Module Name: Understanding the Business Context in HR

'Contributing to improving organisational performance'

Word Count: 3236

Student Name: David Harris

Student Number: 1907534

CIPD Membership Number:55479883

By signing below, I confirm that the work/evidence presented is my own, unaided work. I understand the regulations pertaining to candidate malpractice and the action that may be taken as a result.

Signed:

Date: 18/09/2020

Dyfed-Powys Police has a culture of performance management, which forms a part of all departments and individuals' responsibilities, making clear the need to continuously improve. This is echoed by the CIPD who state that *"Performance Management is about creating a culture which encourages the continuous improvement of individual's skills, behaviours and contributions to the organisation"* (CIPD). This is outlined from the recruitment process and continues throughout an employee's time with the organisation. This is demonstrated by forming of a generic responsibility of all role profiles, as shown below.

> *To comply and act in accordance with relevant legislation, Dyfed-Powys Police Policies and protocols, including Code of Ethics,* ***Development Assessment Profile (DAP),*** *Equal Opportunities, Health & Safety, Management of Police Information, Data Protection and Information Security.* **(EV11)**

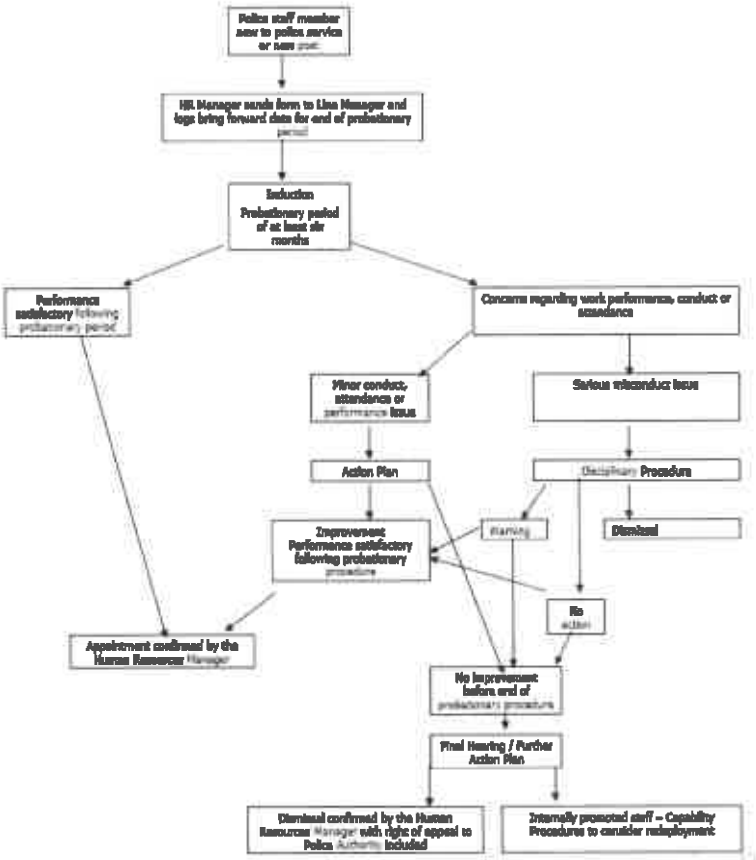
This continues when an individual is onboarded into the organisation, with a requirement for both pre-employment learning to be undertaken as well as an induction to be completed. Human Resources MBA suggest that the on-boarding process is not one which is completed in days or weeks, but follows the development needs of an employee over the first year at least (Human Resources MBA.

The pre-employment learning focuses on what must be undertaken by all employees **(EV18 & EV19)**, including basic health and safety knowledge, information management and a requirement for a basic level of Welsh. There is a requirement for all new employees to have completed each package prior to commencing their role. This is accessed via an on-line learning package called Ncalt **(EV17)**. Williams states that this pre-boarding section of an employee's time with an organisation can be as important as the on-boarding process, giving new employees an understanding of the organisation they will be working for and making them feel instantly engaged (Williams) (Carr et al).

The induction process itself, focuses on the need for organisational awareness for new employees, as well as recording their performance during their probation **(EV3)**. There is a requirement for three formal reviews to be undertaken; at two weeks, at three months and one at six months. These allow the individual's performance to be reviewed and an opportunity to highlight any areas of development. This also allows the employee the opportunity to raise any issues they may have, and to comment on the line manager's assessment to date. These are key to ensure the process is fair and transparent in case it is to be referred to in future. Prioritising an induction process for a new employee is a vital piece of interaction between an employee and their new manager and this should commence before the join the organisation (Personnel Today). This increases the chance of individuals staying with an organisation (Hirsch).

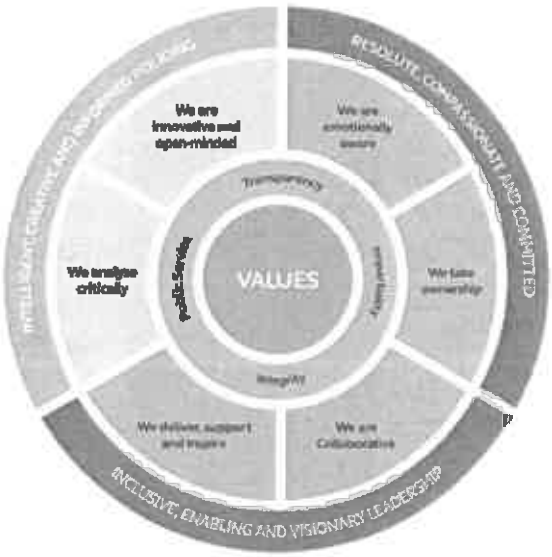
There is also a specific policy in Dyfed-Powys Police focusing on the 'Management of Police Staff probationers' **(EV4)**. This policy outlines the requirements for the above, making clear to all parties what their responsibilities are and the timescales for the process. It also prompts line managers to make contact with HR Specialists to seek advice and support. This is vital should there be a need for an extension to be granted, to ensure that all areas of the policy have been met. The below is a process flow chart taken from the policy which details the responsibilities of the parties involved:

**Probationary Procedures – Police Staff**




Following probation, performance is monitored via an annual Development and Assessment Process (DAP) **(EV5 & EV6)**. This requires line managers and employees to meet at the commencement of the DAP review period to set a number of objectives. These will be made up by a mixture of organisational and individual objectives, however this may differ depending on the individual's role (CIPD). The DAP system is made up of three separate stages: a) objective setting, b) interim review and c) end of year review. Each stage requires the individual to submit evidence to support how they are working towards their objectives and how they are meeting the values which form part of their particular 'Job Family'.

The DAP process is supported by a competency value framework (CVF), detailing the values expected of all Dyfed-Powys Police employees during their employment **(EV7 & EV7(a))**. This is a nationally recognised framework developed by the College of Policing, setting recognised values aimed at supporting individuals in the police service. It is made up of competencies and values, which run throughout the recruitment and DAP process.

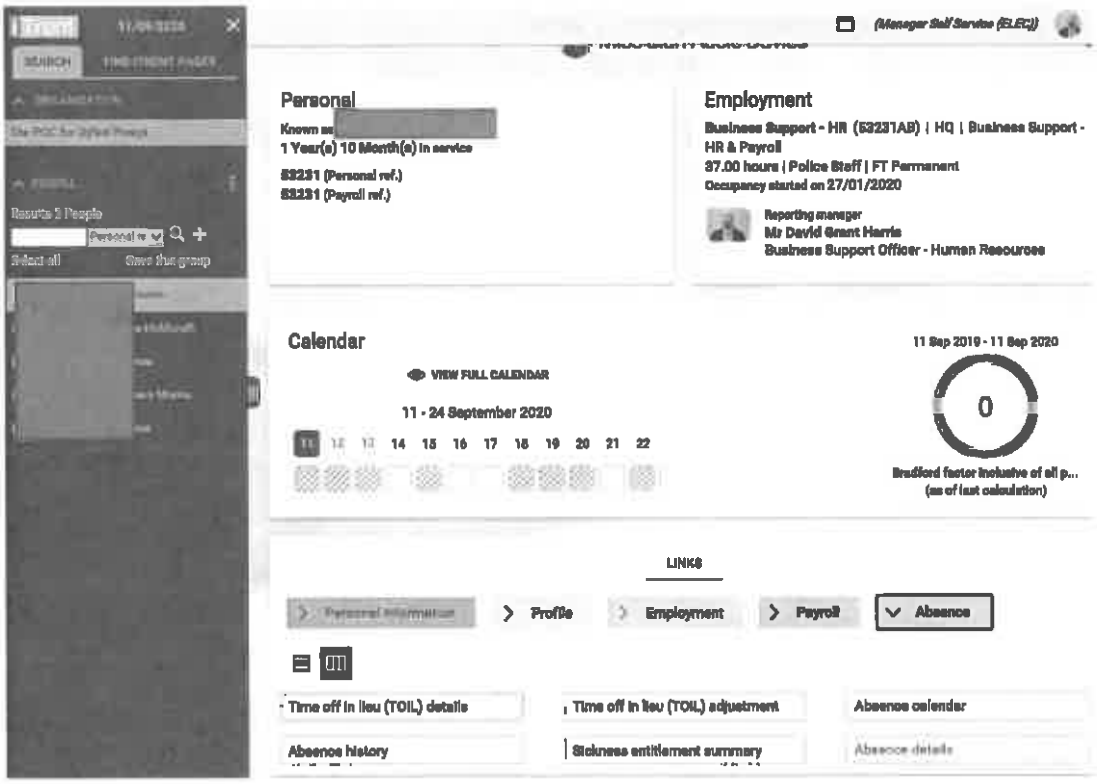



The DAP is managed between the line manager and the individual, which differs to some of the larger companies such as Google (Rodsevich), who involve the use of peer groups to provide performance reviews. This feedback is then combined with the line manager's assessment so as to avoid any possible bias. This is supported by CIPD, who suggest combining line management scoring with another score to avoid potential bias (CIPD).

Whilst the DAP is an annual review, this should not be the only opportunity for line managers to discuss performance with their employees. Dyfed-Powys Police promotes continual discussions with their teams - as supported in the CIPD report 'Could do Better' - which has been promoted through a series of 'Transformational Leadership' **(EV14)** courses; aimed at developing line managers and team leader's 'soft' skills. To support these often difficult discussions, the 'Attendance and Performance Policy' **(EV1)** outlines the expectations of the all parties and how line managers should act when delivering feedback, setting objectives, appraising performance and what evidence is be required if they wish to formally address an employee's performance.

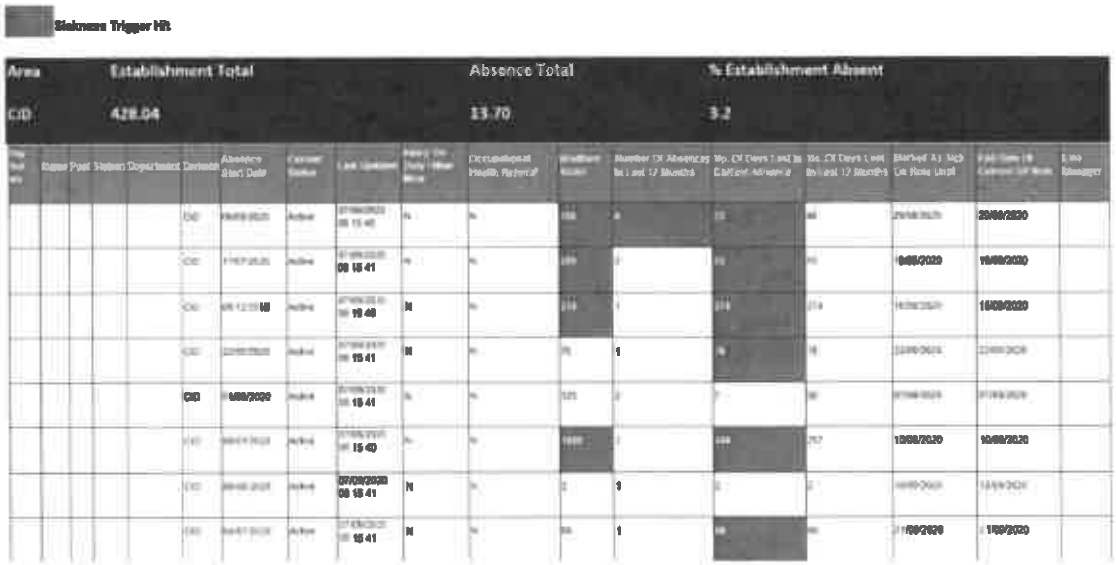
Dyfed-Powys Police ensures that its performance processes are fully transparent and provide protection against discrimination of employees. Section 4 of the Equality Act (section 4) details the protected characteristics that qualify for protection under the Act, including disability, age, race, religion etc. All policies are reviewed by Legal Services to ensure they offer appropriate support to individuals. This is supported by the public sector equality duty which places a proactive duty on public sector organisations to look to eliminate discrimination, harassment and victimisation. The aim of this is to ensure that employees feel safe and secure in the organisations ability to deal with matters in a fair and consistent manner (CIPD).

To assist line managers in making performance management decisions, they are able to access certain data regarding their staff, including sickness data. This is accessible via a 'Self-Service' portal included in the Trent HR system. A screen shot of this is below:




The Attendance and Performance team also distribute weekly attendance statistics for each business area. These highlights any individual who has reached one of the Force triggers, which prompts management action to be taken to address the absence **(EV13)**.

**LIVE ABSENCE REPORT**
**Monday 07 Sep 2020**

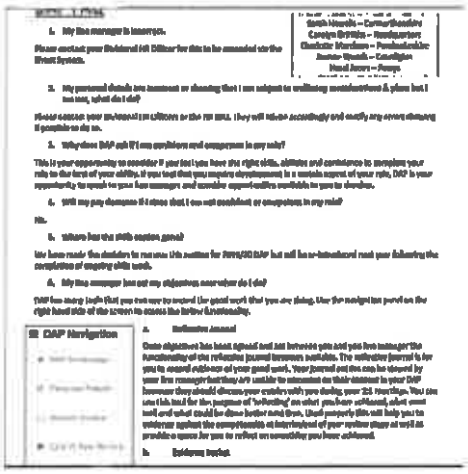



Additionally, individuals are measured on their performance by their line managers based on their particular role. This is beneficial as long as this is useful in showing a holistic overview of someone's performance and not just one area or metric (Hearn). One of my team's responsibilities is to process recruitment for internal and external vacancies. To ensure that my team are meeting the

organisational requirements, the duration of each vacancy is recorded and measured. This then forms part of discussions with the team in group and individual meetings. Police Officers workload is far more quantifiable and measureable and is done via a system called Qlikview, allowing supervisors access to the number of cases and crimes that each individual is 'carrying'. This performance information is also reviewed in monthly Performance and Tasking meetings. These meetings focus on performance by undertaking 'deep dive' style reviews into certain geographical areas, certain crime types or any other areas where performance has been identified as an issue (Hearn).

In Dyfed-Powys Police there has been a recognition that there needs to be additional training provided to line managers to be able to effectively deal with the performance appraisal process and to deal with conflict and difficult conversations. To do this, there has been a programme of providing week training courses for all line managers called 'Transformational Leadership' **(EV14)**. This focuses on a number of areas including emotional intelligence, coaching, giving performance feedback and effective communication. This demonstrates the organisation's belief in the importance of these areas, which supports recent views on the need for an increased need for such skills (Nowakowska).

In Dyfed-Powys Police line managers often seek advice on the DAP process **(EV5)** and performance management in general, whether this is part of the annual appraisal process or due to identified under performance of their staff. In my particular role, my interaction with line managers is limited in these areas due to the nature of my role and my team's responsibilities. Within the HR structure in Dyfed-Powys Police, there are specific HR Specialists dealing with Attendance and Performance and Employee Relations, dealing with day to day management of performance related matters.




To assist line managers there are frequently asked questions document, accessible via the DAP system **(EV6)**. This covers how to complete a reflective journal or how to add evidence against a particular objective. Whilst this is a useful resource, these documents can be difficult to access and the system would benefit from a fuller user guide. This lack of access and guidance has potential to lead to a lack of engagement in the process and a lack of understanding on how to complete the DAP itself.

The organisational Learning Cell – set up since the COVID pandemic – provides a seven minute briefing document aimed at line managers and supervisors. This document contains advice and guidance which is aimed at supporting line manager in their role, including an article from Xpert HR on managing poor performance (Xpert HR) **(EV15)**.

My team are responsible for the maintenance of the organisational structure, including line management alignment. I regularly deal with queries which can directly impact line manager's ability to conduct performance reviews via the DAP system. This involves correcting line manager alignment which allows access to their staff's DAP. This is vitally important as there can be delays in the DAP process if the reporting lines for individuals are not accurate. Below are extract from e-mails received from line managers requesting these changes to be made:

*"Bore da,*

*How do I add someone to 'my team' on DAP please? ******* started in her new role last week and I need to record 1-1 meetings.*

*I don't think the Trent structure / reporting lines are correct."*

*"I've requested a while ago through TRENT asking to amend my line manager from ******* to ********.*

*I'm looking to complete my DAP and ***** needs access to it for sign off.*

*Can you help or forward to someone who can get it done please?*

*Thanks"*

As my role is limited it terms of direct involvement in providing guidance on the DAP process, I am not able to evidence this easily. My own personal experience of this process has been mixed in terms of its effectiveness and appropriateness. The system can be rigid for both line managers and the team members to complete and requires individuals to evidence against a number of core values against each of their objectives. This can lead to individuals becoming disengaged, as this can be lengthy and complex. The DAP is also currently not used regularly to assist Police Staff members in recruitment processes and therefore lacks buy-in. Whilst there are clear benefits to linking objectives with organisational values, ensuring these are vertically integrated, the current process does this in a complex and time consuming way. In my experience this leads to substandard objectives being set, which are difficult to evidence to support all of the values. This element of the process lends itself more readily to Police Officers, with their ability to be able to provide supporting evidence which more readily.

The last year of DAP reviews within Dyfed-Powys Police, received a 93% completion rate. This is seen as a positive endorsement of the engagement of individual in this process, however I question whether this was only achieved due to a considerable last minute effort to complete the reviews, rather than an overall engagement in the process.

Within Dyfed-Powys Police there have been changes to the performance management process changing from the Professional Development Review (PDR) to the DAP process. These processes have received mixed reviews from employees, particularly when Police Staff and Police Officers are compared. It is generally more accepted that the DAP process and PDR process before it, is conducted more thoroughly and more regularly by Police Officers. Part of the reason here is the requirement for Police Officers pay to be linked to their performance under the ARC process **(EV20)**. In April 2015, police regulations required police forces to undertake appraisals of performance to progress through their pay scales. The College of Policing provided guidance to police forces suggesting that this falls in line with your current appraisal process, to avoid duplication of meetings. A 'satisfactory' grading or higher would be required for an individual to progress to the next pay scale (College of Policing). This process currently does not exist for Police Staff which could explain the difference in engagement in the process. Additionally, Police Officer recruitment has involved use of the DAP more regularly, whereas this is yet to be included in Police Staff recruitment process. This adds further weight to the argument that Police Officers see more benefit in the process than their Police Staff colleagues.

