

Synthesis of Existing Literature on Performance Management in Law Enforcement Agencies

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ABSTRACT

Law enforcement has been a strategic tool of governance across the world. Every year, governments are investing huge financial resources on crime prevention and maintaining law and order. Growing threats of terror attacks, overcrowding of population in cities and enhanced socio political importance of police force has put immense pressure on law enforcement agencies. Western countries adopted New Public Management (NPM) concept of performance management of public sector entities in early 90's.

This paper is an attempt to synthesise the existing literature work on performance management in general and in terms of law enforcement agencies in particular. The review includes study of classical models of performance measurement and management, moving on to various frameworks developed or customised for improving performance of public sector enterprises.

Two major frameworks such as (Compstat and Balance Scorecard), are widely used in performance management of law enforcing agencies across the globe. The models, their basic perspectives and application of these models by various police forces are discussed. Major findings and conclusions based on some of the seminal papers are collated together.

Exploring factors which acts as antecedents of individual performance of police personnel across the world and specifically in Indian context would be the future agenda of our ongoing research activity.

Keywords: police performance management, Balanced Scorecard, Law Enforcement, Compstat.

INTRODUCTION:

Law enforcement agencies are considered as the backbone of governance and protector of citizen's interest across the globe. Police force is the first touch point between the government and the citizen in maintaining law and order situation. Considering the aggravated threat of terror attacks, police force is used strategically by the governments to identify the potential terror attacks or conspiracies against the country. Over the period of time, role of policing has evolved from reacting to criminal activities to proactively managing and controlling the emergence of criminal intentions amongst the society. Across the globe, senior leaders in police department have been devising various management techniques to improve accountability of the work force. On the other hand, there exists a challenge in front of the police force to change the perception about 'police officers' amongst the citizens. Community policing, better dialogue between citizens and police officers and creating a sense of belonging towards the police system are some of the measures adopted by the top cops to ensure cordial relationship between society and police community.

Although, the police system comes under the typical 'performance management domain', the nature of job performed, quickness in terms of actions and possible impact of decisions on public life underlines the need to look at performance management of police system differently. This paper is an attempt to study and synthesise existing literature on 'performance management' of 'law enforcement agencies'. Initially, the existing

knowledge base on classical models of performance management and key determinants of 'job performance' is studied. Various performance evaluation frameworks developed for private sector are also studied. Some researchers tried to customise these frameworks for their fitment in public sector set ups. CompStat (Developed by New York Police Department in 1994) and Balanced Scorecard (Kaplan and Norton, 1992) are the two major performance management systems used globally in managing performance of the police force. A review of literature on application of both the systems and its practical implications on performance management is reviewed under this research work.

The paper also attempts to explore various factors acting as antecedents of job performance in policing duty. Since the police job is 24*7 activities, the role of stress on performance of the force, occupational stress, its possible impact on a cop's personal life and related problems such as burnout and intension to quit are also studied. This study is expected to set a background for further research directions coming out as a result of the research synthesis in this taxonomy.

Factors studied under the literature Review:

Various themes and factors studied under the literature review are as follows,

Performance Management:

Performance management is one of the most researched domains in human resources, personnel management and studies on organisational behaviour. According to (DeNisi, 2000), "Performance Management refers to the range of activities engaged in by an organization to enhance the performance of a target person or group, with the ultimate purpose of improving organizational effectiveness". In simple words, this definition tries to link the performance of an individual or a group with pre decided organisational objectives. (Baron & Armstrong, 1998) claims that, the performance management must also involve developing capabilities of the team and individual effectiveness, as these factors have a direct impact on organisation's performance. So this definition is broader in sense and gives a holistic view of performance management ingredients.

(Husleid, 1995) studied high performance work practices exercised by 968 firms based in USA and proved that, these practices do have a short term direct impact on employee outcomes (turnover and productivity) and short term and long term financial performance of the organisation. In a way, these results are in sync with the underlined need identified by (Baron & Armstrong, 1998) to integrate financial performance measures with individual improvement measures in a performance management system.

(Mwita, 2000) presented a critical review of new performance management models for improving quality of public services. It discusses ABC model of Behaviour change, which talks about three major elements such as antecedents, behaviour, and Consequences of any action. Antecedent is the trigger (which causes the action) and consequences are the ultimate outcomes of a particular action. So it suggests controlled interventions to introduce triggers for an individual performance so as the desired outcomes can be achieved.

The paper also refers to factors affecting performance of an individual, suggested by (Baron & Armstrong, 1998). According to this report, job performance is based on five major components such as Individual factors, Leadership factors, Team factors, system factors and contextual factors. So while measuring performance, impact of all factors should be factored in before arriving at a decision about performance levels.

