



**HEDDLU
GOGLEDD CYMRU
NORTH WALES
POLICE**

Response Date: 27/08/2026

2026/862 - Regulation 12 and Regulation 13 Policies / Guidance

In response to your recent request for information regarding;

I am writing to request information under the Freedom of Information Act 2000 concerning your force's procedures for probationary police officers under Regulations 12 and 13 of the Police Regulations 2003.

Please provide copies of any policies, procedures, guidance documents, standard operating procedures, flowcharts, manager guidance, forms, checklists or other written material held by your force concerning:

- 1. Regulation 12, including the extension of a police officer's probationary period; and**
- 2. Regulation 13, including the assessment of whether a probationary officer is fitted physically or mentally to perform the duties of the office, is likely to become an efficient or well-conducted constable, and/or any process for considering the dispensation of a probationary officer's services.**

I am particularly interested in identifying whether your force's Regulation 13 policy, procedure or guidance:

- refers expressly to Regulation 12;**
- requires or encourages consideration of an extension of probation before or during a Regulation 13 process;**
- provides for additional training, development, support or an improvement period instead of, or before, dispensation;**
- provides for an officer's probationary period to be extended where further time is required to assess their performance, development or suitability;**
- explains the circumstances in which Regulation 12 may be used as an alternative to, or alongside, Regulation 13.**

Relevant period

Where possible, please provide the version or versions of these documents that were in force between 1 August 2021 and 31 August 2023.

If a relevant document was revised during that period, I would be grateful for each version that applied.

If the historic version is no longer routinely available but is retained in an archive, document-management system or other records, please include that version if it can reasonably be retrieved.

If this is not possible, I will accept the latest/current version.

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Glan-y-Don, Bae Colwyn LL29 8AW
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Documents available online

If any of the requested information is already publicly available, I am content to be directed to it rather than requiring a duplicate copy.

However, I would be grateful if you could provide the specific webpage or direct document link, together with the title and version/date of the relevant document.

I make this request because, in previous FOI responses from police forces, I have on occasion been advised that the requested document is available elsewhere online, but the link supplied has subsequently been unavailable, broken or has not led to the relevant historical document.

Accordingly, if the document is publicly available, please either:

- **provide a functioning direct link to the document; or**
- **if the link is no longer operational, provide a copy of the document if it remains held by the force.**

For clarity, I am seeking policy and procedural material only. I am not requesting personal data, individual case files or information identifying any particular police officer.

Please find attached.

THIS INFORMATION HAS BEEN PROVIDED IN RESPONSE TO A REQUEST
UNDER THE FREEDOM OF INFORMATION ACT 2000, AND IS CORRECT AS AT 24/08/2026



**HEDDLU
GOGLEDD CYMRU
NORTH WALES
POLICE**

MANAGING POLICE OFFICERS IN THEIR PROBATIONARY PERIOD

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POLICY

CHANGE HISTORY				
Version No	Date	Author	Changes	Ratification
2.1		HR Business Partner	Scheduled review and redraft	
2.2		HR Business Partner	Incorporated PSD comments and suggested amendments to redraft.	
2.3	30/01/2023	Head of Training	Scheduled review and redraft	

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1. WHY IS THIS POLICY REQUIRED?

North Wales Police is committed to providing student officers with training and development in accordance with the Initial Police Learning and Development and the Police Education Qualification Framework.

The aim of this policy is

- To provide a Force-wide consistent approach in managing the performance and development and conduct of police officers in their probationary period.
- Ensure officers demonstrate satisfactory performance across a range of operational and academic (where appropriate) competencies in order to be confirmed in their appointment as Constable, Sergeant or Inspector
- Set out guidelines for working constructively with officers in their probationary period to support them in achieving the standards of behaviour, performance, conduct and competency required to allow them to complete the relevant portfolio and be confirmed in appointment.

2. WHO SHOULD USE THIS POLICY?

The policy applies to student officers (Constables) in their probationary period and to officers in their one-year probationary period following a successful promotion board for Sergeant or Inspector.

Line managers are responsible for dealing promptly and effectively with unsatisfactory performance, attendance, and conduct (where appropriate) of any officers within their probationary period.

3. WHAT SHOULD I CONSIDER WHEN USING THIS PROCEDURE?

The policy should be read in conjunction with the following documents:

- [Welsh Language Skills Policy](#)
- [Learning Policy: Procedure 2 - Assessment and Internal Verification Procedure](#)
- [Recruitment Policy](#)
- [Attendance Management Policy](#)
- [NPPF Procedures](#)
- [Operational Competence Portfolio Guidance](#)
- Home Office Guidance – Conduct Efficiency and Effectiveness – Statutory Guidance on Professional Standards Performance and Integrity in Policing
- Police Conduct /Performance Regulations 2020
- Code of Ethics

4. PROCEDURES**4.1 Managing Police Constables in their Probationary Period**

North Wales Police are committed to providing Student Police Officers with training in accordance with the Initial Police Learning and Development Programme (IPLDP) and the Police Education Qualification Framework (PEQF) covering the Degree Holder Entry Programme (DHEP) and the Police Constable Degree Apprenticeship (PCDA) and Pre-join entry route.

This procedure will ensure that Student Officers are given every opportunity to develop and become an efficient and well conducted officer. This procedure sets out the means of support provided, and the formal action taken should there be concern that the Student Officer will not successfully complete their probationary period. Regulation 12 (Probationary Service in the rank of Constable) of the Police Regulations 2003 allows for this probationary period to be extended if deemed necessary. Regulation 13 (Discharge of a Probationer) provides the grounds on which a Chief Constable may dispense with the services of a Student Officer at any time during their probationary period.

4.1.1 The Probationary Period

The underlying purpose of the probationary period is to allow each Student Officer the opportunity to demonstrate they have reached the required standards to be confirmed in rank. North Wales Police will provide all the reasonable means to facilitate this process by demonstrating compliance in its procedures and consistency of approach within the performance management process for student officers.

The performance and attendance of individual Student Officers is a key element in the delivery of a quality policing service. Student Police Officers should know what standards of performance and attendance are required of them and be given appropriate support to attain those standards within their probationary period.

Dealing with Student Officers during their probationary period falls outside the procedures for dealing with officers under the Police (Performance) Regulations 2008.

4.1.2 Police Regulations

The Police Regulations relevant to Student Officers in their probationary period are as follows:

Regulation 12 (Probationary Service in the rank of Constable) of the Police Regulations 2003 allows for the probationary period to be extended if deemed necessary.

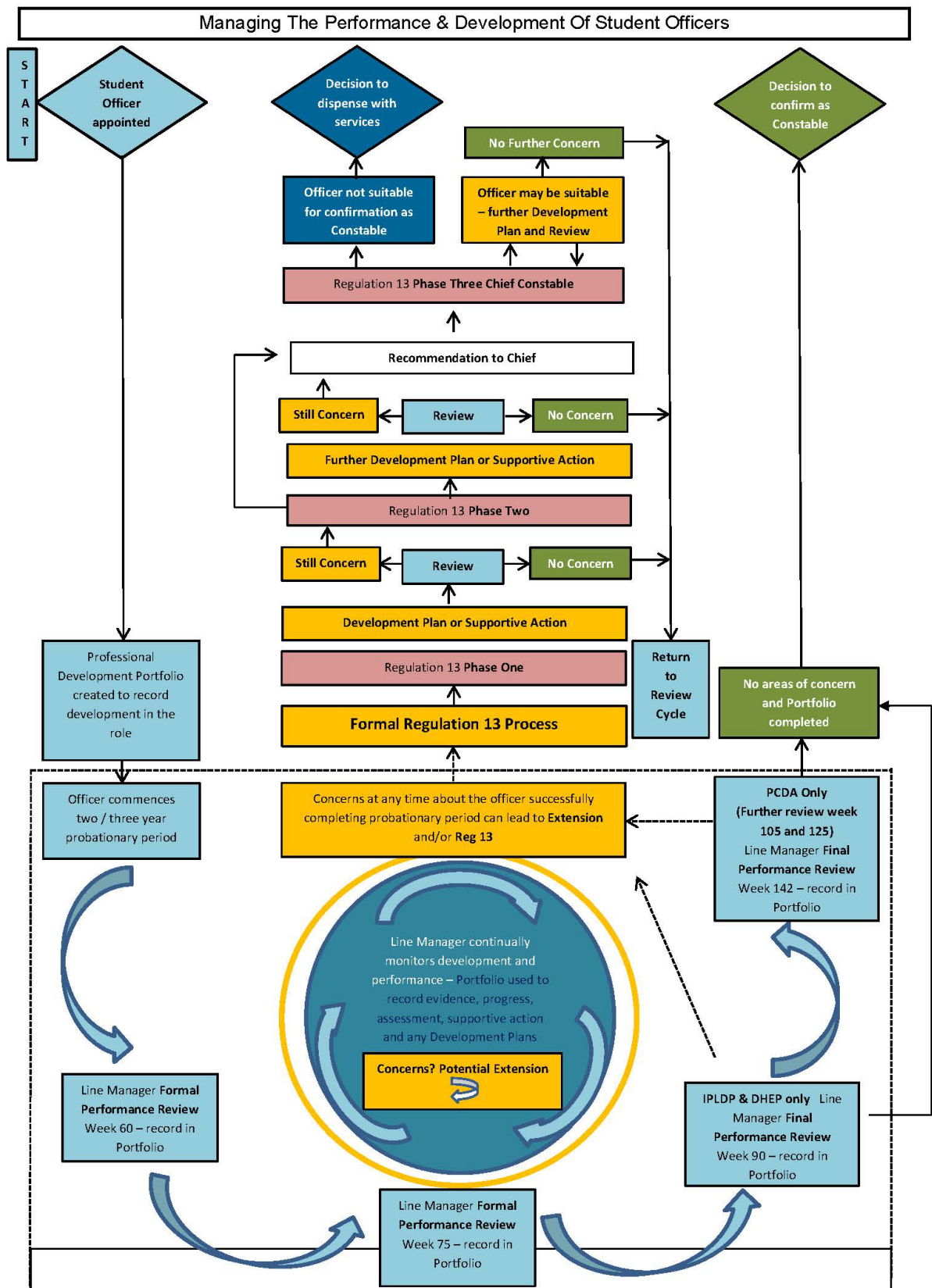
Regulation 13 (Discharge of a Probationer) of the Police Regulations 2003 provides the grounds on which a Chief Constable may dispense with the services of a Student Officer at any time during their probationary period.

Police Regulations 2003 clearly sets out the principles for the retention of Student Officers, as follows:

‘The Services of a Constable may be dispensed with at any time if the Chief Officer of Police considers that he/she is not fitted, physically or mentally, to perform the duties of his/her office OR that he/she is not likely to become an efficient or well conducted Constable’

Further detail in respect of the Regulations is provided within this policy.

4.1.3 Managing Police Constables in their Probationary Period Flowchart



4.1.4 Entry Routes & Probationary Periods

There are two entry routes into North Wales Police, which come under the Police Education Qualification Framework, as follows:

Police Degree Apprenticeship - PCDA (3 year probationary period)

During the three year programme, the Student Officer will complete a Degree in Professional Policing Practice, alongside their probationer training.

Degree Holder Entry Programme - DHEP (2 year probationary period)

Degree holders will complete a 2 year programme to achieve a Graduate Diploma in Professional Policing Practice alongside their probationer training

Degree in Professional Policing - (Pre-Join (PPD) – (2 year probationary period)

Degree holders will complete the initial 22 weeks of training followed by their tutor phase.

They will be merged with a standard PCDA/DHEP cohort.

They are not required to complete any academic studies.

These programmes are facilitated in partnership with Bangor University, the Force's Higher Education Institution (HEI) provider.

The Force also has Student Officers recruited prior to the introduction of the PEQF programme on the IPLDP scheme, who also complete a **2 year probationary period**.

4.1.5 Probationary Periods for all entry routes

Approximate Timescales		
Months 1 - 6	Initial Training Phase	The Student Officers (both IPLDP & PEQF) are the responsibility of the Training Department and complete their initial training during this phase.
Months 7 – 12 9 for PEQF Student Officers	PDU tutor phase	Student Officers are allocated a tutor within the PDU.
Months 9 to 24 for IPLDP Student Officers	Independent Patrol Phase	If the tutoring phase is completed successfully the Student Officer will be able to commence Independent Patrol. They are still supported by their supervisor, an assessor and the Training Department to ensure that they continue to develop and complete their portfolio and Probationary Period.
	Year 1 Gateway to be achieved	DHEP & PCDA Student Officers
Months 13 to 24 for PEQF Student Officers	Independent Patrol Phase (FOC Portfolio)	If the tutoring phase is completed successfully the Student Officer will be able to commence Independent Patrol. They are still supported by their supervisor, an tutor and the Training Department to ensure that they continue to develop and complete their FOC portfolio and probationary Period.

	Completion of Qualification Confirmation in Rank Year 2 Gateway to be achieved	DHEP Student Officers IPLDP & DHEP Student Officers PCDA Student Officers
Months 25 to 36	Independent Patrol Phase continues	PCDA Student Officers only - Advanced Professional Development, other Learning and Development and Learning and Practice
	Completion of Qualification Confirmation in Rank	PCDA Student Officers

Under the PEQF, student officers have to evidence proficiency in both their operational competence **and** achieve the appropriate standard in the submission of their academic assessments and assignments set by the HEI.

4.1.6 Support During the Probationary Period

Timely performance and attendance management is an integral part of a line managers' responsibility and managers/supervisors should let student officers know when they are doing well, or if circumstances arise, when the first signs are evident that there is a need for improvement.

Student Officers on occasions will under achieve in their operational competence and/or in their academic work and/or have sickness issues or minor breaches to the Code of Ethics such as Standards of Professional Behaviour. In these circumstances it is reasonable for the Student Officer to expect and receive support, guidance and/or suitable advice from the line manager, which can include reflective practice as outlined in section 4.1.10.

4.1.7 Supporting Development

Any of the following supportive actions or alternatives could be considered to develop the officer and should be recorded in the Student Officers Portfolio:

- On-going measurement against the National Occupational Standards as set out in the portfolios relevant to each entry route
- Recognising, recording and rewarding good performance.
- Coaching / mentoring
- 360 degree feedback
- Exposure to work in other departments
- Closer supervision and regular review of work by line manager
- Implementing more effective communication
- Reappraising duties and goals
- Workplace adjustments in relation to any disability
- Identifying motivational factors for the officer and opportunities to apply them.
- Correction of minor errors through supportive action.
- Development/Support Plans

The progress of Student Officers is monitored regularly by HR Officers, PDU, Training Department staff, Senior LPS Managers and the Resource Management Board.

4.1.8 Workplace Adjustments

Where it is identified that a Student Officer requires reasonable adjustment(s) due to a protected characteristic under the Equality Act 2010, full consideration should be taken of any appropriate reports/advice and sufficient time provided within any development plans to enable the effectiveness of the adjustment(s) to be fully assessed at future case conferences, e.g. the provision of additional training/equipment.

Support mechanisms such as 'Access to Work' should be considered when implementing reasonable adjustments. Guidance should be sought from the relevant HR representative. A disability may not always be apparent to the Student Officer, or their line manager, however as soon as it is identified; the appropriate support must be put in place in accordance with the Equality Act 2010.

4.1.9 Development Plans

It is acknowledged that there will be occasions when the performance, attendance or conduct of a Student Officer falls short of the required standard. In such instances, it is reasonable for the Student Officer to expect to receive support, advice and guidance from their supervisor, from the Training Department and/or the HEI. This should initially be dealt with by means of tutorial meetings with the supervising officer and documented in the Student officers' portfolio.

A supportive development plan following the SMART mnemonic should be completed with agreed timescales for improvement, evidence should be gathered by the supervising officer, staff from the Training Department, and/or staff from the HEI as to any possible underlying causes of poor performance, which may include domestic or personal issues, work issues, e.g. bullying and harassment, underlying medical and disability related issues.

In drawing up a development plan at any stage to address any concerns, the following must be included in the plan:

- The specific areas requiring improvement
- The improvement that needs to be achieved, which needs to be measurable
- How the progress will be measured and evidenced
- Arrangements in place to assist the Student Officer
- Reasonable timescales for the improvements to be achieved
- Potential implications if actions within plan are not achieved by the student officer

4.1.10 Reflective Practice

Reflective practice is the ability to reflect on your actions and improve the way you work. It is considered a key skill in practice based professional learning. In order to maximise reflective practice, the Student Officer must be willing to continuously assess their practice and performance in consideration of any new learning. Further information can be found in the College of Policing guidance [here](#).

Agreed timescales for improvement should be set by the supervising officer, staff from the Training Department and/or staff from the HEI, if possible this should be between 1 to 3 months with regular reviews during this period to support improvement.

The reflective practice must be documented in the training course record book and/or student officer portfolio.

Ideally as a result of reflective practice, performance and attendance and conduct (as appropriate) will improve and continue at an acceptable level.

Where there is no improvement, insufficient improvement, or the improvement is not sustained over an agreed period of time, it will then be appropriate to refer it to Stage 1 Formal Action.

There may be exceptional circumstances where the matter needs to be considered immediately under Stage Three of the formal procedure without having first completed the earlier stages of the sequential approach.

4.1.11 Guidance on Unsatisfactory Attendance

Where a Student Officer is absent through illness or injury, it is their responsibility to comply with the Force Attendance Management Policy.

If the sickness absence occurs during the Initial Training Phase, it must be managed by Training Department staff.

If the sickness absence occurs during the Tutoring/Mentoring/Independent Patrol phase the responsibility lies with the PDU Sgt to manage any necessary intervention.

If the sickness occurs during the Independent Patrol Phase/Bangor University it must be managed by their line manager, who must notify the Probationer Assessor Sergeant of the absence.

The relevant Training department supervisor will be responsible for notifying the Training Manager if a trigger point is reached during the probationary period. The Training Manager will make a decision on whether any action needs to be taken under Regulation 12/13 of the Police Regulations 2003. This will also be dependent on any previous development plans that have been implemented during the probationary period for attendance, performance, or conduct.

Any stress related absence must result in an immediate referral to the Force Occupational Health Unit.

Where the Student Officer hits a trigger point, a referral must be made to the Occupational Health Unit for a Force Medical Adviser review, and a decision made as to whether to progress the case via an Attendance Improvement Plan or through the formal Regulation 13 procedures.

No action should be taken to initiate the termination of the Student Officers services (whether under Regulation 13 Police Regulations 2003 or on medical retirement) without the full circumstances being referred to the Head of POD and written guidance being received.

Complying with the formal stages of the Regulation 13 procedures as described earlier will ensure that Student Officers who are absent or are unable to perform due to injury are managed appropriately and given support prior to any decision being made to terminate their services.

4.2 Guidance on managing student officers who are alleged to have breached the standards of behaviour

The Chief Constable has discretion to deal with Student Officers who have breached the Standards of Professional Behaviour within the Code of Ethics either by way of the Police Conduct Regulations 2008 or the Police Regulations 2003 (Home Office Circular 8.2005 refers). Link to the Home Office Guidance is available [here](#).

If a breach of the standards of behaviour have been highlighted during the student officers training programme then the severity of the behaviour will be assessed by the Training Manager.

The PDU Inspector will take ownership of standards of behaviour during the tutor phase and District Inspectors will have ownership during Independent Patrol phase.

If a Student Officer is suspected to have breached Standards of Professional Behaviour then the matter must be referred to the Chief Superintendent Local Policing Services who will arrange a fact finding exercise to be carried out and relevant checks made on the Student Officer with the HEI, Training Department, PSD and line managers.

A decision will then be made as to how the matter should be dealt with - a number of options are available such as:

- No further action
- Reflective Practice
- Development Plan
- Stage 1 Regulation 13
- Stage 2 Regulation 13
- Formal investigation under the Police Conduct Regulations

If the Chief Superintendent Local Policing Services concludes a formal investigation should be conducted, an early meeting between the Training Department, Professional Standards Department and the Basic Command Unit (BCU) (if relevant) should be held to decide who is best placed to investigate the circumstances thoroughly.

Depending on the nature of the allegation it may be prudent for the initial investigation to be conducted by PSD or the BCU, to ensure the necessary safeguards under the Police Conduct/Performance Regulations 2020 are implemented. This will be considered to be the best course of action if the conduct of the Student Officer is likely to be gross misconduct and there is no previous history recorded against the student officer in relation to conduct/performance or sickness issues.

A formal investigation under the Police Conduct/Performance Regulations will not always be necessary when dealing with a Student Officer, especially if the same Student Officer has already been subject to previous development plans/reflective practice for performance, attendance or conduct during their probationary period. In these circumstances it is likely that the best course of action will be to instigate the formal Regulation 13 process without the need to carry out a formal investigation under the Police Conduct/Performance Regulations.

The previous history of a Student Officer in relation to attendance, performance and conduct are all relevant under the Regulation 13 process, and an overall assessment is constantly being made throughout the probationary period to ascertain whether the Student Officer is ***'fitted physically or mentally to perform the duties of their office and whether they will become an efficient or well conducted Constable'***. If there is any doubt in relation to this, the Regulation 13 process MUST be considered.

If a formal investigation has been conducted under the Police Conduct/Performance Regulations and there is a case to answer which has been admitted by the Student Officer, then PSD can refer the matter back to the Chief Superintendent LPS who will arrange for the case to be addressed via the Regulation 13 process, negating the need to hold a misconduct meeting/hearing. However, if the alleged breach of conduct is an isolated incident and it is not admitted by the Student Officer, then it is recommended that disposal of the case should be via

the Police Conduct/Performance Regulations and not Regulation 13 (Kay V Northumbria (2010) refers).

If a decision is made to use the Regulation 13 process to deal with a conduct matter a decision will need to be made as to what stage of the Regulation 13 process is instigated.

Reflective Practice, Development Plan or a Stage 1 Regulation 13 case conference will be used to deal with minor misconduct.