Regular feedback has been provided regarding the requirement for those individuals not seeking progression, or those at the end of their career, as to whether they need to complete a full DAP each

year. This centers on the necessity for multiple objectives to be set each year by the individual, which link into both departmental objectives and organisational performance. The feedback has been that this can lead to objectives which are not fully considered and lack enough detail to be able to accurately confirm if they are met. The DAP process suggests that all objectives fit with the SMART (Specific, Measurable, Achievable, Realistic and Timely) pneumonic, whereas this is not always noted to be the most effective way of identifying objectives for all roles, as is noted by the CIPD, who recommend a more outcome based approach to targets for more complex tasks, or ideally using objectives which focus on learning or developing in role (CIPD).

Notwithstanding some of the views of the DAP process, Dyfed-Powys Police has aimed to create an environment that promotes high performance working. This includes the provision of a range of employee focused policies, including part-time and flexible/agile/remote working policies, as well as the annual appraisal process. These are supported by a formal structure for performance management, ensuring under performance is managed in line with HR business partners and HR Specialists. There are also a number of avenues available to employees which promote employee engagement and involvement/participation. This is demonstrated in initiatives such as 'Ask the Chief' **(EV16)**; a method of posing questions to the Chief Officer team on a host of topics, the Chief Officer Roadshow; where Chief Officer team members visit police stations and provide updates and Q and A sessions with staff, as well as weekly updates from the Chief Officer team via the Film Friday and Bulletin updates. These all offer communication on Force priorities and promote a means of employees having input on topics which may impact their work (Hearn). This is also demonstrated in the 'Llwyio' scheme **(EV12)**; a high performance talent management course, aimed at individuals who are keen to progress within the organisation. This scheme allows individuals time to undertake organisational projects aimed at enhancing their individual performance, as well as the force performance. Lastly, the force also runs a Professional Reference Group, delivered on a departmental and force wide basis. This group is made up police staff and police offers and provides the opportunity for matters to be raised which are hampering their performance. This also provides the ability for senior managers to gain feedback on suggested projects and initiatives that the force wishes to implement. This allows employees to be involved in the decision making process at an early stage, which increases engagement.

To support the above and ensure that this is embedded into everyday practice, the Chief Constable has written a Calon Leadership and Wellbeing Strategy **(EV10)**. This strategy outlines the 6 key themes; namely:

- Great Leadership
- Recognising and Addressing Needs
- Operating with fairness, values and trust
- Workplace and stakeholder communication
- Thorough engagement
- Health and happiness

This strategy has been developed due to previous results from staff surveys **(EV9)**, where leadership was mentioned as an area of concern. It reinforces the competency value framework (CVF) process, which is used as a method of assessment for recruitment and DAP processes. This ensures vertical integration through the organisation from the Chief Officer team to all employees.

There are also a number of robust processes and practices in place to ensure that any matters of possible inappropriate behaviour are handled in a transparent way. This includes the provision of a Professional Standards Department, a 'Safe Call' line; allowing the anonymous reporting of matters, as well as the Code of Ethics committee **(EV8)**. This committee is tasked with reviewing ethical dilemmas posed by employees. These provide assurance to employees that Dyfed-Powys Police will address any wrong doing and ensure that all processes are dealt with fairly.

Overall, there are some very positive aspects to the performance management process in Dyfed-Powys Police, however there are some areas which need some addressing. The on-boarding process, including the provision of pre-employment e-learning is a clear benefit to new employees and the organisation, ensuring that there is early engagement prior to their first day. There are also a range of clearly defined policies in place supporting the performance management process, including the 'management of police staff probationers', as well as an 'attendance and performance policy' and access to HR Specialists to support line managers when this is required. Dyfed-Powys Police also offers a range of engagement opportunities for employees to become involved in organisational decision making and to be kept informed of senior management decisions. Lastly, there are opportunities for individuals who are keen to progress in the organisation, with the 'Llwyio' scheme allowing developmental opportunities.

Where there is a need for further development is the DAP process. Whilst this is embedded for police officers, there is still a lack of engagement from police staff amongst the organisations, with it being seen as overly bureaucratic and lacking any clear purpose for police staff. This reduces the overall engagement in the process and leads to objectives being set which do not lead to improved performance and a 'tick box' mentality being taken towards it.

In order to improve the performance management process, I would suggest the following recommendations:

1. I would recommend that Dyfed-Powys Police senior management consider how the DAP process could be used for police staff, ensuring that its completion was a requirement for police staff looking to develop in the organisation.
2. I would recommend that the DAP process is reviewed to ensure that there is flexibility in terms of how much individual have to complete, dependent on their desire to progress. The potential of a 'DAP light' should be considered.
3. I would recommend the organisation looking to include 360 degree feedback as part of the DAP process to ensure that the grading provided at the end of the year is not solely based on line manager views, but on peer review as well to be a more holistic review.

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**David Harris – 1907534**

**5AIOP – Contributing to Improving Organisational Performance**

| | |
|---|---|
| EV1 - | Attendance and Performance Policy |
| EV2 - | Drugs, Alcohol and Substance Misuse Policy |
| EV3 - | Induction Checklist and Probationary Form |
| EV4 - | Management of Police Staff Probationers Policy |
| EV5 - | Development and Assessment – Home Page |
| EV6 - | Development and Assessment FAQ |
| EV7 - | Competency Value Framework document |
| EV7 (a) - | Competency Value Framework document (2) |
| EV8 - | Code of Ethics Leaflet |
| EV9 - | Staff survey results and outcomes |
| EV10 - | Calon Leadership Strategy |
| EV11 - | Business Support Officer role profile |
| EV12 - | Llwyio Application |
| EV13 - | Weekly sickness/attendance report |
| EV14 - | Transformational Leadership Learning Plan |
| EV15 - | Xpert HR – Managing Poor Performance |
| EV16 - | Ask the Chief – Screenshot |
| EV17 - | NCalt Screenshot |
| EV18 - | Email to new starters with pre-employment learning |
| EV19 - | Email to line managers with probationary form |
| EV20 - | College of Policing – Assessment and Recognition of Competence |

# CIPD Candidate evidence matrix

| Candidate name: David Harris | | | | CIPD Membership/registration No.: | | | |
|---|---|---|---|---|---|---|---|
| Qualification title: Higher Diploma in Applied HR | | | | Unique Learner No. (ULN):1907534 | | | |
| **Unit code** | **Unit title** | **Assessment criteria no.** | **Evidence description** | **Evidence Document** | **Evidence reference number** | **Assessor initials** | **I/V initials if sampled** |
| 5AIOP | Contributing to Improving Organisational Performance | 1.1 | Dyfed-Powys Police Attendance and Performance Policy | EV1 | EV1 x | | |
| 5AIOP | Contributing to Improving Organisational Performance | 1.1 | Dyfed-Powys Police Drugs, alcohol and substance misuse Policy | EV2 | EV2 x | | |
| 5AIOP | Contributing to Improving Organisational Performance | 1.1 | Induction Checklist and Probationary Form | EV3 | EV3 x | | |
| 5AIOP | Contributing to Improving Organisational Performance | 1.1 | Management of Police Staff Probationers Procedure | EV4 | EV4 x | | |
| 5AIOP | Contributing to Improving Organisational Performance | 3.1 | Development and Assessment Profile – Home Page Screen Shot | EV5 | EV5 x | | |
| 5AIOP | Contributing to Improving Organisational Performance | 3.1 | Development and Assessment Profile - FAQ | EV6 | EV6 x | | |
| 5AIOP | Contributing to Improving Organisational Performance | 1.2 | Competency Value Framework Document | EV7 | EV7 x | | |

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| 5AIOP | Contributing to Improving Organisational Performance | 1.2 | Competency Value Framework Document (2) | EV7(a) | EV7 (a) x | | |
| 5AIOP | Contributing to Improving Organisational Performance | 3.2 | Code of Ethics Leaflet | EV8 | EV8 x | | |
| 5AIOP | Contributing to Improving Organisational Performance | 3.2 | Staff Survey Results and Outcomes | EV9 | EV9 x | | |
| 5AIOP | Contributing to Improving Organisational Performance | 3.2 | Calon Leadership Strategy | EV10 | EV10 x | | |
| 5AIOP | Contributing to Improving Organisational Performance | 1.1 & 1.2 | Business Support Officer role profile | EV11 | EV11 x | | |
| 5AIOP | Contributing to Improving Organisational Performance | 3.2 | Llywio Application | EV12 | EV12 x | | |
| 5AIOP | Contributing to Improving Organisational Performance | 1.3 | Weekly sickness/attendance report | EV13 | EV13 x | | |
| 5AIOP | Contributing to Improving Organisational Performance | 2.2 | Transformational Leadership Learning Plan | EV14 | EV14 x | | |
| 5AIOP | Contributing to Improving Organisational Performance | 2.1 | Xpert HR – Managing Poor Performance | EV15 | EV15 x | | |
| 5AIOP | Contributing to Improving Organisational Performance | 3.2 | Ask the Chief - Screenshot | EV16 | EV16 x | | |

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| 5AIOP | Contributing to Improving Organisational Performance | 1.1 | Screenshot of Ncalt System | Ncalt | EV17 | | |
| 5AIOP | Contributing to Improving Organisational Performance | 2.1 | Email to new starter with pre-employment learning | | EV18 | | |
| 5AIOP | Contributing to Improving Organisational Performance | 2.1 | Email to line manager with probationary forms | | EV19 | | |
| 5AIOP | Contributing to Improving Organisational Performance | 3.1 | College of Policing – Assessment and Recognition of Competence (ARC) | | EV20 | | |

**Candidate declaration:**

- I confirm that the work/evidence presented for assessment is my own unaided work.
- I have read the assessment regulations and understand that if I am found to have 'copied' from published work without acknowledgement, or from other candidate's work, this may be regarded as plagiarism which is an offence against the assessment regulations and leads to failure in the relevant unit and formal disciplinary action.
- I agree to this work being subjected to scrutiny by textual analysis software if required.
- I understand that my work may be used for future academic/quality assurance purposes in accordance with the provisions of the Data Protection Act 1998.
- I understand that the work/evidence submitted for assessment may not be returned to me and that I have retained a copy for my records.
- I understand that until such time as the assessment grade has been ratified through internal and external quality assurance processes it is not final.

| | | | |
|---|---|---|---|
| **Signature:** | | **Date:** | **16/09/2020** |

## Notes on candidate evidence matrices

Candidates should be encouraged to develop a matrix indicating how their evidence relates to each unit/module and learning outcomes/assessment criteria. This helps advisors and assessors to support candidates to draw links between units and encourage cross-referencing and the possible multi-use of evidence.

Evidence matrices can be developed using the unit/module and learning outcomes/assessment criteria, giving candidates an opportunity to link their evidence to each outcome.

Another approach is to have a more generic form where candidates list evidence and tick relevant boxes to show coverage.

Whatever approach is employed candidates should be encouraged to complete these forms themselves and not expect assessors to do this for them.

Ev (1)

# Attendance & Performance Management Policy

Version 1.1 – May 2015

## VERSION CONTROL

| Version | Date | Author | Reason for Change |
|---|---|---|---|
| 1.0 | Sept 2014 | Steve Cadenne De Lannoy | This is a new policy combining the previously separate policies of Attendance Management' and 'Performance Management' for both police officers and police staff. Therefore there are no previous versions. |
| 1.1 | May 2015 | Steve Cadenne De Lannoy | Addition to paragraph 6.6, 'Disability Related Leave'<br>Amendment to paragraph 10.1, 'Business Interests/Secondary Employment'<br>Amendment to paragraph 10.3, 'Approval to Take a Holiday When Absent Due to Sickness'<br>Addition of paragraph 10.5 'Carry Over of annual leave'<br>Amendment to paragraph 16, 'Appeals' |
| | | | |

## EQUALITY IMPACT ASSESSMENT

Section 4 of the Equality Act 2010 sets out the **protected characteristics** that qualify for protection under the Act as follows: Age; Disability; Gender Reassignment; Marriage and Civil Partnership; Pregnancy and Maternity; Race; Religion or Belief; Sex; Sexual Orientation.

The **public sector equality duty** places a proactive legal requirement on public bodies to have regard, in the exercise of their functions, to the need to:

- eliminate discrimination, harassment, victimisation, and any other conduct that is unlawful under the Act;
- advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it;
- foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

The equality duty applies to all protected characteristics with the exception of Marriage and Civil Partnership, to which only the duty to have regard to the need to eliminate discrimination applies.

Carrying out an **equality impact assessment** involves systematically assessing the likely or actual effects of policies on people in respect of all the protected characteristics set out above.

An equality impact assessment should be carried out on any policy that is **relevant** to the public sector equality duty.

An equality impact assessment has been completed, click here.

## HUMAN RIGHTS ACT

CERTIFICATE OF COMPLIANCE

This policy has been drafted in accordance with the Human Rights Act and has been reviewed on the basis of its content and the supporting evidence and it is deemed compliant with that Act and the principles underpinning it.

Name: P Mainwaring, Solicitor

Department: Legal and Compliance Directorate

Signed: P Mainwaring

# Freedom of Information Act 2000

**Section 19 of the Freedom of Information Act 2000 places a requirement upon the Force to publish all policies on the Force website. Policies are why we do things and procedures are how we do them. A case-by-case review of procedures must be undertaken to protect law enforcement and health and safety considerations. Where a combined policy and procedure document is being produced the Force is legally required to publish the policy section and assess the procedure part to ensure no sensitive information is published.**

**There is a requirement therefore to review this document to establish its suitability for publication. Please identify below whether the document is suitable for publication in its entirety or not. Where it is believed that disclosure will be harmful please articulate the harm that publication would cause and highlight the relevant sections within the document. Where it is perceived that there is harm in disclosure the document should be forwarded to the FOI Unit for review.**

**Suitability for publication**

| Suitability for publication | Yes/No | Date | Signature |
|---|---|---|---|
| Document is suitable for publication in its entirety. | **Yes** | **20th May 2015** | |
| Document is suitable for publication in part, I have identified those sections which I believe are not suitable for disclosure and have articulated below the harm which would be caused by publication. | | | |
| Harm – in publication<br><br>None. | | | |

**FOI review – to be completed by FOI Unit**

| Suitability for publication | Yes/No | Date | FOI Decision Maker |
|---|---|---|---|
| Document is suitable for publication in its entirety | | | |
| Document is suitable for disclosure in part and relevant redactions have been applied. A public facing version has been created. | | | |
| Once review has been undertaken FOI decision maker to return document to policy author and following sign–off document to be published within Force Publication Scheme. Any future changes to the document should be brought to the attention of the FOI Unit, as appropriate. | | | |

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## Section 1 - Matters of Policy Applicable to both Attendance & Performance Management

### 1.0 Applicability – Scope of Policy

1.1 This policy replaces all previous Sickness Absence/Attendance and Performance Management/Capability policies and applies to Police Officers (up to and including the rank of Chief Superintendent), Police Staff and Special Constables (the latter performance only).

1.2 Line managers are responsible for the management of attendance and performance of their staff and should use their professional judgement in applying the prescriptive requirement of this policy. Any deviations from the policy must be justified.

1.3 This policy does not form part of police staff terms and conditions of employment and may be subject to change at the discretion of Chief Officers.

**Note:** Attendance and Performance issues in respect of student police officers and police staff within their probationary period are covered by separate policies. This policy will not address unsatisfactory performance as a result of a failure to exercise due skill or care through negligence or lack of effort which will be considered as misconduct.

### 2.0 Policy Aims

2.1 All officers and staff have a vital role to play in ensuring the highest standard of service delivery is provided to the community. The Force is therefore committed to creating an environment where everyone has the opportunity to achieve their full potential, regardless of their position in the organisation.

2.2 It is also recognised that in order to foster this environment it is essential that all staff fully understand both the requirements of their role and standards of attendance and performance expected of them. Instances will however arise where the attendance and/or performance of staff does not meet the required standard.

2.3 The aim of this policy and procedure is, therefore, to assist managers and staff to quickly identify what assistance is required to improve the situation. It is intended as a mechanism to enable all staff to achieve the standards of attendance and performance expected of them in a fair and consistent manner.

### 3.0 Terminology

3.1 For the purposes of this document the terms **'member of staff'**, **'staff member'** and **'staff'** shall be used to refer to Police Officers, Police Staff and Special Constables.

3.2 The term **'Workplace companion'** is used to describe a police officer or a police staff member employed by Dyfed Powys Police or a trade union representative who may accompany, advise and represent the staff member during all formal stages of the procedure. This includes staff association representatives where appropriate.

3.3 The term **'Appropriate Authority'** is used to describe the Chief Officer with responsibility for People Services.

3.4 The term **'SMS'** refers to the Sickness Management System, the Force online sickness recording system.

### 4.0 Principles

The overriding principles of this policy and procedure are as follows:

4.1 Attendance and Performance Management is intended to be a positive and supportive process, with the aim of achieving improvement and consistent standards.

4.2 Attendance and Performance Management are an integral part of a line manager's responsibility; staff should know what standards are required of them and be given appropriate support to attain those standards within a reasonable timeframe.

4.3 Any issue related to attendance or performance will be addressed quickly in a fair, consistent and sensitive manner by the line manager.

4.4 Line managers will apply their professional judgement when implementing this policy and must justify any deviations they make from the policy.

4.5 The procedure is not a substitute for good management practices and as such, the formal stages will only be invoked when initial attempts to improve the situation have been unsuccessful following discussions between the line manager and staff member.

4.6 During every stage of the procedure expectations will be clearly explained to the staff member and that failure to achieve the required standards will result in the next stage being invoked.

4.7 During all formal stages of the procedure a staff member will have the right to be accompanied by a 'workplace companion'.

4.8 The sequential approach set out in this procedure will be taken to address concerns relating to attendance and/or performance. However, there may be exceptional circumstances where the matter needs to be considered immediately under Stage One, Two or Three of the formal procedure, without having first completed the earlier stages. This is explained further in paragraph 11.

4.9 Although the policy and procedure will apply to trade union representatives, the formal stages of the procedure will not be invoked until the circumstances of the case have been discussed with the Regional Organiser of UNISON.

4.10 Challenging unsatisfactory attendance or performance in a reasonable, appropriate manner does not constitute bullying.

## 5.0 Roles and Responsibilities

5.1 Line managers have the overall responsibility for the effective management of attendance and performance in their service area.

5.2 For specialist advice on the management of attendance and performance, line managers should contact the HR Specialist Attendance and Performance Management at an early stage.

5.3 Staff have a personal responsibility to attend work and perform to the best of their ability. If a staff member recognises they are unable to perform to the standards required they should inform their line manager and seek support.

## 6.0 Taking Account of Health Conditions / Fitness for Work

6.1 When dealing with both attendance and performance concerns, it is important to explore at an early stage whether the staff member has any health conditions which may be the underlying cause of, or contribute to the concern(s). If this is the case the health condition may be relevant to future decisions. This is particularly the case where the health condition may meet the definition of a disability and consequently be protected by the disability provisions of the Equality Act 2010 (formerly the Disability Discrimination Act).

