A Guide to Competency-Based Management in Police Services

Built by policing for policing

Ottawa, March, 2013

Letter from the Steering Committee

Dear Colleagues,

The benefits of managing human resources using a competency-based management (CBM) approach are now undisputed. The implementation of CBM has been recognized as a best practice and adopted by many leading organizations in both government and private sectors.

Your Police Sector Council has undertaken three related studies since 2001, all of which strongly support the adoption of "competency-based management" by Canadian policing services. These studies led us, in 2008, to begin the development of the practical tools police managers responsible for human resources will need to move their services along this path.

This guide provides competency-based tools and strategies for four key ranks: Constable, Sergeant, Staff Sergeant and Inspector. The competencies defined are for the general policing role for these ranks and are easily adaptable to your own service.

We want to acknowledge the extensive effort given by a large group of officers across Canada who represented police services of varying sizes at the municipal, provincial and federal levels. They contributed in many ways to the success of this project.

Some services are well along in the implementation of the CBM approach. Others have just begun and for some it will be new territory. Whether you are looking to enhance your competency tools or are new adopters of CBM, we hope you will find helpful information and tools here to assist you.

Policing Competency Framework Project Steering Committee
Police Sector Council

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Acknowledgements: Steering Committee

We thank the members of the Policing Competency Framework Steering Committee for their dedicated leadership of the competency initiative.

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Executive Summary

This Guide is designed to support policing organizations in a first-time implementation of a competency approach to human resources management and to provide additional ideas and information to those with existing competency-based management (CBM) programs.

It was developed and facilitated by the Police Sector Council in response to a series of studies over the last decade which strongly supported the adoption of competency-based management by Canadian policing services. The Guide is an outcome of the 2008 Policing Competency Framework Project, which recommended the development of practical tools to assist police services in implementing a CBM approach.

The major themes and components of the Guide are summarized below.

Designed for managers responsible for HR planning/management

The Guide is a handbook to assist managers responsible for human resources to understand, tailor and apply competency-based management (CBM) principles.

Identifies the benefits of a CBM approach

Competency-based management (CBM) delivers benefits to individual employees, HR departments and at an organization-wide level. The strongest benefits come from a CBM implementation that integrates all HR functions, but benefits are also seen when individual HR functions adopt a competency approach or when existing tools are supplemented by tools based on competencies.

Describes competency-based management for policing

The extensive analysis of Canadian policing that preceded the development of the competency tools is described and the competency approach and supporting tools are fully explained.

Leveraging best practices from police services across Canada, the Guide provides step-by-step help in understanding and implementing CBM in four key HR functions: Recruitment, Selection and Promotion, Performance Management, Learning and Development, and Succession Management. Theory and practical tips are offered for each HR function and the supporting tools and templates are fully described. A step-by-step guide to best practice in implementing competencies is included at the end, along with words of advice from policing HR professionals who have experience with CBM.

Background

The Police Sector Council (PSC) is a national centre for strategic HR planning and management - information, tools and networks that supports a sector-wide approach to finding innovative, practical solutions to planning and management challenges.

This Guide to enhancing HR management through the adoption of competency-based principles is the culmination of years of extensive research and consultation with policing services domestically and internationally. In 2001, the Police Sector Council engaged the sector in a study called *Strategic Human Resources Analysis of Public Policing in Canada*. Two additional studies were conducted in 2005: *Policing Environment* and, in 2007, *National Diagnostic on HR in Policing* to identify challenges and solutions for the sector.

The 2007 study made three key recommendations:

- The sector should adopt competency-based human resources management.

- Learning tools and assessment tools should be anchored to a shared Competency Dictionary.

- Police services that have adopted a competency program should be encouraged to leverage their investment by expanding its application to all HR functions.

Building on those recommendations, the Police Sector Council launched the Competency Framework Project in 2008. This Guide provides an explanation of these tools and their application to Recruitment, Selection and Promotion, Performance Management, Learning and Development and Succession Management.

Understanding Competency-Based Management

Competency-based Management (CBM) is a way of managing human resources functions that focuses on the "competencies" – the skills, knowledge or other attributes – that contribute to successful performance in jobs. CBM is all about behaviours that help us perform well and produce results.

These results at the individual job level link to organizational success through the alignment of competencies with goals. Employees are hired, promoted and developed according to competencies that directly link to successful performance in their jobs, as aligned with the overarching goals of the organization.

When effectively implemented, CBM delivers measurable improvements in performance throughout the organization. In addition to the contribution made to organizational effectiveness, competency-based management brings clear benefits to HR processes as well.

Efficiencies are gained as a result of the standardization and integration of HR functions based on defined criteria – the competencies – and because competency-based tools are re-usable. The consistency and rigour of the competency approach generate confidence that HR processes genuinely reflect job requirements and are administered fairly.

Applying CBM

The notion of competencies is not new to HR; what is new is the broader application of competencies across all HR functions. There is also value when CBM supplements existing practices or is applied to a single function.

The next two sections provide a quick introduction to CBM tools and how they can be used to support specific HR functions. As illustrated in Figure 1, CBM tools have been developed to support these HR functions:

- Recruitment, Selection, and Promotion

- Performance Management

- Learning and Development

- Succession Management

Figure 1: Competencies are integrated into the full HR cycle

Recruitment, Selection and Promotion - candidates' suitability is assessed against defined competencies.

Learning and Development - defined competencies identify employee strengths and areas for further improvement through employee learning plans. They help employees understand what skills and behaviours they need to address to improve their performance in their current positions and for career growth.

Performance Management - defined competencies facilitate the communication of performance objectives to employees and serve as benchmarks against which employee performance and organizational performance is evaluated.

Succession Management - defined competencies facilitate the creation of a pool of qualified candidates with the right skills, behaviours and knowledge.

Detailed discussion of each of these HR functions and how competencies are integrated into them are provided later in the Guide.

The CBM toolkit

This is a summary of the tools available. The CBM tools include three foundational tools - the Competency Dictionary, Task Lists and Competency Profiles.

They provide detailed information about the work performed by the targeted ranks, as well as the competencies required to carry out the work. The foundational tools underpin and standardize the application of CBM to HR functions, and are the basis for all other competency-based tools. The purpose of each tool and the functions they support are described in Table 1.

Table 1: Competency tools and templates

Tool	What it contributes	Where to use it
Policing Competency Dictionary	Compiles all of the competencies required for successful performance in all four ranks.	All HR functions
There is also a set of tools and templates, many of them partially tailored for each rank:		
Task Lists	List the most important general duty tasks for each rank	All HR functions
Competency Profiles	Define critical behavioural competencies for each rank's general role	All HR functions
Rank Profiles	List all qualifications for each rank, including the competencies in the Rank Competency Profile	Recruitment, Selection and Promotion
Linking Competencies to Tasks Worksheets	Establish the defensibility of the Rank Competency Profiles	All HR functions
Interview Guides	Include an Interview Guide Template, Competency Based Questions for each rank	Recruitment, Selection and Promotion
Pre-interview Tips for Job Candidates	A handout for interviewees that prepares them for interviews	Recruitment, Selection and Promotion

Reference Check Guides	Provide a structured technique for conducting reference checks and competency-based reference check questions	Recruitment, Selection and Promotion
Performance Management Templates	Assist members and their supervisors / managers to measure performance against competencies	Performance Management
Succession Management Template	Helps managers to document the Succession Management process	Succession Management
Learning Plan Template	Prioritizes the competencies identified for development and how they will be acquired	Learning and Development

The Business Case for CBM

Leading private and public sector organizations of all types and sizes have successfully implemented CBM.

Studies of successful implementations confirm the following benefits:

☑ **Improves organizational performance**

Competency-based management links job requirements to organizational goals. This approach delivers benefits at all levels in the organization. CBM adopters have measured improvement in the performance of individual employees, business lines, and their organizations.

☑ **Empowers employees**

Employees who understand police service requirements, values and mission have clear expectations of their roles. This leads to higher commitment, greater effectiveness, and reduced turnover rates. When given access to competency tools, employees are empowered to take charge of their own careers, self-evaluate and build their competencies.

☑ **Supports HR management practices**

CBM provides an integrated framework for human resources planning and management. Managers have better tools to select the right people and to identify learning gaps in their organizations.

☑ **Ensures the defensibility of HR decisions**

CBM makes all HR decisions easier to defend because competencies are directly related to jobs.

☑ **Reduces operational costs**

The use of standardized competencies and CBM tools results in efficiencies at every point in the human resource management cycle. For example, learning budgets benefit because decisions are based on systematic analysis of the competency requirements of the organization and its employees.

CBM is a good investment with a proven track record

> **CBM is at work in many policing organizations of all sizes including:**
> - Edmonton Police Service
> - London Police Service
> - OPP
> - RCMP
> - Royal Newfoundland Constabulary
> - Vancouver Police Service
> - Winnipeg Police Service
>
> *And many other policing services in Canada*

Developing Competency-based Tools for the Sector

In this section we look at the process that was used to gain information about the work performed by incumbents of key roles. The results of this comprehensive research are captured in key documents we will refer to as the foundational CBM tools. These tools – the Task Lists, Competency Profiles and the Competency Dictionary – are the foundational tools from which all other tools and templates are derived. The process of developing these tools and incorporating them into HR practice is illustrated in Figure 2.

The CBM project began with a comprehensive and detailed practice analysis of the work performed by Constables, Sergeants, Staff Sergeants

Figure 2: Building CBM tools

Task Lists → Competency Profiles → CBM HR Practices
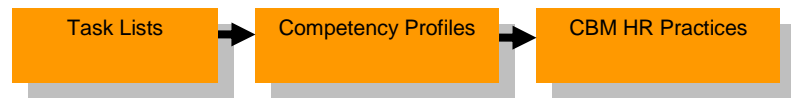
and Inspectors in a large number of police services across Canada. In subsequent years, the roles of Superintendent, Chief Superintendent, Deputy Chief and Chief and many Investigative and Investigative support roles were added. The analysis focused on the **general tasks** performed by these ranks that were universally relevant in police services.