(Judge et al., 2001) provided a meta-analysis of seven classical models of job performance to establish a relationship between job satisfaction and job performance. The researcher concluded that, there exists a strong relationship between these two variables, although the degree of statistical support received by each of the classical model varies.

(Viswesvaran & Ones, 2000) reviewed contemporary models of job performance and tried to establish links between task performance, contextual performance, organizational citizenship behaviours, counter productivity and organizational deviance. The paper also stressed upon the need to develop a generic model of performance measurement suitable for across various job scenarios. The results indicate that, the different determinants and dimensions of individual job performance are positively correlated with job performance, although the lack of consensus in existing literature over the degree of effectiveness of individual factors is underlined.

(Salgado, 1997) tried to explore relationship between the five factors of human personality which determines the performance (Neuroticism, Extraversion, Openness to Experience, Agreeableness, and Conscientiousness) and the impact of each of these factors on job performance. It was observed that, Conscientiousness and Emotional Stability are valid predictors for all criterion types, and Openness is a valid predictor for training criteria.

(Hartog and Paauwe, 2004) presented a model for Performance Management by combining insights from strategic HRM and I/O psychology. The model incorporates factors such as employee perceptions, the role of

direct supervisors and possible reversed causality. The paper stressed upon the need for a comprehensive model of performance management which would integrate various determinants already researched in this taxonomy.

Performance Measurement:

In terms of managing the performance, it is important to have clear measurement standards to arrive at the correctness or effectiveness of the performance. According to (Frayer, 2009) performance measurement has four critical elements such as

- Deciding what to measure- The quantitative and qualitative aspect of performance measurement, clearly laid down by the organisation and well communicated to the employees.
- How to measure it- The process or the toll which will be used to calculate or evaluate the performance of an employee or a group.
- Interpreting the data- The measured data has to be graded or evaluated on the basis of various set standards and parameters to arrive at a meaningful conclusion.
- Communicating the results- The interpretation of the results has to be communicated to the concerned employees for follow ups and corrective actions.

Performance Management in Public Sector enterprises:

Majority of the traditional performance management systems and practices were originated for private sector enterprises, where maximisation of investor's/promoter's wealth is prime concern. However. The need to make public sector offerings much more stakeholder's centric paved way for customisation of existing models to the typical needs of public sector enterprises. At the same time, governments across the world started feeling the need for a robust performance measurement system to attract and retain top talent in the system. Followings are some of the research papers which studied various models of performance management in public sector enterprises.

A research by (Dooren et al., 2010) titled "performance management in public sector" defines the 'performance' into four major perspectives. The first one is "act or task being carried out by the performing agent". It should be noted that, the effectiveness of such acts are not considered in first perspective. Second angle is the 'value judgement' which indicates, whether the task is being performed above or below the standards. Last two factors includes 'quality of the actions' and 'quality of the achievement', which are the quantifying measures to decide the ultimate outcome of the task performed. This book also summarises various previous studies based on performance of public sector enterprises and found four major performance parameters such as financial, human resources management, capital management and information technology management.

(Brignall and Modell, 2000) made comparative evaluation of three classical models used for performance measurement in public sector enterprises such as (Fitzgerald et al., 1991), (Lynch and Cross, 1991) and (Kaplan and Norton, 1992) on three basic parameters such as shareholder's, customer's and employee's prospective. The paper further discusses multidimensional theory of performance measurement and management.

Based on the previous literature synthesis, (Frayer, 2009) found three major problems related with performance management in public sector enterprises. First problem is 'technical' which includes selections of various tangible performance indicators and interpretation of the data collected on such indicators. Since profit maximisation or shareholder's value maximisation is not the only aim for public service enterprises, determining these set of indicators becomes a challenge. Secondly, system problems are related with integrating the desired 'performance matrix' into our regular system. Since the public organisations are not tuned to gathering and analysing such a data set, it becomes difficult to integrate evaluations system into organisation's culture and which becomes the major cause of an employee's disinterest or procrastination in terms of accepting new and object oriented performance management system. The third set of problems is called as people issues and their involvement in performance management process per say. The author advocates structured interventions to manage employee's interest and right attitude towards performance system.