Under the Act, 'long-term' is defined as a period which has lasted, or expected to last, 12 months or more. Illnesses which are progressive, such as multiple sclerosis and cancer, afford protection against discrimination to the sufferer as from the onset of symptoms which affect normal day-to-day activities.

### 6.2 Reasonable Adjustments

Employers are required under the disability discrimination provisions of the Equality Act 2010 to consider making adjustments whenever any aspect of their premises or working practices puts a disabled employee (or job applicant) at a substantial disadvantage compared to a non-disabled employee. In these circumstances the employer is obliged to consider taking whatever steps are reasonably necessary to prevent the working arrangements from having that detrimental effect on the disabled person, or to reduce the effect. Adjustments are likely to be long term or permanent and may include:

1. Premises/workplace;
2. Improving /facilitating communication;
3. Working hours or place of work;
4. Provision of training;
5. General Support; and
6. Changes to the role/duties

Line managers must follow the REASONABLE ADJUSTMENTS GUIDANCE and complete a reasonable adjustment plan within SMS. The plan must involve direct input and suggestions from the staff member who will be aware of their own needs in the workplace. The scope for adjustment is broad and advice should be sought from the HR Specialist Attendance and Performance Management and/or the Occupational Health Unit. The plan should be reviewed after 12 months or if any changes occur to the role, staff members

health or work environment.

### 6.3 Occupational Health Referrals

An Occupational Health Referral should be made if a health condition is thought to be the cause of or contributing to attendance or performance concerns and advice is required on how a health condition should be managed. An Occupational Health Referral should be made for all absences of more than 28 days.

Referrals for medical assessment will be made by the line manager via the SMS, who **MUST** inform the staff member that they are referring them, the reason for doing so and provide them a copy of the referral.

The Force reserves the right to arrange a medical examination of a staff member at any time where there is concern about their mental or physical health or sickness record, irrespective of whether they are absent from work or not.

Under the Access to Medical Reports Act, 1988 the consent of staff is required for the Force to apply to a doctor, who has responsibility for their care, for a statement giving information about their current health situation. The Occupational Health Unit will seek written consent from the staff member before making any such requests for information (by completion of 'Employee Consent Form Requesting GP Medical Records' Form). If a staff member refuses to give their consent they will be advised that any subsequent decision taken will be based on the facts available.

### 6.4 Failure to attend an Occupational Health (OH) appointment

Occupational Health appointments are **mandatory** and will be considered a 'lawful order' or reasonable instruction. Failure to attend without adequate notice and a reasonable explanation will be dealt with by the line manager as a potential conduct issue.

### 6.5 Disability Related Absence

Sickness absence which is disability related must be recorded but may be discounted from monitoring of absences, except where all reasonable adjustments have been made but the staff member continues to be unable to maintain a regular pattern of attendance.

Enhanced triggers for monitoring attendance (described further in paragraph 8.10) may be introduced in consultation with the HR Specialist - Attendance & Performance Management. Where appropriate, further guidance and direction will be sought from the Health Management and Attendance Board (HMAB).

### 6.6 Disability-Related Leave

Disability-related leave enables a staff member to adjust to changes caused by the development of a new disability, or to manage an existing disability. This type of leave covers time off for therapy, hospital appointments, rehabilitation, assessment, treatment or training, but **not** sickness.

Disability-related leave is generally for a fixed period of time, whether a one-off or regular appointment. It is usually known about in advance and arrangements should be made via Line Managers to take this type of leave. This should be done in consultation with the HR Specialist Attendance & Performance Management, People Services Department.

If disability leave is approved during a period of sickness absence the sickness absence will be ended and restarted at the end of the disability leave period if the staff member is not fit to return to work. If the sickness absence continues after disability leave it will be regarded for occupational sick pay purposes as a separate period of absence.

### 6.7 Confidentiality

Line Managers and HR Staff must keep details of health/medical conditions confidential and comply with Data Protection guidance in managing personal records. Confidentiality will be maintained by Occupational Health Unit staff in compliance with the Access to Medical Reports Act, 1988.

## Section 2 - Management of Performance

### 7.0 Management of Performance

#### 7.1 Feedback

Giving feedback to employees is an important part of a line manager's role. An absence of feedback creates uncertainty among employees about the organisation's expectations of them and the standard of their performance, which is likely to result in poor engagement between employees and the organisation.

Where an employee receives feedback this is likely to increase the level of engagement because the employee feels more involved and connected to organisational goals, and helps to demonstrate that the organisation values their efforts.

When employees are performing to an acceptable standard, feedback helps to reinforce and embed best practice and ensure that the actions that individuals are taking are aligned to the business's goals. Feedback creates an environment of learning and development and helps to develop existing strengths. It also helps to prevent employees from becoming demotivated, which can happen when they are not challenged or engaged with the organisation, and ensures that they continue to strive to improve their performance.

Giving feedback to employees helps to ensure that performance issues and behaviour are addressed and eliminated. Giving employees informal feedback on a day-to-day basis is more important than giving them formal feedback on an infrequent basis. Tackling performance and behavioural issues early is likely to prevent them from escalating and becoming more difficult to address. This can help to avoid having to instigate the formal performance management process.

Feedback also helps employees to prioritise their tasks. It can help them to focus on the aspects of their role that are important to organisational success and stop them wasting time and effort on unnecessary tasks.

#### 7.2 Performance Assessment and Review

The Force recognises that it is essential that all staff members fully understand the requirements of their role, the performance standards expected of them and how their role impacts upon the overall achievement of the Force's Strategic Aims. This should be communicated informally through normal supervisory practices and formally through the Performance Development Review (PDR).

The PDR should be the principal method by which performance is monitored and assessed. It is the responsibility of the line manager to set objectives for their staff and it is the responsibility of all staff, with appropriate support from management, to ensure they both understand and meet those objectives. Objectives set by the line manager should be specific, measurable, achievable, relevant and time-related (SMART).

#### 7.3 Sources of Information

Unsatisfactory performance will often be identified by the immediate line manager as part of their normal management responsibilities.

It is also possible that line managers may be alerted to unsatisfactory performance as a result of information from a member of the public in the form of a formal complaint. Such cases must be dealt with in accordance with the established procedures for the handling of complaints i.e. as governed by Professional Standards. Appropriate use of the Local Resolution procedure offers an opportunity to deal speedily with a complainant's concerns and to address any performance issues.

7.4 Any action taken as a result of identifying unsatisfactory performance should be put on record; this should normally be included on the PDR record. The nature of the performance issue should be recorded together with the advice given and steps taken to address the problems identified. Placing matters on record is important to ensure continuity. It is also important to put on record when improvement has been made.

Line managers are also advised to provide a copy of the record to the staff member and request acknowledgement that they accept the accuracy of the content. This enables the line manager to also confirm and record that the details are accepted by the staff member or if there is a disagreement over the accuracy of the content for it to be resolved at the time.

7.5 **Standards of Performance**

In order to determine whether there is a performance issue, the line manager will need to consider the following questions:

- What are the indications that the employee is not managing to meet performance standards?
- Have there been complaints or expressions of concern from colleagues or others?
- Are there factual grounds to indicate inadequate performance, lack of achievement?
- Has the staff member expressed concerns about their performance?
- Are there health issues that may impact on performance?

7.6 **Initial Response to Evidence of Poor Performance**

The line manager should investigate the possible cause or causes of unsatisfactory performance. This should be done at a meeting with the staff member, which will have the additional aim of identifying and agreeing actions to achieve improvement.

**Because the meeting is investigatory, there is no right for the employee to be accompanied at this informal stage of the process.** Discretion will be used to permit assistance if justified in line with existing reasonable adjustments.

At the meeting, the line manager will:

- Clearly state the nature of the problem and explain why it is a problem, for example the consequences for the business when the employee makes mistakes or misses deadlines. Be positive but make sure that the employee understands that their failure to perform to the standards required has consequences for themselves and others. Provide encouragement as to the way forward.
- Give specific examples of instances where their performance has fallen below the required standard or where tasks have not been completed on time or satisfactorily;
- Avoid generalisations, for example "you're always late";
- Ask open questions;
- Listen actively to what the employee has to say and take it on board;
- Ensure that the tone used is friendly and not accusatory;
- Focus the discussion on future improvement rather than on past inadequacies;
- Always check for understanding, for example by asking the employee to state or summarise their understanding of what has been discussed.

7.7 If it becomes clear that the reason for an employee's poor job performance is lack of knowledge or skill, the manager should take positive steps to assess the employee's specific training needs, and to meet these by providing formal training, coaching or simple supervisory guidance. This will be particularly important where:

- The employee has recently joined the organisation;
- The employee has been transferred to a different job or promoted;
- The employee's job has changed;
- New technology has been introduced; or
- Work methods have changed or new work methods have been introduced.

**It is important to bear in mind that individual staff members needs vary. While one staff member may cope well and adapt quickly to new job duties or new methods of work, another may require more extensive training and coaching before they can perform to a satisfactory standard.**

## Section 3 - Management of Attendance

### 8.0 Management of Attendance

### 8.1 Notification of Absence

When unable to attend work due to illness staff must inform their line manager personally, as soon as reasonably practical, on the first day of absence and ideally a minimum of two hours before their expected start time. Reporting sick by text message or to a colleague is not acceptable. If their line manager is not available an alternative supervisor should be contacted directly.

8.2 The line manager notified of the absence must record details on the sickness management system (SMS) immediately.

8.3 Where a staff member becomes unwell during their working day and feels unable to continue their duties they will personally notify their line manager of the need to leave their place of work (reporting sick by text message or to a colleague is not acceptable).

**Failure to inform the line manager of absence will lead to the absence being considered unauthorised, resulting in loss of pay and potentially lead to disciplinary action.**

8.4 Staff must provide the line manager with details of:

- The reason for the absence.
- When they anticipate returning to work. If it is longer than 7 days this absence will need to be medically certified by the GP.
- If it is due to an injury in work or any other injury.
- Any outstanding work which is urgent and requires completion or re-arranging.

**Note:** Some medical conditions and related absences are of a sensitive nature, and staff are not always comfortable discussing their reasons for absence with their line manager. If this is the case line managers are advised to contact the HR Specialist Performance and Attendance for advice on recording the absence within 5 days. Staff may wish to disclose details of the absence confidentially to Occupational Health.

8.5 For all absences over 7 calendar days a 'statement of fitness at work (fit note)' must be provided to the line manager. Staff are responsible for ensuring 'fit notes' are provided to cover **all** of the absence from the 8th day onwards. **Any days not covered by a 'fit note' will be considered to be unauthorised unpaid leave and finance will be notified accordingly if a valid fit note is not provided within 14 calendar days.**

Line managers should forward 'fit notes' to the Business Support Unit – HR & Payroll Team having updated the sickness management system.

### 8.6 Work Related Ill Health or Injury

If the absence is due to an injury sustained in the course of duty the line manager should complete an online accident report form (A324) within 48 hours of the injury occurring. If the sickness absence is work related, or stress- related the line manager must complete a referral to the Occupational Health Unit within 24 hours of notification.

### 8.7 Pregnancy Related Absence

During the statutory 'protected period' – (from the beginning of pregnancy until the end of statutory maternity leave), sickness absence may be recorded as pregnancy related if the absence relates specifically to the pregnancy, for example a cold would not be classified as pregnancy related.

Any sickness absence associated with IVF will not be classified as pregnancy related, other than when the woman is in the protected stages of IVF, i.e. from when the egg is taken and an embryo implanted and ending two weeks after the end of the pregnancy (if implantation is unsuccessful) or at the end of maternity leave.

In order that the organisation is sympathetic and supportive of individuals suffering from a miscarriage and to ensure a consistent approach a period of 28 days after the miscarriage will be deemed to be 'pregnancy related'. However, for any absence lasting beyond 28 days will be dealt with by appropriate management intervention.

8.8 **Contact During Absences**

Line Managers must maintain regular contact during an absence, in the first instance on day 1, day 3 and day 7. Thereafter weekly contact should take place as a minimum. A home visit must be undertaken by the Line Manager by the 21st day of absence at the latest. (see Management Guidance Notes for advice on home visit process)

Each contact must be recorded by the line manager on the sickness management system.

There may be occasions where a staff member does not wish to have contact with the Force directly. If this is deemed to be reasonable, accounting for the circumstances of the case, an appropriate person to act as a liaison with the Force during the absence, e.g. relative or work colleague must be agreed upon. The person nominated in this circumstance will then manage the absence of this member of staff, including completion of all necessary documentation and will keep the line manger up to date.

8.9 **Resumption**

Staff should inform their line manager as soon as they are fit to resume duty. Line Managers must resume staff member on SMS as soon as they are informed. The resumption date recorded on the sickness management system should be the first day the staff member is fit; this does not have to be on a working day.

If a staff member feels fit to return to work prior to the expiry of a 'statement of fitness at work (fit note)' they may do so for minor illnesses. However following major illness/surgery or injury a further fit note confirming fitness to return will be required or agreement received from Occupational health.

8.10 **Monitoring Triggers for a Review of Absence**

The monitoring of absences will facilitate the early identification of problems or trends. A review of absence will be triggered by one, or a combination, of the following:

- Bradford Score of 200+;
- 3 or more instances of absence in 12 months;
- 4 weeks' consecutive absence.

When any of the above trigger points are reached, the line manager must consider the creation of a 'supportive plan'. If the line manager decides a supportive plan is not required the rationale for this decision must be recorded and saved within on the sickness management system.

**Note:** when monitoring absences, pregnancy related illness and injuries on duty must be discounted. Advice should be taken from the HR Specialist – Attendance and Performance Management on discounting any other absence. In the case of recognised disability, the trigger points detailed above may be increased between 50% to 100% (e.g. trigger of 3 or more absences in 12 months could be increased to a maximum of 6 or more absences, if appropriate).

8.11 **Return to Work Interviews**

Following every period of absence a return to work interview must be carried out by the line manager on the day of return to work. The return to work interview is a significant part of effective absence management. In order to successfully complete the return to work process it is essential the line manager is aware of the following:

- Absence history
- If any triggers points have been hit
- If a supportive plan or reasonable adjustment plan is already in place
- If the staff member has a condition recognised under the Disability provisions of the Equality Act 2010. (see Management Guidance Notes)

8.12 During the return to work interview the line manager should cover:

- Is the employee fit enough to be in work and fully recovered from illness and / or injury, and able to undertake the full range of duties;
- If the staff member is disabled, any reasonable adjustments to facilitate attendance;
- The reason for absence and any possibility of re-occurrence;

- To remind all employees of the need for good attendance in order to maintain service provision and of the financial effect that sickness has on the Force;
- To consider factors such as stress, hazards, bullying / harassment, employee shortages, job design and size, etc; and
- Discuss the need for a supportive plan if absence triggers have been met.

### 8.13 Failure to return to work if found fit by Occupational Health

If an individual is found fit to return to work by the Force Medical Adviser (FMA) but fails to do so, the line manager should instruct the individual to return, unless a new illness or injury prevents them from doing so. Individuals assessed as fit to return to work by the FMA or independent medical practitioner, who fail to return will have the right to sick pay withdrawn.

For Police Officers only, if there are conflicting medical opinions this may be resolved by referral to an independent medical practitioner.

## 9.0 Recuperative, Restricted & Moderated Duties

### 9.1 Recuperative Duties

Recuperative duties are short term (**not normally more than 28 days**), structured amendments to duties or working conditions which fall short of full duties/deployment following an injury, accident, illness or medical incident. Recuperative duties are designed to help staff adapt to and prepare for a return to full duties and/or contractual hours.

A return to work on recuperative duties will not be necessary in most cases; it is not a right or entitlement and must not be used as a way of avoiding a loss of pay if unfit for work. **Staff must be fit to return to work for a minimum of 50% of their contracted hours for recuperative duties to be considered.**

If having implemented a recuperative duties plan the staff member cannot return to full duties within the initial 28 days the case must be referred to Health Management and Attendance Board (HMAB). With the agreement of HMAB, recuperative duties can be extended up to a maximum of **3 months.** This decision will be taken with occupational health advice and the involvement of line management. If recuperative duties are extended they will be reviewed by HMAB monthly.

When recuperative duties are agreed they will be evidenced in a Supportive Plan as described in paragraph 11. If the requirements of the supportive plan are not achieved within the agreed timescale consideration should be given to referring the case for formal action.

### 9.2 Restricted Duties

Restricted duties can be introduced to accommodate longer term (more than 3 months) restrictions to duties or working conditions necessary to enable a staff member to return to work. The aim remains facilitating a return to full duties and/or contractual hours and restricted duties shouldn't therefore be agreed for a time period of more than 6 months. If having implemented restricted duties the staff member cannot return to full duties within the initial 6 months the case must be referred to Health Management and Attendance Board (HMAB). With the agreement of HMAB restricted duties can be extended up to **12 months.** This decision will be taken with occupational health advice and the involvement of line management. If restricted duties are extended they will be reviewed by HMAB monthly. Where restricted duties are agreed they will be evidenced in a Supportive Plan as described in paragraph 11.

### 9.3 Adjusted Duties (Police Officers only)

Adjusted duties are duties in respect of which reasonable adjustments have been made to accommodate an officer's disability.

Whether Adjusted Duty is agreed in any individual case will depend on whether the individual is able to discharge a meaningful, albeit limited, police role; and whether such deployment can be accommodated without unreasonable damage to overall Force resilience. Once agreed, and subject to continued satisfactory performance in the role, Adjusted Duty arrangements could be long term, but will be subject to annual review.

For police officers who have restrictions that are permanent in nature, as confirmed by a Selected Medical Practitioner (e.g. exclusion from confrontational duties or response driving), every effort will be made to adjust an operational role to accommodate the restrictions. If the officer leaves the role the adjustments will be removed.

## 10.0 Impact of Absence, Recuperative & Restricted Duties on Employment Matters

### 10.1 Business Interests/Secondary Employment

Staff on recuperative or restricted duties **must not** take up or carry out any secondary employment/business interests without written authorisation from People Services.

If absent due to sickness for a continuous period of 28 days or more, approval of secondary employment or outside business interest may be temporarily revoked.

### 10.2 Additional Hours

Staff on recuperative or restricted duties must not work hours in addition to those agreed in the supportive plan.

### 10.3 Approval to Take a Holiday When Absent Due to Sickness

If a staff member is absent due to sickness and wishes to take a holiday or stay away from their normal place of residence whether pre-booked or otherwise they **must first seek approval from their line manager.** The staff member should not assume their travel on holiday will be approved; authorisation is required even if the leave had previously been authorised. When considering a request the line manager will assess whether the holiday is likely to have a detrimental impact on recovery, taking account of medical evidence. The following evidence/information will be sought:-

- Authorisation on a fit note from the individuals GP;
- Advice from Occupational Health on whether this will impact on their recovery

**If leave is approved staff must inform their holiday insurance company (if they have taken out insurance) of the fact they are travelling on holiday whilst on sick leave from work.** Staff not seeking permission to take their holiday whilst on sick leave will be subject of misconduct proceedings.