Table 2 shows the general roles for four ranks.

Table 2: Example Descriptions of Ranks

Rank	Description of Roles
Constable	Protect the public, detect, and prevent crime and perform other activities directed at maintaining law and order. Constables respond to emergency situations, participate in planned enforcement operations and conduct investigations.
Sergeant	Supervise and monitor the unit operations of a police service. They provide field supervision, coordinate and delegate assignments while ensuring policies and procedures are followed. Sergeants also participate as required, in activities directed at maintaining law and order.
Staff Sergeant	Manage the operations of a division of a police service. They supervise and coordinate activities of uniform officers and personnel engaged in providing services within the police service.
Inspector	Plan, direct, and coordinate the daily operations of various teams and units

Developing Task Lists

Task lists identify the key general duty tasks performed by each role. A comprehensive analysis of each role was conducted to collect objective and verifiable information about the tasks police members perform.

A variety of methods were used including a review of documentation provided by police services, interviews with subject matter experts, regional focus groups and online surveys. Participants included representatives of police services across Canada.

As illustrated in Figure 3, the Task Lists break the major tasks performed by each role into tasks and sub-tasks and the knowledge and skills required to accomplish them. They are the foundational documents from which competencies for a role are derived and the basis for all other competency-based human resources activities. Task Lists need to be customized to reflect your policing service.

Figure 3: Task Lists

Task List

Major Task Area

Task

Sub-task

Knowledge and Skill
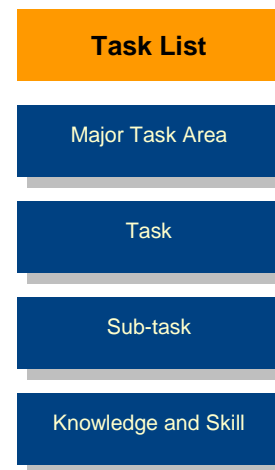
As an example, Table 3 lists the major task areas for General Duty Constable that resulted from this analysis.

**Table 3: Example – Major Tasks for General
Duty Constable role**

Major Tasks for General Duty Constable
1. Apply relevant legislation, policies, procedures
2. Use equipment and technology
3. Maintain safety of self and others
4. Coach and mentor members
5. Conduct general patrol
6. Prevent crime through community policing
7. Respond to calls for service
8. Assist victims of crime
9. Conduct investigations
10. Prepare policing reports
11. Apply detainee management
12. Deliver court testimony

OUTCOMES OF PRACTICE ANALYSIS:

Task Lists for each of the ranks:

Constable Task List

Sergeant Task List

Staff Sergeant Task List

Inspector Task List

Superintendent Task list

Chief Superintendent Task list

Deputy Chief Task List

Chief Task List

*Before reading further, familiarize
yourself with the
Task Lists*

**For more information, the Police Sector Council will be glad to direct you to further resources or
HR professionals with CBM expertise.**

Please contact ggruson@policecouncil.ca

# Developing Competency Profiles

Once the work is understood and the tasks for each role has been identified and described, the underlying competency requirements for successful performance of the tasks can be recognized. This takes the competency exercise from the "what" to the "how."

Remember that competencies are defined as **observable** abilities, skills, knowledge, motivation or traits defined in terms of the **behaviours** needed for **successful** job performance. For example, in the traditional HR management style, employees might be asked to demonstrate "more initiative" without being given an explanation of what that means. The competency approach resolves this by fully describing the expected behaviours that lead to successful job performance.

Figure 4 illustrates the linkage between tasks and competencies.

Figure 4: Relationship between tasks and competencies
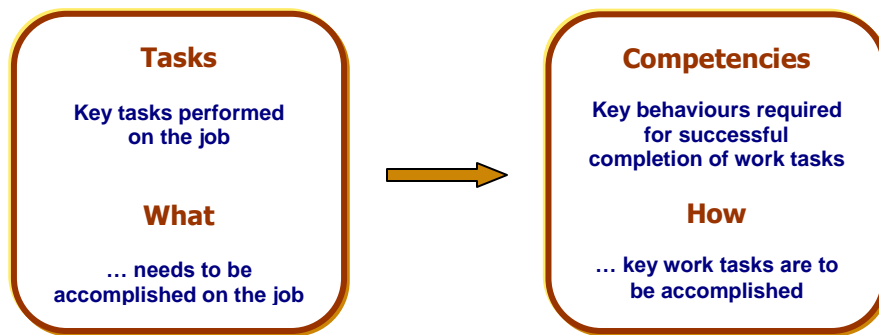
The importance of the competencies is that they are standardized, clear and measurable, directly linked to tasks and aligned with organizational objectives. Table 4 provides an illustration of a competency and its related behavioural indicators.

Table 4: The competency *Organizational Awareness* required for the General Duty Constable role

ORGANIZATIONAL AWARENESS	Understands informal policing structure and culture (Level 2)
Understands and uses organizational awareness to deliver optimal services. Seeks to understand the critical concerns and most important issues of stakeholders to find optimal solutions.	• Has a good understanding of the unwritten, informal structure, culture and rules • Effectively uses both formal and informal channels or networks for acquiring information, assistance and accomplishing work goals • Recognizes unspoken organizational constraints – what is and is not possible at certain times or in certain ranks • Recognizes and uses the policing culture and the language that will yield the best response

Notice that the competency illustrated above describes Organizational Awareness behaviours at Level 2. Each competency is defined using a five-level scale. This refers to an incremental competency proficiency scale that is part of the overall competency structure.   Organizational Awareness is a requirement for Constables as well as Inspectors, but the proficiency needed to succeed in these ranks differs in complexity and scope.

A Competency Profile holds the set of eight or nine critical behavioural competencies required for successful performance in that role. The information included in the Profiles which were validated by incumbents, is shown in Figure 5.

. Competency Profiles are particularly important because they ensure a common language and understanding of the expected behaviours that lead to successful performance.

An example is the list of critical competencies identified for the Constable Competency Profile, shown in Table 5:

Table 5: Constable critical competencies

Figure 5: Elements of Rank Competency Profiles

Policing Competency Dictionary	**Competency Profiles**
	Competency Name
	Competency Definition
	Proficiency Scales
	Behavioural Indicators

Constable Critical Competencies	
ADAPTABILITY	RISK MANAGEMENT
PROBLEM SOLVING	STRESS TOLERANCE
INTERACTIVE COMMUNICATION	TEAMWORK
ORGANIZATIONAL AWARENESS	WRITTEN SKILLS
ETHICAL ACCOUNTABILITY AND RESPONSIBILITY	

OUTCOMES OF COMPETENCY ANALYSIS: Competency Profiles for each of the ranks:

Constable Competency Profile

Sergeant Competency Profile

Staff Sergeant Competency Profile

Inspector Competency Profile

Superintendent Competency Profile

Chief Superintendent Competency Profile

Deputy Chief Competency Profile

Chief Competency Profile

Before reading further, familiarize yourself with the Competency Profiles

For more information, the Police Sector Council will be glad to direct you to further resources or HR professionals with CBM expertise.
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Developing the Competency Dictionary

The Competency Dictionary compiles the competencies required for successful performance of roles. It was developed through the analysis of job descriptions, training content, and performance requirements in many services and was validated in discussions with subject matters experts The Dictionary creates a common language and includes definitions for competencies and the behaviours that illustrate these competencies at different proficiency levels.

An example from the Dictionary is provided in Figure 6 on the following page. Each competency includes the competency name and definition, five proficiency levels and the behavioural indicators or action statements associated with each proficiency level.

The behavioural indicators give you an understanding of the differences in expected behaviours as proficiency levels increase in complexity and scope. The scale is cumulative; meaning that, each level incorporates the behaviours associated with the lower levels that precede it. For example, in the following example of the competency Risk Management, Level 2 manages a limited range of situations and calls, which also includes the Level 1 requirement of *participating* in managing them.

Figure 6: The structure of a competency

Competency name & definition

RISK MANAGEMENT				
Manages situations and calls to mitigate risk and maintain a safe environment for self and others.				
Level 1	**Level 2**	**Level 3**	**Level 4**	**Level 5**
Participates in the management of situations and calls	**Manages a limited range of situations and calls with minimal guidance**	**Manages a full range of situations and calls**	**Manages highly sensitive and complex situations and calls**	**Develops best practices, strategies and procedures to manage situations and calls**
• Analyses implication proposed co of action to mitigate risk to self and others • Participates in the implementation of contingency plans in low complexity situations where errors have a low level of consequence	information • Implements emergency contingency plans in low complexity situations where errors have a low level of consequence	• Fully assesses the risks involved in a full range of situations and calls • Implements courses of actions and plans in situations of medium complexity where errors have a medium level of consequence	• Conducts risk assessment when identifying or recommending strategic and tactical options • Develops and implements contingency plans in highly complex and sensitive situations where errors have a high level of consequences	• Develops broad strategies that reflect in-depth ding sment nal, ental and social realities and risks. Adapts strategies to take into account evolving trends, best practices and stakeholders

Proficiency level & expected performance

Behavioural indicator

Before reading further, familiarize yourself with the Policing Competency Dictionary

These CBM tools are ready to use or adapt:

Table 6: CBM toolkit

Foundational Tools	
Competency Dictionary	Constable Competency Profile
Constable Task List	Sergeant Competency Profile
Sergeant Task List	Staff Sergeant Competency Profile
Staff Sergeant Task List	Inspector Competency Profile
Inspector Task List	Superintendent Competency Profile
Superintendent Task list	Chief Superintendent Competency Profile
Chief Superintendent Task List	Deputy Chief Competency Profile
Deputy Chief Task list	Chief Competency Profile
Chief Task list	

Competency-based Tools	
Constable Interview Guide	Constable Linking Competencies to Tasks Worksheet
Sergeant Interview Guide	Sergeant Linking Competencies to Tasks Worksheet
Staff Sergeant Interview Guide	Staff Sergeant Linking Competencies to Tasks Worksheet
Inspector Interview Guide	Inspector Linking Competencies to Tasks Worksheet
Superintendent Interview Guide	Superintendent Linking Competencies to Tasks Worksheet
Chief Superintendent Interview Guide	Chief Superintendent Linking Competencies to Tasks Worksheet
Deputy Chief Interview Guide	Deputy Chief Linking Competencies to Tasks Worksheet
Chief Interview Guide	Chief Linking Competencies to Tasks Worksheet
Pre-interview Tips for Candidates	
Constable Reference Check Guide	
Sergeant Reference Check Guide	
Staff Sergeant Reference Check Guide	Learning Plan Template
Inspector Reference Check Guide	Performance Management Template
Superintendent Reference Check Guide	Succession Planning Template
Chief Superintendent Reference Guide	
Deputy Chief Reference Guide	
Chief Reference Guide	

**For more information, the Police Sector Council will be glad to direct you to further resources or
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Building Defensible CBM Tools

The CBM tools included in this Guide have been rigorously validated at a national level to ensure that they are defensible. However, they need to be validated in your police service, and especially if any addition al roles or competencies are added.