A Stage 2 Case Conference must be held to deal with more serious misconduct where a formal investigation has been conducted under the Police Conduct/Performance Regulations or there is a pattern of behaviour or events that is giving cause for concern as to whether the Student Officer is ***fitted physically or mentally to perform the duties of their office or whether they will become an efficient or well conducted Constable.***

Regardless of what stage of the Regulation 13 process is instigated (Reflective Practice/Stage1, Stage 2 or Stage 3 Case Conference), the Student Officer will always be told how their behaviour fell short of the expectations set out in the Code of Ethics which includes Standards of Professional Behaviour, and will be given a copy of the evidence against them and be afforded the opportunity to make verbal and/or written representations.

4.2.1 Extensions to the Training or Tutor Phase

Where an extension of the training phase or the tutor phase is being considered, this **does not** require the Chief Constables approval, and is managed between the Training Department, HEI, HR and the relevant service area. An extension may be required if there is concern that the Student Officer is not ready to move on to the next phase of their probation. A meeting should be arranged to give the Student Officer an opportunity to make their representations. This should be documented in the portfolio, and the Student Officer can record their representations within it.

4.3 REGULATION 12 POLICE REGULATIONS 2003 – Extension of Probationary Period (Post Tutor Phase)

Line managers are responsible for dealing promptly and effectively with unsatisfactory performance and or/attendance of student officers.

Circumstances that could lead to an application under Regulation 12, Police Regulations 2003 are:

- Protracted absence through sickness/injury
- Protracted absence through any relevant protected characteristics
- To facilitate timescales for reasonable adjustments to be implemented and monitored effectively
- The implementation and monitoring of reasonable adjustments being put into place and the impact of this on confirmation timescales
- Suspension from duty awaiting the result of a PSD investigation
- To facilitate the Regulation 13 process
- Unable to carry out operational duties through injury/illness e.g. long term restricted/recuperative. (Every effort must have been made to accommodate the Student Officer in a role that enables them to continue working to complete their portfolio and probationary period).

The above list is not exhaustive but provides examples of where it may be prudent to apply for an extension to ensure the Student Officer is given every opportunity to prove that they can reach the required standard and be confirmed in rank.

There are a number of circumstances where it may be appropriate to extend the probationary period of a Student Officer. If it is felt appropriate to apply for an extension to the probationary period, it is the responsibility of the line manager to raise their concerns initially with the Probationer Assessor Sergeant who will look closely into the individual circumstances of the case e.g. sickness levels, exam and assessment results, student portfolio completion and progress, the level of support the officer requires in relation to their length of service and any other information that may assist in the decision making process.

A meeting will be arranged with the Student Officer, the Probationer Assessor Sergeant, the line manager, HR and a Federation representative before progressing a Regulation 12 report outlining the case to the Chief Constable to request authorisation of an extension. The Student Officer will be informed in writing of any such decision.

An extension of probation is not automatic, and on occasions will be declined. If this does occur, a review of the evidence will be made by the relevant line manager and a Regulation 13 file as opposed to a Regulation 12 file needs to be prepared for the case.

It should be noted that any issues of poor attendance and/or performance should be dealt with at an early stage to allow for the process to be completed within the probationary period – i.e. first 2 years (for IPLDP/ DHEP and Prejoin), or 3 years (for PCDA). The extension of service can be requested at any stage of the performance and/or attendance process to ensure the process can be concluded within the probationary period.

In respect of the performance/ attendance/conduct issues of a Student Officer, the request for Regulation 12 should be accompanied by a detailed report.

4.3.1 Procedure for Extensions

Where an extension is felt necessary, the following procedure should be followed:

- As a guide, extension requests should not be made any later than week 90 (unless there are exceptional circumstances beyond this point) of the 2 year probationary period, or week 142 of the 3 year probationary period
- A meeting should be arranged between the Student Officer, their line manager, Probationer Assessor Sergeant, Area Inspector and HRTSO to discuss the reasons why an extension is required and to allow the Student Officer to put forward their views.
- The Student Officer must be given seven days' notice of the meeting and is entitled to Federation Representation at the meeting.
- The notes of the meeting along with an Extension Request Form with a recommendation should be provided to the Head of People & Organisational Development, who will advise the Chief Constable and seek written confirmation from the Chief Constable of approval of the extension. A copy of the notes and Extension Request Form will also be provided to the Student Officer and they will be given an opportunity to raise any points of contention.
- Following a decision by the Chief Constable, the Student Officer will be provided with the rationale for the decision.

If the Chief Constable decides that an extension is not appropriate and that the formal Regulation 13 Process should be invoked then the Line Manager will be advised in writing so that Stage One can be arranged.

Where an extension is granted by the Chief Constable, then the Student Officer will continue to be supported and monitored to try and ensure successful completion of the Portfolio and probationary period.

The Student Officer's probationary period automatically ceases at the end of the first two/three years' service as appropriate to the entry route of the Student Officer, unless a decision to extend is made before the end of the period. This also applies to subsequent extensions.

4.3.2 Progressing from Regulation 12 to Regulation 13

If a decision is made not to extend a Student Officers probationary period and they have not been able to demonstrate that they have reached the required standard, then a Stage 1 Regulation 13 case conference will be held to give the Student Officer an opportunity to make representations with their Police Federation representative. At the conclusion of the case conference, consideration will be given in respect of accelerating the case to a Stage 3 Regulation 13 case conference whereby the Chief Constable will decide whether the Student Officers' services will be dispensed with under Regulation 13 Police Regulations 2003, or whether an extension of probation under Regulation 12 should be given.

4.4 REGULATION 13 POLICE REGULATIONS 2003 – Discharge of a Probationer Constable

4.4.1 Discharge of a Probationer - Invoking the Formal Regulation 13 Process

If at any stage during the two year probationary period issues are highlighted which are forming a pattern and/or giving serious cause for concern and there is doubt over whether the officer is fitted, physically or mentally, to perform the duties of their office, or that they are not likely to become an efficient or well conducted officer, the Regulation 13 procedure may be invoked. For example concerns over development, performance, attitude, and behaviour are all areas which could cause concern. This list is by no means exhaustive.

It is the requirement of the Force Welsh Language Policy that all Student Officers achieve level three Welsh within the first twelve months of service. Student Officers will be supported and encouraged to make use of their Welsh language skills when the opportunity arises during their probationary period. Failure to achieve level three by the end of the first twelve months of service will be a consideration under Regulation 13.

Where misconduct issues arise, advice should be sought from the Professional Standards Department however it should also be noted that the Chief Constable has the discretion to address misconduct issues through Regulation 13 providing this adheres to the [Home Office Guidance](#).

During the training phase if there are serious concerns about the Student Officer as described under 4.4.2 below then this may be grounds for invoking Regulation 13. If a Student Officer fails to pass an exam or assessment, even after re-sitting, then this may also be grounds for invoking Regulation 13. Each case will be considered individually in making a decision on how to proceed.

At any point during the probationary period in exceptional circumstances, consideration may be given by the relevant Senior Management Team to refer a Student Officer direct to Phase 2 of the Formal Regulation 13 Process. An example of exceptional circumstances may be a serious injury, or medical condition that will prevent the Student Officer from being able to carry out the Police Officer role on a long term and/or potentially permanent basis;

The rationale for taking this approach must be provided in writing to the Chief Constable and to the Student Officer.

4.4.2 Evidence for the Formal Regulation 13 Procedure

Where a Line Manager has grounds to believe that a Student Officers' progress may lead to discharge under this procedure, the student officer training course record and/or the Portfolio must have been used to record:

- Areas of concern and discussions about these with the Student Officer.

- Supportive action (see Section 4.1.7) including Development Plans applied.

4.4.3 Carrying out the Formal Regulation 13 Procedure

For each stage of the Formal Regulation 13 procedure, the following procedure should be followed:

- Line manager/HEI to document rationale to Training Manager/Area Inspector
- A formal **written invitation** must be provided to the Student Officer **seven days in advance** of the Case Conference setting out the **date, time and location** and providing a summary of the reasons why performance and/or attendance is believed to be unsatisfactory with copies of all relevant evidential documentation that will be relied upon, including any case file, and any action taken so far by the Line Manager to address the areas of concern. The evidence must also be included within the Student Officers Portfolio
- The invitation must also set out all the **possible outcomes** of the conference, including the fact that their service with North Wales Police is at risk
- Welsh speaking Student Officers should be offered the opportunity to use their language of preference within meetings/conferences, and this should be included in the invitation.
- The Student Officer must be advised that they are entitled to seek advice from a Police Federation representative, can be accompanied at the meeting by their representative, and will be provided the opportunity to make their representations in the conference in respect of the issues causing concern
- The invitation should ask the Student Officer whether he/she intends to raise any **welfare/medical issues** not previously disclosed to the Force which may have had an impact on their performance and/or progress
- The Student Officer or their representative should provide any documents they wish to rely upon in the conference at least 3 days prior to it.
- During the conference, opportunities to support, develop and educate the individual will be considered alongside reflective practice, and a SMART Development plan if appropriate will be agreed outlining areas where the officer must improve (an extension may be required under Regulation 12 to facilitate this).
- Any development plan/reflective practice will be regularly reviewed and monitored by the line manager responsible for the Student Officer. The development plan/reflective practice will be stored in the Student Officers portfolio.
- Any workplace adjustments will be considered
- If an extension is being sought during the Formal Regulation 13 Process, then there is no requirement for a separate meeting to discuss the extension. This can be discussed as part of the relevant Regulation 13 Meeting phase.

4.4.4 Taped or Digital Recording of Meetings

Meetings/Case Conferences as part of the formal process can be taped or digitally recorded if required to assist in ensuring a thorough documentation of the discussion, but at request rather than as a matter of course.

The following guidelines should be followed if this is the case:

- Seeking the officers' consent at the commencement of the meeting.
- Advise that a copy of the recording would be made available to the officer after the meeting.
- If the officer does not give consent for the meeting/conference to be tape recorded, their wishes must be respected.
- Retain a copy of the tape recording and any written meeting/conference notes on the electronic personal files.

4.4.5 Stage 1 - Formal Action Case Conference

Actions Initiating Stage:	If a Student Officers performance, attendance or conduct continues to cause concern, supervising officers must treat each case on its own merits, and consider all the pertinent facts available at the time. The matter must be documented and referred to the Probationer Assessor Sergeant or the officers' line manager.
Attendees At Stage One:	• Training Manager/ Area Inspector (as appropriate) • Relevant member of the PDU/Assessor Team • Line Manager (Sergeant or Police Staff equivalent) • HR Officer • Student Officer • Police Federation Representative
During Stage One:	The purpose of the Case Conference is to formally highlight the areas of concern and discuss opportunities to support, develop and educate the individual will be considered including reflective practice and a SMART development plan (if appropriate) will be agreed outlining areas where the officer must improve.
Stage One Outcomes:	• Reflective Practice • Development Plan and/or; • Other Supportive Action; • Potential Extension.
Following Stage One:	A full record of the Case Conference should be provided to the Student Officer within five working days and a copy placed in the Portfolio including any Reflective Practice and/or Development Plan/s agreed. Any comments or points of contention raised by the Student Officer should be also added to the portfolio.
Review:	Development plans will be regularly reviewed and monitored by the line manager. If there is no further cause for concern within the timescales set, this should be noted in the Portfolio and no further action is necessary. Consideration to move to Stage 2 of the process will be made if the development plan is not achieved or sustained throughout the remainder of the probationary period. The Line Manager should document the details to the Training Manager/Area Inspector who will advise the Area Superintendent to commence Stage Two of the process. <u>Exceptional Circumstances</u> In exceptional cases, it may be necessary to progress immediately to Stage 2. This will occur when the conduct of the Student Officer could amount to gross misconduct or the conduct/attendance and performance taken together is so poor that it is reasonable to by-pass the first two stages and progress straight to a Stage 2 Case Conference. The rationale for doing this must be clearly documented.

4.4.6 Stage Two – Formal Case Conference with LPS Area Superintendent

Actions Initiating	The purpose of the Case Conference is to review the Students Officers
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Stage:	under performance and /or poor attendance and /or conduct and to discuss with them the reasons why they are still failing to reach the standards expected of them as a Police Officer. All documentation completed so far (minutes of meeting, the evidence of the concerns, development plans etc.) should be provided to the Area Superintendent to review. The officer is invited to attend a Case Conference.
Attendees Stage Two:	• LPS Area Superintendent (Chairperson) • Student Officer • HR Representative • Police Federation Representative • Relevant member of the Training Department/PDU/ Assessor Team
During Stage Two:	During the Case Conference consideration will be given as to what further strategies can be put in place to ensure the Student Officer improves their performance and/or attendance and/or conduct. Opportunities to support and develop the Student Officer will once again be considered and reflective practice/ a final SMART development plan may be agreed, outlining specifically which areas they must improve on. Everyone at the meeting will be allowed to make their representations. A decision may also be made not to set a development plan if it is apparent at the end of the Case Conference from the evidence presented that the Student Officer is unlikely to become 'an efficient and well conducted constable or that they are not fitted physically or mentally to perform the duties of their office'. The Stage 2 Development Plan set must be for a period of time which allows the objectives to be achieved but must not be set for more than 3 months. The Student Officer will be informed that failure to achieve this Stage 2 Development Plan will result in a recommendation being made that their services should be dispensed with under Regulation 13, and a Stage 3 Case Conference arranged.
Stage Two Outcomes:	• Recommendation to dispense with services (i.e. progression to Stage 3 for the Chief Constable's determination) or; • Recommendation to retain the officer with reflective practice and/or a development plan in place.
Following Stage Two:	A full record of the Case Conference should be provided to the Student Officer within five working days of the meeting and a copy placed in the Student Officers portfolio. The Student Officer must be given the opportunity to indicate whether they agree or disagree with the record of the Case Conference. Any comments or points of contention raised by the Student Officer should be added to the portfolio.

	The recommendation and all documentation completed so far should be provided to the Head of POD to prepare the case for the Chief Constable. Successful completion of the Stage 2 Development Plan will result in no further action providing their performance or attendance or conduct does not give cause for concern throughout their probationary period. If a Student Officer gives cause for concern again during their probationary period after a Stage 2 Regulation 13 Case Conference regarding their performance and/or attendance and/or conduct then the matter will be referred immediately to the Head of POD recommending that their services be dispensed with under Regulation 13 of Police Regulations 2003. If this occurs the Police Federation will be notified and full disclosure of the case will be given to the Student Officer and they will be given an opportunity to make verbal and/or written representations before the final decision is made by the Chief Constable. The Chief Constable is the only person who can make a decision to dispense with the services under Regulation 13 of Police Regulations 2003.
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4.4.7 Stage Three – Formal Case Conference with Chief Constable

Actions Initiating Stage:	The Head of POD will provide a case file to the Chief Constable. The officer is invited to attend a Case Conference.
Attendees At Stage Three:	• Chief Constable • Senior HR Business Partner/ HR Business Partner • Student Officer • Federation Representative • Relevant member of the Training Department/PDU/Assessor Team • Any other person determined by the Chief Constable
During Stage Three:	The Chief Constable will consider all the documentation and the recommendation made by the LPS Area Superintendent. Everyone at the Case Conference will be allowed to make their representations. This is a final opportunity for the Student Officer to state their case, and appeal against the recommendations of the Area Superintendent.
Stage Three Outcomes:	• Decision to dispense with services or; • A decision to retain the officer and; • An Extension if required and/or; • Reflective Practice and/or a Development Plan.
Following Stage Three:	A full record of the Case Conference should be provided to the Student Officer within five working days and a copy placed in the Portfolio. The Student Officer must be given the opportunity to indicate whether they agree or disagree with the record of the meeting. Any comments

	raised by the Student Officer should be added to the Portfolio. The full Regulation 13 Case File will be placed on the Students Officers' personal record. If a decision was made to dispense with the services of the Student Officer, they will be informed by the Chief Constable within one day of the meeting and the relevant actions will be taken by Human Resources to progress the Student Officer's exit from the organisation. This will include arranging a month's pay in lieu of notice. There is no appeal route. If a decision was made to retain the services of the Student Officer, the Chief Constable will set out any conditions that must be met by the Student Officer and this will be reviewed at the appropriate time.
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4.4.8 Following Regulation 13

If at any point within the remaining probationary period there is a relapse by the Student Officer and concerns are raised again about their suitability to be a Police Officer, whether the issue is the same or not, the following procedure should be followed:

- The supportive action outlined in section 4.1.7 of the procedures should have been considered and relevant actions applied
- If the supportive action did not resolve the concern, then the Regulation 13 procedure would re-commence at the stage which was reached previously i.e., if Stage 2 had previously taken place, then the procedure would recommence at Stage 2. The only exception to this is where an officer had previously reached Phase Three – in this case the officer would return to Stage 2 in order to give a fair opportunity for them to represent themselves.

Important Note - For IPLDP Student Officers who are currently in the Regulation 13 process, a 4 stage Regulation 13 process will still apply – further guidance on this can be obtained from the HR Business Partner for LPS.

4.5 Resignation

Under no circumstances should the Student Officer be persuaded to resign as an alternative to the procedure outlined above. If a Student Officer tenders their resignation, they must submit a report to their Line Manager, outlining the reasons for the resignation and the resignation date.

The Line Manager will then forward the resignation to PSD for them to confirm whether there is any ongoing investigation which might prevent them from resigning. If there is no reason to prevent acceptance of a resignation, then HR will be advised and will commence the leavers process. The Chief Constable will also be advised of the resignation.

If PSD highlight an issue, then discussion will take place as to the appropriate course of action.

4.6 References Post Discharge/Resignation

Please refer to the References Policy and Procedure for details of what will be included in a reference when requested by a future prospective employer. There are a number of standard reference templates for different scenarios, including for discharge under Regulation 13, to ensure fairness and consistency.

4.7 Complaints or Road Traffic Collision (RTC)

If a Student Officer approaching the end of their probation is subject of a live complaint, investigation or RTC, then a discussion will take place as to whether they can be confirmed in the rank of Constable or not. The relevant Superintendent, the Head of People & Organisational Development, a representative from PSD and a Federation Representative will discuss the case in order to make a recommendation. If the recommendation is that they should proceed to be confirmed in rank, and the confirmation process will commence. If the recommendation is that they cannot be confirmed in rank until the issue has been resolved, then an extension will be considered as per Regulation 12 as detailed earlier in this procedure.

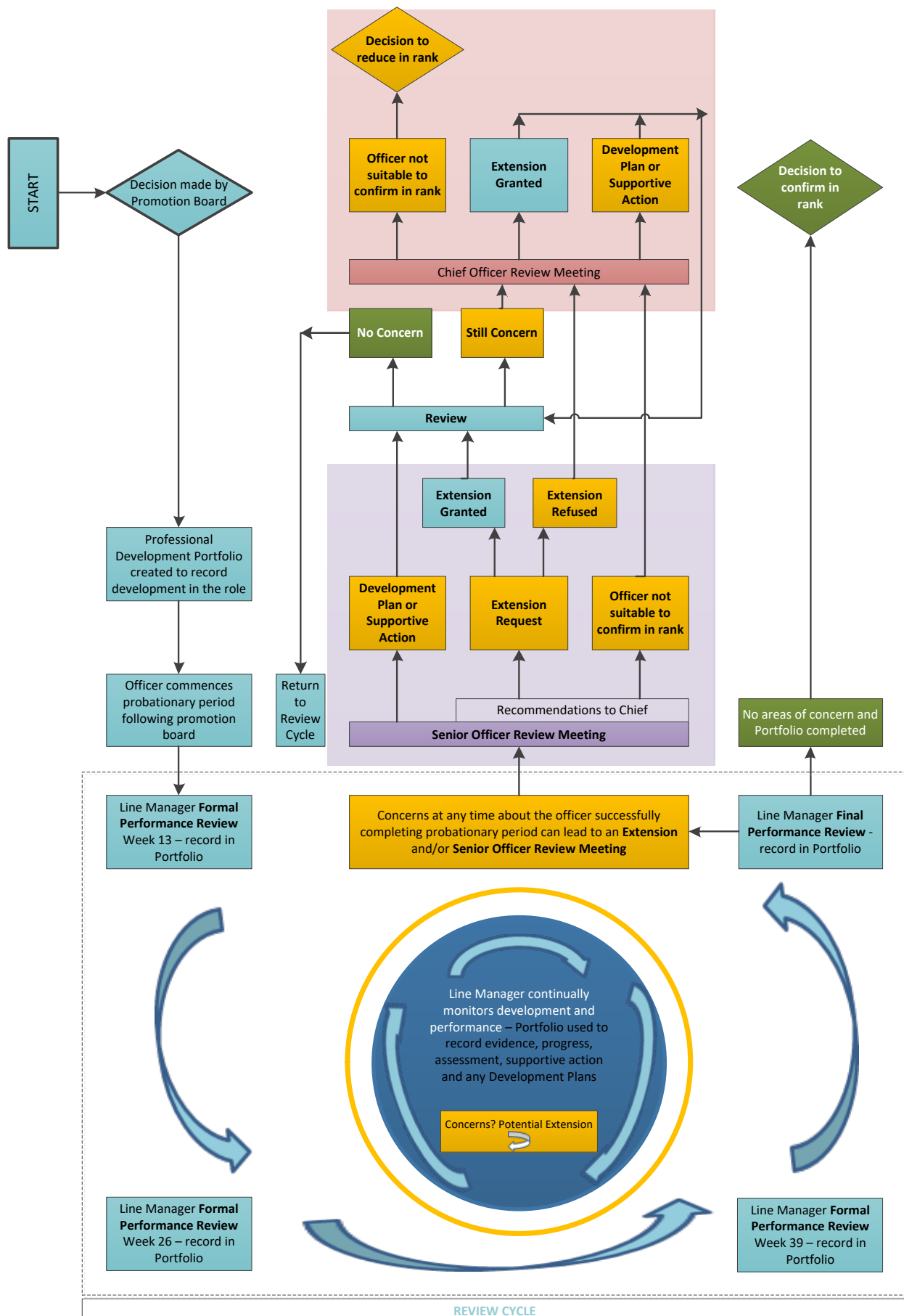
4.8 Confirmation in the Rank of Constable

Once a Student Officer has fully completed their Portfolio, and where relevant achieved the qualification as stipulated in their entry route (DHEP/PCDA), and there are no other areas of concern, the Portfolio will be verified and signed off by the Training Department. A Confirmation of Appointment form will be completed and sent to the Chief Constable. The Chief Constable will then confirm completion of the probationary period in writing to the Student Officer. Confirmation of rank should not be given before the end of the two/three-year probationary period (as appropriate) as per Annex C of Regulation 12 of the Police Regulations. This also ensures that the Student Officer has been given full opportunity to demonstrate their competence.