Such periods will continue to be recorded as sickness absence. Staff may choose to request to take such periods as annual leave and if they do so it will be deducted from the member of staff's annual leave entitlement [this may be the preferred option in circumstances where staff wish to retain full pay]. Staff taking annual leave in these circumstances will have their period of sickness absence ended for the annual leave to be taken and restarted at the end of the leave period if not fit to return to work.

### 10.4 Annual Leave & Sickness Absence

Staff will continue to accrue annual leave entitlement whilst off sick.

If absent from work due to sickness or injury before the start of a period of scheduled annual leave, a staff member may cancel the annual leave on submission of a request to the line manager. Force may agree to the postponement of the annual leave to another mutually agreed time in that leave year on submission of a request to the line manager.

If while on annual leave a staff member becomes ill or suffers an injury that results in them being unfit to attend work, they may on submission of a 'statement of fitness' to the line manager request the period of annual leave, covered by the statement of fitness be returned. Only the period of leave covered by the statement of fitness will be returned. If away from home on holiday evidence of illness or injury must be sought at the time and not on return from holiday. This is because doctors should not provide back dated statements of fitness. A medical certificate issued abroad should be in English or accompanied by a translation otherwise they will not be accepted.

Any leave returned must be taken within the current leave year where practicable. For example if a staff member has accrued 20 days of annual leave and is fit to return to work on the first of February (leave year ending 31st March), as long as the force can accommodate the leave being taken before the end of March, carry-over of this annual leave will not be approved.

### 10.5 Carry Over of Annual Leave

Staff will **only be entitled to carry over statutory entitlement to annual leave** (20 days) where sickness absence overlaps leave years.

In addition where a member of staff's sickness absence overlaps leave years, accrual of annual leave will be limited to current leave year plus the previous leave year only (2 years). On return to work staff will be given a reasonable period of time to use the outstanding leave accrued.

10.6 **Sickness Absence on Public Holiday**

Sickness Absence on a Public Holiday does not give the entitlement for a reallocated public holiday.

10.7 **Visits to Doctors or Dentists**

Routine Visits are not to be taken during work time. If an appointment can only be arranged in work time approved time off/leave must be taken. Disruption should be minimised by time off/leave being taken at the beginning or end of the working day/shift.

10.8 **Fertility Treatment**

Periods of absence resulting from fertility treatment will be recorded in SMS but will be discounted from monitoring of absences. Up to five days paid leave per cycle will be provided which can be taken as single days or in multiple days, dependent on individual circumstances in consultation with the Occupational Health Unit.

10.9 **Cosmetic Surgery/Surgery or Treatment Not Required for Medical Reasons**

Periods of absence resulting from cosmetic surgery/surgery or treatment not required for medical reasons will not be recorded as sickness absence. Time off required for such procedures and subsequent recovery must be taken as leave. Where necessary the decision on whether time off will be recorded as sickness absence or taken as leave will be made by the Health Management and Attendance Board (HMAB) on a case by case basis. When considering such cases HMAB will take into account whether the treatment in question is provided by the NHS.

10.10 **Recruitment, Selection and Promotion Processes**

Sickness absence records will be taken into account when assessing eligibility for promotion or appointment to specialist posts. The last three years of sickness absence will be requested, including any supportive plans that are still in place. Where sickness absence relates to a health condition which meets the definition of a disability and is consequently protected by the disability provisions of the Equality Act 2010 the necessary adjustments will be made.

Staff will be de-selected from recruitment, selection and promotion processes if absence levels are unsatisfactory.

10.11 **Sickness Absence when suspended from Duty**

Whilst suspended from duty staff must inform their line manager personally, as soon as reasonably practicable, on the first day of sickness absence (text messaging is not acceptable when reporting). Staff should not report sick to colleagues, if their line manager is not available an alternative supervisor should be contacted directly.

In addition Staff must supply fit notes (if applicable) as they would if they were not suspended. A member of staff suspended from duty will be entitled to full pay and SSP does not apply.

10.12 **Competency Related Threshold Payments (CRTP) [Police Officers only]**

The ongoing payment of CRTP is dependent on an officer demonstrating continued high levels of performance and commitment to the role. Generally the mechanism for assessing this on an ongoing basis is through the PDR.

Should an officers attendance/performance be cause for concern, the line manager should be engaged in dialogue with them about required improvements and an appropriate supportive plan should be agreed.

Poor attendance, highlighted by trigger points, would be a reason to consider removal of CRTP.

Where CRTP is removed from an officer, they will be able to re-apply following identified improvements.

**Note**: CRTP only applies to current officers and is being phased out, ceasing on 1st April 2016.

10.13 **Sick Pay and Injury on Duty**

Entitlements to Sick Pay are defined for Police Officers in Police Regulations 2003 (Regulation 28) and for Police Staff in Police Staff Pay & Conditions of Service. However there is discretion to extend pay in exceptional cases. Cases will be reviewed by a 'Sick Pay Panel' and each case will be considered on its merits. However favourable discretion will normally be afforded where the member of staff's incapacity is **directly** attributable to an injury or illness that was sustained or contracted in the execution of duty.

Police Officers: for the purpose of Regulation 28, an injury received in the execution of duty will be deemed to be where the injury is:

- Directly and solely the result of an officer having been physically assaulted whilst on duty or in circumstances where the officer would have not been assaulted had he/she not been known to be a police officer; or
- The injury was received other than as above but in the course of duties performed in such circumstances that it would be inequitable to consider it anything other than an injury received in the execution of duty.

**Note:** in relation to 'duties' these must be unique to the office of constable. In cases of negligence/officer's default the injury will not be deemed to be one received in the execution of duty. Additionally everyday hazards that most 'workers' could be subject to will be excluded, for example, slips, trips and falls within the working environment or falling off a chair.

Further details regarding sick pay payments can be found in the Contract of Employment and the Police Staff Handbook.

10.14 **Payments & Sickness Absence**

If a member of staff is in receipt of a First Aid allowance and is absent from work for a period of one month they will cease to receive it.

If a staff member is in receipt of the following payments and is absent from work for a period of three months or more they will cease to receive it:

- On Call / Standby Payment
- Essential User lump sum

## Section 4 - Process to Follow When Dealing With Unsatisfactory Attendance & Underperformance [Police Officers and Police Staff]

**11.0 Supportive Plan– Informal Stage**

The process follows the Police (Performance) Regulations 2012 (Police Officers) and Capability (Performance) Procedures for Police Staff.

**Note: Gross Incompetence** [Police Officer and Police Staff]

There may be exceptional circumstances where following investigation the appropriate authority considers the performance of a staff member to be so unsatisfactory as to warrant the formal procedures being initiated at the **third formal stage**. This could be as a result of a single incident of "gross incompetence". It is not envisaged that an appropriate authority would initiate the procedures at the third stage in respect of a series of acts over a period of time.

In the case of Police Officers *"Gross incompetence"* is defined in the Police (Performance) Regulations, 2012, Regulation 4 as: *"...a serious inability or failure of a police officer to perform the duties of the role or rank he is currently undertaking to a satisfactory standard or level, to the extent that dismissal would be justified, except that no account shall be taken of the attendance of a police officer when considering whether he has been grossly incompetent."*

If exceptional circumstances do not apply the process will commence at the informal stage.

11.1 **Attendance and Performance Management are an integral part of a line manager's responsibility.** Staff should know what standards are required of them and be given appropriate support to attain those standards.

Line Managers are expected to deal with unsatisfactory attendance and performance issues at the earliest opportunity and ensure they have a full understanding of the situation.

11.2 Where having monitored attendance or performance (as described in sections 2 & 3) there is concern that acceptable standards are not being achieved, this should initially be dealt with by means of a Supportive Plan, with agreed timescales for improvement. (see form in Management Guidance Notes)

11.3 In the first instance the line manager must meet with the staff member highlighting the evidence of unsatisfactory attendance or underperformance and having considered the case on its own merits decide whether action is necessary. Where action is necessary the line manager should record on the Supportive Plan the nature of the attendance or performance issue, the advice given and steps taken to address the problems identified. Placing matters on record is important to ensure continuity.

**Staff have no right to be accompanied at this stage.**

11.4 The agreed time scales for improvement must be set by the line manager. Usually the maximum time period is 3 months for both **underperformance and attendance issues**, with regular reviews during this period to support improvement.

The period of time in which an improvement is expected may be extended if, due to some unforeseen circumstances, the member of staff is unable to demonstrate whether or not the required improvement has been achieved.

11.5 It must be indicated to the member of staff that if there is no, or insufficient improvement, then the matter will be dealt with under Formal Procedures.

11.6 Ideally, as a result of informal management action, performance and attendance 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 consider referring the case for Formal Action.

**Note:** Consideration should be given to Equality issues to ensure necessary support and adjustments are provided at this stage e.g. provision of additional training/equipment.

11.7 The line manager may having investigated the matter decide that no further action is necessary. If the decision is made that no further action is necessary this must be evidenced by completion of a 'no further action' record on the sickness management system, which will be reviewed by the HR Specialist Attendance and Performance Management.

## 12.0 Formal Stage Procedures

### 12.1 Right to be Accompanied and Attendance

During the formal stage of the process i.e. at either the First, Second or Third formal meetings or any subsequent appeal hearings staff have the right to be accompanied by a workplace companion.

### 12.2 Role of a Workplace Companion

Staff have the right to consult with, and be represented by a workplace companion at all stages of the formal procedure.

Any workplace companion should, subject to having informed their line manager, be allowed to attend to such duties during normal working hours.

The workplace companion may:-

- Advise and confer with the staff member throughout the procedure.
- Attend any formal meetings or interviews with the staff member, which form part of the procedure.
- During any formal meeting request to adjourn to advise or confer with the staff member.
- Address any formal meeting to both state and sum up the staff case.
- Provide any relevant documentation to the first or second line manager/ panel as appropriate, who shall give full consideration to such documents.
- Respond on the staff member's behalf at any views expressed at formal meetings.
- During formal meetings ask questions of any witness.
- Make representations to the appropriate authority concerning any aspect of the procedure.

The workplace companion can participate in the proceedings as fully as possible, but at any interview or formal stage they are not permitted to answer questions on the staff member's behalf. Staff must speak for themselves when asked questions.

The workplace companion cannot be appointed to act as such if there is a conflict of interest (has had some involvement with the matter or is a witness to the alleged performance issues).

### 12.3 Right to Postpone Formal Stage Meetings

Every effort will be made to ensure that such meetings are set at a mutually convenient date, location and time. In the event that the individual concerned or their workplace companion is unable to attend at the suggested time such meetings can be postponed for up to a maximum of 5 working days. However non attendance of either the individual concerned or their workplace companion at the revised date will not necessarily invalidate proceedings and such formal meetings may proceed if considered appropriate. In such instances an outcome may be decided based on the facts available.

A decision may also be made in their absence if a member of staff is persistently unwilling to attend such meetings.

## 13.0 First Formal Meeting [Police Officers and Police Staff]

If attendance/performance has not improved to an acceptable standard (as described in the Supportive Plan) the line manager will consult with the HR Specialist Attendance and Performance Management as to whether to progress to the formal stage of the process. In deciding whether to take Formal Action, each case must be treated on its own merits taking account of all the pertinent facts available at the time. The first formal meeting will be held by the line manager and HR will attend to support the process.

Progression to the first formal stage **must** be for matters connected with the unsatisfactory attendance/performance referred to in the current Supportive Plan.

13.1 In cases where it is decided formal action is necessary a first formal meeting will be held. Prior to a first formal meeting taking place the line manager will formally write to the staff member, advising them of the decision to take the matter forward to a First Formal Meeting, and require them to attend (providing a minimum of 10 working days notice). The letter must include:

- A summary of the reasons why attendance or performance is believed to be unsatisfactory including copies of documentation to be relied upon by the line manager.
- Details of possible outcomes of a 1st formal, 2nd formal and 3rd formal meeting.
- Advise the staff member that they may be accompanied at the meeting by a 'workplace companion' (see 12.1 – 12.3 for details)
- Request notification of any special arrangements required to allow attendance at the meeting i.e. reasonable adjustment.
- Confirmation that the HR Specialist Attendance and Performance Management will attend to support the process.
- Refer them to the Attendance & Performance Policy and Procedure which can be found in the People Services Intranet site.

13.2 Every effort will be made to ensure the meeting is at a mutually convenient date, location and time. (see 12.3 for details)

13.3 At the meeting the line manager will:

- Discuss with the staff member the standards of attendance/performance required.
- Provide objective evidence to support the belief that the staff member is failing to meet the required standards.
- Review the staff member's attendance or performance to date, together with any previous support provided.
- Provide the staff member with the opportunity to make verbal representations in response.
- Listen to what the staff member has to say, and ask questions and comment as appropriate.
- Explain that there are potentially three stages to the procedure and that the maximum outcome of a stage one meeting is a written improvement notice (WIN), the maximum outcome of a stage two meeting is a final written improvement notice and at a third stage meeting options are dismissal, extended improvement notice (in exceptional circumstances) or in police officer performance cases only reduction in rank.
- Confirm whether or not the standards described in the current supportive plan have been achieved.

13.4 The Force reserves the right to tape record or take notes of the proceedings at such formal meetings and written notes of the meeting will be prepared and circulated to the staff member concerned and their representative. The member of staff may submit written comments on the notes of the meeting no later than 5 working days after the date they received it. Any written comments provided will be retained along with the notes of the meeting.

13.5 If it is decided the standards described in the current supportive plan have been achieved, no further action should be taken and this decision will be confirmed in writing.

13.6 If it is decided the acceptable standards, as described in the supportive plan, have not been achieved the line manager will:

- Issue a written improvement notice (WIN) within 5 working days of the meeting, which will specify the improvement required and the timescale within which the improvement will be achieved (not normally exceeding 3 months). It will also confirm the 'validity period'; a period of 12 months over which time the required standards must be maintained. The WIN must be signed and dated by the person responsible for issuing the notice.
- Update the Supportive Plan (SP) (including the adjustments, support or SMARTER Objectives detailed in the plan) to reflect the result of the first formal meeting. This will include the standards required and time scales in which the objectives will be achieved as detailed in the WIN. The amended plan will be updated and sent to the staff member in conjunction with the WIN.
- Advise the staff member of what action may be taken if they do not meet and maintain the required standards.
- Determine what reasonable training, support and guidance can be provided.

- Ensure the staff member is given regular feedback on progress.
- Ensure the staff member is informed if or when their attendance or performance reaches a satisfactory standard.

13.7 There may be occasion to re-convene the First Formal meeting where it is not reasonable to make a decision based on the facts available, if for example medical treatment cannot be provided as planned. However the specified period for improvement should not normally exceed 3 months from the date the actual re-convened formal meeting is concluded.

13.8 If having issued the Written Improvement Notice (WIN) it can be demonstrated the staff member has now achieved the required level of improvement, and this has been maintained for the validity period of the WIN a decision that no further action will be taken should be confirmed to them in writing.

13.9 If it is demonstrated the staff member has **NOT** achieved the required level of improvement against the requirements of the WIN the first line manager will, following consultation with the HR Specialist Attendance and Performance Management, inform the second line manager of the potential to progress to the next stage of the process and hold a **second formal meeting.**

13.10 If the required standards are achieved but not maintained for the specified 12 month validity period of the WIN, the first line manager will consult with the second line manager and HR Specialist Attendance and Performance Management as to whether to progress to the next stage of the process and hold a second formal meeting.

13.11 **Right of Appeal (First Formal Meeting)**

The staff member has a right of appeal against the outcome imposed at the First Formal Stage. The Appeal Process to be followed is as described in Section 16 – Appeal Process.

## 14.0 Second Formal Meeting [Police Officers and Police Staff]

If the required standards are not achieved or maintained as set out in the WIN the second line manager will consult with the HR Specialist – Attendance and Performance Management as to whether to progress to a second formal meeting. In deciding whether to progress to the second formal stage, each case must be treated on its own merits taking account of all the pertinent facts available at the time i.e. line management must be satisfied there is enough evidence to progress to the next stage of the process.

Progression to the second stage **must** be for matters connected with the unsatisfactory attendance/performance referred to in the Written Improvement Notice (WIN).

14.1 In cases where it is decided the standards set out in the WIN have not been achieved or maintained a second formal meeting will be held. Prior to a meeting taking place the second line manager will formally write to the staff member, advising them of the decision to take the matter forward to a Second Formal Meeting, and require them to attend (providing a minimum of 10 working days notice). The meeting may be held with less than 10 working days notice at the request of the staff member.

The letter must include:

- A summary of the reasons why attendance/ performance is believed to be unsatisfactory including copies of documentation to be relied upon by the line manager.
- Advise the staff member that they may be accompanied at the meeting by a 'workplace companion'.
- Details of possible outcomes of a 2nd formal and 3rd formal meeting including **the fact that their employment with Dyfed-Powys Police may be at risk**.
- Request notification of any special arrangements required to allow attendance at the meeting i.e. reasonable adjustment.
- Confirmation that the first line manager may attend the meeting.
- Confirmation that the HR Specialist Attendance and Performance Management will attend to support the process.

14.2 Every effort will be made to ensure the meeting is at a mutually convenient date, location and time. However non attendance of either the individual concerned or their representative will not necessarily invalidate proceedings and the formal meeting may proceed if considered appropriate.(see 12.3)

14.3 At the meeting the second line manager will:

- Discuss with the staff member the standards of attendance or performance required (as set out in the WIN).
- Provide objective evidence to support the belief that the staff member is failing to meet the required standards.
- Review the staff member's attendance/performance to date, together with any previous management action taken.
- Provide the staff member with the opportunity to make verbal representations in response.
- Listen to what the staff member has to say, and ask questions and comment as appropriate.
- Explain that the maximum outcome of a second stage meeting is a final written improvement notice (Final written warning) and at a third stage meeting options are dismissal, extended improvement notice (in exceptional circumstances) or in performance cases only a reduction in rank/grade.
- Confirm whether or not the standards described in the current WIN have been achieved.

14.4 Written notes of the meeting will be circulated to the staff member concerned and their representative. The member of staff may submit written comments on the notes of the meeting no later than 5 working days after the date they received it. Any written comments provided will be retained along with the notes of the meeting.

14.5 If it is demonstrated the staff member has now achieved the required level of improvement as described in the WIN, and this has been maintained for the validity period of the WIN a decision that no further action will be taken should be confirmed to them in writing.

14.6 If it is decided the acceptable standards, as described in the written improvement notice (WIN), have not been achieved the second line manager will:

- Update the Supportive Plan (SP) (including the adjustments, support or SMARTER Objectives detailed in the plan) to reflect the result of the first formal meeting. This will include the standards required and time scales in which the objectives will be achieved as detailed in the WIN. The amended plan will be developed and sent to the staff member within 5 working days of the meeting.
- Issue a Final written improvement notice (FWIN) within 5 working days of the meeting. This will specify the improvement required and the timescale within which the improvement will be achieved (not normally exceeding 3 months). The FWIN must be signed and dated by the person responsible for issuing the notice.
- Advise the staff member of what action may be taken if they do not meet and maintain the required standards.
- Determine what reasonable training, support and guidance can be provided.
- Ensure the staff member is given regular feedback on progress.
- Ensure the staff member is informed if or when their performance/attendance reaches a satisfactory standard.