Bona Fide Occupational Requirements

Human resources decisions affect employees' careers and livelihoods. This means that competencies and how they are used may be subjected to close scrutiny when employment decisions are challenged. Courts, review boards or tribunals may challenge your police service to demonstrate that your decisions reflect the "bona fide" skills, knowledge, abilities or other requirements for effective performance in the job.

Bona Fide Occupational Requirements or "BFORs" are those skills, aptitudes and educational accomplishments that ensure a person can perform the essential components of a job in a safe, efficient and reliable manner. A BFOR must be reasonably necessary for the efficient performance of the job without endangering the employee, fellow employees or the general public. The onus is on you, the employer, to prove that the stated job requirements are necessary.

Legal criteria for defensible competencies

Legal decisions about whether job requirements are bona fide are made after consideration of specific criteria. The steps taken by the project to confirm defensibility are noted in Table 7.

Table 7: Key legal considerations to ensure defensibility of competencies

Legal Criteria	Steps Taken to Comply
Competencies reflect the key attributes required for overall success in the job.	The project used subject matter experts to identify the most critical competencies. They had a comprehensive understanding of the work to be performed.
Subject matter experts were used.	The project consulted hundreds of job experts during the development and validation of the Competency Profiles.
Job and work experts are representative of the stakeholders and understand the work.	The project used as experts: job incumbents, supervisors, and HR personnel from policing services of varying sizes and jurisdictions from across Canada.
The level of competence used as the standard in making the employment decisions is reflective of the level actually needed.	Individuals with current and in-depth knowledge of job requirements were selected to confirm that the competencies and behaviours described were required for fully effective incumbents of the roles.
The competencies, or the way in which they are worded, do not disadvantage groups protected under employment equity or human rights codes or legislation.	Competency Profiles were reviewed by a wide range of incumbents to ensure that they did not contain any content that could be offensive to any group.
Trained job analysts were involved.	The project contracted a professional consulting firm with expertise in competency-based management to support the development of the framework and profiles.
The competency profiling process is fully documented.	Extensive notes were taken and records kept on key decisions and information associated with the development of the framework and profiles.

Validating the competencies for your police service

While there is no expectation that major changes will be required, it is imperative to validate the Task Lists and Competency Profiles, to make sure they are accurate and defensible. To successfully implement CBM, descriptions of tasks must reflect the actual tasks your employees perform, Competencies must also have clear linkages to successful performance of the tasks.

The section *planning a CBM Implementation* provides detailed steps on validating competencies to ensure they are defensible.

> **Although the competencies have been nationally validated, the final sets of competencies defined by police services must be reviewed to confirm that they are defensible. They must reflect bona fide job requirements and not discriminate on any of the grounds covered by the Human Rights, Citizenship and Multiculturalism Acts.**

Applying Competencies to HR Activities

In previous sections of this guide we explored competency-based management:

- what it is;

- how CBM tools were developed for policing services;

- the importance of validating competencies for your police service; and

- how CBM improves bottom-line performance in your HR department and your police service.

In the four sections that follow, we take an in-depth look at how to use the competencies in each of the HR functions:

- Recruitment, Selection and Promotion

- Learning and Development

- Performance Management

- Succession Management

Each section outlines the benefits of a CBM approach, provides best practice processes and discusses the supporting tools and templates.

Experience suggests that Recruitment or Learning and Development are the best HR functions with which to begin a CBM implementation.

Recruitment, Selection and Promotion

This section discusses the application of CBM to Recruitment, Selection and Promotion. It presents the benefits CBM brings to this key HR function and provides a high-level view of the full process. Best practice processes and CBM tools are presented for recruitment first and then for selection and promotion.

Benefits

Competency-based management streamlines and standardizes Recruitment, Selection, and Promotion practices. It offers:

- ☑ Tools that result in selecting the right employee for the job because they are designed to assess the critical competencies for successful performance

- ☑ Defensible, unbiased and bona fide standards against which to assess applicants and provide them with feedback

- ☑ Re-usable tools and processes

- ☑ Transparency because job requirements are clearly stated and readily available

- ☑ Ability to measure the effectiveness of the processes against successful candidates' on-the-job performance

⚠ **Recruitment is recommended as one of the best places to begin a CBM implementation.**

Overview

Recruitment, Selection and Promotion systems include a sequence of steps and decision points that all candidates uniformly follow until they are accepted or disqualified.

Each step represents an opportunity to screen candidates in or out. The number and type of selection elements to include in the selection system is determined by the complexity of the position, the number of competencies to be assessed, as well as the suitability of the methods for assessing each competency.

For example, oral communication skills can be more readily assessed through an interview than from a résumé.

Figure 7 illustrates a typical Recruitment and Selection process:

Supporting CBM Tools

- Competency Dictionary
- Task Lists
- Competency Profiles
- Competency Coverage Grid
- Interview Guides
- Pre-interview Tips
- Reference Check Templates

Figure 7: Example of a Recruitment and Selection process
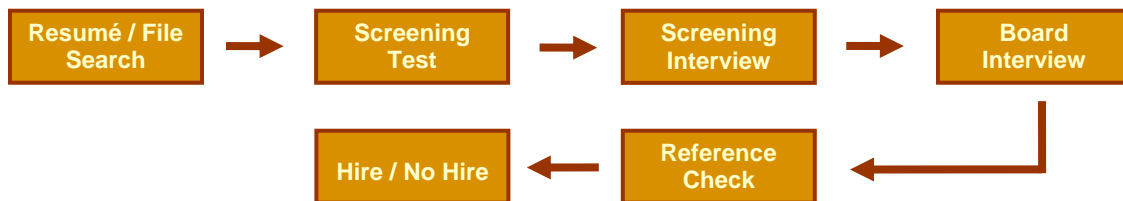
Competencies provide the benchmarks for Recruitment, Selection and Promotion processes. For example:

- The Competency Dictionary is the definitive standard that creates a shared understanding of the competencies and the behaviours expected at each proficiency level.

- Task Lists are used to develop or tailor job descriptions. This ensures that job requirements are based on valid and defensible job-related criteria.

- Competency Profiles are used to create a common understanding of the expected behaviours required for successful job performance. Assessment tools can be developed to assess candidates' behaviours to determine if a person is likely to meet the required expectations.

- The Interview Guide's bank of competency-based questions is used to support the interview process.

- The Pre-interview Tips for Job Candidates handout helps candidates to prepare for competency based interviews.

- Questions from the Reference Check Template are used during the reference check process.

Recruitment

Recruitment is the process of locating and encouraging candidates who possess the necessary qualifications to apply for existing or potential job openings.

Process

The recruitment process is based on job descriptions developed using Task Lists. Job descriptions capture the requirements of the work to be performed and provide the objectives for the candidate search.

The next phase of the recruitment process is to identify the sources and methods that will be used in the search for potential candidates. This includes advertising strategies and other recruiting efforts to identify individuals who might not respond to advertising.

Tools

Figure 8: Example of a Constable Profile

Constable Profile

Constables protect the public, detect and prevent crime and perform other activities directed at maintaining law and order. Constables respond to emergency situations, participate in planned enforcement operations and conduct investigations.

MAIN DUTIES / RESPONSIBILITIES

Example

1. Apply relevant legislation, policies, procedures
2. Use equipment and technology
3. Maintain safety of self and others
4. Conduct general patrol
5. Respond to calls for service
6. Assist victim of crime
7. Conduct investigation
8. Apply detainee management
9. Deliver court testimony

> **Adapted from the major task areas from the Constable Task List**

BEHAVIOURAL COMPETENCIES

Adaptability	Risk Management
Problem Solving	Stress Tolerance
Interactive Communication	Teamwork
Organizational Awareness	Written Skills
Ethical Accountability and Responsibility	

> **Takes the critical behavioural competencies from the Constable Competency Profile**

TECHNICAL COMPETENCIES

EDUCATION / TRAINING

EXPERIENCE

CERTIFIED OCCUPATIONAL REQUIREMENTS

- Firearms qualifications, First Aid and CPR techniques

The Profile's sources for the Duties and Responsibilities and for the Behavioural Competencies are standard and clear. The additional information included in includes:

- **Technical competencies**

  Technical competencies include specialist or technical knowledge and skills, such as the firearm use and vehicle operation, that are required for specific policing jobs.

- **Education**

  Education refers to academic, vocational, or technical studies and training acknowledged through a credential or other official documentation from or accepted by a recognized Canadian educational institution. It also includes formal training from federal government departments, agencies, or other institutions.

- **Certified Occupational Requirements**

  Occupational Certification refers to the possession of, or eligibility for, credentials such as a licence, certificate, registration, letter, papers or other documents that constitute acceptable evidence of occupational competence and that are granted by an organization legally established by a Canadian federal, provincial or territorial law as a certifying or licensing body with the authority to regulate the practice of a profession, trade or act.