4.10 Managing Sergeants and Inspectors Following Promotion Probation Procedure

This procedure will ensure that officers are given every opportunity to develop and become an efficient and effective Sergeant or Inspector following a successful promotion board. Any officer successfully completing the assessment process for promotion to Sergeant or Inspector will now complete the National Police Promotion Portfolio during the 12-month probationary period. This will lead to an NVQ qualification at the relevant level. As well as completing the portfolio the officer is required to evidence that their performance, knowledge, attitude, and behaviour are all at the required standard for them to become a substantive Sergeant or Inspector. This procedure sets out the means of support provided, and the formal action taken should there be concern that the officer will not successfully complete their probationary period.

4.10.1 Managing the Performance and Development of Sergeants and Inspectors Following Promotion Probation Flowchart



4.11 Support During the Probationary Period

4.11.1 Supporting Development

It is the responsibility of Line Managers to monitor the development and ensure achievement of the potential of officers under their supervision, supported by the Training Department and HR where necessary. The following actions should be carried out:

- On-going measurement against the National Occupational Standards as set out in the Professional Development Portfolio.
- Recognising, recording and rewarding good performance.
- Identifying motivational factors for the officer and opportunities to positively emphasise these.
- Correction of minor errors through supportive action.
- The use of Development Plans, logged in the Portfolio to address any initial concerns.
- Three interim performance reviews will be carried out at weeks 13, 26, 39 and a final performance review no later than one month before the end of the probationary period.
- The progress of officers is monitored regularly by HRTSO's, Training Department and Senior LPS Managers via a progress overview. It is also monitored through the People and Organisational Development (POD) Senior Management Team.

4.11.2 Supportive Action

Any of the following supportive actions or other alternatives could be considered to develop the officer and should be actioned promptly and recorded in the Portfolio:

- Attending appropriate training courses.
- Coaching or mentoring.
- Exposure to work in other departments.
- Closer supervision and review of work by the Line Manager.
- Instituting more effective two-way communication.
- Reappraising the employee's job duties and targets.¹
- Workplace adjustments in relation to any disability.

4.11.3 Development Plans

In drawing up a supportive Development Plan at any stage of the process the following should be specifically included in the plan:

- The specific areas requiring improvement.
- What improvement needs to be achieved – this must be achievable and measurable.
- How the progress will be measured and evidenced.
- What arrangements will be in place to assist the officer to achieve the Development Plan.
- Within what time scales the improvements must be achieved (this must allow a reasonable period of time for the officer to be able to achieve the improvements).
- Potential implications if actions within plan are not achieved by the student officer

4.12 Extensions to the Probationary Period

During the course of an officers' probationary period, there may be a requirement for the probationary period to be extended. Circumstances that may necessitate an extension to the probationary period are where there is concern that the officer will not be able to complete their probation within the 12 month period. Examples include:

¹ The targets referred to are those necessary to support officers to achieve and demonstrate the standard required for a Sergeant or Inspector and are not numerical quantitative performance targets.

Pregnancy / Maternity Leave/Paternity	An officer may require an extension if they are unlikely to be able to complete their portfolio and probationary period within the 12-month period due to maternity or paternity leave.
Long Term Sickness Absence From Work	An officer may require an extension if they are unlikely to complete their portfolio and probationary period within the 12-month period due to a long term period of sickness absence.
Long Term Recuperative or Restricted Duties	An officer may require an extension if they are unlikely to complete their portfolio and probationary period within the 12-month period due to a long-term period of recuperative or restricted duties. Every effort must have been made to accommodate the officer in a role that enables them to continue working to complete their probationary period.

4.12.1 Evidence for the Extension

Where a Line Manager has grounds to believe that an officers' progress is cause for concern and that they may not achieve the required level of competence and performance to be confirmed in rank as a Sergeant or Inspector within the 12-month period the Portfolio must have been used to record:

- Areas of concern and discussions about these with the officer.
- Supportive action (see 4.11.2) including Development Plans must have been applied.

4.12.2 Procedure for Extensions

Where an extension is felt necessary, in line with Regulation 5 of The Police (Promotion) Regulations 1996 the following procedure should be followed:

- By no later than the 9th month of the probationary period, the Line Manager of the officer sends a report to the relevant Chief Inspector, HRTSO and Training Department outlining the reasons why an extension is required.
- A meeting is arranged between the officer, Line Manager, relevant Chief Inspector and HRTSO to discuss the reasons why an extension is required and to allow the officer to put forward their views.
- The officer should be given seven days' notice of the meeting and is entitled to Federation Representation at the meeting.
- The notes of the meeting with a recommendation should be provided to the Head of People Services.
- A copy of the notes and recommendation will also be provided to the officer, and they will be given an opportunity to raise any points of contention.

4.12.3 Decision on Extension

If the recommendation is to extend the probationary period, the Head of POD will advise the Chief Constable and seek written confirmation from the Chief Constable of approval of the extension using the relevant template.

Following a decision by the Chief Constable, the officer will be provided with the rationale for the decision.

If the recommendation is that the officer does not require an extension, then the Head of POD will sign off the recommendation and confirm the decision to the officer along with the rationale for the decision.

If the Chief Constable has concern over the officers' ability to complete their probation, they can invoke a Phase One Senior Officer Review.

If the extension request is granted by the Chief Constable, the Line Manager continues to be responsible for monitoring the development of the officer. If there still remain concerns that the officer will not complete their probationary period and become a competent Sergeant or Inspector, then a Phase One Senior Officer Review can be invoked.

Alternatively, if at any stage during the 12-month probationary period issues are highlighted which are forming a pattern and/or giving serious cause for concern about the officers' ability to complete their probation and become a competent Sergeant or Inspector, then the Senior Officer Review may be invoked without any extension having previously been considered.

4.12.4 Formal Review Process

The following applies prior to either a Phase One or Phase Two meeting being held:

- A **written invitation** must be provided to the officer **seven days in advance** of the planned meeting setting out the date, time and location of the meeting and providing all relevant documentation that will be referred to including any case file.
- The invitation must clearly state the **reasons why the meeting is being held** and **what has been done so far** to address the areas of concern.
- The invitation should also set out the **possible outcomes** of the meeting.
- The grounds surrounding the areas of concern must be fully evidenced within the Portfolio.
- The officer must be advised that they are entitled to seek advice from a Police Federation representative and can be accompanied at the meeting by their representative.

The following are the details of the two phases of review:

4.12.4.1 Phase One – Senior Officer Review

Actions Initiating Senior Officer Review:	<u>Either</u>; the Chief Constable upon receipt of an extension request has concern that the officer may not reach the required level of competence and performance to be confirmed in rank as a Sergeant or Inspector; <u>Or</u>; the officer has previously been granted an extension and the Line Manager has concern that the officer may not reach the required level of competence and performance to be confirmed in rank as a Sergeant or Inspector; <u>Or</u>; at any time during the probationary period issues are highlighted which are forming a pattern and/or giving serious cause for concern about the officers' ability to complete their probation. This phase should be invoked <u>no later</u> than the 10th month of the probationary period.
HR Review	The Head of People and Organisational Development will review the Extension Proforma and/or relevant documentation from the Line Manager or relevant Chief Inspector. If the documentation is satisfactory, it will be provided to the relevant Superintendent.

Attendees At Senior Officer Review Meeting:	• Superintendent • HRTSO • Officer in their probationary period • Police Federation Representative • Relevant member of the Assessor Team
During Senior Officer Review Meeting:	The purpose of the meeting will be to discuss the officers' progress and areas of concern and what action has been taken so far to address the areas of concern. The meeting will decide whether an Action Plan and extension will enable the officer to successfully complete their probationary period or not. All those attending will be allowed to make their representations. The Superintendent will make a recommendation following the meeting.
Senior Officer Review Meeting Outcomes:	• Extension Recommended. • Development Plan - timescale for review should take into consideration the remaining time available in the probationary period and allow a period of at least one month between the completion date for the Development Plan and the end of the probationary period. • Recommendation not to confirm the officer in the rank of Sergeant or Inspector and therefore to revert to their previous rank.
Following Senior Officer Review Meeting:	A full record of the meeting should be provided to the officer and a copy placed in the Portfolio including any Development Plans agreed. The officer must be given the opportunity to indicate whether they agree or disagree with the record of the meeting and also any Development Plan arising out of that meeting. Any comments or points of contention raised by the officer should be added to the Portfolio. If a recommendation was made not to confirm the officer in the rank of Sergeant or Inspector, then the Chief Constable (or DCC in the absence of the Chief Constable) should be informed and all relevant documentation provided to the Head of POD to prepare a file for the Chief Constable (or DCC). If a recommendation was made that an extension should be given, then an Extension Form should be provided to the Chief Constable (or DCC) to ratify. The Line Manager should then continue to review the officers' development if granted. If a recommendation was made to set a Development Plan, then this should be reviewed at the appropriate date.
Review:	If a recommendation was made to grant an extension and/or set a further Development Plan, then this should be reviewed at the appropriate date. If there is no further cause for concern, this should be noted in the Portfolio and the Chief Constable should confirm the officer in the rank of Sergeant or Inspector. If the cause for concern remains, the Line Manager should set out the details to the Chief Constable and a Phase Two Chief Officer Review Meeting will be arranged. The officers' probationary period is only complete once the Portfolio is complete, and the officer is confirmed as sustaining a satisfactory performance as a Sergeant or Inspector.

4.12.4.2 Phase 2 – Chief Officer Review

Actions Initiating Chief Officer Review:	<u>Either</u>: The officer has previously been granted an extension and/or further Development Plan but the Line Manager still has concern that the officer still may not reach the required level of competence and performance to be confirmed in rank as a Sergeant or Inspector. <u>Or</u>: The recommendation was made at Phase One – Senior Officer Review that the officer should not be confirmed in the rank of Sergeant or Inspector. This phase should be invoked <u>no later</u> than the 11th month of the probationary period.
HR Review	The Head of People and Organisational Development will review the relevant documentation from Superintendent and ensure a file is prepared and provided to both the Chief Constable and the officer.
Attendees At Chief Officer Review Meeting:	• Chief Constable (or Deputy Chief Constable in the absence of Chief Constable) • HR Lead • Officer in their probationary period • Police Federation Representative • Any other person requested by the Chief Constable/Deputy Chief Constable
During Chief Officer Review Meeting:	The purpose of the meeting will be to discuss the officers' progress and areas of concern and what action has been taken so far to address the areas of concern. The meeting will review the recommendation made from Phase One – Senior Officer Review and decide whether the officer will be able to complete their probationary period and whether they are competent to hold the rank of Sergeant or Inspector. All those attending will be allowed to make their representations. This is a final opportunity for the officer to plead their case and appeal against the recommendations of the Superintendent. The Chief Constable (or DCC) will make a decision following the meeting.
Chief Officer Review Meeting Outcomes:	• Extension Agreed • Development Plan - timescale for review should take into consideration the remaining time available in the probationary period and allow a period of at least one month between the completion date for the Development Plan and the end of the probationary period. • Decision not to confirm the officer in the rank of Sergeant or Inspector and therefore they revert to their previous rank.

Following Chief Officer Review Meeting:	A full record of the meeting should be provided to the officer and a copy placed in the Portfolio including any Development Plans agreed. The officer must be given the opportunity to indicate whether they agree or disagree with the record of the meeting and also any Development Plan arising out of that meeting. If a decision was made not to confirm the officer in the rank of Sergeant or Inspector, the officer should be informed by the Chief Constable within one day of the meeting and the relevant actions will be taken by Human Resources to arrange any pay reduction.
Review:	If a decision was made to grant an extension and/or set a further Development Plan, then this should be reviewed at the appropriate date. If there is no further cause for concern and the portfolio is complete, this should be noted in the Portfolio and the Chief Constable should confirm the officer in the rank of Sergeant or Inspector. If the cause for concern remains, the Line Manager should set out the details to the Chief Constable and a further Chief Officer Review Meeting will be arranged, following the procedure above. The officers' probationary period is only complete once the Portfolio is complete, and the officer is confirmed as sustaining a satisfactory performance as a Sergeant or Inspector.

4.12.5 Taped or Digital Recording of Meetings

Meetings as part of the formal process can be tape recorded if required to assist in ensuring a thorough documentation of the discussion, but at request rather than as a matter of course.

The following guidelines should be followed if this is the case:

- Seeking the officers' consent at the commencement of the meeting.
- Advise that a copy of the recording would be made available to the officer after the meeting.
- If the officer does not give consent for the meeting to be tape recorded, their wishes must be respected.
- Retain a copy of the tape recording and any written meeting notes on the electronic personal files.

4.13 Misconduct / Complaints or Road Traffic Collision (RTC)

If an officer approaching the end of their probation is subject of an allegation of misconduct, live complaint or RTC, then this should be dealt with under The Police (Conduct) Regulations 2012 and The Police (Complaints and Misconduct) Regulations 2013. The relevant Superintendent, the Head of People Services, a representative from PSD and a Federation Representative will discuss the case in order to make a recommendation as to whether they should be confirmed in the rank of Sergeant/Inspector or not. If the officers' Portfolio is complete, they are sustaining satisfactory performance as a Sergeant/Inspector and there are no concerns about confirming them in rank then Section 7 below will apply. If the recommendation is that they should not be confirmed in rank until the allegation of misconduct, live complaint/investigation or RTC has been resolved, then an extension will be considered as per Section 3 of this procedure.

4.14 Confirmation in the Rank of Sergeant or Inspector

Once an officer has completed their Portfolio and there are no areas of concern, the Portfolio will be verified and signed off by the Training Department. A Confirmation of Rank form will be

completed and sent to the Chief Constable. The Chief Constable then confirms completion of the probationary period in writing to the officer. Confirmation of rank should not be given before the end of the one-year probationary period to ensure that the officer has been given full opportunity to demonstrate their competence.

5. DECLARATION & LEGALITIES

In line with all Force policies, the overarching purpose of this document is to directly support the PCC police and crime plan objectives. Overall, the intention of this policy is to make North Wales the safest place in the UK.

In the writing of this policy cognisance has been taken of the college of policing code of ethics (2014).

North Wales Police policies will be written in accordance with the approved corporate format and published on the Force Intranet, allowing access to staff and public, where appropriate, on the pages of the public facing Internet site under the Force publication scheme and Freedom of Information Act 2000.

The following main legal requirements have been identified within this policy:

- Equality Act 2010
- Human Rights Act 1998
- The Welsh Language (Wales) Measure 2011 and the Welsh Language Standards for the Chief Constable
- Data Protection Act 2018
- Freedom of Information Act 2000
- Health and Safety Act 1974

This policy has been written giving due regard to the above legislation and has considered the risk of unfair and/or disproportionate impacts on individuals or groups (actual or perceived) and has done so via an equality impact assessment (EIA).

New legislative requirements or changes in Force structure may necessitate a review of this policy document.



**HEDDLU
GOGLEDD CYMRU
NORTH WALES
POLICE**

MANAGING POLICE OFFICERS IN THEIR PROBATIONARY PERIOD

Governance:	Senior Leadership Team		
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POLICY

CHANGE HISTORY			
Version No	Author	Changes	Ratification
2.1	HR Business Partner	Scheduled review and redraft	
2.2	HR Business Partner	Incorporated PSD comments and suggested amendments to redraft.	

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1. WHY IS THIS POLICY REQUIRED?

North Wales Police is committed to providing student officers with training and development in accordance with the Initial Police Learning and Development and the Police Education Qualification Framework.

The aim of this policy is

- To provide a Force-wide consistent approach in managing the performance and development and conduct of police officers in their probationary period.
- Ensure officers demonstrate satisfactory performance across a range of operational and academic (where appropriate) competencies in order to be confirmed in their appointment as Constable, Sergeant or Inspector
- Set out guidelines for working constructively with officers in their probationary period to support them in achieving the standards of behaviour, performance, conduct and competency required to allow them to complete the relevant portfolio and be confirmed in appointment.

2. WHO SHOULD USE THIS POLICY?

The policy applies to student officers (Constables) in their probationary period and to officers in their one year probationary period following a successful promotion board for Sergeant or Inspector.

Line managers are responsible for dealing promptly and effectively with unsatisfactory performance, attendance and conduct (where appropriate) of any officers within their probationary period.

3. WHAT SHOULD I CONSIDER WHEN USING THIS PROCEDURE?

The policy should be read in conjunction with the following documents:

- [Welsh Language Skills Policy](#)
- [Learning Policy: Procedure 2 - Assessment and Internal Verification Procedure](#)
- [Recruitment Policy](#)
- [Attendance Management Policy](#)
- [NPPF Procedures](#)
- [Operational Competence Portfolio Guidance](#)
- Home Office Guidance – Conduct Efficiency and Effectiveness – Statutory Guidance on Professional Standards Performance and Integrity in Policing
- Police Conduct /Performance Regulations 2020

4. PROCEDURES

4.1 Managing Police Constables in their Probationary Period

North Wales Police are committed to providing Student Police Officers with training in accordance with the Initial Police Learning and Development Programme (IPLDP) and the Police Education Qualification Framework (PEQF) covering the Degree Holder Entry Programme (DHEP) and the Police Constable Degree Apprenticeship (PCDA).

This procedure will ensure that Student Officers are given every opportunity to develop and become an efficient and well conducted officer. This procedure sets out the means of support provided and the formal action taken should there be concern that the Student Officer will not successfully complete their probationary period. Regulation 12 (Probationary Service in the rank of Constable) of the Police Regulations 2003 allows for this probationary period to be extended if deemed necessary. Regulation 13 (Discharge of a Probationer) provides the grounds on which a Chief Constable may dispense with the services of a Student Officer at any time during their probationary period.

4.1.1 The Probationary Period

The underlying purpose of the probationary period is to allow each Student Officer the opportunity to demonstrate they have reached the required standards to be confirmed in rank. North Wales Police will provide all the reasonable means to facilitate this process by demonstrating compliance in its procedures and consistency of approach within the performance management process for student officers.

The performance and attendance of individual Student Officers is a key element in the delivery of a quality policing service. Student Police Officers should know what standards of performance and attendance are required of them and be given appropriate support to attain those standards within their probationary period.

Dealing with Student Officers during their probationary period falls outside the procedures for dealing with officers under the Police (Performance) Regulations 2008.

4.1.2 Police Regulations

The Police Regulations relevant to Student Officers in their probationary period are as follows:

Regulation 12 (Probationary Service in the rank of Constable) of the Police Regulations 2003 allows for the probationary period to be extended if deemed necessary.

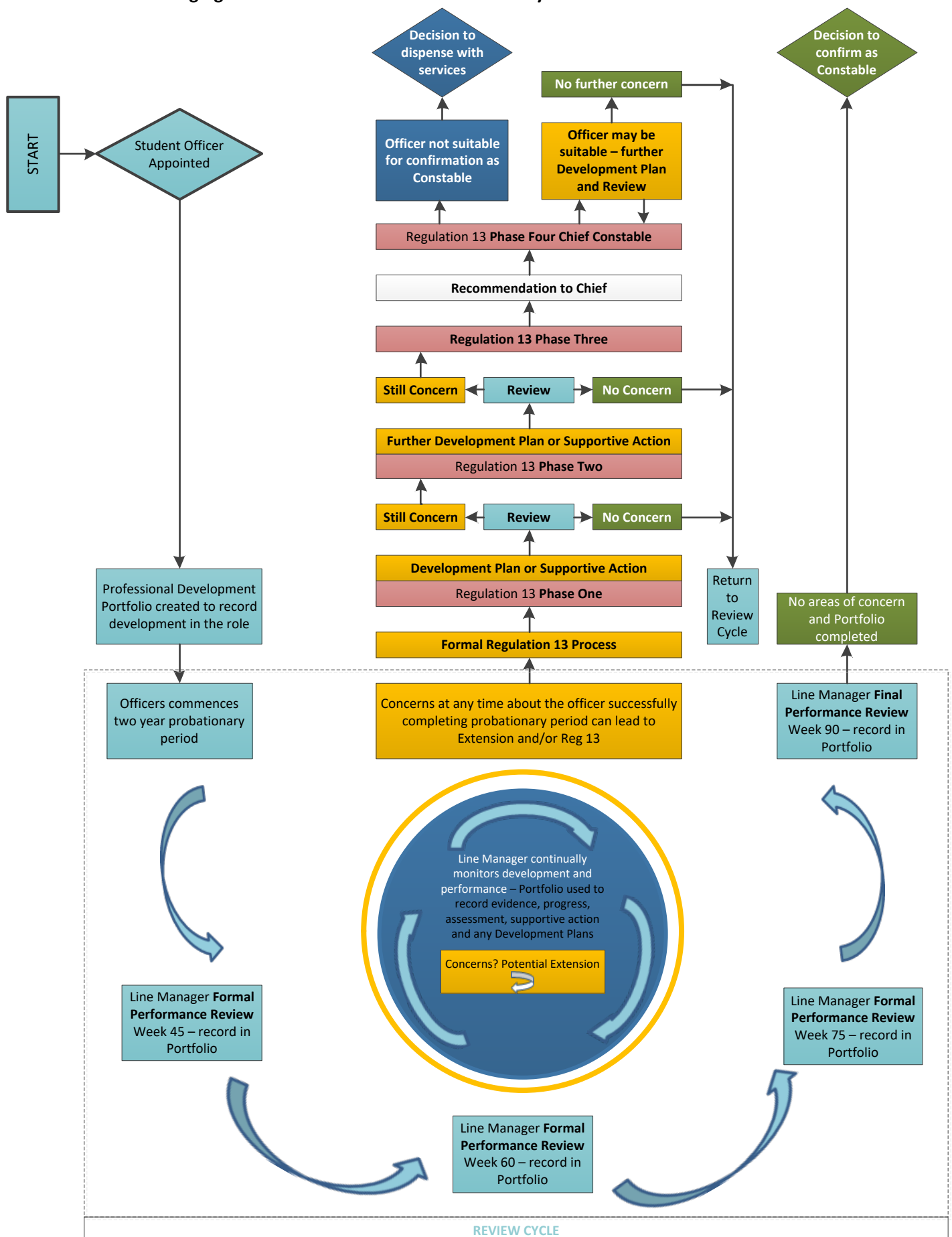
Regulation 13 (Discharge of a Probationer) of the Police Regulations 2003 provides the grounds on which a Chief Constable may dispense with the services of a Student Officer at any time during their probationary period.