14.7 There may be occasion to re-convene the Second Formal meeting where it is not reasonable to make a decision based on the facts available, if for example medical treatment cannot be provided as planned. However the specified period for improvement should not normally exceed 3 months.

14.8 If having issued a FWIN it is demonstrated the staff member has now achieved the required level of improvement, and this has been maintained for the validity period of the WIN a decision that no further action will be taken should be confirmed to them in writing.

14.9 If it is demonstrated the staff member has **NOT** achieved the required level of improvement against the requirements of the FWIN the second line manager will consult with the HR Specialist Attendance and Performance Management as to whether to progress to the next stage of the process and hold a third formal meeting.

14.10 If the required standards are achieved but not maintained for the specified 12 month validity period of the FWIN, the second line manager will consult with the HR Specialist Attendance and Performance Management as to whether to progress to the next stage of the process and hold a third formal meeting. The second line manager will inform the staff member of the decision to take the matter forward to a Third Formal Meeting.

14.11 **Right of Appeal [Second Formal Meeting]**

The staff member has a right of appeal against the finding and the outcome imposed at the Second Formal Stage. The appeal process to be followed is described in paragraph 16 – Appeal Process.

## 15.0 Third Formal Meeting [Police Officers and Police Staff]

15.1 The second line manager will inform the Appropriate Authority of the decision to take the matter forward to a Third Formal Meeting requesting a panel be appointed to hear the case.

15.2 **Long Term Ill-Health Third Formal Meeting [Police Staff]**

Where it is evident that the member of staff has a long term ill-health issue where it is not possible to improve attendance by any means and the criteria for ill-health retirement are not met, the Health Management and Attendance Board may consider the formal procedures being initiated at the third formal stage.

No such third formal meeting should go ahead without a member of Health Management and Attendance Board having fully discussed and documented all of the options available with the member of staff and / or their representative. This action will need to be reasonable in all the circumstances, i.e. No other course of action is available:

- There is no reasonable prospect of the health of the individual improving;
- There is no reasonable adjustment which can be made to improve attendance, including any flexible work options

15.3 In cases where it is decided the standards as set out in the Final WIN are not achieved or maintained a third formal meeting will be held. The second line manager will inform the staff member of the decision to take the matter forward to a Third Formal Meeting.

15.4 **Panel Membership**

The panel will be appointed by the appropriate authority and will comprise a panel chair and two other members. At least one of the three panel members must be a police officer. Membership will be as follows:

**1st panel member (chair):** A Chief Officer of ACPO rank

**2nd & 3rd panel member:** Police Officer/Police Staff of at least the rank of superintendent or police staff equivalent

A HR advisor and/or Legal advisor will attend the hearing to advise the panel.

15.5 None of the panel members should be junior to the staff member concerned i.e. they must be of at least the same rank or equivalent (in the opinion of the appropriate authority).

15.6 No panel member should be an interested party e.g. someone who is related to the member of staff or has had prior involvement in the case.

15.7 **Role of the Chair of the Panel**

As well as managing the proceedings the Chair will at the hearing outline the case to the panel.

15.8 As soon as the third stage panel are appointed, the Appropriate Authority must send the staff member written confirmation of the decision to take the matter forward to a Third Formal Meeting and require them to attend **(providing a minimum of 15 working days notice and a maximum of 30 working days notice of the meeting)**. The letter must include:

- Confirmation that at the third formal meeting the case will be heard by a panel.
- Details of the panel.
- A summary of the reasons why attendance or performance is believed to be unsatisfactory including copies of all documentation to be relied upon as provided by the Second Line Manager.
- Requirement to provide a minimum of 10 working days prior to the meeting, written notice of whether they accept the attendance /performance has been unsatisfactory and a copy of any documents to be relied upon in the meeting.

- The possible outcomes of a 3rd formal meeting, specifically:
  - no case to answer
  - dismissal;
  - reduction in rank (Police Officers – Performance cases only)
  - extension of a final improvement notice (in exceptional circumstances)
- Advise the staff member that they may be accompanied at the meeting by a 'workplace companion'. In the case of a Police Officer they also have the right to be legally represented at a Third stage meeting [Police (Performance Regulations) 2012].
- Request notification of any special arrangements required to allow attendance at the meeting i.e. reasonable adjustment.
- Confirmation that the first line manager and / or second line manager may attend the meeting as a witness.
- Confirmation that the HR Specialist Attendance and Performance Management may attend as a witness.
- Confirmation that a note taker will be in attendance throughout the proceedings and /or the meeting will be recorded.
- Advise the staff member that they may propose witnesses to attend in support of their case.
- Confirmation of the right to object to a panel member.

15.9 **Objection to Panel Members**

The member of staff has the right to object to any panel members and any such objection must be made in writing to the appropriate authority no later than 3 working days after receipt of the notification of the names of the panel members. The staff member must include objective reasoning for their objection in the submission.

15.10 As soon as a panel has been appointed the appropriate authority will arrange for copies of all relevant documentation to be sent to those members. In particular, any documents:

- available to the line manager in relation to any first stage meeting;
- available to the second line manager in relation to any second stage meeting;
- prepared or submitted in advance of those meetings;
- prepared or submitted following those meetings i.e. written improvement notices, supportive plans and meeting notes

15.11 **Special Constables and Third Stage Meetings**

In cases where the police officer is a special constable, as indicated above, the force will appoint a member of the special constabulary to attend the meeting to advise the panel. This is for the purpose of fairness so that any significant differences between the role of a regular and special police constable and which may have a bearing on the police officer's performance or attendance or performance can be taken into account.

The special constable advising the panel must have sufficient seniority and experience of the special constabulary to be able to advise the panel. The special constable advising the panel can be a police officer serving in a different force.

The special constable advisor will not form part of the panel and will not have a role in determining whether or not the police officer's performance or attendance is unsatisfactory.

15.12 **Third Stage Meeting Dates and Timeframes**

Any third stage meeting should take place giving **a minimum of 15 working days notice and take place no later than 30 working days** from the date of notification. Wherever possible, the meeting date and time should be agreed between the panel chair and the staff member however, where agreement cannot be reached the panel chair may specify a time and date without agreement.

If the member of staff, their workplace companion or legal representative (Police Officers only) is not available on the date or time specified they may propose an alternative date and time within a period of 5 working days of the date of the original meeting beginning with the first working day after that proposed by the panel chair, the meeting must be postponed to that time.

As soon as a date for the meeting is fixed, the panel chair should send to the staff member a notice in writing of the date, time and place of the third stage meeting.

In arranging a third stage meeting involving special constables, due consideration should be given to the fact that special constables are unpaid volunteers and may therefore have full time employment or other personal commitments.

15.13 A **minimum of 10 working days** prior to the date of the Third Formal Meeting, the staff member must provide to the Chair of the Panel with a written notice of whether they accept that their attendance /performance has been unsatisfactory.

Where the staff member does not accept that their attendance/performance has been unsatisfactory or where they dispute part of the matters referred to in the notice received they must also confirm:

- the matters they dispute and their account of the relevant events; and
- any arguments on points of law they wish to be considered by the panel.

15.14 **Witnesses and Evidence**

The staff member may propose witnesses to attend the third stage meeting in support of their case. Details of all proposed witnesses together with evidence of their probative value must be submitted to the Chair of the Panel a minimum of 10 working days prior to the date of the Third Formal Meeting.

The panel chair will consider the list of proposed witnesses and will determine which, if any, witnesses should attend the third stage meeting. No witnesses will give evidence at a third stage meeting unless the panel chair reasonably believes that it is necessary for the witness to do so, in which case they will:

- in the case of a police officer, cause him or her to be ordered to attend the third stage meeting;
- In the case of a member of staff, cause him or her to be given notice that his or her attendance at the third stage meeting is required; or
- In the case of a member of the public, cause him or her to be given notice that his or her attendance at the third stage meeting is necessary.

Such notices will include the date, time and place of the meeting.

The panel chair can determine that persons not named in the list should attend as witnesses.

15.15 The documents or other material to be relied upon at the meeting are required to be submitted a **minimum of 10 working days** prior to the date of the Third Formal Meeting. Any document or other material that was not submitted with the required notice may be considered at the meeting at the discretion of the panel chair. The purpose of allowing this discretion is to ensure fairness to all parties. However, the presumption should be that such documents or other material will not be permitted unless it can be shown that they were not previously available or that they relate to mitigation following a finding of unsatisfactory attendance that was contested by the member of staff.

Where such a document or other material is permitted to be considered, a short adjournment may be necessary to enable those present to read or consider the document or other material and consider its implications. The length of the adjournment will depend upon the case. A longer adjournment may be necessary if the material in question is complex.

15.16 At the third stage meeting the panel chair will conduct the meeting in accordance with the principles of natural justice and fairness and will:

- explain to the staff member the reasons why they have been required to attend a third stage meeting;
- Discuss with the staff member the standards of attendance/performance required (as set out in the Final WIN).
- Review the staff member's attendance/performance to date, together with any previous management action taken.
- Require the second line manager to present evidence to support the belief that the staff member is failing to meet the required standards.
- Provide the staff member or their representative with the opportunity to make representations in response.

- Listen to what the staff member has to say, and ask questions and comment as appropriate.
- Explain that the options of a third stage meeting are no case to answer, dismissal, extended improvement notice (in exceptional circumstances) or reduction in rank (Police Officer - Performance cases only).

15.17 Where a witness attends to give evidence then any questions to that witness must be made through the panel chair. This does not prevent the panel chair allowing questions to be asked directly if he or she feels that this is appropriate.

15.18 Having considered any representations the panel will come to a finding as to whether or not the attendance/performance of the staff member has been unsatisfactory and an outcome. If there is a difference of view between the three panel members, the finding or decision will be based on a simple majority vote, but it will not be indicated whether it was taken unanimously or by a majority.

15.19 The panel must prepare (or cause to be prepared) their decision in writing which shall also state the finding. Where the panel have found that the member of staff's attendance/performance has been unsatisfactory, the decision must also state their reasons and the outcome, possible outcomes being:

- dismissal; or
- extension of a final written improvement notice (in exceptional circumstances); or

  reduction in rank (Police Officers - Performance cases only)

15.20 Where the panel grants an extension to the final written improvement notice, they will specify a new period within which improvement to attendance must be made. The 12 month validity period of the extended final improvement notice will apply in full from the date of extension.

**Note: a final written improvement notice may only be extended once.**

15.21 Within 3 working days of the meeting the panel chair will send a copy of the decision and outcome to the staff member. This will include the right to appeal.

15.22 **Records**

A verbatim record of the meeting must be taken. The staff member must, on request, be supplied with a copy of the record. A note taker will be in attendance throughout stage three proceedings and /or the meeting will be recorded.

15.23 **Postponement and Adjournment of a Third Stage Meeting**

If the panel chair considers it necessary or expedient, they may direct that the third stage meeting should take place on a different date and time to that originally notified. The panel chair's alternative date may fall outside the period of 30 working days from initial notification of the meeting.

15.24 In the event that the panel chair postpones a third stage meeting they will notify the following relevant parties in writing of their reasons and the revised date, time and location for the meeting:

- the member of staff;
- other panel members; and
- the appropriate authority

15.25 If the staff member informs the panel chair in advance they are unable to attend the third stage meeting on grounds which the panel chair considers reasonable, the panel chair may allow the staff member to participate in the meeting by video link or other means.

15.26 In cases where the staff member is absent (for example through illness or injury) a short delay may be reasonable to allow them to attend. If this is not possible or any delay is considered not appropriate in the circumstances then the chair may allow participation by telephone or video link. In these circumstances a workplace companion or legal representative where appointed (police only), will always be permitted to attend the meeting in the normal way.

15.27 Where the staff member informs the panel chair they will be unable to attend the third stage meeting, or in the absence of such notification does not attend the meeting and the panel chair is satisfied that a good reason for such non-attendance is given, they may postpone, or as the case may be, adjourn the meeting.

15.28 The staff member's presence, in person or otherwise, is not necessary for the third stage meeting proceedings to be valid. Where a meeting is postponed or adjourned because of absence, the panel chair may nonetheless decide to hold the meeting or resume the meeting.

15.29 **Assessment of Extended Final Improvement Notices Issued at the Third Stage**

Where in exceptional cases the panel has extended a final written improvement notice period, the member of staff's attendance or performance will be actively monitored by the line manager throughout the specified period. The line manager will provide regular feedback on performance against the requirements of the FWIN.

15.30 At the end of the validity period for the extended-final improvement notice, the panel will assess performance against the requirements of the extended final WIN. If it is demonstrated the staff member has now achieved the required level of improvement, and this has been maintained for the validity period of the FWIN a decision that no further action will be taken should be confirmed to them in writing by the Chair.

15.31 If it is demonstrated the staff member has **NOT** achieved the required level of improvement or the required improvement has not been maintained for the validity period of the FWIN the panel chair will inform the staff member of the panel's assessment in writing and require them to attend a further third stage meeting.

15.32 **Reconvened Third Stage Meeting**

The panel should (where possible) be composed of the same persons who conducted the previous third stage meeting. However, there may be cases where re-constitution of the panel is either inappropriate or not possible. For example, original panel members may be on a career break or have left the force. In such circumstances the appropriate authority may substitute members as it sees fit subject to the requirements set out in paragraph 15.4. As soon as practicable after the appointment of any new panel member(s), the staff member should be notified in writing of the changes. The staff member will have the opportunity to object to any new panel member(s) as described in paragraph 15.9.

15.33 A member of staff may only be given an extension to a final improvement notice on one occasion, therefore where the member of staff is required to attend a reconvened third stage meeting and the panel find that performance or attendance continues to be unsatisfactory, the only outcomes available to the panel are:

- dismissal; or
- reduction in rank (Police Officers - Performance cases only)

## 16.0 Appeal Process

16.1 The outcome of any Appeal is deemed as final and there will be no further rights of appeal.

16.2 **First and Second Stage Appeals**

The staff member has a right of appeal against the finding and outcome imposed within 7 working days of the receipt of the Written Improvement Notice (WIN) or Final Written Improvement Notice (FWIN). The appeal must be made in writing to:

- People Services Manager [for Police Staff]
- Decision makers line manager [for Police Officers]

The notice of appeal must clearly set out the grounds and evidence for the appeal. The only grounds are:

- that the finding of unsatisfactory performance / attendance is perverse;
- that the terms of the improvement notice (length of the period and/or improvement specified) are perverse;
- that there is critical new evidence that could not reasonably have been considered at the first stage meeting;
- that there was a serious breach of the procedures or other unfairness which could have materially affected the finding of unsatisfactory performance / attendance or the terms of the improvement notice.

16.3 The staff member has the right to be accompanied and represented at the appeal meeting by a 'workplace companion'.

16.4. The member of staff should be given notice in writing of the date, time and location of the appeal as soon as possible.

16.5 The appeal date and time should be agreed with the member of staff. However, where agreement cannot be reached the Force may specify a time and date without agreement. If the member of staff or work place companion are not available at the date or time specified, the member of staff may propose an alternative time, provided that it falls within a period of 5 working days of the original appeal date.

16.6 Any finding and outcome from the first or second stage meeting will continue to apply up to the date that the appeal is concluded. Therefore, where the staff member contests the finding or outcome, they will continue to follow the terms of the WIN or FWIN and any accompanying Supportive Plan pending the determination of the appeal.

16.7 At the Appeal Hearing the manager appointed to hear the appeal will:

- Provide the staff member or their 'work place companion' with the opportunity to make representations.
- Provide the first line manager or second line manager (whichever is appropriate or both) with the opportunity to make representations in response.
- Consider any documentary evidence relevant to the appeal.

16.8 Having considered the facts of the case the manager hearing the appeal will:

- Confirm or reject the finding of unsatisfactory attendance/performance

  and/or

- Endorse of vary the terms of the WIN or FWIN

16.9 The staff member will be informed of the outcome in writing within 3 working days of the appeal.

16.10 Any decision made that changes the finding or outcome of the first or second stage meeting will take effect by way of substitution for the finding or terms appealed against and as from the date of the first or second stage meeting whichever is applicable.

16.11 **Third Stage Appeals**

A Police Officer dismissed at a third stage meeting has a right of appeal against the finding and / or outcome imposed. The appeal is made to the Police Appeals Tribunal.

Police staff dismissed at a third stage meeting have a right of appeal against the findings and/or outcome imposed at that meeting. The appeal is made to the Chief Constable.

16.12 Any finding and outcome of the third stage meeting will continue to apply up to the date that the appeal is determined.

## 17.0 Related Policies, Protocols, Practices or Service Agreements

This policy relates to Police Officer Attendance and Performance Regulations and complies with good practice principles.

## 18.0 Monitoring

To ensure effectiveness of this policy it will be reviewed on an annual basis. Taking account of challenges to the policy and any changes to legislation and national guidance.

## 19.0 Review

This policy will be reviewed annually. The next review will be completed by September 2015.

## 20.0 Who to Contact About this Policy

HR Manager, email: hradmin@dyfed-powys.pnn.police.uk.

2

# Drugs, Alcohol and Substance Misuse Policy

Version 1.1 November 2013

## VERSION CONTROL

| Version | Date | Author | Reason for Change |
|---|---|---|---|
| 1.1 | November 2013 | Steve Cadenne De Lannoy | Update to force template |
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| | | | |
| | | | |
| | | | |

## EQUALITY IMPACT ASSESSMENT

Section 4 of the Equality Act 2010 sets out the **protected characteristics** that qualify for protection under the Act as follows: Age; Disability; Gender Reassignment; Marriage and Civil Partnership; Pregnancy and Maternity; Race; Religion or Belief; Sex; Sexual Orientation.

The **public sector equality duty** places a proactive legal requirement on public bodies to have regard, in the exercise of their functions, to the need to:

- eliminate discrimination, harassment, victimisation, and any other conduct that is unlawful under the Act;
- advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it;
- foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

The equality duty applies to all protected characteristics with the exception of Marriage and Civil Partnership, to which only the duty to have regard to the need to eliminate discrimination applies.

Carrying out an **equality impact assessment** involves systematically assessing the likely or actual effects of policies on people in respect of all the protected characteristics set out above.

An equality impact assessment should be carried out on any policy that is **relevant** to the public sector equality duty.

An equality impact assessment has been completed on this policy, click here.

## HUMAN RIGHTS ACT

### CERTIFICATE OF COMPLIANCE

This policy has been drafted in accordance with the Human Rights Act and has been reviewed on the basis of its content and the supporting evidence and it is deemed compliant with that Act and the principles underpinning it.

Name: R Jones, Senior Solicitor

Department: Legal Services Department

Signed: R Jones

# Freedom of Information Act 2000

Section 19 of the Freedom of Information Act 2000 places a requirement upon the Force to publish all policies on the Force website. Policies are why we do things and procedures are how we do them. A case-by-case review of procedures must be undertaken to protect law enforcement and health and safety considerations. Where a combined policy and procedure document is being produced the Force is legally required to publish the policy section and assess the procedure part to ensure no sensitive information is published.