- **Experience**

  Experience refers to the past practice of activities that provided an opportunity for the acquisition of knowledge and the development of skills and abilities relevant to the work to be performed. Experience is expressed in terms of its relevance, complexity, scope or other appropriate characteristics that are related to the duties and responsibilities of the job.

Selection and Promotion

The importance of selecting the right people for jobs cannot be overstated. If you hire badly, it isn't just that employee who's not performing; their presence affects the whole organization. Even hiring badly for entry-level positions can be expensive and debilitating. The flip side is that hiring the right people leads to reduced turnover, higher morale and improved organizational performance.

Selection is the process of identifying individuals who possess the right set of competencies for successful performance of job. Promotion is a change of assignment to a higher level. They are discussed as one process in the Guide because they both evaluate candidates and use the same competency-based processes and tools to do so.

Linking job requirements to assessment methods

The steps in a selection or promotion process vary according to the specific requirements of positions being filled. The criticality of the position may require several phases of interviews, the physical requirements may require fitness and medical testing, or the technical or security requirements may demand more exhaustive reference checks.

An important consideration in planning the selection process is ensuring appropriate assessment methods to enable evaluation of all competencies related to the successful performance of the job, whether they are behavioural or technical competencies, knowledge or skills.

Job Requirements Coverage Grid

No single assessment method can assess all job competencies. Although most are addressed during the interview and in reference checks, it is important to give candidates ample opportunity to demonstrate their capabilities by assessing critical job requirements by more than one method. A grid method such as that illustrated in

Table 8 is useful in developing this assessment strategy. It clarifies which methods evaluate each of the job requirements. It is presented only for illustration purposes and is not linked to a specific rank.

Table 8: Example of a Competency Coverage Grid

Job Requirements	Résumé Search	Physical Abilities Test	Video Simulation	Interview	Reference Check
Adaptability			✔	✔	
Problem Solving			✔	✔	✔
Interactive Communication				✔	✔
Stress Tolerance			✔	✔	
Teamwork				✔	✔
Education	✔				
Physical Fitness		✔			

The interview

Best practice interview methodology uses a "structured" approach to ensure all interviews for a position are consistent and unbiased. A structured interview:

- asks questions based on job tasks and their technical and behavioural requirements

- asks the same set of questions of all job candidates and systematically evaluates interview responses using the same rating scale.

> **The Interview**
>
> ★ Prepare
> ★ Conduct
> ★ Evaluate
> ★ Respect human rights legislation

Structured interviews increase the chances of making the best selection decisions and improve the legal defensibility of the process.

> ⚠️ **For tips on keeping bias out of your interview process, see** *Respect the Intent of Human Rights Legislation* **later in the Guide.**

Types of questions

In an interview three different types of questions can be used: job knowledge questions, situational questions and behavioural questions.

- **Job knowledge Questions**

  Job knowledge questions deal with the technical or professional knowledge required to effectively perform the duties of the job.

- **Situational Questions**

  Situational questions are questions about what candidates **would or should do** in hypothetical job-related situations. The scenarios are often taken directly from the job. Situational questions tell you how the candidate is likely to deal with job-related situations and problems. They are recommended for use with inexperienced job candidates such as recent graduates.

> ⚠️ **Candidates may know how to respond appropriately to the scenarios but may not behave the same way on the job.**

- **Behavioural Questions**

  Behavioural questions are among the most effective interviewing strategies, particularly for job applicants with prior relevant experience. Behavioural questions are based on the premise that past behaviour is the best predictor of future behaviour. In contrast to the situational interview that asks candidates what they would do or should do, behavioural questions focus on **what the candidate has actually done** and ask about past experiences and accomplishments in a variety of settings and life situations.

> ⚠️ **Past performance is the best predictor of future behaviour.**

To effectively predict future behaviour, behavioural questions do not need to be restricted to previous jobs that are identical to the target job. Questions about any earlier employment or volunteer work are valuable provided they solicit information about job-related competencies. For example, you can evaluate the sales ability of someone who has never held a sales job by asking questions about situations in which the candidate has had to persuade others, sell ideas to fellow workers, or influence a group.

All of these question types have value and should be interspersed throughout the interview. However, since answers to behavioural questions are one of the best indicators of future job performance, the majority of questions should be behavioural.

Tool: Interview Guides

Interview Guides offer advice about preparing for and conducting interviews and the follow up required. In each Interview Guide you will find a question bank and a rating scale to use during interviews. The behavioural questions are based on the underlying competencies reflected in the Competency Profiles. Remember, however, that the Interview Guides contain only those behavioural questions that relate to the competencies critical for successful performance of a general policing role. You might want to develop additional questions that relate to the other job requirements.

Figure 9 illustrates the link between the Constable competency "Risk Management" and an interview question designed to draw out a candidate's previous risk management behaviours.

Figure 9: Example of an interview question linked to a competency

Risk Management- *Manages situations and calls to mitigate risk and maintain a safe environment for self and others.*

What to look for:

Manages a limited range of situations and calls with minimal guidance.

> *Behaviour from the Constable Competency Profile*

- Makes decisions in the absence of complete information.
- Implements emergency contingency plans in low complexity situations when [...] consequence.
- Understands and applies health and safety policies and procedures for self and others relevant to a limited range of situations.

Example Interview Questions

1. Tell us about a decision that you made recently, where you needed to take action despite having incomplete information.

> *Corresponding interview question*

- Describe the situation, including the decision you needed to make and the [...]
- What information was lacking?
- What options were available to you?
- What factors did you consider in arriving at your decision?
- What was the outcome?

Interview Guides are available

Constable Interview Guide   **Staff Sergeant Interview Guide**

Sergeant Interview Guide   **Inspector Interview Guide**

Superintendent Interview Guide   **Chief Superintendent Interview Guide**

Deputy Chief Interview Guide   **Chief Interview Guide**

**For more information, the Police Sector Council will be glad to direct you to further resources or
HR professionals with CBM expertise.
Please contact ggruson@policecouncil.ca**

Tool: Pre-interview Tips for Job Candidates

Put all candidates on an equal footing by giving them a copy of the tool *Pre-interview Tips for Job Candidates*. It is good practice provide information about the process they will be undergoing – a transparent process.

Before reading further, familiarize yourself with the Interview Guides and the Pre-interview Tips for Job Candidates

The Reference Check

Reference checks are a valuable means of obtaining information on candidates that helps you make the best selection decisions.

No matter how impressive the candidate, checking references is a necessary step. Failing to check references can put you in a difficult situation if it is later shown that a candidate provided false information. Thorough reference checks determine the accuracy of vital information regarding candidates' backgrounds and their ability to perform the job.

Reference checks are used to:

- verify factual information about candidates, for example, previous positions held or length of employment;

- assess candidates' competencies including abilities, skills, aptitudes, and traits; and

- clarify or corroborate information obtained from other assessment techniques such as interviews and simulation exercises.

Have reference checks conducted by someone who fully understands the requirements of the position to be filled. This person may be the hiring manager, a human resource specialist or an independent third party. The respondents or "referees" are typically people who have observed candidates' performance and accomplishments and can comment with authority on their capabilities. Referees are usually candidates' current or previous supervisors. Contacting several referees provides you with a richer understanding of candidates' behaviour and identifies consistencies and inconsistencies in their past performance.

Tool: Reference Check Guides

The Reference Check Guides describe a structured technique for conducting reference checks for each rank. All questions are the same for each candidate and designed to be asked of candidates' referees.

Reference checks can be done in person, by telephone, mail or e-mail. Each has advantages and disadvantages. For example, the typical reference check, conducted by telephone phone or in person, provides immediate results. An advantage of in-person reference checks is that referees may be more candid; a disadvantage is that they take more time.

Before reading further, familiarize yourself with the
Reference Check Guides in the.

Constable Reference Check Guide

Sergeant Reference Check Guide

Staff Sergeant Reference Check Guide

Inspector Reference Check Guide

Superintendent Reference Guide

Chief Superintendent Reference Guide

Deputy Chief Reference Guide

Chief Reference Guide

Additional assessment tools

Other competency-based assessment tools can be incorporated into the Recruitment, Selection and Promotion process. To keep them defensible, be sure they are reliable, fair, valid and unbiased.

Other selection tools might be:

- In-basket exercises

- Role plays or simulations of relevant workplace situations

- Multi-rater assessment

- Competency-based track record reviews

Human rights legislation

Defensible competencies give you a good start but your processes and behaviours must also be consistent with the intent of human rights legislation. CBM is designed to meet human rights requirements because it is founded on competencies that are job-related and identified as required for successful performance of job tasks. However, human rights complaints are not usually related to the intent of a question, but to how the question is phrased. It is permissible to seek information about problems that might arise from job-related requirements such as travel, long hours or the need for specialized education, but you should not make any assumptions about a candidate's ability to meet those requirements.

Organizations must always be prepared to prove that the skills and qualifications they deem necessary for successful job performance are necessary *in fact*, and they must observe the intent of human rights legislation with appropriate processes and behaviours.

Tips to keep Recruitment, Selection and Promotion processes compliant

Although some issues are still being debated, the intent of legislation and the courts' interpretation are clear in important basic areas. Some areas to watch are presented here.

- **Relate testing to the job**

  Be certain that your tests measure job-related skills so that your Recruitment, Selection and Promotion processes can stand up to scrutiny.

- **Be consistent in handling candidates**

  Recruitment, Selection and Promotion processes must be applied equally to all candidates for a specific job. You would be showing discrimination if, for example, you required certain tests of some participants but not all.

- **Avoid prohibited questions**

  Human Rights laws prohibit asking certain questions as part of a Recruitment, Selection and Promotion process **unless bona fide occupational requirements can be proven**. Prohibited areas under the Canadian Human Rights Act include:

Race	colour
national or ethnic origin	religion
age	marital status
family status	pardoned conviction
sexual orientation	physical or mental impairment*
sex**	

  * Including dependence or alcohol or drugs
  ** Including pregnancy and childbirth

- **Avoid sensitive areas**

  If a sensitive area comes up during the interview, for example about dependent children, make a clarifying statement such as: "*The fact that you have children has nothing to do with your appropriateness for this job.*" If a woman volunteers that she has plans to take care of dependent children so that they will not affect the job, do not inquire about those plans.