Police Regulations 2003 clearly sets out the principles for the retention of Student Officers, as follows:

‘The Services of a Constable may be dispensed with at any time if the Chief Officer of Police considers that he/she is not fitted, physically or mentally, to perform the duties of his/her office OR that he/she is not likely to become an efficient or well conducted Constable’

Further detail in respect of the Regulations is provided within this policy.

4.1.3 Managing Police Constables in their Probationary Period Flowchart



4.1.4 Entry Routes & Probationary Periods

There are two entry routes into North Wales Police, which come under the Police Education Qualification Framework, as follows:

Police Degree Apprenticeship - PCDA (3 year probationary period)

During the three year programme, the Student Officer will complete a Degree in Professional Policing Practice, alongside their probationer training.

Degree Holder Entry Programme - DHEP (2 year probationary period)

Degree holders will complete a 2 year programme to achieve a Graduate Diploma in Professional Policing Practice alongside their probationer training

Both these programmes are facilitated in partnership with Bangor University, the Force's Higher Education Institution (HEI) provider.

The Force also has Student Officers recruited prior to the introduction of the PEQF programme on the **IPLDP** scheme, who also complete a **2 year probationary period**.

4.1.5 Probationary Periods for all entry routes

Approximate Timescales		
Months 1 - 6	Initial Training Phase	The Student Officers (both IPLDP & PEQF) are the responsibility of the Training Department and complete their initial training during this phase.
Months 7 - 8 for IPLDP Months 7 - 12 for PEQF Student Officers	Tutoring/Mentoring Phase	Student Officers are posted to an area of Local Policing Services and are tutored by a nominated officer.
Months 9 to 24 for IPLDP Student Officers	Independent Patrol Phase	If the tutoring phase is completed successfully the Student Officer will be able to commence Independent Patrol. They are still supported by their supervisor, a tutor and the Training Department to ensure that they continue to develop and complete their portfolio and Probationary Period.
	Year 1 Gateway to be achieved	DHEP & PCDA Student Officers
Months 13 to 24 for PEQF Student Officers	Independent Patrol Phase	If the tutoring phase is completed successfully the Student Officer will be able to commence Independent Patrol. They are still supported by their supervisor, a tutor and the Training Department to ensure that they continue to develop and complete their Diploma in Policing Portfolio and Probationary Period.
	Completion of Qualification	DHEP Student Officers
	Confirmation in Rank	IPLDP & DHEP Student Officers
	Year 2 Gateway to be achieved	PCDA Student Officers

Months 25 to 36	Independent Patrol Phase continues	PCDA Student Officers only - Advanced Professional Development, other Learning and Development and Learning and Practice
	Completion of Qualification Confirmation in Rank	PCDA Student Officers

Under the PEQF, student officers have to evidence proficiency in both their operational competence and achieve the appropriate standard in the submission of their academic assessments and assignments set by the HEI.

4.1.6 Support During the Probationary Period

Timely performance and attendance management is an integral part of a line managers' responsibility and managers/supervisors should let student officers know when they are doing well, or if circumstances arise, when the first signs are evident that there is a need for improvement.

Student Officers on occasions will under achieve in their operational competence and/or in their academic work and/or have sickness issues or minor breaches to the Code of Ethics such as Standards of Professional Behaviour. In these circumstances it is reasonable for the Student Officer to expect and receive support, guidance and/or suitable advice from the line manager, which can include reflective practice as outlined in section 4.1.10.

4.1.7 Supporting Development

Any of the following supportive actions or alternatives could be considered to develop the officer and should be recorded in the Student Officers Portfolio:

- On-going measurement against the National Occupational Standards as set out in the portfolios relevant to each entry route
- Recognising, recording and rewarding good performance.
- Coaching / mentoring
- 360 degree feedback
- Exposure to work in other departments
- Closer supervision and regular review of work by line manager
- Implementing more effective communication
- Reappraising duties and goals
- Reasonable adjustments in relation to any disability
- Identifying motivational factors for the officer and opportunities to apply them.
- Correction of minor errors through supportive action.

The progress of Student Officers is monitored regularly by HR Officers, Training Department staff, Senior LPS Managers and the Resource Management Board.

4.1.8 Reasonable Adjustments

Where it is identified that a Student Officer requires reasonable adjustment(s) due to a protected characteristic under the Equality Act 2010, full consideration should be taken of any appropriate reports/advice and sufficient time provided within any development plans to enable the effectiveness of the adjustment(s) to be fully assessed at future case conferences, e.g. the provision of additional training/equipment.

Support mechanisms such as 'Access to Work' should be considered when implementing reasonable adjustments. Guidance should be sought from the relevant HR representative. A disability may not always be apparent to the Student Officer, or their line manager, however as soon as it is identified; the appropriate support must be put in place in accordance with the Equality Act 2010.

4.1.9 Development Plans

It is acknowledged that there will be occasions when the performance, attendance or conduct of a Student Officer falls short of the required standard. In such instances, it is reasonable for the Student Officer to expect to receive support, advice and guidance from their supervisor, from the Training Department and/or the HEI. This should initially be dealt with by means of tutorial meetings with the supervising officer and documented in the Student officers' portfolio.

A supportive development plan following the SMART pneumonic should be completed with agreed timescales for improvement, evidence should be gathered by the supervising officer, staff from the Training Department, and/or staff from the HEI as to any possible underlying causes of poor performance, which may include domestic or personal issues, work issues, e.g. bullying and harassment, underlying medical and disability related issues.

In drawing up a development plan at any stage to address any concerns, the following must be included in the plan:

- The specific areas requiring improvement
- The improvement that needs to be achieved, which needs to be measureable
- How the progress will be measured and evidenced
- Arrangements in place to assist the Student Officer
- Reasonable timescales for the improvements to be achieved

4.1.10 Reflective Practice

Reflective practice is the ability to reflect on your actions and improve the way you work. It is considered a key skill in practice based professional learning. In order to maximise reflective practice, the Student Officer must be willing to continuously assess their practice and performance in consideration of any new learning. Further information can be found in the College of Policing guidance [here](#).

Agreed timescales for improvement should be set by the supervising officer, staff from the Training Department and/or staff from the HEI, if possible this should be between 1 to 3 months with regular reviews during this period to support improvement.

Ideally as a result of reflective practice, performance and attendance and conduct (as appropriate) will improve and continue at an acceptable level.

Where there is no improvement, insufficient improvement, or the improvement is not sustained over an agreed period of time, it will then be appropriate to refer it to Stage 1 Formal Action.

There may be exceptional circumstances where the matter needs to be considered immediately under Stage Three of the formal procedure, without having first completed the earlier stages of the sequential approach.

4.1.11 Guidance on Unsatisfactory Attendance

Where a Student Officer is absent through illness or injury, it is their responsibility to comply with the Force Attendance Management Policy.

If the sickness absence occurs during the Initial Training Phase, it must be managed by Training Department staff.

If the sickness absence occurs during the Tutoring/Mentoring/Independent Patrol Phase it must be managed by their line manager, who must notify the Probationer Assessor Sergeant of the absence.

The relevant Training department supervisor will be responsible for notifying the Training Manager if a trigger point is reached during the probationary period. The Training Manager will make a decision on whether any action needs to be taken under Regulation 12/13 of the Police Regulations 2003. This will also be dependent on any previous development plans that have been implemented during the probationary period for attendance, performance, or conduct.

Any stress related absence must result in an immediate referral to the Force Occupational Health Unit.

Where the Student Officer hits a trigger point, a referral must be made to the Occupational Health Unit for a Force Medical Adviser review, and a decision made as to whether to progress the case via an Attendance Improvement Plan or through the formal Regulation 13 procedures.

No action should be taken to initiate the termination of the Student Officers services (whether under Regulation 13 Police Regulations 2003 or on medical retirement) without the full circumstances being referred to the Head of POD and written guidance being received.

Complying with the formal stages of the Regulation 13 procedures as described earlier will ensure that Student Officers who are absent or are unable to perform due to injury are managed appropriately and given support prior to any decision being made to terminate their services.

4.2 Guidance on managing student officers who are alleged to have breached the standards of behaviour

The Chief Constable has discretion to deal with Student Officers who have breached the Standards of Professional Behaviour within the Code of Ethics either by way of the Police Conduct Regulations 2008 or the Police Regulations 2003 (Home Office Circular 8.2005 refers). Link to the Home Office Guidance is available [here](#).

If a Student Officer is suspected to have breached Standards of Professional Behaviour then the matter must be referred to the Chief Superintendent Local Policing Services who will arrange a fact finding exercise to be carried out and relevant checks made on the Student Officer with the HEI, Training Department, PSD and line managers.

A decision will then be made as to how the matter should be dealt with - a number of options are available such as:

- No further action
- Reflective Practice
- Stage 1 Regulation 13
- Stage 2 Regulation 13
- Formal investigation under the Police Conduct Regulations

If the Chief Superintendent Local Policing Services concludes a formal investigation should be conducted, an early meeting between the Training Department, Professional Standards

Department and the Basic Command Unit (BCU) (if relevant) should be held to decide who is best placed to investigate the circumstances thoroughly.

Depending on the nature of the allegation it may be prudent for the initial investigation to be conducted by PSD or the BCU, to ensure the necessary safeguards under the Police Conduct/Performance Regulations 2020 are implemented. This will be considered to be the best course of action if the conduct of the Student Officer is likely to be gross misconduct and there is no previous history recorded against the student officer in relation to conduct/performance or sickness issues.

A formal investigation under the Police Conduct/Performance Regulations will not always be necessary when dealing with a Student Officer, especially if the same Student Officer has already been subject to previous development plans/reflective practice for performance, attendance or conduct during their probationary period. In these circumstances it is likely that the best course of action will be to instigate the formal Regulation 13 process without the need to carry out a formal investigation under the Police Conduct/Performance Regulations.

The previous history of a Student Officer in relation to attendance, performance and conduct are all relevant under the Regulation 13 process, and an overall assessment is constantly being made throughout the probationary period to ascertain whether the Student Officer is ***'fitted physically or mentally to perform the duties of their office and whether they will become an efficient or well conducted Constable'***. If there is any doubt in relation to this, the Regulation 13 process MUST be considered.

If a formal investigation has been conducted under the Police Conduct/Performance Regulations and there is a case to answer which has been admitted by the Student Officer, then PSD can refer the matter back to the Chief Superintendent LPS who will arrange for the case to be addressed via the Regulation 13 process, negating the need to hold a misconduct meeting/hearing. However, if the alleged breach of conduct is an isolated incident and it is not admitted by the Student Officer, then it is recommended that disposal of the case should be via the Police Conduct/Performance Regulations and not Regulation 13 (Kay V Northumbria (2010) refers).

If a decision is made to use the Regulation 13 process to deal with a conduct matter a decision will need to be made as to what stage of the Regulation 13 process is instigated.

Reflective Practice or a Stage 1 Regulation 13 case conference will be used to deal with minor misconduct, where the outcome is likely to be Reflective Practice.

A Stage 3 Case Conference must be held to deal with more serious misconduct where a formal investigation has been conducted under the Police Conduct/Performance Regulations or there is a pattern of behaviour or events that is giving cause for concern as to whether the Student Officer is ***'fitted physically or mentally to perform the duties of their office or whether they will become an efficient or well conducted Constable'***.

Regardless of what stage of the Regulation 13 process is instigated (Reflective Practice/Stage1, Stage 2 or Stage 3 Case Conference), the Student Officer will always be told how their behaviour fell short of the expectations set out in the Code of Ethics which includes Standards of Professional Behaviour, and will be given a copy of the evidence against them and be afforded the opportunity to make verbal and/or written representations.

4.2.1 Extensions to the Training or Tutor Phase

Where an extension of the training phase or the tutor phase is being considered, this **does not** require the Chief Constables approval, and is managed between the Training Department, HEI,

HR and the relevant service area. An extension may be required if there is concern that the Student Officer is not ready to move on to the next phase of their probation. A meeting should be arranged to give the Student Officer an opportunity to make their representations. This should be documented in the portfolio, and the Student Officer can record their representations within it.

4.3 REGULATION 12 POLICE REGULATIONS 2003 – Extension of Probationary Period (Post Tutor Phase)

Line managers are responsible for dealing promptly and effectively with unsatisfactory performance and or/attendance of student officers.

Circumstances that could lead to an application under Regulation 12, Police Regulations 2003 are:

- Protracted absence through sickness/injury
- Protracted absence through any relevant protected characteristics
- To facilitate timescales for reasonable adjustments to be implemented and monitored effectively
- The implementation and monitoring of reasonable adjustments being put into place and the impact of this on confirmation timescales
- Suspension from duty awaiting the result of a PSD investigation
- To facilitate the Regulation 13 process
- Unable to carry out operational duties through injury/illness e.g. long term restricted/recuperative. (Every effort must have been made to accommodate the Student Officer in a role that enables them to continue working to complete their portfolio and probationary period).

The above list is not exhaustive but provides examples of where it may be prudent to apply for an extension to ensure the Student Officer is given every opportunity to prove that they can reach the required standard and be confirmed in rank.

There are a number of circumstances where it may be appropriate to extend the probationary period of a Student Officer. If it is felt appropriate to apply for an extension to the probationary period, it is the responsibility of the line manager to raise their concerns initially with the Probationer Assessor Sergeant who will look closely into the individual circumstances of the case e.g. sickness levels, exam and assessment results, student portfolio completion and progress, the level of support the officer requires in relation to their length of service and any other information that may assist in the decision making process.

A meeting will be arranged with the Student Officer, the Probationer Assessor Sergeant, the line manager, HR and a Federation representative before progressing a Regulation 12 report outlining the case to the Chief Constable to request authorisation of an extension. The Student Officer will be informed in writing of any such decision.

An extension of probation is not automatic, and on occasions will be declined. If this does occur, a review of the evidence will be made by the relevant line manager and a Regulation 13 file as opposed to a Regulation 12 file needs to be prepared for the case.

It should be noted that any issues of poor attendance and/or performance should be dealt with at an early stage to allow for the process to be completed within the probationary period – i.e. first 2 years (for IPLDP & DHEP), or 3 years (for PCDA). The extension of service can be requested at any stage of the performance and/or attendance process to ensure the process can be concluded within the probationary period.

In respect of the performance/ attendance/conduct issues of a Student Officer, the request for Regulation 12 should be accompanied by a detailed report.

4.3.1 Procedure for Extensions

Where an extension is felt necessary, the following procedure should be followed:

- As a guide, extension requests should not be made any later than week 90 of the 2 year probationary period, or week 142 of the 3 year probationary period
- A meeting should be arranged between the Student Officer, their line manager, Probationer Assessor Sergeant , Area Inspector and HRTSO to discuss the reasons why an extension is required and to allow the Student Officer to put forward their views.
- The Student Officer must be given seven days' notice of the meeting and is entitled to Federation Representation at the meeting.
- The notes of the meeting along with an Extension Request Form with a recommendation should be provided to the Head of People & Organisational Development, who will advise the Chief Constable and seek written confirmation from the Chief Constable of approval of the extension. A copy of the notes and Extension Request Form will also be provided to the Student Officer and they will be given an opportunity to raise any points of contention.
- Following a decision by the Chief Constable, the Student Officer will be provided with the rationale for the decision.

If the Chief Constable decides that an extension is not appropriate and that the formal Regulation 13 Process should be invoked then the Line Manager will be advised in writing so that Stage One can be arranged.

Where an extension is granted by the Chief Constable, then the Student Officer will continue to be supported and monitored to try and ensure successful completion of the Portfolio and probationary period.

The Student Officer's probationary period automatically ceases at the end of the first two/three years' service as appropriate to the entry route of the Student Officer, unless a decision to extend is made before the end of the period. This also applies to subsequent extensions.

4.3.2 Progressing from Regulation 12 to Regulation 13

If a decision is made not to extend a Student Officers probationary period and they have not been able to demonstrate that they have reached the required standard, then a Stage 1 Regulation 13 case conference will be held to give the Student Officer an opportunity to make representations with their Police Federation representative. At the conclusion of the case conference, consideration will be given in respect of accelerating the case to a Stage 3 Regulation 13 case conference whereby the Chief Constable will decide whether the Student Officers' services will be dispensed with under Regulation 13 Police Regulations 2003, or whether an extension of probation under Regulation 12 should be given.

4.4 REGULATION 13 POLICE REGULATIONS 2003 – Discharge of a Probationer Constable

4.4.1 Discharge of a Probationer - Invoking the Formal Regulation 13 Process

If at any stage during the two year probationary period issues are highlighted which are forming a pattern and/or giving serious cause for concern and there is doubt over whether the officer is fitted, physically or mentally, to perform the duties of their office, or that they are not likely to become an efficient or well conducted officer, the Regulation 13 procedure may be invoked. For example concerns over development, performance, attitude, and behaviour are all areas which could cause concern. This list is by no means exhaustive.

It is the requirement of the Force Welsh Language Policy that all Student Officers achieve level three Welsh within the first twelve months of service. Student Officers will be supported and

encouraged to make use of their Welsh language skills when the opportunity arises during their probationary period. Failure to achieve level three by the end of the first twelve months of service will be a consideration under Regulation 13.

Where misconduct issues arise, advice should be sought from the Professional Standards Department however it should also be noted that the Chief Constable has the discretion to address misconduct issues through Regulation 13 providing this adheres to the [Home Office Guidance](#).

During the training phase if there are serious concerns about the Student Officer as described under 4.4.2 below then this may be grounds for invoking Regulation 13. If a Student Officer fails to pass an exam or assessment, even after re-sitting, then this may also be grounds for invoking Regulation 13. Each case will be considered individually in making a decision on how to proceed.

At any point during the probationary period in exceptional circumstances, consideration may be given by the relevant Senior Management Team to refer a Student Officer direct to Phase 2 of the Formal Regulation 13 Process. An example of exceptional circumstances may be a serious injury, or medical condition that will prevent the Student Officer from being able to carry out the Police Officer role on a long term and/or potentially permanent basis;

The rationale for taking this approach must be provided in writing to the Chief Constable and to the Student Officer.

4.4.2 Evidence for the Formal Regulation 13 Procedure

Where a Line Manager has grounds to believe that a Student Officers' progress may lead to discharge under this procedure, the Portfolio must have been used to record:

- Areas of concern and discussions about these with the Student Officer.
- Supportive action (see Section 4.1.7) including Development Plans applied.

4.4.3 Carrying out the Formal Regulation 13 Procedure

For each stage of the Formal Regulation 13 procedure, the following procedure should be followed:

- Line manager/HEI to document rationale to Training Manager/Area Inspector
- A formal **written invitation** must be provided to the Student Officer **seven days in advance** of the Case Conference setting out the **date, time and location** and providing a summary of the reasons why performance and/or attendance is believed to be unsatisfactory with copies of all relevant evidential documentation that will be relied upon, including any case file, and any action taken so far by the Line Manager to address the areas of concern. The evidence must also be included within the Student Officers Portfolio
- The invitation must also set out all the **possible outcomes** of the conference, including the fact that their service with North Wales Police is at risk
- Welsh speaking Student Officers should be offered the opportunity to use their language of preference within meetings/conferences, and this should be included in the invitation.
- The Student Officer must be advised that they are entitled to seek advice from a Police Federation representative, can be accompanied at the meeting by their representative, and will be provided the opportunity to make their representations in the conference in respect of the issues causing concern
- The invitation should ask the Student Officer whether he/she intends to raise any **welfare/medical issues** not previously disclosed to the Force which may have had an impact on their performance and/or progress
- The Student Officer or their representative should provide any documents they wish to rely upon in the conference at least 3 days prior to it.

- During the conference, opportunities to support, develop and educate the individual will be considered alongside reflective practice, and a SMART Development plan if appropriate will be agreed outlining areas where the officer must improve (an extension may be required under Regulation 12 to facilitate this).
- Any development plan/reflective practice will be regularly reviewed and monitored by the line manager responsible for the Student Officer. The development plan/reflective practice will be stored in the Student Officers portfolio.
- Any reasonable adjustments will be considered
- If an extension is being sought during the Formal Regulation 13 Process, then there is no requirement for a separate meeting to discuss the extension. This can be discussed as part of the relevant Regulation 13 Meeting phase.

4.4.4 Taped or Digital Recording of Meetings

Meetings/Case Conferences as part of the formal process can be taped or digitally recorded if required to assist in ensuring a thorough documentation of the discussion, but at request rather than as a matter of course.

The following guidelines should be followed if this is the case:

- Seeking the officers' consent at the commencement of the meeting.
- Advise that a copy of the recording would be made available to the officer after the meeting.
- If the officer does not give consent for the meeting/conference to be tape recorded, their wishes must be respected.
- Retain a copy of the tape recording and any written meeting/conference notes on the electronic personal files.