There is a requirement therefore to review this document to establish its suitability for publication. Please identify below whether the document is suitable for publication in its entirety or not. Where it is believed that disclosure will be harmful please articulate the harm that publication would cause and highlight the relevant sections within the document. Where it is perceived that there is harm in disclosure the document should be forwarded to the FOI Unit for review.

**Suitability for publication**

| Suitability for publication | Yes/No | Date | Signature |
|---|---|---|---|
| Document is suitable for publication in its entirety | Yes | 14th November 2013 | |
| Document is suitable for publication in part, I have identified those sections which I believe are not suitable for disclosure and have articulated below the harm which would be caused by publication. | | | |
| **Harm – In publication**<br><br>None. | | | |

**FOI review – to be completed by FOI Unit**

| Suitability for publication | Yes/No | Date | FOI Decision Maker |
|---|---|---|---|
| Document is suitable for publication in its entirety | | | |
| Document is suitable for disclosure in part and relevant redactions have been applied. A public facing version has been created. | | | |
| Once review has been undertaken FOI decision maker to return document to policy author and following sign–off document to be published within Force Publication Scheme. Any future changes to the document should be brought to the attention of the FOI Unit, as appropriate. | | | |

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# Drugs, Alcohol and Substance Misuse Policy

## 1.0 Applicability - Scope of Policy

1.1 This policy applies to Police Officers, Police Staff and Special Constables as well as candidates for appointment as Police Officers, Police Staff and Special Constables.

1.2 **The policy does not apply to the provision of samples in evidential post incident situations where the legislative and investigating powers should be used.**

## 2.0 Policy Aim

2.1 The purpose of the policy is to ensure that:-

- All officers, staff and potential candidates are made aware of their responsibilities regarding alcohol and drug related problems.
- Officers and staff who have an alcohol or drug related problem are encouraged to seek help, in confidence, at an early stage, prior to any request of a sample.
- Officers and staff who volunteer an alcohol or drug related problem are dealt with sympathetically, fairly and consistently.
- Appropriate, effective, legitimate and auditable processes are in place to test officers and staff for substance misuse.

This policy, in line with Home Office Circular (HOC) 45/2005, Regulations 10 and 19A of the Police Amendment Regulations 2005, addresses the responsibilities of all staff within Dyfed Powys Police to challenge drug and alcohol misuse in the work place.

It defines how Dyfed-Powys Police will respond to individuals who have a drug or alcohol problem in accordance with The Police Regulations, 2005, (Amendment No. 3) and the Police Staff Council (Joint Circular No. 51 April 2008).

## 3.0 Policy Detail

### 3.1 Definition

For the purposes of this policy the controlled drugs covered are:

- Amphetamines (including Ecstasy, Methamphetamine);
- Cannabis;
- Cocaine;
- Opiates (e.g. Morphine and Heroin);
- Benzodiazepines.

3.2 This policy also covers the misuse of alcohol.

## 4.0 Drugs Testing

4.1 For the purposes of the Regulations, those police officers or police staff who may be required to undertake drugs testing are as follows:-

**Pre-employment screening** - Whilst there is no power to test transferees before appointment transferees may be asked to voluntarily undertake the test as part of the recruitment process. Refusal by a potential transferee to undertake a test or a positive result may lead to a transfer not taking

place.

**Testing in the probationary period**

**Safety Critical Posts**

Those current officers and police staff who occupy **safety critical posts,** as listed below:-

1. Firearms officers authorised to use firearms or directly those supervising such officers, (To include bronze, silver and gold command) and firearms TAC advisors;
2. Drivers and motorcyclists who have received the appropriate training to use the police exemptions under the Road Traffic Act 1984;
3. Members and supervisors of Police Search Adviser (POLSA) Teams;
4. Testing of Police Staff (as part of their contract of employment) will be in accordance with the ACPO Substance Misuse and Testing Document endorsed by the Police Staff Council (Joint Circular No. 51/08 refers) and includes any post in which impairment would pose greater risk of harm to others. Those posts identified as high risk will be clearly identified within the role profile and reflected within the contract of employment;
5. Serving officers and police staff who give "Cause to Suspect" that a controlled drug has been used.

**Vulnerable Posts**

Officers and staff occupying posts which have been identified by the Chief Constable as being vulnerable because of a specific responsibility for dealing with drugs. This will include police officers and staff who work undercover and who will have close associations with criminals. Those whose duties bring them into contact with drugs or drug dealers are particularly vulnerable to malicious allegations that they themselves are drug users. A liability for such officers and staff to be tested enables it to be demonstrated that they remain "clean".

4.3 **A full list of posts as applicable to Dyfed-Powys Police, defined under categories 4.1 is given at Appendix A.**

4.4 In terms of the safety critical posts outlined in 4.1 above there is a power also to test for alcohol.

## 5.0 Responsibility

### 5.1 All Staff

5.1.1 It is the duty of all officers and staff employed by Dyfed Powys Police to ensure the health and safety of themselves, their colleagues and the public by reporting to their line manager or Occupational Health Unit (OHU), circumstances where a police officer or police staff member may be involved in drugs or alcohol misuse. Please bear in mind that national statistics identify that women who suffer domestic abuse are at an increased risk of using drugs/alcohol as a coping mechanism. Guidance on this area can be found in the policy 'Domestic Abuse Workplace Policy'.

Whichever source of help is chosen, the matter will be dealt with in a confidential and sympathetic manner.

5.1.2 Where an officer or member of police staff is suspected of knowingly not reporting their suspicions, a Misconduct investigation may be undertaken. If any officer or staff member is in doubt, assistance should be sought at the earliest opportunity.

5.1.3 Since the misuse of drugs may be also a criminal offence, all such suspicions should be notified directly to their line manager as soon as possible.

5.1.4 Suspected alcohol misuse should, in the first instance, be discussed if possible with the staff member concerned by the line manager. They should be urged to seek help via the OHU and a formal referral should be made to the OHU by the line manager.

5.1.5 Officers and staff have a general responsibility to present themselves fit for duty. If their judgement is impaired by the consumption of alcohol, they are unlikely to be fit for duty.

5.1.6 Where an officer or member of police staff is prescribed drugs or is taking medication, which could possibly have side effects that have a direct bearing on their duties, they should inform their line manager without delay so that risk assessment can be carried out and if necessary alternative work arranged. OHU should be contacted for advice if necessary.

5.1.7 Officers and staff with substance misuse problems should be encouraged to identify themselves and should be assisted in seeking treatment. However, self-declaration cannot be used to avoid the consequences of a positive test.

5.1.8 Any self-declaration must be made before an officer or staff member is notified of any requirement to take a test.

5.1.9 A self-declaration made after an officer or staff member is notified of the requirement to take a test cannot be used to frustrate misconduct proceedings that might result from a positive test result.

**5.2 Line Managers**

5.2.1 All line managers have a responsibility to be aware of the policy and be alert to the early indicators of a potential problem.

5.2.2 The following factors could be relevant:-

- Sickness record – are there any periods of unexplained or frequently taken absence?
- Behavioural changes – what behavioural changes have you noticed?
- Productivity – are there any unexplained dips in productivity?
- Accident records / near misses – have the number of accidents or near misses increased or involved particular individuals?
- Disciplinary problems – have you noticed particular performance or conduct problems?

5.2.3 **All the signs shown above may be caused by other factors, such as stress, and should be regarded only as indicators that an individual may have a substance misuse problem.**

5.2.4 The line manager will consider a referral to OHU. If it is a self-referral, the manager should encourage the staff member to seek specialist help through the OHU. **It is imperative that the line manager and others involved in the process clearly document that a <u>self-referral</u> has been made in such cases.**

5.2.5 If the approach is about a colleague the person making the referral should be able to expect that it will be treated in confidence.

**5.3 Human Resources (HR)**

The Head of People Services has the responsibility for the specification and provision of testing resources throughout the Force and for the operation of this policy. Human Resources staff will also offer support in the practical application of the policy by offering advice to managers as necessary.

**5.4 Occupational Health Unit - (OHU)**

5.4.1 The OHU are the primary point of referral in all cases so that support mechanisms can be put in place.

5.4.2 Staff of the OHU will not administer drugs or alcohol tests.

5.4.3 Random drug and alcohol tests will be undertaken by a specialist agency contracted for the purpose.

5.4.4 As a consequence of the testing regime the person involved may have to declare information about any medication they are taking. These declarations may have the result of disclosing personal information that the individual is entitled to expect to be dealt with in confidence by the OHU. OHU staff, including the Force Medical Adviser, will not disclose details of medical records to persons responsible for requesting drugs or alcohol testing, without consent of the individual involved.

5.4.5 The officer's personal responsibility, under the Joint Operating Procedures (JOPI) with the Crown Prosecution Service, should be drawn to their attention by the OHU, at the time at which any self-declaration of a substance misuse problem is made and a record kept that this was done.

5.4.6 If the Force Medical Adviser / OHU Adviser is of the opinion that it would not be in the best interests of the Force for that individual to continue in one of the roles designated in **Appendix A (Safety Critical or Vulnerable Roles)** the individual will be so informed and advised to inform their Line Manager. The FMA will advise the Head of People Services that they do not consider the officer suitable to hold their particular role but will not supply a reason.

5.4.7 If an officer or staff member is redeployed into another role as a result, the OHU should provide support to the individual concerned.

**5.5 Professional Standards Department – (PSD)**

5.5.1 The Professional Standards Department will be notified via the HR Department of positive results or refusals meriting referral.

Once referred the PSD decision maker will assess the circumstances involved and decide whether a criminal or misconduct investigation is appropriate.

5.5.2 **If the person concerned has not self-referred prior to the test, an investigation will commence.**

5.5.3 It should be made clear that if a person self-refers for one substance e.g. cannabis and another is found e.g. amphetamine, this would not be classed as a self-referral for amphetamine and would be classed as a positive result. In these circumstances an investigation will commence.

5.5.4 Where intelligence exists that a police officer or member of police staff has an alcohol, drug or a substance misuse problem, PSD will arrange for the individual to be tested in accordance with this policy and procedure.

**5.6 Trade Union/Staff Associations**

5.6.1 Staff Association representatives should encourage staff to seek assistance in accordance with the provisions of this policy.

Should a member of staff request it, a representative may attend discussions with the line manager.

## 6.0 New Recruits

**Process**

6.1 All prospective police officers and police staff will be required to undertake a drugs test as part of the recruitment process. (See Regulation 19 Police Amendment Regulations 2005).

*There is no power to test transferees before appointment but transferees may be asked to voluntarily undertake the test as part of the recruitment process. Refusal by a potential transferee to undertake a test or a positive result may lead to a transfer not taking place.*

6.2 All aspects of the collection and on site screening of samples from potential recruits, including the taking of information about medications, will be undertaken as part of the HR function.

6.3 Refusal by a potential recruit to undertake a drugs test or a positive result will make them ineligible

for employment. Should they refuse to take a test, they should be so informed at the time and the fact confirmed in writing.

6.4 A positive result will automatically exclude the applicant from appointment.

## 7.0 Reasonable Cause Testing

7.1 This policy uses the definitions and guidance contained within the Health and Safety Executive's document ***"Drug Misuse at Work" a Guide for Employers.***

7.2 The following should be carefully considered as contributing to "reasonable cause".

- Sickness record – are there any periods of unexplained or frequently taken absence?
- Behavioural changes – what behavioural changes have you noticed?
- Productivity – are there any unexplained dips in productivity?
- Accident records / near misses – have the number of accidents or near misses increased or involved particular individuals?
- Disciplinary problems – have you noticed particular performance or conduct problems?

7.3 **All the signs shown above may be caused by other factors, such as stress, and should be regarded only as indicators that an employee <u>may</u> have a substance misuse problem.**

## 8.0 Testing for Drugs

8.1 Screening will be carried out by an external testing agency using suitability qualified staff.

8.2 Appropriate techniques that involve legally defensible controlled evidence chain will be used.

8.3 Urine will be used as routine sampling method, unless there are circumstances where the use of saliva or hair is more appropriate.

8.4 A request made to a police officer or police staff to provide a sample of saliva, urine or hair for analysis is deemed to be a lawful order provided the request is in accordance with legislation and this policy.

8.5 Any refusal to provide a sample or attempt to interfere with it will be deemed a potential misconduct breach.

8.6 Written consent will be obtained before a sample is given and consent to analysis by the service provider.

8.7 The persons providing the consent form for signature will point out the implications of a refusal to consent to the giving of or analysis of a sample as outlined above.

8.8 Privacy and confidentiality should be maintained at all times.

8.9 Testing procedures allow for the staff concerned to request an independent test. A sample will therefore be split. Both portions are sent to the laboratory and if positive the unopened portion can be sent to another laboratory nominated by the officer.

8.10 Samples are tested immediately on collection and only <u>potential</u> positive test results sent to the laboratory for a full analysis.

8.10 **The test will not be immediately treated as having been 'failed' since a "positive" result could be due to a number of factors not connected with the use of illegal drugs.**

8.11 At all times the contractor testing the sample will be bound by provisions requiring security and integrity of evidence since the results of such tests could be used in future proceedings. Further details and an overview of drug testing procedures are given at **Appendix B.**

## 9.0 Action Whilst Awaiting a Test or Test Results

9.1 Whilst awaiting confirmation of a positive result from the laboratory test results, an officer or staff member will need to have their position and responsibility carefully considered until the result of the full laboratory confirmation is received (Which could take up to five working days).

The line manager along with HR will undertake a risk assessment of the duties (if any) to be undertaken.

## 10.0 Positive Results

10.1 A positive laboratory analysis will be subject to a medical review involving a medical practitioner reviewing the test result and the medical history of the individual to determine if there is a legitimate explanation for the presence of the drug in the sample.

10.2 Test results following laboratory analysis will be returned to the OHU. This in turn will be communicated to the relevant HR Professional, who will consider the need to refer to PSD.

10.3 A positive test result administered as part of the pre-employment process should be notified to the Recruitment team so that the candidate can be rejected.

10.4 A positive result of a person who has self-declared a substance misuse problem prior to being tested should be reviewed by the OHU to assess whether the result was consistent with the rehabilitation treatment being undertaken.

10.5 If the result suggested that an agreed programme of rehabilitation was not being followed, then the matter will be raised with the relevant HR Professional and consideration given to raising the matter with PSD.

10.6 An officer or member of staff who has misused controlled drugs suffers a double jeopardy. They may be at risk of misconduct proceedings that might lead to dismissal and if there is additional evidence of current possession or supply of a controlled drug, may also be at risk of criminal proceedings.

## 11.0 Refusal of Test

11.1 The consequences of refusing to take a test are potentially no less than the consequences of failing a test.

11.2 The requirement to take a test is established in Police Regulations, the principles of which are endorsed by the Police Staff Council. Thus any failure to take a test when required to do so is a failure to obey a lawful order/work instruction.

11.3 There is no substantive criminal offence of having an unlawful substance in the body, only a presumption that the offence of "possession" must have been committed beforehand. Such a presumption may be rebutted by medical evidence that the positive test resulted from use of a lawful medication.

11.4 The presumption of possession that would arise from a positive, medically confirmed test result will be treated as potential misconduct.

## 12.0 Alcohol Testing

12.1 Alcohol abuse is not subject to the same legal requirements as drug misuse. Officers and staff have a general responsibility to present themselves fit for duty. If their judgement is impaired by the consumption of alcohol, they are unlikely to be fit for duty.

12.2 It is for the line manager to determine whether an officer or staff member is unfit for general duties due to the consumption of alcohol.

12.3 As with drugs, self-declaration of a drink problem is a matter that should be managed through the Occupational Health Unit, rather than being regarded as a Misconduct matter.

12.4 The power to test for alcohol is limited to 'with cause' testing of officers and staff in safety critical roles (as defined in the regulations (see **Appendix A**)).

12.5 Privacy and confidentiality should be maintained. It should always be open to an officer or staff member to declare that they suspect they might have inadvertently exceeded the limit. Any such declaration should be made before the officer or staff member is notified of any requirement to take a test. Such declarations should not result in the individual being penalised, provided there is no pattern of continuing excess.

12.6 A declaration may be particularly appropriate in circumstances of an unexpected change of duty, for example being allocated to driving duties involving possible use of the police exemptions under the Road Traffic Act, due to a staff shortage.

12.7 Officers and staff should never be tested within a custody suite unless the suite is cleared of all other uses.

12.8 The presumption is that a person is unfit to work in a safety critical post if they have more than 29 milligrams of alcohol in 100 millilitres of blood (39 milligrams of alcohol in 100 millilitres of urine and 13 micrograms of alcohol in 100 millilitres of breath).

(This compares with a limit of 80 milligrams of alcohol in 100 millilitres of blood or 35 micrograms of alcohol in 100 millilitres of breath, for driving).

12.9 If a line manager smells alcohol on the breath of an individual in a safety critical role, a breath test can be administered after a wait of 15 minutes. (This is to deal with the eventuality that at the time the suspicion of excess drinking is aroused, a proportion of the alcohol consumed may still be in the officer's stomach. Alcohol must be absorbed into the body to register in a breath test).

- Individuals who provide a specimen of breath in excess of 13 micrograms of alcohol in 100 millilitres of breath will be confined to the station until they are under that level.
- Individuals over 30 micrograms of alcohol in 100 millilitres of breath should also be referred to the OHU for monitoring / assistance, as detailed below.
- If over 35 micrograms of alcohol in 100 millilitres of breath, different managerial intervention may be required. If they have driven to work they may have to be arrested

12.10 Each breath test should consist of two consecutive breath specimen tests from the individual with the final result being declared as the lower of the two results.

12.11 OHU, may refer, with the consent of the individual concerned, to a specialist agency to provide advice and support. Update reports should be provided to the relevant HR professional.

12.12 Should satisfactory progress in resolving issues be maintained, the relevant HR professional should monitor and provide support.

12.13 If, however, the individual fails to follow advice, the relevant HR Professional in conjunction with line managers should consider the use of the Performance, Attendance Management or Misconduct Regulations.

12.14 Further details and an overview of alcohol testing procedures are given at **Appendix C.**

## 13.0 Related Policies, Protocols, Practices or Service Agreements

Attendance & Performance Management and Misconduct.

## 14.0 Monitoring

14.1 To ensure effectiveness of this policy it will be reviewed on an annual basis taking account of challenges to the policy and any changes to legislation and national guidance.

Furthermore, to ensure the proportionate use of this policy, anonymous records will be kept by the contracted company, of all tests either "with cause" or "routine", positive or negative, by race, gender, disability, age, sexual orientation and any other relevant criteria.

This data will include:-

- Number of tests requested
- Number of tests conducted
- Results of tests
- Types of test – saliva , urine, hair
- Reason for test
- Role/s

14.2 The samples or information derived from samples taken in accordance with this policy and all copies and records thereof shall be destroyed on the person ceasing to be a member of the Force except by reason of a transfer to another force. Laboratory data is stored in accordance with the United Kingdom Accreditation Service requirements.

## 15.0 Review

This policy was initially implemented in March 2009. It will be reviewed annually, the next review will be completed by November 2014.