- **Take care in phrasing your questions**

  All steps in competency-based Recruitment, Selection and Promotion processes should be grounded in competencies that are related to the work to be performed.

Implementing CBM-enhanced Recruitment, Selection and Promotion

In this section, the CBM approach to effective Recruitment, Selection and Promotion has been described in terms of its benefits, processes and tools.

To assist you in implementing competency-based Recruitment, Selection and Promotion in your organization or to introduce some of its tools to supplement existing practices, read the section *Planning a CBM Implementation* found later in this Guide. It provides key questions to consider as you prepare for an implementation, success factors to note and pitfalls to avoid.

These CBM tools are ready to adapt and use

The CBM foundational tools and specific Recruitment, Selection and Promotion tools support the ranks of Constable, Sergeant, Staff Sergeant and Inspector. They are ready for you to adapt and use.

Table 9: CBM tools for Recruitment, Selection and Promotion

Foundational Tools	Recruitment, Selection and Promotion Tools
Competency Dictionary	Constable Interview Guide
	Sergeant Interview Guide
Constable Task List	Staff Sergeant Interview Guide
Sergeant Task List	Inspector Interview Guide
Staff Sergeant Task List	Superintendent Interview Guide
Inspector Task List	Chief Superintendent Interview Guide
Superintendent Task List	Deputy Chief Interview Guide
Chief Superintendent Task List	Chief Interview Guide
Deputy Chief Task List	
Chief Task List	Pre-interview Tips for Candidates
Constable Competency Profile	Constable Reference Check Guide
Sergeant Competency Profile	Sergeant Reference Check Guide
Staff Sergeant Competency Profile Inspector Competency Profile	Staff Sergeant Reference Check Guide Inspector Reference Check Guide
Superintendent Competency Profile	Superintendent Reference Check Guide
Chief Superintendent Competency Profile	Chief Superintendent Reference Check Guide
Deputy Chief Competency Profile	Deputy Chief Reference Check Guide
Chief Competency Profile	Chief Reference Check Guide

**For more information, the Police Sector Council will be glad to direct you to further resources or HR professionals with CBM expertise.
Please contact ggruson@policecouncil.ca**

Performance Management

This section makes a case for using a CBM approach in Performance Management, describes best practices and introduces the competency-based Performance Management Template.

Benefits

A competency approach offers a number of benefits to the Performance Management function:

- ☑ Creates high-performing police members

- ☑ Establishes a clear link between organizational and individual objectives

- ☑ Encourages ongoing communication through coaching and meaningful feedback to police members

- ☑ Encourages discussion and development of competencies through training

- ☑ Recognizes exemplary performance and accomplishments

- ☑ Creates a high-performance police service

Process

Competencies provide the benchmarks against which performance is measured.

Performance Management is about achieving results in a manner that is consistent with police service expectations. Integrating competencies into Performance Management allows feedback to members not only on what was accomplished but also on how the work was performed.

Figure 10 shows that Performance Management process includes both performance objectives and competencies.

Figure 10: Elements of the Performance Management process

Performance Objectives		Competencies
Key objectives, outcomes and standards for determining whether objectives are successfully accomplished	**+**	Behaviours to be displayed in successful accomplishment of work objectives
WHAT		*HOW*
must be accomplished		they must be accomplished
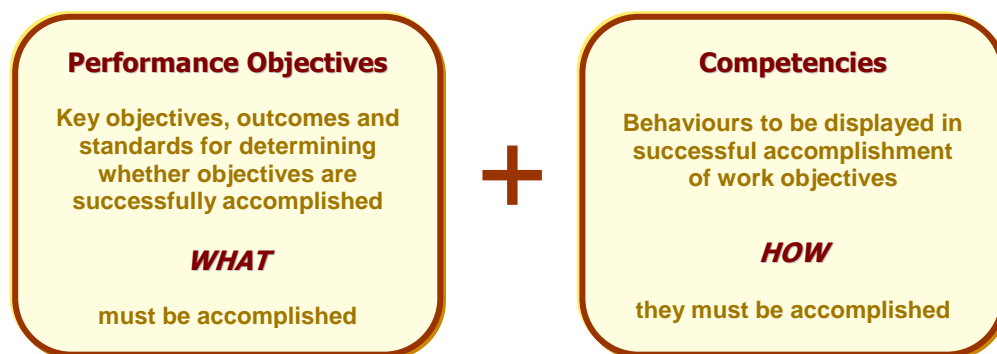
A Performance Management system for individuals and groups is typically implemented in three stages:

- Planning: setting goals and identifying what is needed to achieve them

- Ongoing monitoring and feedback: ensuring that performance is on track and making adjustments to plans

- Evaluation: assessing performance relative to the planned work

Figure 11 indicates the types of questions employees and organizations ask at each stage of the performance development cycle.

Figure 11: Performance Management
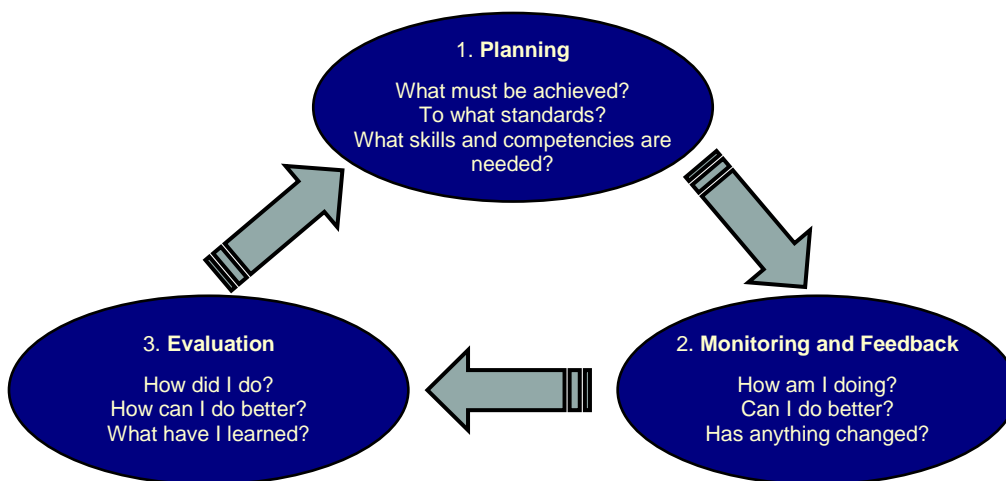
Stage 1: Planning

At this stage, supervisors/managers work with employees to set specific performance goals and develop an action plan to achieve them. Each performance objective needs a step-by-step plan that covers:

- **HOW** the employee will achieve the performance objective, specifying both the activities and support required for them

  WHO is responsible for the activities

  WHEN the activities will be carried out

  WHERE the activities will be carried out

Stage 2: Monitoring and feedback

Effective performance feedback is immediate, specific, positive, frequent and ongoing. It is always given with the clear objective of improving performance.

- **Immediate feedback**

  Don't wait for the performance review – give frequent and regular feedback on performance, especially for new employees and poor performers. Recognize work well done immediately so that employees are encouraged and their work validated. Address concerns immediately so that improvement happens quickly.

- **Specific feedback**

  Be specific about the extent to which employees are meeting expectations. Pinpoint strengths and areas for improvement so that employees know exactly what to do.

- **Positive and constructive feedback**

  Praise significant accomplishments and work well done. Provide constructive feedback when performance is less than expected; for example, by suggesting ways to improve performance. Deliver feedback in a direct and non-judgmental manner.

Focus on improving performance

Stage 3: End-of-cycle evaluation

Make performance review meetings a collaborative effort. While it is clear that supervisors/managers are responsible for conducting final reviews, employees have responsibilities too. Employees prepare by reviewing their accomplishments, noting where they feel performance expectations were exceeded and where they had difficulties.

Figure 12 on the following page walks you through the steps of a performance review meeting.

Figure 12: The Performance Review

> ### Managers' Guide to the Performance Review Meeting
>
> **Prior to the review meeting you should:**
>
> - Give employees adequate notice about meeting date, time, and place.
> - Ensure that employees do self-evaluations.
> - Receive copies of the self-evaluations.
> - Review the previous evaluation.
> - Review performance observation notes accumulated since the last review.
> - Gather performance and development feedback from each employee, other employees, managers and customers who have worked with employees.
> - Come to the meeting with an initial draft of the evaluation.
>
> **During the meeting you should:**
>
> - Explain the purpose of the meeting and agree on the process.
> - Acknowledge your employee's accomplishments.
> - Discuss the draft evaluations completed by employees and yourself.
>   - Encourage employees to discuss their self-evaluations of their performance against the competencies and responsibilities.
>   - Share the assessment you completed
> - Discuss the potential causes of any discrepancies between the expected behaviours and actual behaviours.
> - Come to a common understanding about the quality and level of performance over the review period.
> - Begin the process of identifying performance and developmental objectives for the next review cycle:
>   - Identify ways in which you can help employees improve.
>   - Develop action plans together that will enhance performance.
> - Allow for time at the end of the meeting for other things employees may want to discuss.
> - Set times and dates for future meetings to finalize action plans and discuss progress.
>
> **After the interview:**
>
> - Continue to observe employees' job performance, providing timely feedback and helping them improve.
> - Whether formal or informal feedback is given, keep notes on your observations before the performance evaluation, during the meeting and regularly throughout the year. Always document the situation, the behaviour and the consequences or results.

Tools

Tool: Performance Evaluation Form

This tool supports the end-of-cycle performance review of police members. It outlines performance criteria – the competencies for required performance in the rank - and asks the police member and the supervisor/manager to provide ratings and supportive evidence in a comment box. The template also calls for an overall evaluation of police member performance.