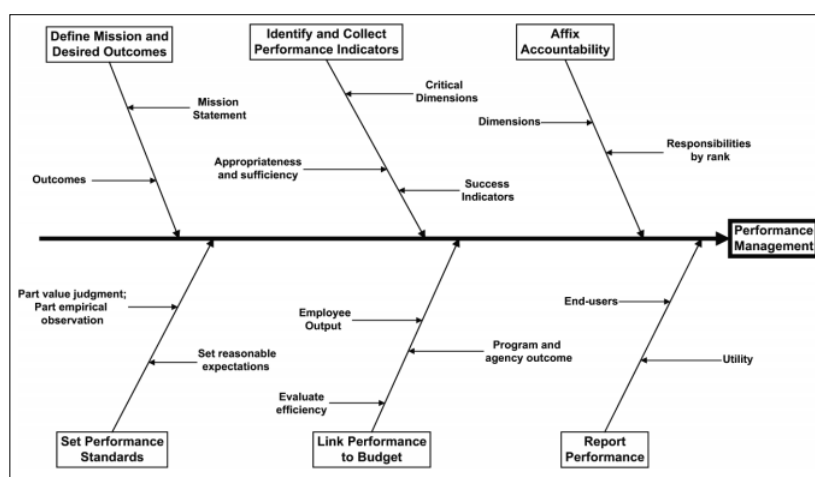
Performance Management in Law enforcement agencies:

As the management world progressed in terms of performance management systems, the need for a better system to control and gauge the performance effectiveness in law enforcing agencies aggravated. Some of the forward thinking police leaders introduced systems such as CompStat while some contemporary frameworks such as Balanced Scorecard (Kaplan and Norton, 1992) were adopted to bring in the scientific approach to performance measurement and management in law enforcing agencies. The study on these factors is critical, considering the socio-political role played by police and other law enforcing agencies. Following are some of the studies which advanced this agenda.

According to (Loveday, 1995), the primary reason behind introducing New Public Management (NPM) to police sector was to “ensure that police focused their resources and their service delivery priorities on specific geographical areas and crimes so that the social outcomes that the government considered important could be achieved.”

According to (Shane, 2009), the performance of a police officer can be measured in terms of two factors such as Traits dimensions, which is graded by the officer’s immediate supervisor on the basis of subjective judgement of the officer’s behavioural traits shown during performing the duty (leadership, emotional stability, quality of communication with various stakeholders etc). Another dimension is the measurement of activities arising out of policing duties (frequency or accurateness of patrolling rounds, number of cases solved, and performance in terms of bringing down the crime rate in assigned area). The author advocates connecting police activities to intermediate objectives, and to end outcomes to have more effective performance measurement and presented a detailed performance framework, which is shown as figure no. 1

Figure No. 1: Performance Framework by Shane (2009)



The framework starts with defining mission and desired outcomes which the organisation aims to achieve. The next step is to set desired performance standards for each of the activity. Subsequently, the performance standards would be converted into measureable indicators and linked to budget allocation. Once the allocation is done, responsibility for each of the activity is affixed to a particular individual and an employee’s performance is measured on the base of cause-effect relationship in form of objective measures.

(Heyer, 2005) presented a synthesis of existing literature on New Public Management (NPM) and tried to evaluate and summarise the attempts made by various nations in terms of managing police efforts, especially in western countries. This research work concluded that, the success of any performance management system, especially in case of law enforcing agencies depends upon their cultural relevancy and local police capabilities. Moreover, political will, the democratic strength of the government and policy maker’s sustained efforts to implement change are some of the key catalyst of effective implementation of NPM in police departments.

In a study on intelligence-led policing in New Zealand Police department, by (Ratcliffe, 2005), the author introduced a framework of intelligence management mechanism in three districts of the New Zealand Police. On the basis of in depth interactions with 50 senior police leaders and decision makers, the paper highlighted issues in application of intelligence for crime reduction. It found out that, some of the issues related with intelligence based policing and overall performance management are, lack of tools, databases of variable quality, lack of information on emerging criminal areas, training deficiencies, and intelligence structures that did not streamline the communication of information around the system.

Studies on Compstat and Balanced Scorecard in police organisations:

Across the world, Compstat and Balanced Scorecard are some of the major performance management systems used to gauge the effectiveness of police staff on various parameters. Out of which, Compstat was initially developed by New York Police Department (NYPD) in 1994. (O’Connell and Straub, 2007) defines Compstat as “the mechanism to collect timely and accurate data about daily crime patterns to initiate tactics and strategies, increase the flow of information and communication among commanders and departments, and ultimately increase performance and accountability”. Initially developed as a tool for information assimilation on crime

and effective patrolling becomes a strategic initiative to monitor and improve performance of the police force and to realign ultimate performance output of the police force with national strategic objectives. According to (McDonald, 2004) Compstat is based on four basic principles such as