## 16.0 Who to Contact About this Policy

Senior Manager HR Business Centre & Employee Relations, email: hradmin@dyfed-powys.pnn.police.uk.

**Appendix A**

## Safety Critical Posts

Those current officers and police staff who occupy safety critical posts are as listed below:-

- Firearms officers authorised to use firearms or directly those supervising such officers, (To include bronze, silver and gold command) and firearms TAC advisors;
- Drivers and motorcyclists who have received the appropriate training to use the police exemptions under the Road Traffic Act 1984.
- Members and supervisors of Police Search Adviser (POLSA) Teams.

## Vulnerable Roles

- Test Purchase staff
- Policing Priority Teams
- Major Crime Team
- Ports officers
- Ports Policing Targeting Team
- Dedicated Source Handling Unit
- Drugs dog handlers
- Dedicated Property Officers

**Appendix B**

## Guidance On and Overview of Testing Procedures (Drugs)

1. The outcome of a drug test is expressed as "Positive" or "Negative".
2. The purpose of drug testing is to establish whether the donor of the specimen has consumed a controlled drug at some time prior to the collection of the specimen. The identification of a drug in a specimen is not the complete picture as there may be legitimate reasons for the drug being present.
3. For example, the presence of morphine in a urine specimen may indicate that the donor is a heroin user (heroin is converted to morphine in the human body) but equally it may indicate only that the donor had legitimately taken an anti-diarrhoea preparation, which contained morphine as its active ingredient.
4. Drug testing involves three integrated stages; collection, analysis and medical review.
5. All positive drug test results will arise from analysis conducted in an accredited laboratory. On-site screening tests will be used to screen out negative results, but a positive indication at the screening stage must go forward to full laboratory analysis and medical review.
6. The first stage of the drug testing procedures is the **collection** of the specimen. The collection of a specimen from a donor is straightforward, but it must be conducted in such a way as to maintain the Chain of Custody of the specimen, with full documentation at all stages, which will be administered by the contactor to conduct the test.

   The collector must be properly trained, with the standards applying being those that would apply to any other procedure in which it is important to maintain the integrity of an exhibit.
7. **Analysis** is the process of seeking to detect drugs in the collected specimen. If no drugs are found in the specimen, the drug testing procedure is complete and the Force will be advised of a "Negative" outcome. This will be relayed directly to the individual and their Line Manager by the company analysing the specimen.
8. If the analysis identifies one or more drugs in the specimen, further work is required. The positive analytical results need to be interpreted in the light of any factors that may provide a legitimate explanation for the presence of the drugs (e.g. medications taken by the specimen donor in the days before the test). This process is referred to as "Medical Review" and is conducted by a medical practitioner (the "Medical Review Officer", employed by the contract company), in case there is a need for a medical discussion with the donor. The medical practitioner reviews the evidence and arrives at an opinion as to the origins of the drugs identified. If their presence can be explained by the use of prescribed or proprietary medication the Force will be advised as a "Negative" outcome.
9. If the presence of drugs in the specimen cannot be accounted for in this way, the Head of HR, will be advised of the "Positive" outcome. The "Positive" outcome reported will include the details of the drug(s) identified. In any case where there is any doubt, the overriding principle of the medical review process is to give the benefit of that doubt to the specimen donor.

10. In summary, the outcome of a comprehensive drug testing procedure involves three integrated stages: **collection**, **analysis** and **medical review**.

    A "Negative" result for a specimen indicates that no illicit drug use has been identified.

    A "Positive" result indicates that there is evidence of illicit drug use that cannot be explained by any of the legitimate medications used by the donor.

**Chain of Custody Collection**

11. The general principles of Chain of Custody collection can be summarised as follows:

    - To ensure that the donor understands the procedure;
    - To document medications taken by donor;
    - To maintain the chain of custody;
    - To avoid cheating by the donor (specimen dilution, adulteration, substitution, etc.);
    - To allow the donor to provide a specimen in appropriate circumstances (e.g. privacy for urine collection);
    - To adopt procedures that allows the donor to have access to the specimen for independent analysis (e.g. splitting the specimen);
    - To allow the donor to observe the whole procedure by which the specimen is packaged ready for transport to the laboratory;
    - To ensure that the specimen is untouched at any stage, thereby avoiding contamination;
    - To ensure that the specimen is sent to the laboratory in tamper-evident packaging.

12. The collection process is facilitated by the use of a special Chain of Custody collection kit. The documentation is completed in the presence of the donor, who will sign to confirm that the urine, saliva or hair specimen is theirs. The sample will be sealed in the presence of the donor. Any information provided about medication will be confidential to the testing laboratory and a medical review officer.

13. Where urine is used the kit contains two containers and, after collection, the specimen is divided between the two and these are both labelled and sealed with tamper-evident security seals in preparation for dispatch to the laboratory for analysis.

    Both specimen containers remain together. One container, the "A" sample, is used at the laboratory for drug analysis whilst the second is stored at the laboratory under secure conditions, on behalf of the donor, as a back up in case he / she wishes to challenge a positive laboratory result. The donor has the right to challenge the results of a drug test using the second part of the split specimen. In the case of a challenge, the sealed "B" sample will be sent to an independent accredited laboratory of the donor's choice. The donor is required to meet the cost of the transfer and subsequent analysis, but these costs will be reimbursed in the event that the test on the "B" sample is negative.

14. The top copy of the Chain of Custody form is forwarded with the specimen to the analysis laboratory while copies of the form go to the donor and to the responsible manager in the Force. A further copy of the form, bearing the details of recent medications goes to the Medical Review Officer.
15. The general principles of Chain of Custody saliva and urine collection are the same. The major difference is that a saliva specimen does not have to be provided in privacy, which reduces the measures that need to be adopted to minimise the risk of "cheating". A further difference is that the small volume of the sample means that specimens are not always split, so an alternative approach may be taken to providing the donor with an opportunity to have an independent specimen analysis.

## Principles of Laboratory Drug Analysis

### Sample Reception

16. On arrival at the laboratory the specimens and their packaging are examined to check that the security seals on the containers are intact and that there are no other signs of tampering. Further checks establish that the Chain of Custody paperwork has been fully completed. Once these sample integrity checks have been done, one of the specimens (the "A" sample) is opened ready for analysis.

### Drug Analysis

17. The analysis of drugs in urine or saliva at the laboratory must be conducted using appropriate high quality scientific techniques. This generally involves an initial immunoassay-screening test followed by a confirmation analysis using mass-spectrometry. This not only confirms the exact identity of any drug present, but also indicates how much is present.

### Quality Standards

18. Any drug-testing laboratory used by Dyfed-Powys, or nominated by an officer for the independent testing of a sample, must be specifically accredited for drug testing work through appropriate national standards (UKAS and BSI).
19. Any drug testing company used by Dyfed-Powys will satisfy the minimum chain of custody requirements set out above.

**Appendix C**

# Alcohol Testing

Alcohol abuse is not subject to the same legal requirements as drug abuse in the context of this policy apart from safety critical posts listed at Appendix A.

- If a line manager smells alcohol on the breath of an officer liable to alcohol testing, a breath alcohol test can be administered after a wait of 15 minutes. (This is to deal with the eventuality that at the time the suspicion of excess drinking is aroused, a proportion of the alcohol consumed may still be in the officer's stomach. Alcohol must be absorbed into the body to register in a breath alcohol test.)

- Each breath test should consist of two consecutive breath specimen tests from the officer with the final result being declared as the lower of the two results.

- If the test is positive a risk assessment will be undertaken and the officer will immediately be removed from those duties where they may be a risk to themselves and the public (a positive test result is deemed to be more than 13 micrograms of alcohol in 100 millilitres of breath).

- The result of any such tests will be sent to the Occupational Health Unit. The officer will be referred to the Occupational Health Unit who will refer, with the consent of the officer concerned, to a specialist agency to provide advice and support. Update reports should be provided to line managers.

- Should satisfactory progress in resolving issues be maintained, line managers should monitor and provide support.

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# INDUCTION CHECKLIST AND PROBATIONARY PERIOD ASSESSMENT

1. It is the responsibility of line management and the new starter to ensure the induction process and probationary performance assessments detailed in this document are completed fully and within the timescales specified.
2. **The employment of a new starter will not be confirmed until the specified probationary period has been successfully completed.** Any issues arising that may prevent the successful completion of the probationary period must be brought to the attention of the People Services, Attendance & Performance Management Team at the earliest opportunity.
3. This form should be retained and updated by the line manager until the completion of the probationary period. When complete it must be returned to the Business Support Unit HR / Payroll Section.

| | | | |
|---|---|---|---|
| Name: | | Start Date: | |
| Post Title: | | Pay Reference: | |
| Status: | Permanent ☐ Temporary ☐ | Department: | |

| | Completed (✓) | Date |
|---|---|---|
| **Introduction to:** | | |
| Manager (specify name): | | |
| Team: | | |
| Assign Workplace buddy (specify name): | | |
| Senior Management: | | |
| Explain Department Structure and departmental functions | | |
| Conduct tour of building | | |
| **Confirmation of Pre-employment Learning** | | |
| **The new employee has been tasked with viewing induction information and completing NCALT learning prior to commencing employment. The line manager must check these tasks have been completed on the first day of employment so that a baseline of knowledge and understanding can be confirmed. For the Ncalt modules a certificate of completion must be provided by the new employee and this requirement is confirmed to the employee prior to joining.** | | |
| Introduction to Health and Safety Training Video | | |
| Data Protection Training Video (course code DataVid1) | | |
| Fire Safety e-learning | | |
| **The new employee will also be required to complete the below NCALT learning within six months of being appointed. The line manager must check these tasks have been completed so that a baseline of knowledge and understanding can be confirmed. Certificate of completion must be provided by the new employee..** | | |
| Managing Information: Non-Operational *(for Police Staff)*<br>OR<br>Managing Information: Operational *(for Police Officers and certain Police Staff such as FCC role)* | | |
| Manual Handling e-learning | | |

| | | |
|---|---|---|
| Display Screen Equipment (DSE) e-learning | | |
| Stress Management for Employees E-Learning | | |
| Equality Act 2010: An Introduction | | |
| Workplace Support | | |
| National Decision Model for Policing | | |
| Electrical Safety Training Video | | |
| ECDL Module 1 - Security for IT Users (2010) | | |
| ECDL Module 2 - IT User Fundamentals (2010) | | |
| ECDL Module 8 - Improving Productivity Using IT Skills (2010) | | |
| **Welfare, Health and Safety** | | |
| Provide briefing on welfare arrangements, refreshment facilities, toilets, first aid equipment and identity of qualified first aiders | | |
| Explain fire drill and evacuation procedures including details of assembly points | | |
| Explain accident and sickness reporting procedures | | |
| Explain hazards specific to job, if applicable (detail hazards referred to): | | |
| Issue necessary safety equipment and operating instructions, if applicable (detail equipment and instructions provided): | | |
| Provide / arrange initial training (detail training provided / arranged): | | |
| If a Display Screen Equipment User – Provide Display Screen Equipment Guidance from the Health and Safety Intranet site. | | |
| **Security, Data Protection & Confidentiality** | | |
| Explain implications and importance of confidentiality, information security and data protection | | |
| Confirm the Data Protection Act 2018 Declaration has been read, understood, signed and returned | | |
| Confirm Official Secrets Act 1989 has been read and understood | | |
| Explain Building Security rules | | |
| Explain policy on the wearing of Force Identification | | |
| **Workplace Standards, Responsibilities & Requirements** | | |
| Explain Standards of Professional Behaviour expected of staff | | |
| Explain requirements of the Uniform and Standards of Appearance Policy | | |
| Highlight the No Smoking Policy No Smoking Policy | | |
| Highlight guidance on: Internet & Social Media Usage<br>Facebook Guidance<br>Facebook Guidance for Staff.doc | | |
| Highlight Welsh Language Scheme requirements | | |

| | | |
|---|---|---|
| Please discuss Dyfed-Powys Police's Level 1 Welsh Language ability requirements with the member of staff. If they have no Welsh Language ability direct them to the learning methods and explain to them that they have 6 months to reach level 1.<br>Welsh Language Levels can be found here<br>All Wales Welsh Language Levels<br>To register to undertake a Welsh Language course to improve your Welsh to level 1, please follow this link: Click here for Welsh course | | |
| Remind staff of the requirement to notify the vetting team of changes in Personal Circumstances. **Change in Personal Circumstances Form** | | |
| **Housekeeping** | | |
| Arrange for the issuing of an ID card by the Business Support Unit - Supplies | | |
| Arrange for access to necessary IT systems (http://dppi/sites/?siteID=65&pageInstanceID=66047&pageID=97) | | |
| Arrange the purchase of the relevant Building Entry Card – via IS&T Intranet Site | | |
| Explain Welfare Fund, Union Representation, Force Lottery, Sports Association | | |
| Explain time and length of breaks/working hours/flexible working | | |
| Explain annual leave procedures | | |
| Explain car parking policy & arrange for the issuing of parking pass through SCC Reception | | |
| Explain necessity to enter personal sensitive information onto MyTrent | | |
| **Identified Learning/Development Needs** | | |
| Detail further learning/development needs identified during the initial induction and record arrangements made to meet these needs: | | |
| | | |

I agree that all the items above have been explained to me.

Inductee ..... Date .....

Line Manager..... Date .....

**Section B** Date .....

TO BE COMPLETED AFTER 2 WEEKS (OR IF ISSUES ARISE SOONER) BY FIRST LINE MANAGER WITH REFERENCE TO ROLE PROFILE

General Observations:

Training Needs Identified:

Line Manager..... Date .....

INDUCTEE COMMENTS :

Inductee ..... Date .....

**Section C** Date .....

TO BE COMPLETED AFTER 3 MONTHS (OR IF ISSUES ARISE SOONER) BY FIRST LINE MANAGER WITH REFERENCE TO ROLE PROFILE (any concerns should be brought to the attention of the Performance and Attendance Management Team)

Copy of form to be sent to the HR Business Support Unit

General Observations

Training Needs Identified:

Line Manager..... Date .....

INDUCTEE COMMENTS:

Inductee ..... Date .....

**Section D** Date .....

TO BE COMPLETED AT THE END OF THE PROBATIONARY PERIOD (usually 6 months but may be extended following consultation with the Performance and Attendance Management Team)

General Observations

Training Needs

Line Manager..... Date .....

INDUCTEE COMMENTS

Inductee ..... Date .....

**SECTION E** (completion required for Permanent Staff Only)

| | Yes | No |
|---|---|---|
| Recommended Appointment confirmed | | |

Line Manager ..... Date.....

PRINT NAME: .....

**When complete forward this form along with all Ncalt certificates to the Business Support Unit HR / Payroll Section, Police Headquarters, Carmarthen.**

---

**Office Use Only**

Date completed form received:

Appointment confirmation letter sent: ☐ Date:

Form uploaded to personal record: ☐ Date:

4

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Diogelu ein Cymuned - Safeguarding our Community

# Management of Police Staff Probationers

Version 1.2 November 2013

## VERSION CONTROL

| Version | Date | Author | Reason for Change |
|---|---|---|---|
| 1.2 | November 2013 | Steve Cadenne De Lannoy | Transfer to new force template<br>Updating of Appeal Process |
| | | | |
| | | | |
| | | | |
| | | | |

## EQUALITY IMPACT ASSESSMENT

Section 4 of the Equality Act 2010 sets out the **protected characteristics** that qualify for protection under the Act as follows: Age; Disability; Gender Reassignment; Marriage and Civil Partnership; Pregnancy and Maternity; Race; Religion or Belief; Sex; Sexual Orientation.

The **public sector equality duty** places a proactive legal requirement on public bodies to have regard, in the exercise of their functions, to the need to:

- eliminate discrimination, harassment, victimisation, and any other conduct that is unlawful under the Act;
- advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it;
- foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

The equality duty applies to all protected characteristics with the exception of Marriage and Civil Partnership, to which only the duty to have regard to the need to eliminate discrimination applies.

Carrying out an **equality impact assessment** involves systematically assessing the likely or actual effects of policies on people in respect of all the protected characteristics set out above.

An equality impact assessment should be carried out on any policy that is **relevant** to the public sector equality duty. An equality impact assessment template is available here.

## HUMAN RIGHTS ACT

CERTIFICATE OF COMPLIANCE

This policy has been drafted in accordance with the Human Rights Act and has been reviewed on the basis of its content and the supporting evidence and it is deemed compliant with that Act and the principles underpinning it.

**Name:** .....

**Department:** .....

**Signed:** .....

## Freedom of Information Act 2000

Section 19 of the Freedom of Information Act 2000 places a requirement upon the Force to publish all policies on the Force website. Policies are why we do things and procedures are how we do them. A case-by-case review of procedures must be undertaken to protect law enforcement and health and safety considerations. Where a combined policy and procedure document is being produced the Force is legally required to publish the policy section and assess the procedure part to ensure no sensitive information is published.

There is a requirement therefore to review this document to establish its suitability for publication. Please identify below whether the document is suitable for publication in its entirety or not. Where it is believed that disclosure will be harmful please articulate the harm that publication would cause and highlight the relevant sections within the document. Where it is perceived that there is harm in disclosure the document should be forwarded to the FOI Unit for review.

Suitability for publication

| Suitability for publication | Yes/No | Date | Signature |
|---|---|---|---|
| **Document is suitable for publication in its entirety** | **Yes** | 19th November 2013 | |
| **Document is suitable for publication in part, I have identified those sections which I believe are not suitable for disclosure and have articulated below the harm which would be caused by publication.** | | | |
| Harm – in publication<br><br>**None.** | | | |

**FOI review – to be completed by FOI Unit**

| Suitability for publication | Yes/No | Date | FOI Decision Maker |
|---|---|---|---|
| Document is suitable for publication in its entirety | | | |
| Document is suitable for disclosure in part and relevant redactions have been applied. A public facing version has been created. | | | |
| Once review has been undertaken FOI decision maker to return document to policy author and following sign–off document to be published within Force Publication Scheme. Any future changes to the document should be brought to the attention of the FOI Unit, as appropriate. | | | |

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# Management of Police Staff - Probationers

## 1.0 Applicability – Scope of Policy

1.1 This policy replaces all previous Management of Police Staff Probationers policies and applies to Police Staff only.

1.2 Line managers are responsible for the management of their staff and should use their professional judgement in applying the prescriptive requirement of this policy. Any deviations from the policy must be justified.

1.3 This policy does not form part of police staff terms and conditions of employment and may be subject to change at the discretion of Chief Officers.

## 2.0 Policy Aims

2.1 The aim of this policy and of the probationary period is to ensure that:

(a) A post holder new to the Force is provided, at the commencement of employment, with support and guidance to enable them to gain a full understanding of the requirements of the post and to achieve a satisfactory level of performance. Probationary periods are normally 6 months or as specified in letters of appointment.

(b) A post holder who transfers to another post, which is substantially different to their current one and at a higher grade, should also undertake a probationary period of 6 months' minimum.

2.2 Probationary periods are not normally appropriate when an employee who has satisfactorily completed a probationary period in one department moves with no break in service to a similar job at the same grade in another department.