Before reading further, familiarize yourself with
the Performance Management Template and Guide

Implementing CBM-Enhanced Performance Management

In this section, the CBM approach to effective Performance Management has been described in terms of its benefits, processes and tools.

If you decide to implement competency-based Performance Management in your organization or to introduce tools to supplement your existing practices, read the section *Planning a CBM Implementation* found later in this Guide. It provides key questions to consider as you prepare for an implementation, success factors to note and pitfalls to avoid.

> ### Tips for Success
>
> ✓ **Link individual goals to organizational goals**
>
> ✓ **Focus on results and behaviours as well as process improvement**
>
> ✓ **Review and update performance plans regularly**
>
> ✓ **Train managers and employees how to give and receive feedback**
>
> ✓ **Train managers how to conduct performance evaluations**
>
> ✓ **Communicate the benefits of Performance Management in achieving personal and organizational goals.**

These CBM tools are ready to adapt and use

Performance Management is supported by the CBM foundational tools and a Performance Management Template.

Table 10: CBM tools for Performance Management

Foundational Tools	
Policing Competency Dictionary	Constable Competency Profile
Constable Task List	Sergeant Competency Profile
Sergeant Task List	Staff Sergeant Competency Profile
Staff Sergeant Task List	Inspector Competency Profile
Inspector Task List	Superintendent Competency Profile
Superintendent Task List	Chief Superintendent Competency Profile
Chief Superintendent Task List	Deputy Chief Competency Profile
Deputy Chief Task List	Chief Competency Profile
Chief Task List	
Performance Management Tool	
Performance Management Template	

**For more information, the Police Sector Council will be glad to direct you to further resources or HR professionals with CBM expertise.
Please contact ggruson@policecouncil.ca**

⚠ **Training managers to give effective feedback and communicating the purpose and benefits of performance management are essential to a successful Performance Management program.**

Learning and Development

Once organizations have defined competency requirements, it becomes possible to develop targeted learning strategies. This section makes a case for using a CBM approach for Learning and Development and introduces the Learning Plan Template. Learning and Development links organizational needs to jobs to make sure that competency gaps in the organization are identified and addressed. It also makes sure that employees are given the learning experiences they need in order to perform their roles at expected proficiency levels.

Benefits

A competency approach offers a number of benefits to the Learning and Development function:

- ☑ Identifies the competencies police members need to enhance or develop in their current ranks and to plan their careers

- ☑ Provides standards for measuring police members' performance and capabilities

- ☑ Provides the foundation for identifying learning tools such as e-learning and rotation of assignments

- ☑ Provides standards for evaluating learning success

- ☑ Allows learning strategies to be strategic by linking learning plans to organizational objectives and closes gaps in police service competencies

- ☑ Supports forecasting of organizational and project-related learning requirements

⚠ **Learning and Development is recommended as one of the best places to begin a CBM implementation.**

Process

Competencies provide the benchmark against which learning gaps are identified and learning plans are structured. These activities can be applied at both an individual and organizational level. This section of the Guide describes how police officers/managers can use the competencies to create learning plans.

The learning cycle process has four steps:

- **Gap analysis**

- **Developing a learning plan**

- **Planning learning activities**

- **Review and evaluation**

Figure 13: The Learning Cycle
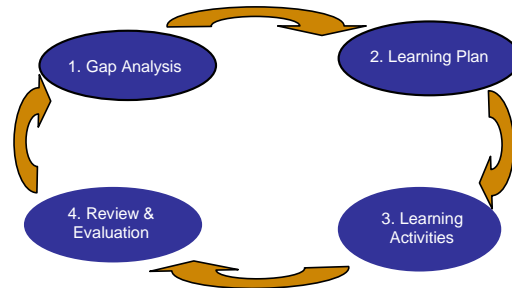
Step 1: Gap analysis

A gap analysis determines skill and performance levels and targets. Competency Profiles and Task Lists provide the benchmarks for expected behaviours. Self-assessments and assessments completed by supervisors/managers, and sometimes peers, identify performance gaps and areas for development.

Step 2: Learning Plan

The areas identified for development serve as the basis for the objectives set out in the Learning Plan. Specific learning activities to support the learning objectives are added to the plan so that the path to improved performance is clear. A learning plan also encourages employees to think of their learning as *results* they need to achieve within a specified period. Use the **SMART** "rules of thumb" in Table 11 when defining learning objectives.

Table 11: SMART rules

Specific	Employees must know exactly what skill or action they will be able to perform as a result of the learning activity and what standards will be used to evaluate their progress.
Measurable	The outcomes of learning must be observable and measurable.
Achievable	Objectives must be attainable but still provide a challenge.
Realistic	Employees must have the authority and resources to control their learning objectives.
Time Bound	Objectives must have deadlines to increase the likelihood of them getting done.

Step 3: Learning Activities

A learning activity is any activity that leads to individual learning and includes a variety of methods such as mentoring programs, courses, and job shadowing. Learning activities must be appropriate for the learning objectives identified. Table 12 describes some possible activities.

Table 12: Learning activity methods

Method	Explanation
Job Shadowing/Working with others	Observing experienced employees perform on the job
"Stretch" Job Assignments	Performing a task that is slightly above the current skill level
Classroom Training	Attending seminars, workshops, trade conventions
Web-based Learning	Taking an online course
Coaching and mentoring	Receiving regular advice and feedback from an experienced individual within or outside the organization

Step 4: Review and Evaluation

It is important to evaluate employees' progress toward their learning goals. This can be done through a second self-assessment at the end of the learning process or by obtaining feedback from others including mentors, supervisors and peers.

A key success factor in improving behaviours is the employee's commitment to the plan and the supervisor/manager's commitment to facilitate the process.

Tools

Tool: Learning Plan Template

The Learning Plan Template is a worksheet that prioritizes the competencies identified for development and captures the associated learning activities, timeframes and costs.

Before reading further, familiarize yourself with the
Learning Plan Template

Implementing CBM-Enhanced Learning and Development

In this section, the CBM approach to effective Learning and Development has been described in terms of its benefits, processes and tools.

If you decide to implement competency-based Learning and Development in your organization or to introduce tools to supplement your existing practices, read the section *Planning a CBM Implementation* found later in this Guide. It provides key questions to consider as you prepare for an implementation, success factors to note and pitfalls to avoid.

These CBM tools are ready to adapt and use

Learning and Development is supported by the CBM foundational tools and a Learning Plan Template.

Table 13: CBM tools for Learning and Development

Foundational Tools	
Policing Competency Dictionary	Constable Competency Profile
Constable Task List	Sergeant Competency Profile
Sergeant Task List	Staff Sergeant Competency Profile
Staff Sergeant Task	Inspector Competency Profile
Inspector Task List	Superintendent Competency Profile
Superintendent Task List	Chief Superintendent Competency Profile
Chief Superintendent Task List	Deputy Chief Competency Profile
Deputy Chief Task List	Chief Competency Profile
Chief Task List	
Learning and Development Tool	
Learning Plan Template	

For more information, the Police Sector Council will be glad to direct you to further resources or HR professionals with CBM expertise.
Please contact ggruson@policecouncil.ca

Succession Management

Succession Management is part of a strategic organizational plan that develops a qualified pool of employees to fill key roles – roles whose importance dictates that they must be filled quickly. CBM provides the benchmarks against which potential leaders can be measured and facilitates the creation of a pool of qualified candidates with the right skills, behaviours and knowledge.

An important component of Succession Management is developing leadership competency. In organizations like policing where leadership is of such paramount importance organized leadership development activities and programs are often a key component of succession management.

Benefits

A Succession Management strategy supported by CBM:

- ☑ Reduces staff turnover rate

- ☑ Reduces the cost and time to fill vacancies

- ☑ Mitigates the risk of sudden departures

- ☑ Increases an organization's appeal to potential employees

- ☑ Aligns staffing strategies with organizational strategy

- ☑ Develops leaders to fill critical roles

Process

Succession Management provides organizations with a clear process that is integrated with overall business strategies and activities.

Competencies are benchmarks against which the competencies of employees are matched to identify whether they have – or have the ability to develop – the required behaviours of key leadership roles.

Table 14 provides ten best-practice steps that take you from planning a Succession Management process to its evaluation.

Table 14: Succession Management process

Policy & Communications	**1. Establish a Succession Management policy.** A Succession Management policy provides a clear understanding of procedures, roles and accountabilities. This includes a champion and a review committee to validate key positions **2. Communicate the Succession Management policy and process.** A communication strategy and plan are required to inform all stakeholders of the Succession Management process including its purpose, benefits and impact on your organization.
HR Planning	**3. Consider your organization's goals and needs.** Succession plans must directly support the strategic organizational goals and workload expectations of your organization. In order to ensure this happens, consider the human resources implications of these goals and expectations at an early stage in the planning process. **4. Scan the environment.** An environmental scan simply requires taking stock of both current and future drivers and inhibitors that could impact the human resources activities in your area. **5. Conduct a gap analysis.** Determine whether there are gaps between the *current* HR capacity and the *required* HR capacity to carry out your organization's strategic plans or workload expectations..
Succession management	**6. Identify critical positions in your organization.** This is the first step in Succession Management. Supervisors/managers ask a series of questions about each of the positions that report to them. The outcome of this review determines which positions fit the criteria that identify critical positions. **7. Identify the requirements and potential successors for critical positions.** Conduct an in-depth review of the requirements, potential successors and possible strategies required to fill all critical positions. Give priority to vulnerable positions. **8. Assess potential successors against the key competencies.** Identify and assess employees against the knowledge, skills, and abilities required for critical areas and positions so that Succession Management plans are tailored toward the acquisition of the capabilities they need to fill critical positions. **9. Implement individual development plans.** The Succession Plan itself does not stop at identifying potential candidates for key positions. There is usually a significant amount of development required at various levels before an employee is ready to assume a targeted critical position. This means there is often a long lead time required to develop employees. To ensure that your organization's Succession Management efforts are successful, regularly evaluate and monitor developmental activities and make adjustments. **10. Evaluate the effectiveness of the succession plan.** Systematically monitor and evaluate these activities and make adjustments. In addition to Succession Management activities, it is also useful to monitor and measure the effectiveness of professional development, apprenticeship programs and indicators, such as satisfaction with development programs and progress on individual development plans**.**

Tools

Succession Planning Worksheet

The three-part worksheet comes with detailed instructions to help supervisors/managers assess the criticality of positions on their teams and develops succession plans to keep them filled. After they complete Parts 1 and 2, a review committee confirms whether the positions qualify as critical and that they have been selected without bias. When the positions are approved, the supervisors/managers use Part 3 to develop a more detailed analysis of the positions and potential successors.