4.4.5 Stage 1 - Formal Action Case Conference

Actions Initiating Stage:	If a Student Officers performance, attendance or conduct continues to cause concern, supervising officers must treat each case on its own merits, and consider all the pertinent facts available at the time. The matter must be documented and referred to the Probationer Assessor Sergeant or the officers' line manager.
Attendees At Stage One:	• Training Manager/ Area Inspector (as appropriate) • Relevant member of the Assessor Team • Line Manager (Sergeant or Police Staff equivalent) • HR Officer • Student Officer • Police Federation Representative •
During Stage One:	The purpose of the Case Conference is to formally highlight the areas of concern and discuss opportunities to support, develop and educate the individual will be considered including reflective practice and a SMART development plan (if appropriate) will be agreed outlining areas where the officer must improve.
Stage One Outcomes:	• Reflective Practice • Development Plan and/or; • Other Supportive Action; • Potential Extension.
Following Stage	A full record of the Case Conference should be provided to the Student

One:	Officer within five working days and a copy placed in the Portfolio including any Reflective Practice and/or Development Plan/s agreed. Any comments or points of contention raised by the Student Officer should be also added to the portfolio.
Review:	Development plans will be regularly reviewed and monitored by the line manager. If there is no further cause for concern within the timescales set, this should be noted in the Portfolio and no further action is necessary. Consideration to move to Stage 2 of the process will be made if the development plan is not achieved or sustained throughout the remainder of the probationary period. The Line Manager should document the details to the Training Manager/Area Inspector who will advise the Area Superintendent to commence Stage Two of the process. <u>Exceptional Circumstances</u> In exceptional cases, it may be necessary to progress immediately to Stage 2. This will occur when the conduct of the Student Officer could amount to gross misconduct or the conduct/attendance and performance taken together is so poor that it is reasonable to by-pass the first two stages and progress straight to a Stage 2 Case Conference. The rationale for doing this must be clearly documented.

4.4.6 Stage Two – Formal Case Conference with LPS Area Superintendent

Actions Initiating Stage:	The purpose of the Case Conference is to review the Students Officers under performance and /or poor attendance and /or conduct and to discuss with them the reasons why they are still failing to reach the standards expected of them as a Police Officer. All documentation completed so far (minutes of meeting, the evidence of the concerns, development plans etc.) should be provided to the Area Superintendent to review. The officer is invited to attend a Case Conference.
Attendees Stage Two:	• LPS Area Superintendent (Chairperson) • Student Officer • HR Representative • Police Federation Representative • Relevant member of the Assessor Team
During Stage Two:	During the Case Conference consideration will be given as to what further strategies can be put in place to ensure the Student Officer improves their performance and/or attendance and/or conduct. Opportunities to support and develop the Student Officer will once again be considered and reflective practice/ a final SMART development plan may be agreed, outlining specifically which areas they must improve on. Everyone at the meeting will be allowed to make their representations. A decision may also be made not to set a development plan if it is apparent at the end of the Case Conference from the evidence

	presented that the Student Officer is unlikely to become 'an efficient and well conducted constable or that they are not fitted physically or mentally to perform the duties of their office'. If a further development plan or reflective practice is not agreed, a recommendation will be made to the Chief Superintendent Local Policing Services for the services of the Student Officer to be dispensed with under Regulation 13 of Police Regulations 2003. The Stage 2 Development Plan set must be for a period of time which allows the objectives to be achieved but must not be set for more than 3 months. The Student Officer will be informed that failure to achieve this Stage 2 Development Plan will result in a recommendation being made that their services should be dispensed with under Regulation 13, and a Stage 3 Case Conference arranged.
Stage Two Outcomes:	• Recommendation to dispense with services (i.e. progression to Stage 3 for the Chief Constable's determination) or; • Recommendation to retain the officer with reflective practice and/or a development plan in place.
Following Stage Two:	A full record of the Case Conference should be provided to the Student Officer within five working days of the meeting and a copy placed in the Student Officers portfolio. The Student Officer must be given the opportunity to indicate whether they agree or disagree with the record of the Case Conference. Any comments or points of contention raised by the Student Officer should be added to the portfolio. The recommendation and all documentation completed so far should be provided to the Head of POD to prepare the case for the Chief Constable. Successful completion of the Stage 2 Development Plan will result in no further action providing their performance or attendance or conduct does not give cause for concern throughout their probationary period. If a Student Officer gives cause for concern again during their probationary period after a Stage 2 Regulation 13 Case Conference regarding their performance and/or attendance and/or conduct then the matter will be referred immediately to the Head of POD recommending that their services be dispensed with under Regulation 13 of Police Regulations 2003. If this occurs the Police Federation will be notified and full disclosure of the case will be given to the Student Officer and they will be given an opportunity to make verbal and/or written representations before the final decision is made by the Chief Constable. The Chief Constable is the only person who can make a decision to dispense with the services under Regulation 13 of Police Regulations

	2003.
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4.4.7 Stage Three – Formal Case Conference with Chief Constable

Actions Initiating Stage:	The Head of POD will provide a case file to the Chief Constable. The officer is invited to attend a Case Conference.
Attendees At Stage Three:	• Chief Constable • Senior HR Business Partner/ HR Business Partner • Student Officer • Federation Representative • Relevant member of the Assessor Team • Any other person determined by the Chief Constable
During Stage Three:	The Chief Constable will consider all the documentation and the recommendation made by the LPS Area Superintendent. Everyone at the Case Conference will be allowed to make their representations. This is a final opportunity for the Student Officer to state their case, and appeal against the recommendations of the Area Superintendent.
Stage Three Outcomes:	• Decision to dispense with services or; • A decision to retain the officer and; • An Extension if required and/or; • Reflective Practice and/or a Development Plan.
Following Stage Three:	A full record of the Case Conference should be provided to the Student Officer within five working days and a copy placed in the Portfolio. The Student Officer must be given the opportunity to indicate whether they agree or disagree with the record of the meeting. Any comments raised by the Student Officer should be added to the Portfolio. The full Regulation 13 Case File will be placed on the Students Officers' personal record. If a decision was made to dispense with the services of the Student Officer they will be informed by the Chief Constable within one day of the meeting and the relevant actions will be taken by Human Resources to progress the Student Officer's exit from the organisation. This will include arranging a month's pay in lieu of notice. There is no appeal route. If a decision was made to retain the services of the Student Officer, the Chief Constable will set out any conditions that must be met by the Student Officer and this will be reviewed at the appropriate time.

4.4.8 Following Regulation 13

If at any point within the remaining probationary period there is a relapse by the Student Officer and concerns are raised again about their suitability to be a Police Officer, whether the issue is the same or not, the following procedure should be followed:

- The supportive action outlined in section 4.1.7 of the procedures should have been considered and relevant actions applied
- If the supportive action did not resolve the concern, then the Regulation 13 procedure would re-commence at the stage which was reached previously i.e. if Stage 2 had previously taken place, then the procedure would recommence at Stage 2. The only exception to this is where an officer had previously reached Phase Three – in this case the officer would return to Stage 2 in order to give a fair opportunity for them to represent themselves.

Important Note - For IPLDP Student Officers who are currently in the Regulation 13 process, a 4 stage Regulation 13 process will still apply – further guidance on this can be obtained from the HR Business Partner for LPS.

4.5 Resignation

Under no circumstances should the Student Officer be persuaded to resign as an alternative to the procedure outlined above. If a Student Officer tenders their resignation, they must submit a report to their Line Manager, outlining the reasons for the resignation and the resignation date.

The Line Manager will then forward the resignation to PSD for them to confirm whether there is any ongoing investigation which might prevent them from resigning. If there is no reason to prevent acceptance of a resignation, then HR will be advised and will commence the leavers process. The Chief Constable will also be advised of the resignation.

If PSD highlight an issue then discussion will take place as to the appropriate course of action.

4.6 References Post Discharge/Resignation

Please refer to the References Policy and Procedure for details of what will be included in a reference when requested by a future prospective employer. There are a number of standard reference templates for different scenarios, including for discharge under Regulation 13, to ensure fairness and consistency.

4.7 Complaints or Road Traffic Collision (RTC)

If a Student Officer approaching the end of their probation is subject of a live complaint, investigation or RTC, then a discussion will take place as to whether they can be confirmed in the rank of Constable or not. The relevant Superintendent, the Head of People & Organisational Development, a representative from PSD and a Federation Representative will discuss the case in order to make a recommendation. If the recommendation is that they should proceed to be confirmed in rank, and the confirmation process will commence. If the recommendation is that they cannot be confirmed in rank until the issue has been resolved, then an extension will be considered as per Regulation 12 as detailed earlier in this procedure.

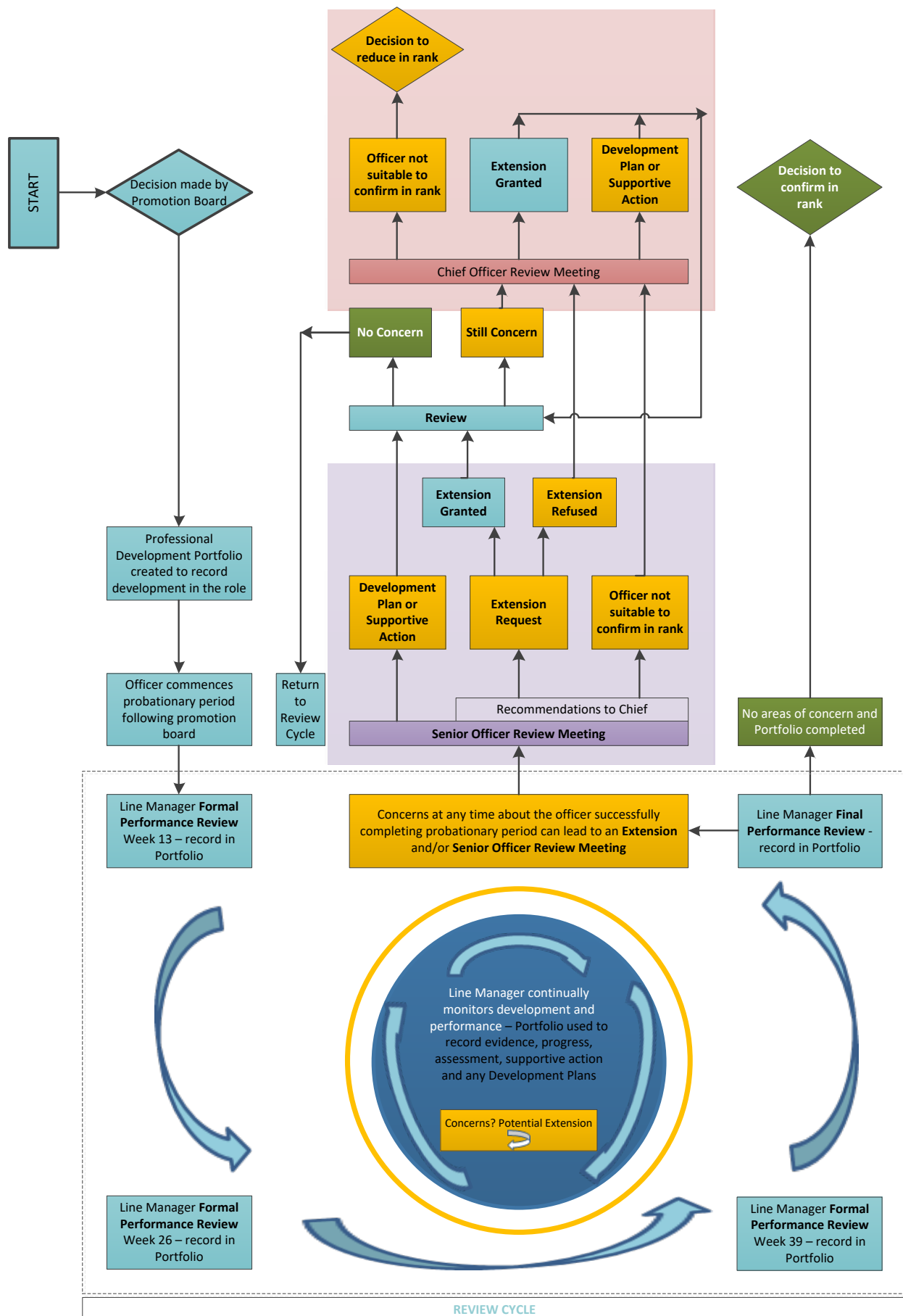
4.8 Confirmation in the Rank of Constable

Once a Student Officer has fully completed their Portfolio, and where relevant achieved the qualification as stipulated in their entry route (DHEP/PCDA), and there are no other areas of concern, the Portfolio will be verified and signed off by the Training Department. A Confirmation of Appointment form will be completed and sent to the Chief Constable. The Chief Constable will then confirm completion of the probationary period in writing to the Student Officer. Confirmation of rank should not be given before the end of the two/three year probationary period (as appropriate) as per Annex C of Regulation 12 of the Police Regulations. This also ensures that the Student Officer has been given full opportunity to demonstrate their competence.

4.10 Managing Sergeants and Inspectors Following Promotion Probation Procedure

This procedure will ensure that officers are given every opportunity to develop and become an efficient and effective Sergeant or Inspector following a successful promotion board. Any officer successfully completing the assessment process for promotion to Sergeant or Inspector will now complete the National Police Promotion Portfolio during the 12 month probationary period. This will lead to an NVQ qualification at the relevant level. As well as completing the portfolio the officer is required to evidence that their performance, knowledge, attitude and behaviour are all at the required standard for them to become a substantive Sergeant or Inspector. This procedure sets out the means of support provided and the formal action taken should there be concern that the officer will not successfully complete their probationary period.

4.10.1 Managing the Performance and Development of Sergeants and Inspectors Following Promotion Probation Flowchart



4.11 Support During the Probationary Period

4.11.1 Supporting Development

It is the responsibility of Line Managers to monitor the development and ensure achievement of the potential of officers under their supervision, supported by the Training Department and HR where necessary. The following actions should be carried out:

- On-going measurement against the National Occupational Standards as set out in the Professional Development Portfolio.
- Recognising, recording and rewarding good performance.
- Identifying motivational factors for the officer and opportunities to positively emphasise these.
- Correction of minor errors through supportive action.
- The use of Development Plans, logged in the Portfolio to address any initial concerns.
- Three interim performance reviews will be carried out at weeks 13, 26, 39 and a final performance review no later than one month before the end of the probationary period.
- The progress of officers is monitored regularly by HRTSO's, Training Department and Senior LPS Managers via a progress overview. It is also monitored through the People and Organisational Development (POD) Senior Management Team.

4.11.2 Supportive Action

Any of the following supportive actions or other alternatives could be considered to develop the officer and should be actioned promptly and recorded in the Portfolio:

- Attending appropriate training courses.
- Coaching or mentoring.
- Exposure to work in other departments.
- Closer supervision and review of work by the Line Manager.
- Instituting more effective two-way communication.
- Reappraising the employee's job duties and targets.¹
- Reasonable adjustments in relation to any disability.

4.11.3 Development Plans

In drawing up a supportive Development Plan at any stage of the process the following should be specifically included in the plan:

- The specific areas requiring improvement.
- What improvement needs to be achieved – this must be achievable and measurable.
- How the progress will be measured and evidenced.
- What arrangements will be in place to assist the officer to achieve the Development Plan.
- Within what time scales the improvements must be achieved (this must allow a reasonable period of time for the officer to be able to achieve the improvements).

4.12 Extensions to the Probationary Period

During the course of an officers' probationary period, there may be a requirement for the probationary period to be extended. Circumstances that may necessitate an extension to the probationary period are where there is concern that the officer will not be able to complete their probation within the 12 month period. Examples include:

¹ The targets referred to are those necessary to support officers to achieve and demonstrate the standard required for a Sergeant or Inspector and are not numerical quantitative performance targets.

Pregnancy / Maternity Leave	An expectant mother may require an extension if she is unlikely to be able to complete her portfolio and probationary period within the 12 month period due to maternity leave.
Long Term Sickness Absence From Work	An officer may require an extension if they are unlikely to complete their portfolio and probationary period within the 12 month period due to a long term period of sickness absence.
Long Term Recuperative or Restricted Duties	An officer may require an extension if they are unlikely to complete their portfolio and probationary period within the 12 month period due to a long term period of recuperative or restricted duties. Every effort must have been made to accommodate the officer in a role that enables them to continue working to complete their probationary period.

4.12.1 Evidence for the Extension

Where a Line Manager has grounds to believe that an officers' progress is cause for concern and that they may not achieve the required level of competence and performance to be confirmed in rank as a Sergeant or Inspector within the 12 month period the Portfolio must have been used to record:

- Areas of concern and discussions about these with the officer.
- Supportive action (see 4.11.2) including Development Plans must have been applied.

4.12.2 Procedure for Extensions

Where an extension is felt necessary, in line with Regulation 5 of The Police (Promotion) Regulations 1996 the following procedure should be followed:

- By no later than the 9th month of the probationary period, the Line Manager of the officer sends a report to the relevant Chief Inspector, HRTSO and Training Department outlining the reasons why an extension is required.
- A meeting is arranged between the officer, Line Manager, relevant Chief Inspector and HRTSO to discuss the reasons why an extension is required and to allow the officer to put forward their views.
- The officer should be given seven days' notice of the meeting and is entitled to Federation Representation at the meeting.
- The notes of the meeting with a recommendation should be provided to the Head of People Services.
- A copy of the notes and recommendation will also be provided to the officer and they will be given an opportunity to raise any points of contention.

4.12.3 Decision on Extension

If the recommendation is to extend the probationary period, the Head of POD will advise the Chief Constable and seek written confirmation from the Chief Constable of approval of the extension using the relevant template.

Following a decision by the Chief Constable, the officer will be provided with the rationale for the decision.

If the recommendation is that the officer does not require an extension then the Head of POD will sign off the recommendation and confirm the decision to the officer along with the rationale for the decision.

If the Chief Constable has concern over the officers' ability to complete their probation, he can invoke a Phase One Senior Officer Review.

If the extension request is granted by the Chief Constable, the Line Manager continues to be responsible for monitoring the development of the officer. If there still remain concerns that the officer will not complete their probationary period and become a competent Sergeant or Inspector, then a Phase One Senior Officer Review can be invoked.

Alternatively, if at any stage during the 12 month probationary period issues are highlighted which are forming a pattern and/or giving serious cause for concern about the officers' ability to complete their probation and become a competent Sergeant or Inspector, then the Senior Officer Review may be invoked without any extension having previously been considered.

4.12.4 Formal Review Process

The following applies prior to either a Phase One or Phase Two meeting being held:

- A **written invitation** must be provided to the officer **seven days in advance** of the planned meeting setting out the date, time and location of the meeting and providing all relevant documentation that will be referred to including any case file.
- The invitation must clearly state the **reasons why the meeting is being held** and **what has been done so far** to address the areas of concern.
- The invitation should also set out the **possible outcomes** of the meeting.
- The grounds surrounding the areas of concern must be fully evidenced within the Portfolio.
- The officer must be advised that they are entitled to seek advice from a Police Federation representative and can be accompanied at the meeting by their representative.

The following are the details of the two phases of review:

4.12.4.1 Phase One – Senior Officer Review

Actions Initiating Senior Officer Review:	<u>Either</u>; the Chief Constable upon receipt of an extension request has concern that the officer may not reach the required level of competence and performance to be confirmed in rank as a Sergeant or Inspector; <u>Or</u>; the officer has previously been granted an extension and the Line Manager has concern that the officer may not reach the required level of competence and performance to be confirmed in rank as a Sergeant or Inspector; <u>Or</u>; at any time during the probationary period issues are highlighted which are forming a pattern and/or giving serious cause for concern about the officers' ability to complete their probation. This phase should be invoked <u>no later</u> than the 10th month of the probationary period.
HR Review	The Head of People and Organisational Development will review the Extension Proforma and/or relevant documentation from the Line Manager or relevant Chief Inspector. If the documentation is satisfactory, it will be provided to the relevant Superintendent.
Attendees At Senior Officer Review Meeting:	• Superintendent • HRTSO • Officer in their probationary period • Police Federation Representative • <i>Relevant member of the Assessor Team</i>

During Senior Officer Review Meeting:	The purpose of the meeting will be to discuss the officers' progress and areas of concern and what action has been taken so far to address the areas of concern. The meeting will decide whether an Action Plan and extension will enable the officer to successfully complete their probationary period or not. All those attending will be allowed to make their representations. The Superintendent will make a recommendation following the meeting.
Senior Officer Review Meeting Outcomes:	• Extension Recommended. • Development Plan - timescale for review should take into consideration the remaining time available in the probationary period and allow a period of at least one month between the completion date for the Development Plan and the end of the probationary period. • Recommendation not to confirm the officer in the rank of Sergeant or Inspector and therefore to revert to their previous rank.
Following Senior Officer Review Meeting:	A full record of the meeting should be provided to the officer and a copy placed in the Portfolio including any Development Plans agreed. The officer must be given the opportunity to indicate whether they agree or disagree with the record of the meeting and also any Development Plan arising out of that meeting. Any comments or points of contention raised by the officer should be added to the Portfolio. If a recommendation was made not to confirm the officer in the rank of Sergeant or Inspector, then the Chief Constable (or DCC in the absence of the Chief Constable) should be informed and all relevant documentation provided to the Head of POD to prepare a file for the Chief Constable (or DCC). If a recommendation was made that an extension should be given then an Extension Form should be provided to the Chief Constable (or DCC) to ratify. The Line Manager should then continue to review the officers' development if granted. If a recommendation was made to set a Development Plan, then this should be reviewed at the appropriate date.
Review:	If a recommendation was made to grant an extension and/or set a further Development Plan, then this should be reviewed at the appropriate date. If there is no further cause for concern, this should be noted in the Portfolio and the Chief Constable should confirm the officer in the rank of Sergeant or Inspector. If the cause for concern remains, the Line Manager should set out the details to the Chief Constable and a Phase Two Chief Officer Review Meeting will be arranged. The officers' probationary period is only complete once the Portfolio is complete and the officer is confirmed as sustaining a satisfactory performance as a Sergeant or Inspector.

