 candidates a year,</p>

Resource type	Changes	Comments
	candidates <ul style="list-style-type: none"> No Part 2 exam leave for candidates 	each with a few days study leave and a day to attend the assessment centre totalling 480-640 days lost per year (The Eikonika report suggested that each officer takes 150 hours on average to study for Part 2 – but does not state this is all from ‘work time’). Dropping Part 2 therefore gains approx 2 to 3 FTE officers.
Central team	<ul style="list-style-type: none"> Assessor time increase Administration increase Decrease due to no administration of Part 2 	(see below)
Finance	<ul style="list-style-type: none"> Fees for awarding bodies No travel and expenses for crammer courses and Part 2 exams 	Approx £110 per candidate but negotiation may reduce this. Overall the average cost per candidate for trial forces is around £1,200 of which the bulk is assessment time.

Modelling assessment time

The “hybrid” approach adopted by some trial forces is described in Appendix 3. The parameters for assessment using this approach are:

Activity	People involved	Duration
Line manager training as assessor (2 units). Split based on previous NOS which were split 2 for line managers, 4 for assessor.	Line managers (and delivery team)	1 day per manager (initial cost only)
Candidate briefing on assessment process, etc	Candidates (and delivery team)	½ day per candidate
Initial planning meeting	Candidate	2 hours
Initial planning meeting	Assessor	2 hours
Assessment	Candidate The assessor visits the candidate where evidence is assessed in the workplace. Decisions are recorded there and then	13 visits @ 3 hrs; but note that much of this assessment will be undertaken while the candidate is carrying out normal duties, through observation
Assessment	Line manager Remember the line manager will anyway need to coach and develop the candidate	5 visits @ 3 hours for the line manager assessor
Assessment	Assessor	8 visits @ 3½ hrs (inc travel allowance) for the main assessor

Activity	People involved	Duration
Standardisation meetings	Line manager	Should attend 2 ½ day meetings in the year
Quality assurance of assessment	Internal Verifiers (assessors)	2 hours per candidate. The hybrid approach makes this more efficient.

Appendix 1

Principles for a future promotion approach

The following principles for a future promotion process were endorsed by ACPO Cabinet.

- a) Move from a “de-selection” approach to a process supporting a career pathway. The process should be holistic, using formative assessment (i.e. assessment which helps drive development), and summative assessment (i.e. assessment in the workplace which confirms capability to perform the role).
- b) Open and transparent. The current approach provides little or no guidance to candidates on their areas requiring further development. The new approach must be capable of providing feedback to the individual on their performance.
- c) Use emerging national standards. The opportunity now exists to embed the process in the Integrated Competency Framework, incorporating occupational standards. Although work remains to get from Sergeant and Inspector role profiles to assessable standards, this principle is widely supported. An option of offering external qualifications as part of the process may be required by certain forces.
- d) Local management to national standards. Responsibility for managing the promotion process will belong to forces, with nationally consistent standards ensuring fairness and comparability. The use of an Awarding Body to verify assessment processes will confirm compliance with national standards.
- e) Leadership built in. The process will incorporate assessment and development of leadership capability, supporting the national learning strategy.
- f) Build on PDR process. The process will use the existing PDR process wherever appropriate, supported by any evidence required to meet Awarding Body standards.
- g) Allow flexibility. The process should be built around a career pathway which has variable time scales and allows for specialist roles. It should also allow pauses while an individual say acquires a specialist skill, and be paced at the individual’s rate of development.
- h) Meet volume requirements of forces. Given the critical staffing situation which many forces find themselves in it is axiomatic that the process meets the requirements of forces to develop sufficient promotable candidates.

The Police Promotion Review Board added

- a) Robust Assessment in the work place/process. The Service should develop a comprehensive and consistent Assessment Strategy, which is capable of supporting all aspects of career development as well as the promotion process. This will provide a consistent approach to the assessment of individuals against core competencies.
- b) Diversity and Integrity. The process should embrace key concepts of equality, fairness and act positively to instil the public with confidence that the future leaders of the Service respect diversity.

Note: Skills for Justice have developed a unified assessment approach.

Appendix 2 – Development

Leadership and management development

Forces should recognise that Step 4 combines development and assessment, and the two are interlinked. The individual would rightly be aggrieved if assessment is carried out without any opportunity provided for development. Likewise the force would be failing in its duty if it expected newly promoted Sergeants and Inspectors to perform competently and yet failed to provide development.

Forces can use learning (e.g. Core Leadership Development Programme modules) to develop knowledge and understanding and initial skills application, and assessment in the work place to support application of the learning in practice. Indeed the NPIA licence agreement for CLDP explicitly requires forces to support participants after the modules as they attempt to apply new skills in leading and managing teams.

The national occupational standards provide a structure – explicit to both candidate and assessor – for the assessment of competence over a range of situations and repeated a given number of times. This allows a process of review and feedback leading to improvements in competence, and the TVP experience is that candidates welcome this support as they gain their feet in the new role. It is also self-evident that the individual who goes through this route is likely to be a better manager than one who has simply passed Part 2.

The ethos underpinning the trial and assessment against NOS is developmental or formative over an extended period of many months – helping the individual develop the skills required to perform and lead competently in the workplace, and not the completely summative (pass or fail) approach of OSPRE Part 2 which uses off-the-job exercises.

Appendix 3

Hybrid approach for assessment

Thames Valley Police decided to introduce assessment for the promotion trail using what has become known as the “hybrid approach”. Having recognised early on that they would need to develop line managers as assessors and help them standardise their assessments the force saw that it needed a small central team, who would also act as internal verifiers to help assure fairness in assessment.

They also determined that asking line managers new to formalised assessment to assess six national occupational standards (or 12 if two candidates) was likely to create extra pressure on already pressurised ranks. Therefore they set up the assessment so that the three management units and diversity unit (for Sergeants) are assessed by members of the (relatively less expensive police staff) central team, and the Inspector line managers assess the two policing units.

This allows line managers to gain the A1 assessor qualification, and retain some responsibility for the assessment of their staff, but releases a lot of their time for operational work. The line manager is trained and supported by a member of the central team, and the candidate’s assessment is planned and managed professionally.

Internal verification work is more efficient with the hybrid approach since much of the assessment is done by full-time assessors. As line managers assessors are gaining experience, their internal verification takes 80% longer.

Thames Valley Police, as an example. For around 86 promotion candidates per year, has a central team of one team leader and four assessors. They have since 2005 also developed 72 qualified assessors at Inspector and higher ranks, and have a further 40 working towards their A1 qualification (as at 31st March 2010).