The Succession Management Worksheet:

- Identifies critical positions

- Identifies competencies for critical positions

- Identifies potential successors and assesses them against competencies of the critical positions

- Develops succession and knowledge transfer plans

*Before reading further, familiarize yourself with the
Succession Management Template*

Other CBM tools

Succession Management typically includes a selection of competency-based resources that address the requirements of the targeted positions. These include information, tools, training and activities. The following are examples of competency based resources:

- Employee guides to support self-directed development

- Learning resource catalogues organized by competency

- A form or process that accredits or documents employee progress

- Training for both supervisors/managers and employees on how the Succession Management program works and how to benefit from it

- Work assignments

- Confidence courses

- Mentoring programs

- Reflective journaling

- Self-assessment and/or multi-source assessments to evaluate readiness for increased responsibility

Best practice organizations also have talent management information systems that enable the Succession Management and leadership development. These systems manage data on employee competency development and include capabilities such as:

- on-line registration for courses and programs;

- job matching that compares employee competencies against targeted job requirements;

- reporting capability that support both Succession Management and broader HR planning, producing, for example, lists of employees ready for targeted positions.

Implementing CBM-Enhanced Succession Management

In this section, the CBM approach to effective Succession Management has been described in terms of its benefits, processes and tools.

If you decide to implement competency-based Succession Management in your organization or to introduce some of the tools to supplement your existing practices, read the section *Planning a CBM Implementation* found later in this Guide. It provides key questions to consider as you prepare for an implementation, success factors to note and pitfalls to avoid.

These CBM tools are ready to adapt and use

Succession Management is supported by the CBM foundational tools and a Succession Management Template.

Table 15: CBM tools for Succession Management

Foundational Tools	
Policing Competency Dictionary	Constable Competency Profile
Constable Task List	Sergeant Competency Profile
Sergeant Task List	Staff Sergeant Competency Profile
Staff Sergeant Task List	Inspector Competency
Inspector Task List	Superintendent Competency Profile
Superintendent Task List	Chief Superintendent Competency Profile
Chief Superintendent Task List	Deputy Chief Competency Profile
Deputy Chief Task List	Chief Competency Profile
Chief Task List	
Succession Management Tool	
Succession Management Template	

For more information, the Police Sector Council will be glad to direct you to further resources or HR professionals with CBM expertise.
Please contact ggruson@policecouncil.ca

Planning a CBM Implementation

CBM delivers the most benefit when it is implemented across all HR functions.

A CBM implementation is a significant undertaking and should be founded on strong project management discipline. This section contains a series of steps with associated questions/tips that will help you to develop a project business case and an implementation plan.

Although these steps represent good project management principles, they are not a comprehensive guide to project management. They do, however, represent the experience of your policing colleagues.

The initial steps in CBM implementation are developing the Task Lists, Competency Dictionary and the Competency Profiles. This has already been done for the general policing roles. Your task begins with adapting and validating these tools for your organization.

Step 1: Validate the Task Lists and Competency Profiles

You must confirm that the Task Lists and Competency Profiles are relevant in your organization and validate that the additions you have made to them are bona fide requirements of the job. This is a critical and necessary exercise to ensure your competencies are defensible.

How you use this validation process depends on what best suits your service. For example, the number of members in the various ranks may determine whether you do focus groups, use subject matter experts, hold a meeting of all members in the rank or conduct one-on-one interviews.

> **Bonus Benefit**
>
> The validation process has a notable side benefit – it gives you an opportunity to communicate the benefits of competency-based management and helps to create common understanding and acceptance.

1. **Consider these questions in your validation planning:**

   Q: How many reviewers will you need to confirm the Task Lists and Competency Profiles are valid? How many would support acceptance of the results?
   Who should review the Task Lists and Competency Profiles: incumbents, supervisors/managers, HR representatives, senior management, others?

   Reviewers should:
   - Know and typify the desired level of competence
   - Understand the job
   - Represent different stakeholder interests
   - Represent the diversity of the workforce in the rank.

   Q: How will you engage your stakeholders in the validation process and communicate the benefits of CBM to them?
   - Create a plan to involve key stakeholders in the process and to create awareness of the changes and benefits.

   Q: What should the process look like?
   - You might use an expert panel, focus group, survey, and/or interviews. Select the process that will optimize the input of the key stakeholders.
   - You can divide the work up and stage it in different ways.

   Q: What should be documented?
   - The process and methodology followed
   - The criteria for selecting the participants
   - The participants
   - The rationales for decisions
   - The outcomes

2. Validate the Task Lists

Review the Task Lists with a panel of subject matter experts.

- Remove tasks, sub-tasks, and knowledge or skill statements from the Task Lists that are not performed in your organization.

- Add any missing tasks or sub-tasks, knowledge or skills that are required in your organization.

3. Validate the Competency Profiles

Review the Competency Profiles to validate the list of critical competencies for each rank and confirm the levels of proficiency.

Q: Are these competencies the most critical for success in the rank?

- Remove any competency that is not considered critical for success in job performance. Select another competency that is more relevant. Note that a typical competency profile has between 8 and 15 behavioural and technical competencies.

- For the competencies remaining, review the level of proficiency to confirm that they accurately reflect the proficiency needed to perform the work. Look at the behaviours listed in the Policing Competency Dictionary for the assigned proficiency level and at previous levels.

- If the level of proficiency provided is not accurate, select another proficiency level

4. Confirm your findings.

- Use the *Linking Competencies to Tasks Worksheets* to make sure that any changes you have made are valid. The worksheet is a matrix that helps you confirm that competencies are defensible bona fide requirements to successfully perform a rank's tasks.

> ⚠️ **In addition to reflecting bona fide job requirements, competencies must not discriminate on any of the grounds covered by the Human Rights, Citizenship and Multiculturalism Acts.**

The following tools are available to help you confirm the validity and defensibility of your Task Lists and Competency Profiles. The worksheets, Linking Competencies to Tasks, define each competency required for a rank, provide their proficiency levels and associated behavioural indicators, and allow you to examine them in relation to the major tasks in the Task Lists.

These CBM tools support your validation:

Foundational Tools	
Policing Competency Dictionary	Constable Competency Profile
Constable Task List	Sergeant Competency Profile
Sergeant Task List	Staff Sergeant Competency Profile
Staff Sergeant Task List	Inspector Competency Profile (
Inspector Task List	Superintendent Competency Profile
Superintendent Task List	Chief Superintendent Competency Profile
Chief Superintendent Task List	Deputy Chief Competency Profile
Deputy Chief Task List	Chief Competency Profile
Chief Task List	

Validation Tools
Constable: Linking Competencies to Tasks Worksheet
Sergeant: Linking Competencies to Tasks Worksheet
Staff Sergeant: Linking Competencies to Tasks Worksheet
Inspector: Linking Competencies to Tasks Worksheet
Superintendent: Linking Competencies to Tasks Worksheet
Chief Superintendent: Linking Competencies to Tasks Worksheet
Deputy Chief: Linking Competencies to Tasks Worksheet
Chief: Linking Competencies to Tasks Worksheet

**For more information, the Police Sector Council will be glad to direct you to further resources or HR professionals with CBM expertise.
Please contact ggruson@policecouncil.ca**

Step 2: Decide where you will apply competencies

Q: For what human resource processes will you use competencies?

- It is recommended that you begin a CBM implementation with Recruitment or Learning and Development.

- Review the function and determine which components will be implemented, considering budget, organizational needs and activities already underway. For example, in Recruitment, Selection and Promotion, will CBM be used for all components or only for Selection?|

Q: How will you integrate the new tools to support your existing processes?

- Review existing policies and procedures to ensure your plans are consistent with them.

Step 3: Determine the resources needed

Q: Consider your organization's capacity to support the use of competencies.

- Determine the ability of your human resources department to support supervisors/managers in using competencies.

- Determine the training supervisors/managers and police professionals need in order to use CBM effectively.

- Determine the human resources information management infrastructure required to support CBM.

"Competency-Based Management is crucial to the success and health of any organization when it comes to Recruitment, Selection and Promotion. The Saanich Police Department uses CBM to identify the right people, with the right abilities and behaviours to create the best possible pool of qualified candidates. This is achieved by assessing the candidate's suitability against a defined set of competencies. By using CBM we can work towards achieving our goals and objectives."

Inspector Brett Fryer
OIC Staff Development

If competencies are new to your organization, you will need at least one subject matter expert available to maximize the benefits of CBM and to support managers as they begin to use competencies in HR functions.

Competencies represent a change in existing language and practice. Managers and police professionals will need training to understand how they can use competencies to enhance their current HR functions.

It is not necessary to have a human resource information management system to use competencies for basic HR functions. The tools in this guide only require a regular computer. While there are off-the-shelf technology products that integrate competency-based HR management functions, they are useful for large organizations but are not required to implement CBM.

Ms. Sandra Madren,
Manager, HR Programs Unit
Ontario Provincial Police

Step 4: Consult Broadly

Q: What aspects of the implementation need consultation and who should be consulted?

- Decide which tools, items or issues need stakeholder consultation.

- Decide who will be consulted, and to what extent.

- Decide how they will be consulted: for example by focus groups, a survey, interviews, or a single meeting.

- Decide how to engage police professionals in other locations.