4.12.4.2 Phase 2 – Chief Officer Review

Actions Initiating Chief Officer Review:	<u>Either:</u> The officer has previously been granted an extension and/or further Development Plan but the Line Manager still has concern that the officer still may not reach the required level of competence and performance to be confirmed in rank as a Sergeant or Inspector; <u>Or;</u> The recommendation was made at Phase One – Senior Officer Review that the officer should not be confirmed in the rank of Sergeant or Inspector. This phase should be invoked <u>no later</u> than the 11th month of the probationary period.
HR Review	The Head of People and Organisational Development will review the relevant documentation from Superintendent and ensure a file is prepared and provided to both the Chief Constable and the officer.
Attendees At Chief Officer Review Meeting:	• Chief Constable (or Deputy Chief Constable in the absence of Chief Constable) • HR Lead • Officer in their probationary period • Police Federation Representative
During Chief Officer Review Meeting:	The purpose of the meeting will be to discuss the officers' progress and areas of concern and what action has been taken so far to address the areas of concern. The meeting will review the recommendation made from Phase One – Senior Officer Review and decide whether the officer will be able to complete their probationary period and whether they are competent to hold the rank of Sergeant or Inspector. All those attending will be allowed to make their representations. This is a final opportunity for the officer to plead their case and appeal against the recommendations of the Superintendent. The Chief Constable (or DCC) will make a decision following the meeting.
Chief Officer Review Meeting Outcomes:	• Extension Agreed • Development Plan - timescale for review should take into consideration the remaining time available in the probationary period and allow a period of at least one month between the completion date for the Development Plan and the end of the probationary period. • Decision not to confirm the officer in the rank of Sergeant or Inspector and therefore they revert to their previous rank.
Following Chief Officer Review Meeting:	A full record of the meeting should be provided to the officer and a copy placed in the Portfolio including any Development Plans agreed. The officer must be given the opportunity to indicate whether they agree or disagree with the record of the meeting and also any Development Plan arising out of that meeting. If a decision was made not to confirm the officer in the rank of Sergeant or Inspector, the officer should be informed by the Chief Constable within one day of the meeting and the relevant actions will be taken by Human Resources to arrange any pay reduction.

Review:	If a decision was made to grant an extension and/or set a further Development Plan, then this should be reviewed at the appropriate date. If there is no further cause for concern and the portfolio is complete, this should be noted in the Portfolio and the Chief Constable should confirm the officer in the rank of Sergeant or Inspector. If the cause for concern remains, the Line Manager should set out the details to the Chief Constable and a further Chief Officer Review Meeting will be arranged, following the procedure above. The officers' probationary period is only complete once the Portfolio is complete and the officer is confirmed as sustaining a satisfactory performance as a Sergeant or Inspector.
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4.12.5 Taped or Digital Recording of Meetings

Meetings as part of the formal process can be tape recorded if required to assist in ensuring a thorough documentation of the discussion, but at request rather than as a matter of course.

The following guidelines should be followed if this is the case:

- Seeking the officers' consent at the commencement of the meeting.
- Advise that a copy of the recording would be made available to the officer after the meeting.
- If the officer does not give consent for the meeting to be tape recorded, their wishes must be respected.
- Retain a copy of the tape recording and any written meeting notes on the electronic personal files.

4.13 Misconduct / Complaints or Road Traffic Collision (RTC)

If an officer approaching the end of their probation is subject of an allegation of misconduct, live complaint or RTC, then this should be dealt with under The Police (Conduct) Regulations 2012 and The Police (Complaints and Misconduct) Regulations 2013. The relevant Superintendent, the Head of People Services, a representative from PSD and a Federation Representative will discuss the case in order to make a recommendation as to whether they should be confirmed in the rank of Sergeant/Inspector or not. If the officers' Portfolio is complete, they are sustaining satisfactory performance as a Sergeant/Inspector and there are no concerns about confirming them in rank then Section 7 below will apply. If the recommendation is that they should not be confirmed in rank until the allegation of misconduct, live complaint/investigation or RTC has been resolved, then an extension will be considered as per Section 3 of this procedure.

4.14 Confirmation in the Rank of Sergeant or Inspector

Once an officer has completed their Portfolio and there are no areas of concern, the Portfolio will be verified and signed off by the Training Department. A Confirmation of Rank form will be completed and sent to the Chief Constable. The Chief Constable then confirms completion of the probationary period in writing to the officer. Confirmation of rank should not be given before the end of the one year probationary period to ensure that the officer has been given full opportunity to demonstrate their competence.

5. DECLARATION & LEGALITIES

In line with all Force policies, the overarching purpose of this document is to directly support the PCC police and crime plan objectives. Overall the intention of this policy is to make North Wales the safest place in the UK.

In the writing of this policy cognisance has been taken of the college of policing code of ethics (2014).

North Wales Police policies will be written in accordance with the approved corporate format and published on the Force Intranet, allowing access to staff and public, where appropriate, on the pages of the public facing Internet site under the Force publication scheme and Freedom of Information Act 2000.

The following main legal requirements have been identified within this policy:

- Equality Act 2010
- Human Rights Act 1998
- The Welsh Language (Wales) Measure 2011 and the Welsh Language Standards for the Chief Constable
- Data Protection Act 2018
- Freedom of Information Act 2000
- Health and Safety Act 1974

This policy has been written giving due regard to the above legislation and has considered the risk of unfair and/or disproportionate impacts on individuals or groups (actual or perceived) and has done so via an equality impact assessment (EIA).

New legislative requirements or changes in Force structure may necessitate a review of this policy document.



MANAGING POLICE OFFICERS IN THEIR PROBATIONARY PERIOD

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POLICY

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2.1		HR Business Partner	Scheduled review and redraft	
2.2		HR Business Partner	Incorporated PSD comments and suggested amendments to redraft.	
2.3	30/01/2023	Training Manager	Scheduled review and redraft	
2.4	14/06/2023	Head of Workforce Planning	Review due to IPLDP +	N/A
2.5	01/04/2024	Head of Workforce Planning	Review due to PCEP	N/A
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2.7	25/11/24	Head of Workforce Planning	Review. Rebranding from PEQF to PCER	N/A

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1. WHY IS THIS POLICY REQUIRED?

North Wales Police is committed to providing student officers with training and development in accordance with the Initial Police Learning and Development (until March 2026) Police Constable Entry Programme and the Police Education Qualification Framework.

The aim of this policy is

- To provide a Force-wide consistent approach in managing the performance and development and conduct of police officers in their probationary period.
- To ensure officers demonstrate satisfactory performance across a range of operational and academic (where appropriate) competencies to be confirmed in their appointment as Constable, Sergeant or Inspector
- To set out guidelines for working constructively with officers in their probationary period to support them in achieving the standards of behaviour, performance, conduct and competency required to allow them to complete the relevant portfolio and be confirmed in appointment.

2. WHO SHOULD USE THIS POLICY?

The policy applies to student officers (Constables) in their probationary period and to officers in their one-year probationary period following a successful promotion board.

Line managers are responsible for dealing promptly and effectively with unsatisfactory performance, attendance, and conduct (where appropriate) of any officers within their probationary period.

3. WHAT SHOULD I CONSIDER WHEN USING THIS PROCEDURE?

The policy should be read in conjunction with the following documents:

- [Welsh Language Skills Policy](#)
- [Learning Policy: Procedure 2 - Assessment and Internal Verification Procedure](#)
- [Recruitment Policy](#)
- [Attendance Management Policy](#)
- [NPPF Procedures](#)
- [Operational Competence Portfolio Guidance](#)
- Home Office Guidance – Conduct Efficiency and Effectiveness – Statutory Guidance on Professional Standards Performance and Integrity in Policing
- Police Conduct /Performance Regulations 2020
- Code of Ethics
- Bangor University Academic Integrity Procedure (Appendix 1)

4. PROCEDURES**4.1 Managing Police Constables in their Probationary Period**

North Wales Police are committed to providing Student Police Officers with training in accordance with the Initial Police Learning and Development Programme (IPLDP+), Police Constable Entry Route covering the Degree Holder Entry Programme (DHEP), Police Constable Degree Apprenticeship (PCDA), Professional Policing Degree (PPD) and Police Constable Entry Programme (PCEP).

This procedure will ensure that Student Officers are given every opportunity to develop and become an efficient and well conducted officer. This procedure sets out the means of support provided, and the formal action taken should there be concern that the Student Officer will not successfully complete their probationary period. Regulation 12 (Probationary Service in the rank of Constable) of the Police Regulations 2003 allows for this probationary period to be extended if deemed necessary. Regulation 13 (Discharge of a Probationer) provides the grounds on which a Chief Constable may dispense with the services of a Student Officer at any time during their probationary period.

4.1.1 The Probationary Period

The purpose of the probationary period is to allow each Student Officer the opportunity to demonstrate they have reached the required standards to be confirmed in rank. North Wales Police will provide all the reasonable means to facilitate this process by demonstrating compliance in its procedures and consistency of approach within the performance management process for student officers.

The performance and attendance of individual Student Officers is a key element in the delivery of a quality policing service. Student Police Officers should know what standards of performance and attendance are required of them and be given appropriate support to attain those standards within their probationary period.

Dealing with Student Officers during their probationary period falls outside the procedures for dealing with officers under the Police (Performance) Regulations 2008.

4.1.2 Police Regulations

The Police Regulations relevant to Student Officers in their probationary period are as follows:

Regulation 12 (Probationary Service in the rank of Constable) of the Police Regulations 2003 allows for the probationary period to be extended if deemed necessary.

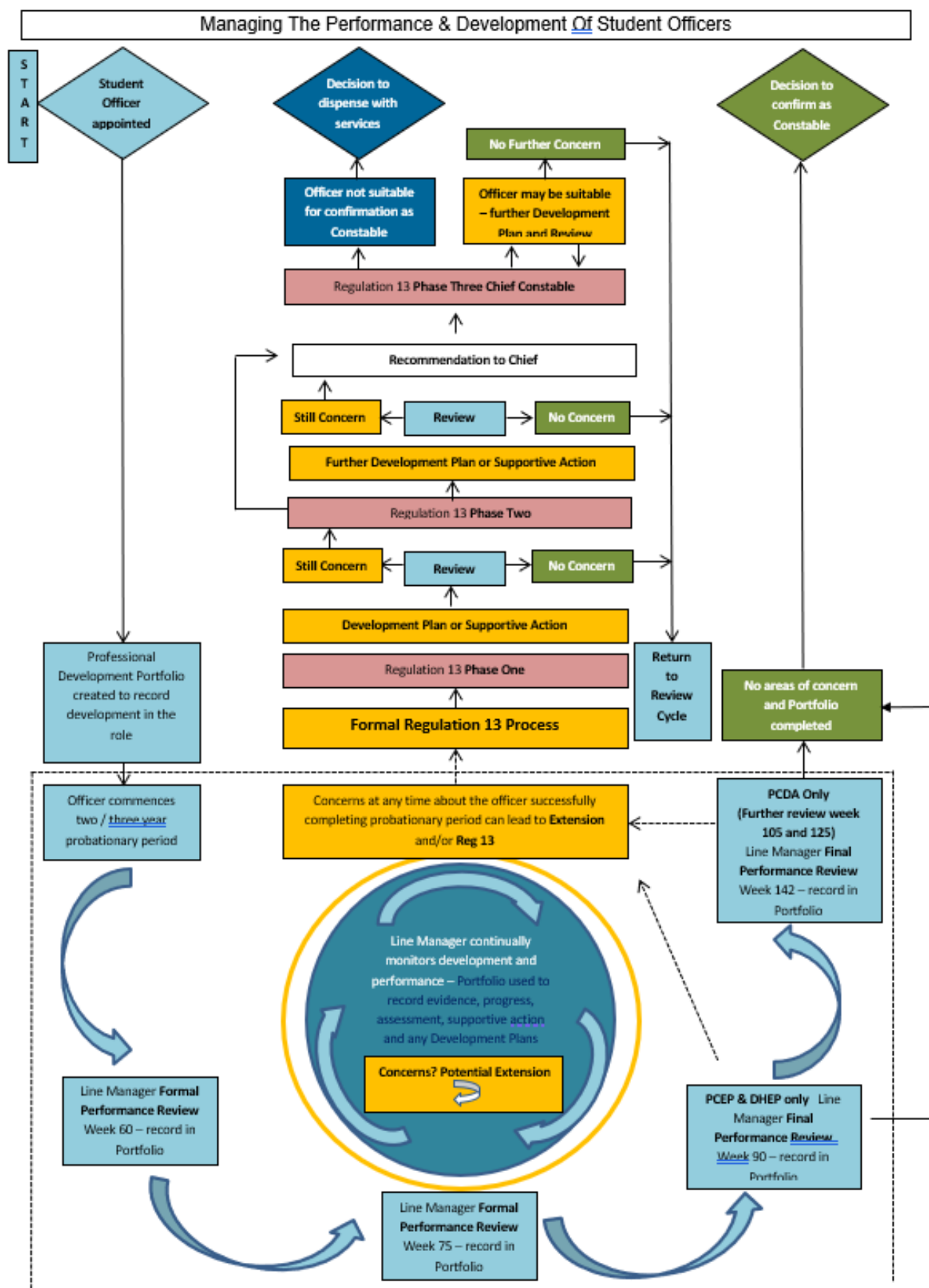
Regulation 13 (Discharge of a Probationer) of the Police Regulations 2003 provides the grounds on which a Chief Constable may dispense with the services of a Student Officer at any time during their probationary period.

Police Regulations 2003 clearly sets out the principles for the retention of Student Officers, as follows:

‘The Services of a Constable may be dispensed with at any time if the Chief Officer of Police considers that he/she is not fitted, physically or mentally, to perform the duties of his/her office OR that he/she is not likely to become an efficient or well conducted Constable’

Further detail in respect of the Regulations is provided within this policy.

4.1.3 Managing Police Constables in their Probationary Period Flowchart



4.1.4 Entry Routes & Probationary Periods

There are four entry routes into North Wales Police as follows:

Police Degree Apprenticeship - PCDA (3-year probationary period)

During the three-year programme, the Student Officer will complete a Degree in Professional Policing Practice, alongside their probationer training.

Degree Holder Entry Programme - DHEP (2-year probationary period)

Degree holders will complete a 2-year programme to achieve a Graduate Diploma in Professional Policing Practice alongside their probationer training.

Degree in Professional Policing - (Pre-Join (PPD) – (2-year probationary period)

Degree holders will complete the initial 22 weeks of training followed by their tutor phase.

They will be merged with a standard PCDA/DHEP cohort.

They are not required to complete any academic studies.

Police Constable Entry Programme – PCEP (2-year probationary period)

Officers will complete the initial 22 weeks of training followed by their tutor phase.

They will be required to complete an operational portfolio to meet National Occupational Standards. They are not required to complete any academic studies.

Initial Police Learning and Development Programme Plus - (2-year probationary period)

This entry route ceased on 31st March 2024, full decommissioning by 31st March 2026. Any officers on this route that require an extension beyond March 2026 will require transferring to an alternative entry route at the earliest opportunity i.e. PCEP. The force will need to carry out a needs analysis on the student officer to determine the gaps in their learning and what areas of learning and assessment need to be taught/covered.

Officers will complete the initial 22 weeks of training followed by their tutor phase.

They will be required to complete an operational portfolio to meet National Occupational Standards.

They are not required to complete any academic studies.

These programmes are facilitated in partnership with Bangor University, the Force's Higher Education Institution (HEI) provider and NWP in-house assessment team.

4.1.5 Probationary Periods for all entry routes

Approximate Timescales		
Months 1 - 6	Initial Training Phase	All Student Officers (PCER) are the responsibility of the Training Department and complete their initial training during this phase.
Months 7 – 9	PDU tutor phase	Student Officers are allocated a tutor within the PDU.
Months 9 to 24 for PCEP Student Officers	Independent Patrol Phase (FOC Portfolio)	If the tutoring phase is completed successfully the Student Officer will be able to commence Independent Patrol. They are still supported by their supervisor, an assessor and the Training Department to ensure that they continue to develop and complete their portfolio and Probationary Period.

Months 10-12	Year 1 Gateway to be achieved	DHEP & PCDA Student Officers
Months 13 to 24 for PCDA/DHEP Student Officers	Independent Patrol Phase (FOC Portfolio)	If the tutoring phase is completed successfully the Student Officer will be able to commence Independent Patrol. They are still supported by their supervisor, a tutor and the Training Department to ensure that they continue to develop and complete their FOC portfolio and probationary Period.
	Completion of Qualification Confirmation in Rank Year 2 Gateway to be achieved	DHEP Student Officers PCEP, PDD & DHEP Student Officers PCDA Student Officers
Months 25 to 36	Independent Patrol Phase continues	PCDA Student Officers only - Advanced Professional Development, other Learning and Development and Learning and Practice
	Completion of Qualification Confirmation in Rank	PCDA Student Officers

Under the PCDA/DHEP, student officers must evidence proficiency in both their operational competence **and** achieve the appropriate standard in the submission of their academic assessments and assignments set by the HEI.

4.1.6 Support During the Probationary Period

Timely performance and attendance management is an integral part of a line managers' responsibility and managers/supervisors should let student officers know when they are doing well, or if circumstances arise, when the first signs are evident that there is a need for improvement.

Student Officers on occasions will under achieve in their operational competence and/or in their academic work and/or have sickness issues or minor breaches to the Code of Ethics such as Standards of Professional Behaviour. In these circumstances it is reasonable for the Student Officer to expect and receive support, guidance and/or suitable advice from the line manager, which can include reflective practice as outlined in section 4.1.10.

4.1.7 Supporting Development

Any of the following supportive actions or alternatives could be considered to develop the officer and should be recorded in the Student Officers Portfolio:

- On-going measurement against the National Occupational Standards as set out in the portfolios relevant to each entry route.
- Recognising, recording and rewarding good performance.
- Coaching / mentoring.

- 360-degree feedback.
- Exposure to work in other departments.
- Closer supervision and regular review of work by line manager.
- Implementing more effective communication.
- Reappraising duties and goals.
- Workplace adjustments in relation to any disability.
- Identifying motivational factors for the officer and opportunities to apply them.
- Correction of minor errors through supportive action.
- Development/Support Plans.
- Attending appropriate training courses.

The progress of Student Officers is monitored regularly by HR Advisors, PDU, Training Department staff, Senior LPS Managers and reported to Probationer Monthly Management Meeting.

4.1.8 Workplace Adjustments

Where it is identified that a Student Officer requires reasonable adjustment(s) due to a protected characteristic under the Equality Act 2010, full consideration should be taken of any appropriate reports/advice and sufficient time provided within any development plans to enable the effectiveness of the adjustment(s) to be fully assessed at future case conferences, e.g. the provision of additional training/equipment.

Support mechanisms such as 'Access to Work' should be considered when implementing reasonable adjustments. Guidance should be sought from the relevant HR representative. A disability may not always be apparent to the Student Officer, or their line manager, however as soon as it is identified; the appropriate support must be put in place in accordance with the Equality Act 2010.

4.1.9 Development Plans

It is acknowledged that there will be occasions when the performance, attendance or conduct of a Student Officer falls short of the required standard. In such instances, it is reasonable for the Student Officer to expect to receive support, advice and guidance from their supervisor, from the Training Department and/or the HEI. This should initially be dealt with by means of tutorial meetings with the supervising officer and documented in the student officers' portfolio.

A supportive development plan following the SMART mnemonic should be completed with agreed timescales for improvement, evidence should be gathered by the supervising officer, staff from the Training Department, and/or staff from the HEI as to any possible underlying causes of poor performance, which may include domestic or personal issues, work issues, e.g. bullying and harassment, underlying medical and disability related issues.

In drawing up a development plan at any stage to address any concerns, the following must be included in the plan:

- The specific areas requiring improvement
- The improvement that needs to be achieved, which needs to be measurable
- How the progress will be measured and evidenced
- Arrangements in place to assist the Student Officer
- Reasonable timescales for the improvements to be achieved
- Potential implications if actions within plan are not achieved by the student officer

4.1.10 Reflective Practice

Reflective practice is the ability to reflect on your actions and improve the way you work. It is considered a key skill in practice based professional learning. To maximise reflective practice, the Student Officer must be willing to continuously assess their practice and performance in

consideration of any new learning. Further information can be found in the College of Policing guidance [here](#).

Agreed timescales for improvement should be set by the supervising officer, staff from the Training Department and/or staff from the HEI, if possible, this should be between 1 to 3 months with regular reviews during this period to support improvement.

The reflective practice must be documented in the training course record book and/or student officer portfolio.

Ideally as a result of reflective practice, performance/attendance/conduct (as appropriate) will improve and continue at an acceptable level.

Where there is no improvement, insufficient improvement, or the improvement is not sustained over an agreed period, it will then be appropriate to refer it to Phase 1 Formal Action.

There may be exceptional circumstances where the matter needs to be considered immediately under Phase Three of the formal procedure without having first completed the earlier stages of the sequential approach.

4.1.11 Guidance on Unsatisfactory Attendance

Where a Student Officer is absent through illness or injury, it is their responsibility to comply with the Force Attendance Management Policy.

If the sickness absence occurs during the Initial Training Phase, it must be managed by Training Department staff.

If the sickness absence occurs during the Tutoring/Mentoring Patrol phase the responsibility lies with the PDU Sgt to manage any necessary intervention.

If the sickness occurs during the Independent Patrol Phase/Bangor University it must be managed by their line manager, who must notify the Probationer Assessor Sergeant of the absence.