- I. Accurate, timely information made available at all levels in the organization
- II. The most effective tactics for specific problems
- III. Rapid, focused deployment of resources to implement those tactics
- IV. Relentless follow-up and assessment to learn what happened and make adjustments

On the other hand, Balanced Scorecard (BSC) was introduced by (Kaplan & Norton, 1992) as a strategic tool to align mission, vision and objectives of any organisation to its strategic focus areas (major achievements planned or results) and further narrowing down to KPI (Key Performance Indicators) or operational level initiatives to reach the target. BSCs are used extensively in business and industry, government, and non-profit organizations worldwide. According to a survey by Gartner Group, over 50% of Fortune 500 companies have adopted this framework. The model has four major perspectives on which the performance of any firm would be calculated and evaluated. They are as follows,

Financial Perspective: for profit (corporate) firms, financial performance is the key indicator of a firm's success. It is counted on various parameters such as revenue growth, cost incurred to produce revenue, shareholder's returns or even the ratings given to company's financial instruments. For non profit organisations, it is financial resources invested and return derived from such investment is considered.

Customer/Stakeholder Perspective: in corporate firms, along with the end customer, the channel partners and dealer network also comes under the concept of the 'customer'. Adding value to the end customer's life and retaining loyal customers while managing win-win relationship with the channel partners is the ultimate objective of this prospective.

Internal Process: This factor talks about leadership of the organisation in terms of handling products/product portfolio successfully, ways by which customer centricity can be managed and operational excellence by which both the above mentioned factors can be achieved at lower cost and with greater efficiency.

Organisational Capabilities: Along with financial and customer centricity, the BSC also focuses on an organisation's performance from human resources point of view. It considers attraction and utilisation of best talent, support of the infrastructure, technology, culture and other capacities that are important to breakthrough performance.

Studies based on Compstat:

(Yuskel, 2015) made an attempt to find out the degree of success Compstat has achieved in terms of improving performance of police force. The study was based on grounded theory and used tools such as in-depth interviews of senior police officers and summary of Compstat meetings held. The study concluded that, the Compstat appears to offer more academic and scientific approach to policing community to handle crime and overall law and order situation. The system introduced more specific methods for information collection and decision making, leading to proactive policing. The authors envisage introduction of Accountability and responsibility, flexibility, performance measurement due to Compstat and a sense of careerism and competition grew amongst the police force. Two important parts of Compstat, tangible indicators and follow-up mechanism has helped the department to move towards outcome oriented culture.

(Willis, 2007) compared two different perspectives such as technical/rational and institutional on organization's adoption of Compstat and tried to gauge the effectiveness of this system in three municipal police departments of USA. The paper advocates greater environmental support for the success of system such as Compstat. The paper also concludes that, the Compstat system, which started as a data tool for police system has dawn a strategic role of socio-political measure of public policy and reforms.

In an in-depth review article named as "The Compstat Process: Managing Performance on the Pathway to Leadership" by (DeLorenzi, 2015) defines Compstat system as "a tool to collect, analyze, and map crime data and other essential police performance measures on a regular basis, and hold police managers accountable for their performance as measured by these data". So as per the definition, accountability part of the process is highlighted. The article concentrates on benefits of using Compstat system to develop leadership qualities amongst the police

force. It also argues that, the Compstat meetings used for providing negative feedback to subordinates can do much more harm than the benefits and the meetings should be seen as a feedback mechanism to develop leadership qualities and ability to take ownership of the task allocated, than just a formality.

(Eterno & Silverman, 2010) studied the impact of various pressures on reporting managers under Compstat and whether these performance pressures lead to false reporting of data or unethical crime reporting. The research applied both quantitative and qualitative methods. Quantitative methods are used to gauge the levels of perceived organisational pressure as well as possible adverse consequences of those pressures on the ranks of captain and above. Qualitative methods are used to develop a theoretical understanding of the data collected and to present those data in an accurate and comprehensible way. The results indicate that, the perceived pressure on responsible police officers to bring down important compstat parameters (crime rate, cases of abuse, no of summons issued) is much higher, when compared with the pre-Compstat era.

Compstat's success in terms of reducing the crime rates and bringing added accountability to a police personnel's performance. A research report on National Services Agency claimed that, the major crime parameters in New York City such as murders, rapes and robberies have declined by almost 75% during 15 years of Compstat implementation in 1994. Due to this success, Compstat has been suggested as an effective strategic approach to the management of terrorism-related intelligence in some of the countries across the globe. However the report also claimed that, some researchers have highlighted the importance of supplementary tools such as 'broken window' approach which were equally responsible for crime control.