- Decide how to involve all stakeholders such as unions and police service boards and at what stages of the project. Engage bargaining units from the beginning and include them in all decision making processes.

> *"From Edmonton's perspective, the point on "Consulting Broadly" is critical. Competency- based Management, when implemented, has organization-wide impact on many decision- making levels. It is crucial that you consider all of your stakeholders and get them involved, not only in understanding what CBM is, but also to support the transition to this model. The extra work done up front will make the transition smoother and more effective in the long run."*
>
> *Garry Meads*
> *Inspector, Human Resources*
> *Edmonton Police Service*

> *The London Police Service Performance Management System was developed subsequent to an extensive review of best practices within both the police sector and external sectors. The development process included feedback from both internal and external persons and groups, including the employee association.*
>
> *Brent Shea*
> *Superintendent*
> *Corporate Services Division*
> *London Police Service*

> *One of the most beneficial features of our competency-based HR system was the participation of working groups to design and set up the system. We approached Sergeants and Staff Sergeants from throughout the organization to participate. These people were well respected in their divisions and thus lent a lot of credibility to the outputs of the process.*
>
> *We started in the middle with the NCO's then we set up a working group with Constables and another with Commissioned Officers. These groups worked with what the NCOs had created and adapted the outputs to their needs. The work of these three groups made it much easier and less time consuming for the steering committee, as the products they saw at each stage were highly developed and representative of all levels and divisions of the organization.*
>
> *Once we went to implementation, the working group members became our trainers and subject matter experts who were accessible to those working with the new system. The working group members were much more accessible than the HR staff and could relate to the questions posed as they had debated those questions during the process.*
>
> *Sharon Trenholm*
> *Royal Newfoundland Constabulary*

Step 5: Set up governance and project management structures

Implementation of competency-based human resources tools and practices is a large undertaking. You need a committed implementation team with specific responsibilities and authority for the duration of the project.

Q: Will a steering committee guide the design and implementation?

- A Committee for governance and oversight of the process is recommended.

- Decide who will be on such committees.

Q: How many and what type of resources will you need in the project office?

- Ensure the project office resources have the competencies required; for example, project management or competency-based management.

- Ensure you have sufficient resources dedicated to the project and that there are enough resources fully dedicated to it.

- Ensure funding and resources are secure for the duration of the project.

- Determine whether external consulting resources are needed.

Q: Who will approve the Task Lists and Competency Profiles?

- Individuals who have an in-depth understanding of the positions; usually these are the supervisors of the positions. ..

Q: How will executive management be involved in implementing CBM?

- Decide whether you will use champions or sponsors, the role they will play, and what their relationship to the steering committee, project office and expert panels will be.

> *The Vancouver Police Department Human Resources Section has two Sergeants dedicated to career development and to oversee CBM, performance development and promotion processes. These two Sergeants are resources to several committees that govern and oversee the various components of CBM. We have found that including the Vancouver Police Union in these committees provides valuable input and buy-in.*
>
> *Steve Schnitzer*
> *Personnel Services,*
> *Vancouver Police Department*

Step 6: Plan change management and communications

Change is hard. Successful implementation requires sensitivity to the effects a CBM implementation will have on people and the way they do things.

Q: How will you manage change in your organization?

- Ensure that project team members and key stakeholders can clearly articulate the need for change and the vision of the end state.

- Secure the full commitment of senior management and their understanding of what that means.

- Decide whether CBM will gain wider acceptance if you seek out high-need areas first, do a demonstration project, or go for a "quick win."

- Anticipate sources of resistance and the reasons behind them. Make plans to counteract them.

- Identify spokespersons and key messages. Decide how and when messages about benefits, progress and the availability of tools should be delivered for maximum effectiveness.

- Use any other strategies that will help police members get to a position of support for CBM.

> *We have used competencies for the last five years. Having a Change Management Plan with a consistent communication strategy has facilitated a smooth transition from our previous system. When changing processes with police personnel how you implement is as important as what you implement.*
>
> *Sharron R. Gould*
> *Manager, Human Resources*
> *Winnipeg Police Service*

Step 7: Develop policies for using CBM

Q: What policies are needed to support CBM? For example:

- For Recruitment, Selection and Promotion:
  - a policy that requires all police supervisors/managers to complete training on how to conduct competency-based interviews

- For Promotion Management:
  - a policy regarding the documentation of the performance management process

- For Learning and Development:
  - a policy about integrating competencies into the process

- For Succession Management:
  - policy for assessing potential successors.

> *"The use of competencies does not require a stand alone policy or SOP (Standard Operating Procedure). The information and tools in this Guide will help you to integrate competencies into your police service's existing HR policies and procedures."*
>
> *Ms. Sandra Madren, Manager*
> *HR Programs Unit*
> *Ontario Provincial Police*

Step 8: Develop and implement processes

Develop processes and tools consistent with the policies developed in step 7.

- Define the project governance model and how it will operate.

- Determine the HR information management infrastructure needed.

For example, for Learning and Development:

- Design or acquire individual learning tools and processes

- Build or acquire a catalogue of learning resources organized by competencies

- Develop or acquire competency assessment (self, supervisory, multi-source) and reporting processes

- Introduce supervisor and multi-source assessments once employees are familiar with the competencies and the assessment process

- Conduct a needs assessment and develop tools and reporting processes to identify organizational strengths and gaps in competencies.

- Integrate competencies into the development process of learning programs.

For example, for Succession Management:

- Establish a process to predict the likelihood of vacancies in key positions over a 12-month period and strategies to fill them.

- Design individual and group proficiency development programs to fill critical positions.

- Develop a system to monitor proficiency development and

- Develop a process to integrate succession requirements with the employees' career paths.

Step 9: Pilot

It is good practice to pilot new CBM processes, revise and finalize them prior to their formal launch. Introduce CBM gradually, beginning with one process, area or unit to learn from and build on that success. Break the project into manageable pieces; for example, instead of training everyone in all CBM interview techniques, train for one rank at a time.

Step 10: Train

Don't underestimate the need for training. To implement CBM successfully, everyone who participates in the process must understand the competency-based approach.

Plan to train HR personnel, employees, and supervisors/managers in the methods and the tools. To ensure learning is retained offer the training "just in time" for implementation. Incorporate both training and practice because the techniques are new. Even employees with many years of interviewing experience need training and practice in competency-based interview techniques.

For example:

- Train supervisors/managers and HR personnel on appropriate competency-based interviewing approaches.

- Plan, design and implement an orientation and training program for employees on how to participate in competency-based Recruitment, Selection and Promotion.

- Develop training on competency-based learning processes and tools.

Step 11: Evaluate, improve, maintain

- Establish evaluation criteria, methods and role responsibilities that will enable an assessment of the effectiveness of your CBM implementation.

  - Clearly define goals for the implementation.

  - Define the criteria for measuring success.

  - Decide who is responsible for measuring and reporting.

  - Determine the mechanisms and responsibility for tracking lessons learned and implementing project improvements as the project unfolds.

  - Identify strategies to maintain and increase benefits.

- Review and evaluate the effectiveness and efficiency of the CBM processes based on established metrics and benchmarks. For example:

  - In Recruitment, Selection and Promotion, correlate the results of the selection process with on-the-job or training performance results.

  - In Learning and Development, integrate competencies into the evaluation process for learning programs to measure changes in workplace behaviours and return on investment for learning activities.

  - In Performance Management, review and evaluate the process after the first cycle of implementation.

- Make adjustments to policies, procedures and tools that will continuously improve the effectiveness of your CBM processes.

- Decide how to maintain knowledge and interest in CBM. For example:
  - Regular communications
  - Ongoing training during orientation programs
  - Train-the-trainer program
  - CBM community of practice
  - Mentoring programs

The London Police Service (LPS) embraced CBM approximately six years ago. Since the inception of the process, we continue to review our competency applications to ensure they remain contemporary. The catalyst for these reviews includes ongoing best practice scans as well as feedback from employees. This feedback resulted in the implementation of promotion seminars where we "walk through" the competency requirements associated with each rank, assisting members in their understanding while encouraging them to focus on personal development that supports achieving rank-related competencies.

Brent Shea
Superintendent
Corporate Services Division
London Police Service

PSC-CSP

IN CONCLUSION

CBM is a best practice human resources management system. It has proved its worth to a broad spectrum of public and private organizations, including Canada's policing sector. There is no doubt that CBM is a good investment, one for which you will see returns sooner rather than later thanks to the extensive start-up work accomplished by your policing colleagues.

That work, packaged in this guide, gives you the information and tools you need to begin a CBM program that will bring benefits to your police members, your HR department and your police service.

CBM works because it:

- Integrates HR management by applying common criteria to all HR functions, and

- Links HR practices to organizational results and in the process delivers reduced turnover and improvement in job performance.

Closing thoughts:

1. You can benefit from CBM by supplementing your existing processes with CBM tools.
2. Benefits increase with each additional HR function to which you apply CBM.
3. Implementation requires all the rigour of project management, including project planning and managing change in your organization.
4. And finally, a cautionary note about the traps that have caused others to fail. Forewarned is forearmed.

Figure 14: Why Competency Projects Fail

Ten Reasons Competency Projects Fail

1. No sponsor or a sponsor with insufficient power, influence, credibility or strategic perspective
2. No perceived need for change among senior leaders or groups with power
3. Resistance to change across the organization
4. No clear identification and involvement of stakeholders. Lack of awareness
5. Losing momentum because priorities change
6. Inadequate training for managers, supervisors, employees and HR staff
7. Support infrastructure and funding not in place
8. Inadequate project management and/or project talent
9. Not implementing the right away
10. Competencies and applications too complicated

Support Network

Your colleagues are available to participate in a CBM community of practice to share best practice and lessons learned. The police services listed on the right are willing to answer your questions about their experience implementing CBM.

If you need additional support for a competency implementation or CBM training, the Police Sector Council will be glad to direct you to further resources or HR professionals with CBM expertise.
Please contact ggruson@policecouncil.ca