The relevant Training department supervisor will be responsible for notifying the Training Manager if a trigger point is reached during the probationary period prior to commencing PDU. The Training Manager in consultation with HR will decide on whether any action needs to be taken under Regulation 12/13 of the Police Regulations 2003. This will also be dependent on any previous development plans that have been implemented during the initial training probationary period for attendance, performance, or conduct.

Any stress related absence must result in an immediate referral to the Force Occupational Health Unit.

Where the Student Officer hits a trigger point, a referral must be made to the Occupational Health Unit for a review. Force Attendance Management Policy should be followed for consideration of an Attendance Improvement Plan or referral to formal Regulation 13 procedures.

No action should be taken to initiate the termination of the Student Officers services (whether under Regulation 13 Police Regulations 2003 or on medical retirement) without the full circumstances being referred to the Head of HR/WFP.

Complying with the formal stages of the Regulation 13 procedures as described earlier will ensure that Student Officers who are absent or are unable to perform due to injury are managed appropriately and given support prior to any decision being made to terminate their services.

4.2 Guidance on managing student officers who are alleged to have breached the standards of behaviour

The Chief Constable has discretion to deal with Student Officers who have breached the Standards of Professional Behaviour within the Code of Ethics either by way of the Police Conduct Regulations 2008 or the Police Regulations 2003 (Home Office Circular 8.2005 refers). Link to the Home Office Guidance is available [here](#).

If a breach of the standards of behaviour have been highlighted during the student officers training programme, then the severity of the behaviour will be assessed by the Training Manager.

The PDU Inspector will take ownership of standards of behaviour during the tutor phase and District Inspectors will have ownership during Independent Patrol phase.

If a Student Officer is suspected to have breached Standards of Professional Behaviour, then the matter must be referred to the Chief Superintendent Local Policing Services who will arrange a fact finding exercise to be carried out and relevant checks made on the Student Officer with the HEI, Training Department, PSD and line managers.

A decision will then be made as to how the matter should be dealt with - several options are available such as:

- No further action
- Reflective Practice
- Development Plan
- Phase 1 Regulation 13
- Phase 2 Regulation 13
- Formal investigation under the Police Conduct Regulations

For those students on academic entry routes with HEI, options for dealing with incidents of Academic Misconduct are recorded within the HEI policy (see appendix & section 4.3).

If the Chief Superintendent Local Policing Services concludes a formal investigation should be conducted, an early meeting between the Training Department, Professional Standards Department and the Basic Command Unit (BCU) (if relevant) should be held to decide who is best placed to investigate the circumstances thoroughly.

Depending on the nature of the allegation it may be prudent for the initial investigation to be conducted by PSD or the BCU, to ensure the necessary safeguards under the Police Conduct/Performance Regulations 2020 are implemented. This will be considered to be the best course of action if the conduct of the Student Officer is likely to be gross misconduct and there is no previous history recorded against the student officer in relation to conduct/performance or sickness issues.

A formal investigation under the Police Conduct/Performance Regulations will not always be necessary when dealing with a Student Officer, especially if the same Student Officer has already been subject to previous development plans/reflective practice for performance, attendance or conduct during their probationary period. In these circumstances it is likely that the best course of action will be to instigate the formal Regulation 13 process without the need to carry out a formal investigation under the Police Conduct/Performance Regulations.

The previous history of a Student Officer in relation to attendance, performance and conduct are all relevant under the Regulation 13 process, and an overall assessment is constantly being made throughout the probationary period to ascertain whether the Student Officer is ***'fitted physically***

or mentally to perform the duties of their office and whether they will become an efficient or well conducted Constable'. If there is any doubt in relation to this, the Regulation 13 process MUST be considered.

If a formal investigation has been conducted under the Police Conduct/Performance Regulations and there is a case to answer which has been admitted by the Student Officer, then PSD can refer the matter back to the Chief Superintendent LPS who will arrange for the case to be addressed via the Regulation 13 process, negating the need to hold a misconduct meeting/hearing. However, if the alleged breach of conduct is an isolated incident and it is not admitted by the Student Officer, then it is recommended that disposal of the case should be via the Police Conduct/Performance Regulations and not Regulation 13 (Kay V Northumbria (2010) refers).

If a decision is made to use the Regulation 13 process to deal with a conduct matter a decision will need to be made as to what phase of the Regulation 13 process is instigated.

Reflective Practice, Development Plan or a Phase 1 Regulation 13 case conference will be used to deal with minor misconduct.

A Phase 2 Case Conference must be held to deal with more serious misconduct where a formal investigation has been conducted under the Police Conduct/Performance Regulations or there is a pattern of behaviour or events that is giving cause for concern as to whether the Student Officer is ***fitted physically or mentally to perform the duties of their office or whether they will become an efficient or well conducted Constable***.

Regardless of what stage of the Regulation 13 process is instigated (Reflective Practice/Phase 1, Phase 2 or Phase 3 Case Conference), the Student Officer will always be told how their behaviour fell short of the expectations set out in the Code of Ethics which includes Standards of Professional Behaviour, and will be given a copy of the evidence against them and be afforded the opportunity to make verbal and/or written representations.

4.2.1 Academic Terms and Conditions

As part of the Police Constable Entry Route (PCDA/DHEP) probationary officers are supported and developed throughout their probationary period and their skills and knowledge will be continually assessed during this period.

The academic element of the programme requires the probationary officer to submit assignments, undertake examinations, take part in practical assessments and evidence their competency. Assignment work is submitted through 'Turnitin' and assessed by qualified lecturers.

Academic Integrity is fundamental in maintaining the 'learning community' within the HEI, in which students/probationers and staff are expected to maintain a high standard of academic conduct and professionalism, based on courtesy, honesty and mutual respect.

Academic misconduct includes (but is not limited to) issues of plagiarism, collusion, cheating, breach of examination regulations, fabrication of data, impersonation of others or the use of essay banks or mills for assessment.

The management of unsatisfactory performance will be led by North Wales Police. However, it is recognised that the contracted HEI partner also has responsibility for an individual's academic performance which is distinct from unsatisfactory performance procedures for an individual in their role as a Police Constable. Any management of unsatisfactory performance may include the contracted HEI provider where required.

North Wales Police takes cases of academic misconduct extremely seriously. In cases where academic misconduct is identified, the force and the HEI will seek to ensure that the matter is dealt with in a timely manner.

Content of assessments needs to be the student's own work. Use of AI tools is permitted; however, their use needs to be fair and appropriate. Instances of use of gen-AI technology or not (e.g. due to an instance of plagiarism or use of an essay mill) may be penalised under the University's Academic Integrity Procedure. A guiding principle is that the content (e.g., the basic written expression, arguments, interpretations, conclusions etc.) of work submitted for assessment should be a student's own.

Proven cases of academic misconduct will be classified as a breach in the Standards of Professional Behaviour, whereby the probationary officer's integrity will be brought into question, the matter will be referred through to the LPS Chief Supt to determine with the appropriate authority, progression to Phase Two Formal Case Review of the Regulation 13 procedure or a formal investigation under the Police Conduct/Performance Regulations.

4.2.2 Extensions to the Training or Tutor Phase

Where an extension of the training phase or the tutor phase is being considered, this **does not** require the Chief Constables approval, and is managed between the Training Department, HEI, HR and the relevant service area. An extension may be required if there is concern that the Student Officer is not ready to move on to the next phase of their probation. A meeting should be arranged to give the Student Officer an opportunity to make their representations. This should be documented in the portfolio, and the Student Officer can record their representations within it.

4.3 REGULATION 12 POLICE REGULATIONS 2003 – Extension of Probationary Period

Line managers are responsible for dealing promptly and effectively with unsatisfactory performance and or/attendance of student officers.

Circumstances that could lead to an application under Regulation 12, Police Regulations 2003 are:

- Protracted absence through sickness/injury
- Protracted absence through any relevant protected characteristic
- To facilitate timescales for reasonable adjustments to be implemented and monitored effectively
- The implementation and monitoring of reasonable adjustments being put into place and the impact of this on confirmation timescales
- Suspension from duty awaiting the result of a PSD investigation
- To facilitate the Regulation 13 process
- Unable to carry out operational duties through injury/illness e.g. long term restricted/recuperative. (Every effort must have been made to accommodate the Student Officer in a role that enables them to continue working to complete their portfolio and probationary period).

The above list is not exhaustive but provides examples of where it may be prudent to apply for an extension to ensure the Student Officer is given every opportunity to prove that they can reach the required standard and be confirmed in rank.

There are several circumstances where it may be appropriate to extend the probationary period of a Student Officer. If it is felt appropriate to apply for an extension to the probationary period, it is the responsibility of the line manager to raise their concerns initially with HR and the Probationer Assessor Sergeant who will look closely into the individual circumstances of the case e.g. sickness levels, exam and assessment results, student portfolio completion and progress, the

level of support the officer requires in relation to their length of service and any other information that may assist in the decision making process.

A meeting will be arranged with the Student Officer, the Probationer Assessor Sergeant, the line manager, HR and a Federation friend before progressing a Regulation 12 report outlining the case to the Chief Constable to request authorisation of an extension. The Student Officer will be informed in writing of any such decision.

An extension of probation is not automatic, and on occasions will be declined. If this does occur, a review of the evidence will be made by the relevant line manager and a Regulation 13 file as opposed to a Regulation 12 file needs to be prepared for the case.

It should be noted that any issues of poor attendance and/or performance should be dealt with at an early stage to allow for the process to be completed within the probationary period – i.e. first 2 years (for PCEP/ DHEP and Pre-join PPD), or 3 years (for PCDA). The extension of probation can be requested at any stage of the performance and/or attendance process to ensure the process can be concluded within the probationary period.

In respect of the performance/ attendance/conduct issues of a Student Officer, the request for Regulation 12 should be accompanied by a detailed report.

4.3.1 Procedure for Extensions

Where an extension is felt necessary, the following procedure should be followed:

- Extension requests should be submitted at the earliest opportunity. If possible, prior to week 90 of the 2-year probationary period, or week 142 of the 3-year probationary period
- A meeting should be arranged between the Student Officer, their line manager, Probationer Assessor Sergeant, Area Inspector and HR officer to discuss the reasons why an extension is required and to allow the Student Officer to put forward their views. A separate meeting is not required if the Extension is discussed within a Phase meeting.
- The Student Officer must be given seven days' notice of the meeting and is entitled to Federation friend at the meeting.
- An Extension Request Form with a recommendation should be provided to the relevant HR Lead/Workforce Planning Manager, who will advise the Chief Constable and seek written confirmation from the Chief Constable of approval of the extension. A copy the Extension Request Form will be provided to the Student Officer, they will be given an opportunity to raise any points of contention.
- Following a decision by the Chief Constable, the Student Officer will be provided with the rationale for the decision.

If the Chief Constable decides that an extension is not appropriate and that the formal Regulation 13 process should be invoked, the Line Manager will be advised in writing so that Phase One can be arranged.

Where an extension is granted by the Chief Constable, then the Student Officer will continue to be supported and monitored to try and ensure successful completion of the Portfolio/probationary period.

The Student Officer's probationary period automatically ceases at the end of the first two/three years' service as appropriate to the entry route of the Student Officer unless a decision to extend is made before the end of the period. This also applies to subsequent extensions.

4.3.2 Progressing to Regulation 13 from Regulation 12

If a decision is made not to extend a Student Officers probationary period and they have not been able to demonstrate that they have reached the required standard, then a Phase 2 Regulation 13 case conference will be held to give the Student Officer an opportunity to make representations with their Police Federation friend. At the conclusion of the case conference, consideration will be given in respect of accelerating the case to a Phase 3 Regulation 13 case conference whereby the Chief Constable will decide whether the Student Officers' services will be dispensed with under Regulation 13 Police Regulations 2003, or whether an extension of probation under Regulation 12 should be given.

4.4 REGULATION 13 POLICE REGULATIONS 2003 – Discharge of a Probationer Constable

4.4.1 Discharge of a Probationer - Invoking the Formal Regulation 13 Process

If at any stage during the two/three-year probationary period issues are highlighted which are forming a pattern and/or giving serious cause for concern and there is doubt over whether the officer is fitted, physically or mentally, to perform the duties of their office, or that they are not likely to become an efficient or well conducted officer, the Regulation 13 procedure may be invoked. For example, concerns over development, performance, attitude, and behaviour are all areas which could cause concern. This list is by no means exhaustive.

It is the requirement of the Force Welsh Language Policy that all Student Officers achieve level three Welsh within the first twelve months of service. Student Officers will be supported and encouraged to make use of their Welsh language skills when the opportunity arises during their probationary period. Failure to achieve level three by the end of the first twelve months of service will be a consideration under Regulation 13.

Where misconduct issues arise, advice should be sought from the Professional Standards Department however it should also be noted that the Chief Constable has the discretion to address misconduct issues through Regulation 13 providing this adheres to the [Home Office Guidance](#).

During the training phase if there are serious concerns about the Student Officer as described under 4.4.2 below then this may be grounds for invoking Regulation 13. If a Student Officer fails to pass an exam or assessment, even after re-sitting, then this may also be grounds for invoking Regulation 13. Each case will be considered individually in deciding how to proceed.

At any point during the probationary period in exceptional circumstances, consideration may be given to refer a Student Officer direct to Phase 2 of the Formal Regulation 13 Process. This will occur when the conduct of the Student Officer could amount to gross misconduct, or the conduct/attendance and performance taken together is so poor that it is reasonable to by-pass the first phase and progress straight to a Phase 2 Case Conference. This could also include serious injury or medical condition that will prevent the Student Officer from being able to carry out the Police Officer role on a long term and/or potentially permanent basis.

4.4.2 Evidence for the Formal Regulation 13 Procedure

Where a Line Manager has grounds to believe that a Student Officers' progress may lead to discharge under this procedure, the student officer training course record and/or the Portfolio must have been used to record:

- Areas of concern and discussions about these with the Student Officer.
- Supportive action (see Section 4.1.7) including Development Plans applied.

4.4.3 Carrying out the Formal Regulation 13 Procedure

For each stage of the Formal Regulation 13 procedure, the following procedure should be followed:

- Line manager to document rationale to Training Manager/Area Inspector
- HEI to provide evidence of concerns as required.
- A formal **written invitation** must be provided to the Student Officer **seven days in advance** of the Case Conference setting out the **date, time and location** and providing a summary of the reasons why performance and/or attendance is believed to be unsatisfactory with copies of all relevant evidential documentation that will be relied upon, including any case file, and any action taken so far by the Line Manager to address the areas of concern. The evidence must also be included within the Student Officers Portfolio
- The invitation must also set out all the **possible outcomes** of the conference, including the fact that their service with North Wales Police is at risk
- Welsh speaking Student Officers should be offered the opportunity to use their language of preference within meetings/conferences, and this should be included in the invitation.
- The Student Officer must be advised that they are entitled to seek advice from a Police Federation friend, can be accompanied at the meeting by their representative, and will be provided the opportunity to make their representations in the conference in respect of the issues causing concern
- The invitation should ask the Student Officer whether he/she intends to raise any **welfare/medical issues** not previously disclosed to the Force which may have had an impact on their performance and/or progress
- The Student Officer or their representative should provide any documents they wish to rely upon in the conference at least 3 days prior to it.
- During the conference, opportunities to support, develop and educate the individual will be considered alongside reflective practice, and a SMART Development plan if appropriate will be agreed outlining areas where the officer must improve (an extension may be required under Regulation 12 to facilitate this).
- Any development plan/reflective practice will be regularly reviewed and monitored by the line manager responsible for the Student Officer. The development plan/reflective practice will be stored in the Student Officers portfolio.
- Any workplace adjustments will be considered
- If an extension is being sought during the Formal Regulation 13 Process, then there is no requirement for a separate meeting to discuss the extension. This can be discussed as part of the relevant Regulation 13 Meeting phase.

4.4.4 Recording of Meetings

Meetings/Case Conferences as part of the formal process can be recorded if required to assist in ensuring a thorough documentation of the discussion, but at request rather than as a matter of course.

The following guidelines should be followed if this is the case:

- Seeking the officers' consent at the commencement of the meeting.
- Advise that a copy of the recording would be made available to the officer after the meeting at request.
- If the officer does not give consent for the meeting/conference to be recorded, their wishes must be respected.
- Retain a copy of the recording and any written meeting/conference notes on the electronic personal files.

4.4.5 Phase 1 - Formal Action Case Conference

Actions Initiating Phase:	When a Student Officers performance, attendance or conduct continues to cause concern, supervising officers must treat each case on its own merits and consider all the pertinent facts available at the time. The matter must be documented and referred to the Probationer Assessor Sergeant or the officers' line manager.
Attendees At Phase One:	• Training Manager/ Area Inspector (as appropriate) • Relevant member of the PDU/Assessor Team • Line Manager (Sergeant or Police Staff equivalent) • HR Advisor • Student Officer • Police Federation friend (if applicable)
During Phase One:	The purpose of the Case Conference is to formally highlight areas of concern, discuss opportunities to support, develop and educate the Student Officer. Consideration will be given to reflective practice and a SMART development plan (if appropriate) will be agreed outlining areas where the Student Officer must improve.
Phase One Outcomes:	• Reflective Practice • Development Plan and/or; • Other Supportive Action; • Potential Extension.
Following Phase One:	A record of the Case Conference should be provided to the Student Officer within five working days and a copy placed in the Portfolio including any Reflective Practice and/or Development Plan/s agreed. Any comments or points of contention raised by the Student Officer should be also added to the portfolio.
Review:	Development plans will be regularly reviewed and monitored by the line manager. If there is no further cause for concern within the timescales set, this should be noted in the Portfolio and no further action is necessary. Consideration to move to Phase 2 of the process will be given if the development plan is not achieved or sustained throughout the remainder of the probationary period. The Line Manager should document the details to the Training Manager/Area Inspector who will advise the Area Superintendent to commence Phase Two of the process. <u>Exceptional Circumstances</u> In exceptional cases, it may be necessary to progress immediately to Phase 2. This will occur when the conduct of the Student Officer could amount to gross misconduct, or the conduct/attendance and performance taken together is so poor that it is reasonable to by-pass the first phase and progress straight to a Phase 2 Case Conference. The rationale for doing this must be clearly documented.

4.4.6 Phase Two – Formal Case Conference with LPS Area Superintendent

Actions Initiating Phase:	The purpose of the Case Conference is to review the Students Officers under performance and /or poor attendance and /or conduct and to
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	discuss with them the reasons why they are still failing to reach the standards expected of them as a Police Officer. All documentation completed so far (minutes of previous meeting, the evidence of the concerns, development plans etc) should be provided to the Area Superintendent to review. The officer is invited to attend a Case Conference.
Attendees Phase Two:	• LPS Area Superintendent (Chairperson) • Student Officer • HR Representative • Police Federation friend (if applicable) • Relevant member of the Training Department/PDU/ Assessor Team
During Phase Two:	During the Case Conference consideration will be given as to what further strategies can be put in place to ensure the Student Officer improves their performance and/or attendance and/or conduct. Opportunities to support and develop the Student Officer will once again be considered and reflective practice/ a final SMART development plan may be agreed, outlining specifically which areas they must improve on. Everyone at the meeting will be allowed to make their representations. The Phase 2 Development Plan set must be for a time period which allows the objectives to be achieved but must not be set for more than 3 months. A decision may also be made not to set a development plan if it is apparent at the end of the Case Conference from the evidence presented that the Student Officer is unlikely to become 'an efficient and well conducted constable or that they are not fitted physically or mentally to perform the duties of their office'. The Student Officer will be informed that failure to achieve this Phase 2 Development Plan will result in a recommendation being made that their services should be dispensed with under Regulation 13, and a Phase 3 Case Conference arranged.
Phase Two Outcomes:	• Recommendation to dispense with services (i.e. progression to Phase 3 for the Chief Constable's determination) or; • Recommendation to retain the officer with reflective practice and/or a development plan in place.
Following Phase Two:	A record of the Case Conference should be provided to the Student Officer within five working days of the meeting and a copy placed in the Student Officers portfolio. The Student Officer must be given the opportunity to indicate whether they agree or disagree with the record of the Case Conference. Any comments or points of contention raised by the Student Officer should be added to the portfolio.

	The recommendation and all documentation completed so far should be provided to the Head of HR/HR Lead to prepare the case for the Chief Constable. Successful completion of the Phase 2 Development Plan will result in no further action providing their performance or attendance or conduct does not give cause for concern throughout their probationary period. If a Student Officer gives cause for concern again during their probationary period after a Phase 2 Regulation 13 Case Conference regarding their performance and/or attendance and/or conduct then the matter will be referred immediately back to a Phase 2 Superintendent review recommending that their services be dispensed with under Regulation 13 of Police Regulations 2003. If this occurs the Police Federation will be notified and full disclosure of the case will be given to the Student Officer and they will be given an opportunity to make verbal and/or written representations before the final decision is made by the Chief Constable. The Chief Constable is the only person who can make a decision to dispense with the services under Regulation 13 of Police Regulations 2003.
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4.4.7 Phase Three – Formal Case Conference with Chief Constable

Actions Initiating Phase:	The Head of HR/HR Lead will provide a case file to the Chief Constable. The officer is invited to attend a Case Conference.
Attendees At Phase Three:	• Chief Constable • HR Lead and HR Advisor if applicable • Student Officer • Federation friend if applicable • Relevant member of the Training Department/PDU/Assessor Team • Any other person determined by the Chief Constable
During Phase Three:	The Chief Constable will consider all the documentation, and the recommendation made by the LPS Area Superintendent. Everyone at the Case Conference will be allowed to make their representations. This is a final opportunity for the Student Officer to state their case, and appeal against the recommendations of the Area Superintendent.
Phase Three Outcomes:	• Decision to dispense with services or; • A decision to retain the officer and; • An Extension if required and/or; • Reflective Practice and/or a Development Plan.
Following Phase Three:	A full record of the Case Conference should be provided to the Student Officer within five working days and a copy placed in the Portfolio. The Student Officer must be given the opportunity to indicate whether they agree or disagree with the record of the meeting. Any comments raised by the Student Officer should be added to the Portfolio.