(Godown, 2013) presented a step by step procedure for implementing Compstat system to any organisation, which may be a civil organisation too. The author claims that, behind Compstat system, there involves a process of examination and review of an organization's status as revealed by quantifiable statistical indicators. For ex. In Police organisations, the quantifying parameters are crime rate, number of cases of rapes, burglary and attempts of killing. Moreover, the system is precautionary in basis, which tracks patterns of criminal activities and probability of its occurrence in specific area, on the basis of historical data. The author advocates role of 'the chief' to facilitate and ensure voluntary acceptance of the system by its workforce.

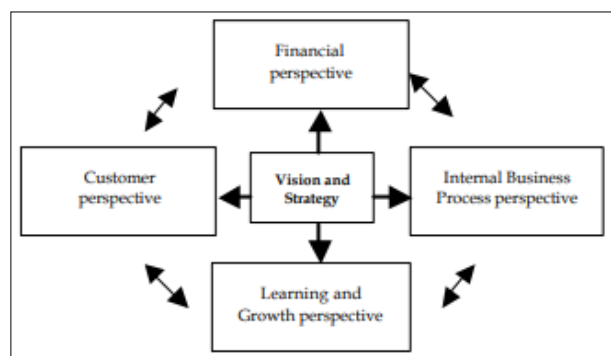
Studies based on Balanced Scorecard (BSC) in Law enforcement agencies:

(Gomes et al., 2010) tried to study the role of BSC in managing performance of police force in Portugal. The paper also gauged willingness of police officers to accept BSC as a tool for performance management and related apprehensions/perceptions they have. According to author, budget allocation on police force is increasing day by day due to potential terror threats and growing population across major cities in the world. At the same time, the governments are responsible for effective utilisation of the public financial resources invested on such law enforcement agencies. As a result, the need for performance evaluation matrix such as BSC has aggravated significantly. The study surveyed about 228 police chiefs in Portugal to understand the predispositions about implementation of BSC in police system. The results indicate that, majority of the respondents feel BSC implementation as 'difficult' due to 'resistance to change'. Management short sightedness towards short term objectives and lack of highly developed information system and lack of linkages of BSC to employee rewards.

(Carmona and Gronlund, 2003) presented a detailed appraisal of implementation of BSC in Swedish Police system in 1998. The report cited major achievements and drawbacks inherited from such implementation. Four perspectives such as citizen, staff, success and resources were considered while designing BSC.

The interaction with respondents provides some vital qualitative information, which a system like compstat does not record but certainly affect the overall strategic goals.

Fig 2: BSC in Swedish Law Enforcement



The paper argues that, since the BSC developed for Swedish law enforcement takes care of past, present and future trend analysis, a sense of belonging in the minds of citizens has increased considerably. The paper also applauds various benefits of deploying BSC such as reducing in crime rate and improved individual performance of police officers; it also raised concerns regarding lack of attention to important strategic factors such as 'Community Policing'.

(Tiwana et al., 2015) provided a comprehensive overview of attempts made in terms of performance evaluation in police organisations. Typically, the study covered various strategic tools such as Compstat, Balanced Scorecard (BSC) and other crime specific measures. The study summarises adoption of BSC in various police departments across the world and concluded about reduction in crime rate. However, culture specific issues and organisational fitment were found as the major determinants of successful implementation of BSC.

(Holmes, 2015) studied appropriateness of BSC in improving accountability and quality of services in public sector organisations and specifically in police and healthcare service. The study concludes that, the application of BSC to public agencies is particularly appropriate for complex, transparent, and mature organizations with diverse stakeholders. In order to be effective, the strategic planning process should be adapted to the particular needs and goals of each organization to identify appropriate perspectives.

CONCLUDING REMARKS AND FUTURE RESEARCH DIMENSIONS:

This paper is an attempt to synthesise existing literature on performance management in law enforcement agencies in particular. The review started with classical models of performance management and measurement, moving on to various frameworks used in public sector enterprises as an attempt to bring in accountability and better achievement of the organisational objectives.

This study also assessed the usage of two major performance management tools such as Compstat (developed by New York Police Department in 1994) and Balanced Scorecard by (Kaplan and Norton, 1992). The problems related with application of each of the systems, apprehensions of the staff (police officers and co-workers) and drawbacks of each of the application was captured, as discussed by various scholarly articles on this taxonomy. Cultural fitment, role of the top management to drive the adoption process and excessive concentration on quantifying numbers than new age policing concepts such as 'community policing' were observed.

As a future scope of research, the authors wish to explore various factors or determinants of individual performance in law enforcement agencies such as job stress, burnout or any factor related with management of superior-subordinate relationship by the literature synthesis.

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