	The full Regulation 13 Case File will be placed on the Students Officers' personal record. If a decision was made to dispense with the services of the Student Officer, they will be informed by the Chief Constable within one day of the meeting and the relevant actions will be taken by Human Resources to progress the Student Officer's exit from the organisation. This will include arranging a month's pay in lieu of notice. There is no appeal route. If a decision was made to retain the services of the Student Officer, the Chief Constable will set out any conditions that must be met by the Student Officer and this will be reviewed at the appropriate time.
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4.4.8 Following Regulation 13

If at any point within the remaining probationary period there is a relapse by the Student Officer and concerns are raised again about their suitability to be a Police Officer, whether the issue is the same or not, the following procedure should be followed:

- The supportive action outlined in section 4.1.7 of the procedures should have been considered and relevant actions applied
- If the supportive action did not resolve the concern, then the Regulation 13 procedure would re-commence at the phase which was reached previously i.e., if phase 2 had previously taken place, then the procedure would recommence at Phase 2. The only exception to this is where an officer had previously reached Phase Three – in this case the officer would return to Phase 2 in order to give a fair opportunity for them to represent themselves.

4.5 Resignation

Under no circumstances should the Student Officer be persuaded to resign as an alternative to the procedure outlined above. If a Student Officer tenders their resignation, they must submit a report to their Line Manager, outlining the reasons for the resignation and the resignation date.

HR Support Services will commence the appropriate leaver process and checks.

4.6 References Post Discharge/Resignation

Please refer to the References Policy and Procedure for details of what will be included in a reference when requested by a future prospective employer. There are several standard reference templates for different scenarios, including for discharge under Regulation 13, to ensure fairness and consistency.

4.7 Complaints or Road Traffic Collision (RTC)

If a Student Officer approaching the end of their probation is subject of a live complaint, investigation or RTC, then a discussion will take place as to whether they can be confirmed in the rank of Constable or not. The relevant Superintendent, the Head of HR/HR Lead, a representative from PSD will discuss the case to make a recommendation. If the recommendation is that they should proceed to be confirmed in rank, the confirmation process will commence. If the recommendation is that they cannot be confirmed in rank until the issue has been resolved, then an extension will be considered as per Regulation 12 as detailed earlier in this procedure.

4.8 Confirmation in the Rank of Constable

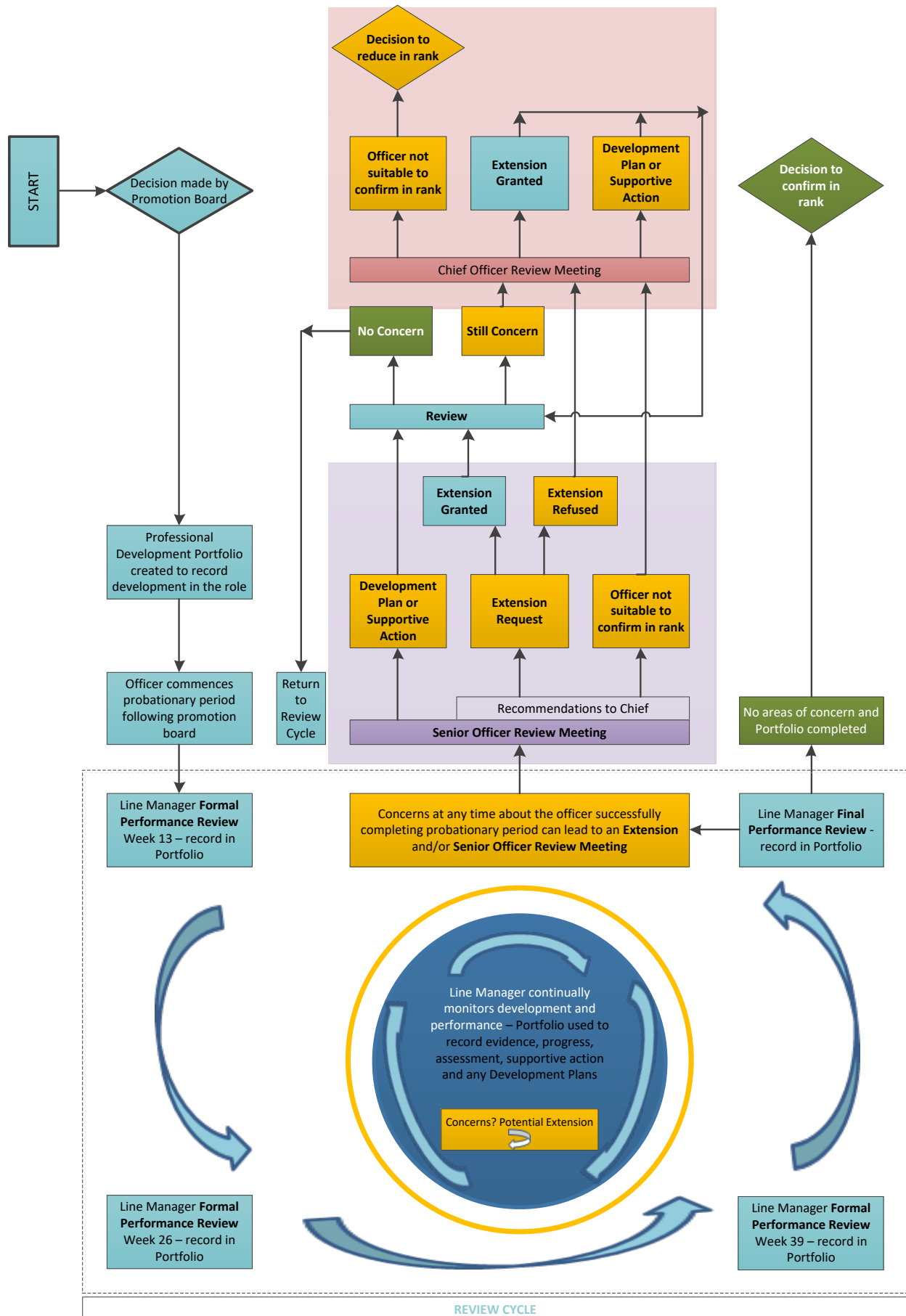
Once a Student Officer has fully completed their Portfolio (PCEP), and where relevant achieved the qualification as stipulated in their entry route (DHEP/PCDA), and there are no other areas of

concern, the Portfolio will be verified and signed off by the Training Department. A Confirmation of Appointment form will be completed and sent to the Chief Constable. The Chief Constable will then confirm completion of the probationary period in writing to the Student Officer. Confirmation of rank should not be given before the end of the two/three-year probationary period (as appropriate) as per Annex C of Regulation 12 of the Police Regulations. This also ensures that the Student Officer has been given full opportunity to demonstrate their competence.

4.9 Managing Sergeants and Inspectors Following Promotion Probation Procedure

This procedure ensures that officers are given every opportunity to develop and become an efficient and effective Sergeant or Inspector following a successful promotion board. Any officer successfully completing the assessment process for promotion to Sergeant or Inspector will complete the National Police Promotion Portfolio during the 12-month probationary period. This will lead to an NVQ qualification at the relevant level. As well as completing the portfolio the officer is required to evidence that their performance, knowledge, attitude, and behaviour are all at the required standard for them to become a substantive Sergeant or Inspector. This procedure sets out the means of support provided, and the formal action taken should there be concern that the officer will not successfully complete their probationary period.

4.9.1 Managing the Performance and Development of Sergeants and Inspectors Following Promotion Probation Flowchart



4.10 Support During the Probationary Period

4.10.1 Supporting Development

It is the responsibility of Line Managers to monitor the development and ensure achievement of the portfolio of officers under their supervision, supported by the Training Department and HR where necessary. The following actions should be carried out:

- On-going measurement against the National Occupational Standards as set out in the Professional Development Portfolio.
- Recognising, recording and rewarding good performance.
- Identifying motivational factors for the officer and opportunities to positively emphasise these.
- Correction of minor errors through supportive action.
- The use of Development Plans, logged in the Portfolio to address any initial concerns.
- Three interim performance reviews will be carried out at weeks 13, 26, 39 and a final performance review no later than one month before the end of the probationary period.
- The progress of officers is monitored regularly by HR Advisers, Training Department and Senior Managers via a progress overview. It is also monitored through People Services Senior Management Team.

4.10.2 Supportive Action

Any of the following supportive actions or other alternatives could be considered to develop the officer and should be actioned promptly and recorded in the Portfolio:

- Attending appropriate training courses.
- Coaching or mentoring.
- Exposure to work in other departments.
- Closer supervision and review of work by the Line Manager.
- Instituting more effective two-way communication.
- Reappraising the employee's job duties and targets.¹
- Workplace adjustments in relation to any disability.

4.10.3 Development Plans

In drawing up a supportive Development Plan at any stage of the process the following should be specifically included in the plan:

- The specific areas requiring improvement.
- What improvement needs to be achieved – this must be achievable and measurable.
- How the progress will be measured and evidenced.
- What arrangements will be in place to assist the officer to achieve the Development Plan.
- Within what time scales the improvements must be achieved (this must allow a reasonable time period for the officer to be able to achieve the improvements).
- Potential implications if actions within plan are not achieved by the student officer

4.11 Extensions to the Probationary Period

During the course of an officers' probationary period, there may be a requirement for the probationary period to be extended. It is not appropriate to routinely extend a temporary promotion for a further 12 months. In some cases, a shorter period (eg, a further two months) is more appropriate. Each case needs to be considered individually. The 12-month period will not be extended due to high volumes of work or operational commitments. Circumstances that may

¹ The targets referred to are those necessary to support officers to achieve and demonstrate the standard required for a Sergeant or Inspector and are not numerical quantitative performance targets.

necessitate an extension to the probationary period are where there is concern that the officer will not be able to complete their probation within the 12-month period, examples can be seen in the below chart.

Pregnancy / Maternity Leave/Paternity	An officer may require an extension if they are unlikely to be able to complete their portfolio and probationary period within the 12-month period due to maternity or paternity leave.
Long Term Sickness Absence from Work	An officer may require an extension if they are unlikely to complete their portfolio and probationary period within the 12-month period due to a long-term period of sickness absence.
Long Term Recuperative or Restricted Duties	An officer may require an extension if they are unlikely to complete their portfolio and probationary period within the 12-month period due to a long-term period of recuperative or restricted duties. Every effort must have been made to accommodate the officer in a role that enables them to continue working to complete their probationary period.

4.11.1 Evidence for the Extension

Where a Line Manager has grounds to believe that an officers' progress is cause for concern and that they may not achieve the required level of competence and performance to be confirmed in rank as a Sergeant or Inspector within the 12-month period the Portfolio must have been used to record:

- Areas of concern and discussions about these with the officer.
- Supportive action (see 4.10.3) including Development Plans must have been applied.

4.11.2 Procedure for Extensions

Where an extension is felt necessary, in line with Regulation 5 of The Police (Promotion) Regulations 1996 the following procedure should be followed:

- The Line Manager of the officer sends a report to the relevant Chief Inspector/Superintendent, HR Advisor outlining the reasons why an extension is required.
- A meeting is arranged between the officer, Line Manager, relevant Chief Inspector, HR Advisor and assessor to discuss the reasons why an extension is required and to allow the officer to put forward their views.
- The officer should be given seven days' notice of the meeting and is entitled to Federation friend at the meeting.
- An overview of the meeting with a recommendation should be provided to the Force Decision Panel.
- A copy will also be provided to the officer, and they will be given an opportunity to raise any points of contention.

4.11.3 Decision on Extension

The decision to extend a candidate's period of work-based assessment beyond 12 months must be evidence-based, justifiable and documented. If the recommendation is to extend the probationary period, a Force Decision Panel will be held, written confirmation will be sought using the relevant template.

Cases will be referred to Extension Decision Panel (Panel), following a decision the officer will be provided with the rationale for the decision.

If the recommendation is that the officer does not require an extension, then the Panel will sign off the recommendation and the HR Advisor will confirm the decision to the officer along with the rationale for the decision.

If the Panel has concern over the officers' ability to complete their probation, they can invoke a Phase One Senior Officer Review.

If the extension request is granted, the Line Manager continues to be responsible for monitoring the development of the officer. If concern remains that the officer will not complete their probationary period and become a competent Sergeant or Inspector, then a Phase One Senior Officer Review can be invoked.

Alternatively, if at any stage during the 12-month probationary period issues are highlighted which are forming a pattern and/or giving serious cause for concern about the officers' ability to complete their probation and become a competent Sergeant or Inspector, then the Senior Officer Review may be invoked without any extension having previously been considered.

Extension Decision Panel –

- Head of Training
- Head of Workforce Planning
- Corporate Superintendent

4.11.4 Formal Review Process

The following applies prior to either a Phase One or Phase Two meeting being held:

- A **written invitation** must be provided to the officer **seven days in advance** of the planned meeting setting out the date, time and location of the meeting and providing all relevant documentation that will be referred to including any case file.
- The invitation must clearly state the **reasons why the meeting is being held** and **what has been done so far** to address the areas of concern.
- The invitation should also set out the **possible outcomes** of the meeting.
- The grounds surrounding the areas of concern must be fully evidenced within the Portfolio.
- The officer must be advised that they are entitled to seek advice from a Police Federation friend and can be accompanied at the meeting by their representative.

The following are the details of the two phases of review:

4.11.4.1 Phase One – Senior Officer Review

Actions Initiating Senior Officer Review:	<u>Either</u>; the Extension Decision Panel upon receipt of an extension request has concern that the officer may not reach the required level of competence and performance to be confirmed in rank as a Sergeant or Inspector; <u>Or</u>; the officer has previously been granted an extension and the Line Manager has concern that the officer may not reach the required level of competence and performance to be confirmed in rank as a Sergeant or Inspector; <u>Or</u>; at any time during the probationary period issues are highlighted which are forming a pattern and/or giving serious cause for concern about the officers' ability to complete their probation.
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Attendees At Senior Officer Review Meeting:	• Superintendent • HR Advisor • Officer in their probationary period • Police Federation Friend • Relevant member of the Assessor Team/Line Manager
During Senior Officer Review Meeting:	The purpose of the meeting will be to discuss the officers' progress and areas of concern and what action has been taken so far to address the areas of concern. The meeting will decide whether a Development Plan and extension will enable the officer to successfully complete their probationary period or not. All those attending will be allowed to make their representations. The Superintendent will make a recommendation following the meeting.
Senior Officer Review Meeting Outcomes:	• Extension Recommended. • Development Plan - timescale for review should take into consideration the remaining time available in the probationary period and allow a period of at least one month between the completion date for the Development Plan and the end of the probationary period. • Referral to Phase 2, recommendation not to confirm the officer in the rank of Sergeant or Inspector and therefore to revert to their previous rank.
Following Senior Officer Review Meeting:	A record of the meeting should be provided to the officer and a copy placed in the Portfolio including any Development Plans agreed. The officer must be given the opportunity to indicate whether they agree or disagree with the record of the meeting and any Development Plan arising out of that meeting. Any comments or points of contention raised by the officer should be added to the Portfolio. If a recommendation was made that the officer will not reach the appropriate standard to confirm the officer in the rank of Sergeant or Inspector, then a referral to Phase 2, Chief Officer Review will be completed. If a recommendation was made that an extension should be given, the HR Advisor will ensure the timescales sits within the recommended extension periods in the National Police Promotions Framework (NPPF) Operating Manual. The Line Manager should then continue to review the officers' development if granted. If a recommendation was made to set a Development Plan, then this should be reviewed at the appropriate date.
Review:	If a recommendation was made to grant an extension and/or set a further Development Plan, then this should be reviewed at the appropriate date. If there is no further cause for concern, this should be noted in the Portfolio and the Chief Constable should confirm the officer in the rank of Sergeant or Inspector. If the cause for concern remains, the Line Manager should set out the details to the Chief Constable and a Phase Two Chief Officer Review Meeting will be arranged. The officers' probationary period is only complete once the Portfolio is complete, and the officer is confirmed as sustaining a satisfactory performance as a Sergeant or Inspector.

4.11.4.2 Phase 2 – Chief Officer Review

Actions Initiating Chief Officer Review:	<u>Either:</u> The officer has previously been granted an extension and/or further Development Plan but the Line Manager still has concern that the officer still may not reach the required level of competence and performance to be confirmed in rank as a Sergeant or Inspector. <u>Or;</u> The recommendation was made at Phase One – Senior Officer Review that the officer should not be confirmed in the rank of Sergeant or Inspector.
HR Review	The Head of Workforce Planning will review the relevant documentation from Superintendent and ensure a file is prepared and provided to the Chief Constable.
Attendees At Chief Officer Review Meeting:	• Chief Constable (or Deputy Chief Constable in the absence of Chief Constable) • Senior HR Representative • Officer in their probationary period • Police Federation Friend • Any other person requested by the Chief Constable/Deputy Chief Constable
During Chief Officer Review Meeting:	The purpose of the meeting will be to discuss the officers' progress and areas of concern and what action has been taken so far to address the areas of concern. The meeting will review the recommendation made from Phase One – Senior Officer Review and decide whether the officer will be able to complete their probationary period and whether they are competent to hold the rank of Sergeant or Inspector. All those attending will be allowed to make their representations. This is a final opportunity for the officer to plead their case and appeal against the recommendations of the Superintendent. The Chief Constable (or DCC) will make a decision following the meeting.
Chief Officer Review Meeting Outcomes:	• Extension Agreed • Development Plan - timescale for review should take into consideration the remaining time available in the probationary period and allow a period of at least one month between the completion date for the Development Plan and the end of the probationary period. • Decision not to confirm the officer in the rank of Sergeant or Inspector and therefore they revert to their previous rank.

Following Chief Officer Review Meeting:	A record of the meeting should be provided to the officer and a copy placed in the Portfolio including any Development Plans agreed. The officer must be given the opportunity to indicate whether they agree or disagree with the record of the meeting and any Development Plan arising out of that meeting. If a decision was made not to confirm the officer in the rank of Sergeant or Inspector, the officer should be informed by the Chief Constable and the relevant actions will be taken by Human Resources to arrange any pay reduction. The officer will be removed from NPPF Step Four, informed of the reasons for removal and supported by a development action plan. The officer must wait for 12 months from the date they revert to their substantive rank before they can make a further attempt at Step Three. They must still be within the validity period at Step Two to be eligible to retake Step Three. Officers who do not have a sufficient validity period remaining must be referred to Step One.
Review:	If a decision was made to grant an extension and/or set a further Development Plan, then this should be reviewed at the appropriate date. If there is no further cause for concern and the portfolio is complete, this should be noted in the Portfolio and the Chief Constable should confirm the officer in the rank of Sergeant or Inspector. If the cause for concern remains, the Line Manager should set out the details to the Chief Constable and a further Chief Officer Review Meeting will be arranged, following the procedure above. The officers' probationary period is only complete once the Portfolio is complete, and the officer is confirmed as sustaining a satisfactory performance as a Sergeant or Inspector.

4.11.5 Recording of Meetings

Meetings as part of the formal process can be recorded if required to assist in ensuring a thorough documentation of the discussion, but at request rather than as a matter of course.

The following guidelines should be followed if this is the case:

- Seeking the officers' consent at the commencement of the meeting.
- Advise that a copy of the recording would be made available to the officer after the meeting.
- If the officer does not give consent for the meeting to be recorded, their wishes must be respected.
- Retain a copy of the recording and any written meeting notes on the electronic personal files.

4.12 Misconduct / Complaints or Road Traffic Collision (RTC)

If an officer approaching the end of their probation is subject of an allegation of misconduct, live complaint or RTC, then this should be dealt with under The Police (Conduct) Regulations 2012 and The Police (Complaints and Misconduct) Regulations 2013. The relevant Superintendent, the Head of Workforce Planning, a representative from PSD and a Federation Friend will discuss the case to make a recommendation as to whether they should be confirmed in the rank of Sergeant/Inspector or not. If the officers' Portfolio is complete, they are sustaining satisfactory performance as a Sergeant/Inspector and there are no concerns about confirming them in rank then Section 4.13 below will apply. If the recommendation is that they should not be confirmed in rank until the allegation of misconduct, live complaint/investigation or RTC has been resolved, then an extension will be considered as per Section 4.11 of this procedure.

4.13 Confirmation in the Rank of Sergeant or Inspector

Once an officer has completed their Portfolio and there are no areas of concern, the Portfolio will be verified and signed off by the Training Department. A Confirmation of Rank form will be completed and sent to the Chief Constable. The Chief Constable then confirms completion of the probationary period in writing to the officer. Confirmation of rank should not be given before the end of the one-year probationary period to ensure that the officer has been given full opportunity to demonstrate their competence.

5. DECLARATION & LEGALITIES

In line with all Force policies, the overarching purpose of this document is to directly support the PCC police and crime plan objectives. Overall, the intention of this policy is to make North Wales the safest place in the UK.

In the writing of this policy cognisance has been taken of the college of policing code of ethics (2024).

North Wales Police policies will be written in accordance with the approved corporate format and published on the Force Intranet, allowing access to staff and public, where appropriate, on the pages of the public facing Internet site under the Force publication scheme and Freedom of Information Act 2000.

The following main legal requirements have been identified within this policy:

- Equality Act 2010
- Human Rights Act 1998
- The Welsh Language (Wales) Measure 2011 and the Welsh Language Standards for the Chief Constable
- Data Protection Act 2018
- Freedom of Information Act 2000
- Health and Safety Act 1974

This policy has been written giving due regard to the above legislation and has considered the risk of unfair and/or disproportionate impacts on individuals or groups (actual or perceived) and has done so via an equality impact assessment (EIA).

New legislative requirements or changes in Force structure may necessitate a review of this policy document.

6. APPENDIX

6.1 Bangor University Academic Integrity Procedure



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