2.3 Where a member of police staff transfers from another force without a break in service, they will have continuous service. The Management of Probationers Procedure – Police Staff should be used for the probationary period. The probationary period of assessment applies to all temporary staff.

2.4 Any rejoiner to the Force will be expected to undertake a new probationary period of the post is substantially different to their previous one or if they did not complete the first probationary period.

2.5 Unsatisfactory performance after the probationary period should be addressed in accordance with the Capability Procedures.

2.6 In the case of an internally appointed employee failing to complete a satisfactory probationary period, it will not normally be possible for an employee to revert to their previous post within the Force. However, where this is a possibility, this should be discussed at the earliest opportunity with the Human Resources Manager.

## 3.0 Roles and Responsibilities

**(a) New Member of Police Staff or on New Appointment (i.e. on Promotion or Transferring to a Substantially Different Post)**

To gain an understanding of their role in the organisation, what is expected of them and how their work contributes to achieving the aims and objectives of Dyfed-Powys Police. To be aware of the support and guidance necessary to succeed in a new role or organisation.

**(b) First Line Managers**

To ensure that new members of Police Staff settle quickly into their new role and workplace, understand the nature of their work and responsibilities and understand the aims / targets of the section and how they can personally contribute.

### (c) The Organisation

To make the new member of Police Staff feel welcome and to introduce new members of Police Staff to Dyfed-Powys Police in particular and to the police service in general including the culture values and ethos of the Force.

To provide guidance to new members of Police Staff on what support and guidance they can expect during their probationary period from the organisation.

To confirm that the organisation is an equal opportunities employer and that members of staff are treated with respect and dignity.

## 4.0 Induction

### (a) New Staff

Are responsible for completing the requirements of the induction checklist and raising any issues where they have any difficulty or training requirement with their Line Manager.

### (b) Line Managers

Line Managers should ensure that every new member of staff is welcomed. A copy of the Induction Checklist should be provided to the employee, completed by the Line Manager with the new member of staff. The requirements of the post should be made clear to the new member of staff and the necessary training (e.g. in computer systems) identified.

### (c) Probationary Period

The normal probationary period is six months, but this may be extended in a particular case where a longer period is felt to be necessary. The whole period should not be longer than ten months, unless there are extenuating circumstances.

The circumstances for extension might be:

(i) Where there is a substantial period of training within the post which means that the individual's skills and abilities to perform the role cannot be assessed in the remaining period;

(ii) The employee is not undertaking duties to the required standard, an action plan has been put in place where the timescales are longer than probationary period;

(iii) A course integral to the performance of the role cannot be undertaken until well into the probationary period.

(iv) The employee was absent for a significant part of the probationary period.

### (d) Training Needs and Appraisal (PDRS)

Some training needs may be apparent before the employee commences employment. These may be identified via the recruitment process or be Force specific, e.g. admin or computer systems. Other training needs may be jointly identified on appointment.

### (e) Formal Review (normally after two weeks)

After two weeks (earlier if issues arise sooner) the Line Manager should formally review progress, clarifying which areas have been performed well and which need improving. Training should be identified if appropriate, and the new member of staff allowed to comment if they wish. The new member of staff has a right to be represented by a union representative or work colleague.

**(f) Formal Review (normally after three months)**

After three months (earlier if issues arise sooner) the Line Manager, should formally review progress, clarifying which areas have been performed well and which need improving. Training should be identified if appropriate, and the new member of staff allowed to comment if they wish. The new member of staff has a right to be represented by a union representative or work colleague and the HR Specialist may also be invited to attend.

If performance dips below that required, an action plan should be agreed with SMART objectives and timescales.

Timescales may vary if the probationary period remaining is longer than 3 months.

**(g) Final Review (normally after five – six months)**

After six months (earlier if issues arise sooner or the probationary period needs to be extended) the Line Manager, should again assess performance. If the performance is acceptable it should be confirmed in writing by the Human Resources Specialist. The new member of staff has a right to be represented by a union representative or work colleague and the HR Specialist may also be invited to attend. Where there is a possibility that the probationer will not be accepted as a permanent member of staff, the Line Manager should encourage the employee to be accompanied.

If the required standard of performance has not yet been achieved, the probationary period may be extended and a further action plan agreed with SMART objectives and timescales.

If at the final review it is identified that despite support, training, guidance, and documented action plans, there is no likelihood of achieving the required standards of performance the contract should be terminated via the giving of notice.

People Services will either confirm the appointment or send the dismissal confirmation outlining the right of appeal.

The contract will not be extended past the original notice / expiry date pending consideration of an appeal. A flowchart is attached at **Appendix A**.

## 5.0 Gross Misconduct

In the case of gross misconduct the Disciplinary Procedure will apply.

## 6.0 Appeal

6.1 The employee's right of appeal against dismissal should be exercised within fifteen working days of receipt of the letter informing them of their right of appeal.

6.2 The employee's appeal should be in writing addressed to the Chief Constable. The letter should state the grounds of the appeal.

6.3 The grounds need to relate to all of the circumstances of the matter and contain details of the evidence to be relied upon. Legitimate grounds for appeal may be:

(i) The Appellant considers that the decision was unfair, biased or discriminatory and should state the reasons for this premise.

(ii) New evidence is available which was not available to the original panel.

6.4 Appeal Panel Membership

The panel will comprise a panel chair and two other members. Membership will be as follows:

**1st panel member (chair):** A Chief Officer of ACPO rank

**2nd & 3rd panel member:** Police Officer/Police Staff of at least the rank of superintendent or police staff equivalent

A HR advisor and/or Legal advisor will attend the hearing to advise the panel.

6.5 None of the panel members should be junior to the staff member concerned i.e. they must be of at least the same grade or equivalent.

6.6 The staff member has the right to be accompanied and represented at the appeal meeting by a 'workplace companion'.

6.7 The appeal date and time should be agreed with the member of staff. If the staff member or work place companion are not available at the date or time specified, the member of staff may propose an alternative time, provided that it falls within a period of 5 working days of the original appeal date.

6.8 At the Appeal the chair will:

- Provide the staff member or their 'work place companion' with the opportunity to make representations.
- Provide the line manager (whichever is appropriate) with the opportunity to make representations in response.
- Consider any documentary evidence relevant to the appeal.

6.9 Having considered the facts of the case the panel chair will:

- Confirm or reject the finding of unsatisfactory performance
- Confirm or reject the outcome of dismissal

6.10 The staff member will be informed of the outcome in writing within 3 working days of the appeal.

6.11 The dismissal outcome will continue to apply up to the date that the appeal is determined.

## 7.0 Related Policies, Protocols, Practices or Service Agreements

Police Staff Disciplinary policy

## 8.0 Monitoring

To ensure effectiveness of this procedure it will be reviewed on an annual basis. Taking account of any challenges, changes to legislation, and national guidance.

## 9.0 Review

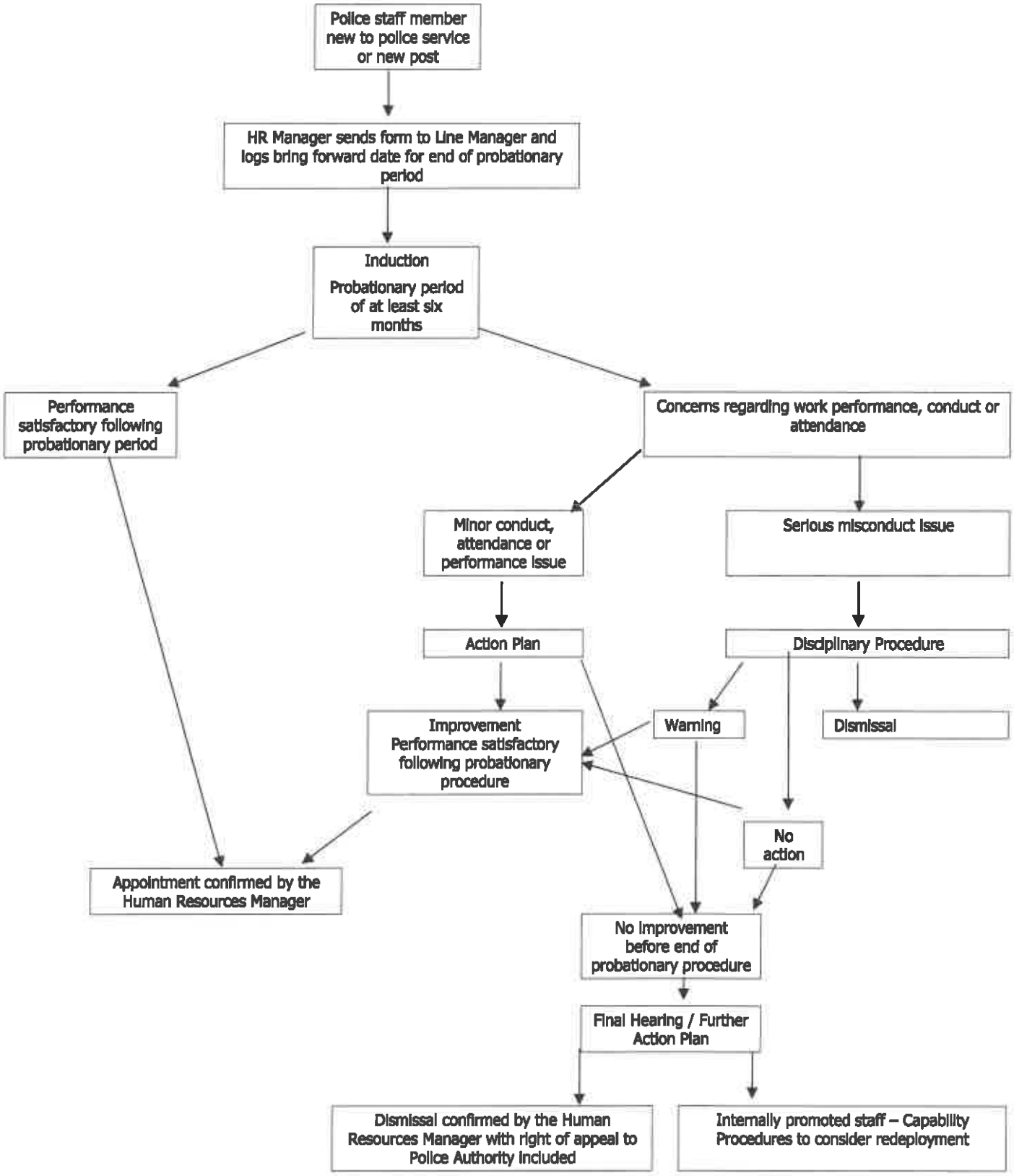
This policy will be reviewed annually. The next review will be completed by December 2014.

## 10.0 Who to Contact About this Policy

People Services, email: Steve.cadenne@dyfed-powys.pnn.police.uk; Meriel.lewis@dyfed-powys.pnn.police.uk

**Appendix A**

# Probationary Procedures – Police Staff



## Development and Assessment Profile (DAP) – Home Screen

DAP

Cymraeg | FAQs | CVF Values | Code of Ethics

Heddlu Police
DYFED-POWYS

### Development & Assessment Profile (DAP) - 2020 - 2021

**The system has been unable to determine your Job Family, as a result your CVF Level maybe incorrect. Please contact a member of the HR team to report this issue.**

**The DAP includes:**

- A Reflective Journal to record evidence of your good work
- An evidence basket to store evidence and any feedback you receive
- The Competency Value Framework (CVF) with 6 new competency areas, this replacing the Policing Professional Framework (PPF), allowing you to demonstrate your effectiveness in role
- Access via Mobile Device Terminal (MDT) - Under Construction
- Signposts to career development, career pathways, training needs and one to one meetings
- Identification, recognition and nurturing of talent
- In-built and conversions skills audit, linked to your training records and iTrent database

1. Personal Details
2. Objective Setting
3. Interim Review
4. End of Year Review
5. Complete

### What do you need to do next?

**Your DAP has yet to be started. Your next stage is the "Personal Details" stage. This stage needs to be completed by 31 March 2021**

### DAP Navigation

- DAP Homepage
- Personal Details
- Interim Review
- End of Year Review
- Reflective Journal
- One to One Meetings
- Evidence Basket
- Talent Management
- Archive
- My Team

E5

EV6

# DAP FAQ

Sarah Howells – Carmarthenshire
Carolyn Griffiths – Headquarters
Charlotte Marcham – Pembrokeshire
Joanne Woods – Ceredigion
Hazel Jones – Powys

1. **My line manager is incorrect.**

Please contact your Divisional HR Officer for this to be amended via the ITrent System.

2. **My personal details are incorrect or showing that I am subject to wellbeing considerations & plans but I am not, what do I do?**

Please contact your Divisional HR Officers or the HR BSU. They will advise accordingly and rectify any errors showing if possible to do so.

3. **Why does DAP ask if I am confident and competent in my role?**

This is your opportunity to consider if you feel you have the right skills, abilities and confidence to complete your role to the best of your ability. If you feel that you require development in a certain aspect of your role, DAP is your opportunity to speak to your line manager and consider opportunities available to you to develop.

4. **Will my pay decrease if I state that I am not confident or competent in my role?**

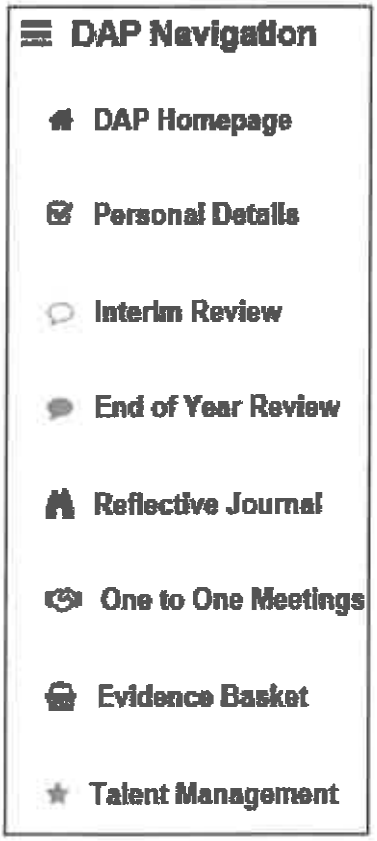
No.

5. **Where has the skills section gone?**

We have made the decision to remove this section for 2019/20 DAP but will be re-introduced next year following the completion of ongoing skills work.

6. **My line manager has set my objectives now what do I do?**

DAP has many tools that you can use to record the good work that you are doing. Use the navigation panel on the right hand side of the screen to access the below functionality.




**a. Reflective Journal**

Once objectives has been agreed and set between you and you line manager the functionality of the reflective journal becomes available. The reflective journal is for you to record evidence of your good work. Your journal entries can be viewed by your line manager but they are unable to comment on their content in your DAP however they should discuss your entries with you during your 1:1 meetings. You can use this tool for the purpose of 'reflecting' on what you have achieved, what went well and what could be done better next time. Used properly this will help you to evidence against the competencies at interim/end of year review stage as well as provide a space for you to reflect on something you have achieved.

**b. Evidence basket**

The evidence basket is a tool designed for you to upload & store documents, emails, any feedback you receive, etc. You can attach these documents during the interim/end of year review stages against the competencies as evidence.

**c. Talent Management**

Under this section you will find a link to the Leadership Development Prospectus. The purpose of the prospectus is to provide you with an easy route to personal and professional development opportunities. If you have any questions regarding the opportunities available to you, please contact the Learning and Development team.

7. **Can I export or print my DAP?**

Unfortunately you are unable to export the content of DAP at this current time out of the system.

If you are on secondment it is recommended that you use the DAP system of your current employer. If this is not an option, please contact the employee relations team.

8. **I have started a new role can my previous line manager still access my DAP?**

Unfortunately as the data is exported from iTrent only your current line manager can view your DAP.

If you are moving roles and would like your current line manager to comment of the evidence that you have provided, we strongly advise that you organise a 1:1 meeting with your line manager before moving and this can be recorded through your DAP. If this is not possible, ask your line manage to email their comments to you regarding the piece of work you have completed and you can upload this into your evidence basket and attach to the relevant competency when required.

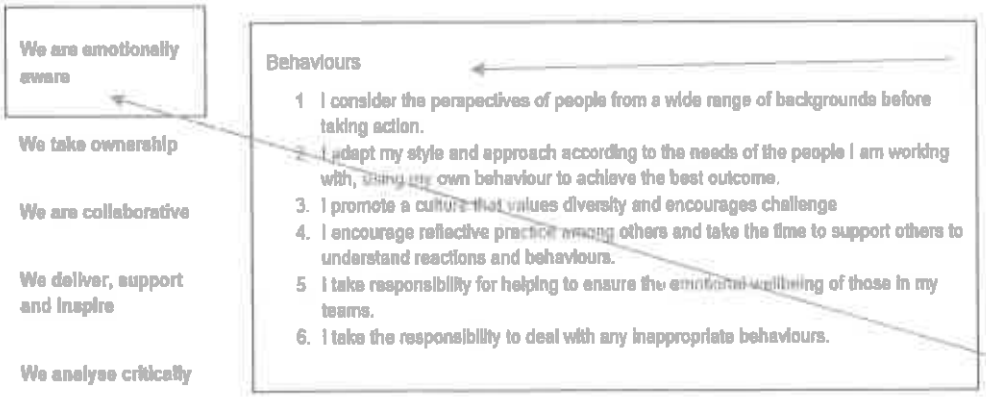
9. **Can HR access my DAP?**

Your DAP is a tool which has been designed to enable you to develop within your role and as such only you and your line manager (and second line manager at end of review stage) can view your DAP.

10. **How have the CVF behaviours been realigned?**

The Employee Relation team have completed a piece of work where they have mapped across the CVF levels with Dyfed Powys Police job families. This should provide all staff with CVF levels that are suitable to their role in terms of tasks and responsibilities.

11. **Do I need to evidence against all the behaviours for each competency?**




You do **NOT** need to provide an example for each of these behaviours.

You should demonstrate how you have for example 'been emotionally aware' and you should use the behaviours as a guide to what your evidence could include for that competency.

12. **I have submitted my DAP to my line manager in error**

Your line manager has the functionality to send an uncompleted DAP back to you. Please speak with them for assistance in retrieving your DAP.

13. **I am a new employee with Dyfed Powys Police, do I need to complete a DAP?**

You do not need to start a DAP until you have completed your probationary period.

14. **I am due to leave Dyfed Powys Police in next 3/6 months, do I need to complete a DAP?**

All Officers and Staff irresponsive of their length of service should have a DAP. Policing is about delivery of service to the public and officers & staff must not only have the right skills to do their job, but there is a requirement to constantly develop them in line with new policies, practices and legislation. Although most officers and staff are competent and professional in the way they deliver their particular knowledge, they have had to change. The police service don't police the way they did five years ago let alone twenty years ago. Everyone has to take on new aspects or ways of working, therefore officers and staff should expect to be assessed.

Any new employer would always want to know how a prospective employee has developed themselves. They generally will not be interested in policing issues but the fact that you can show that you have taken personal and professional development seriously is a plus point in your favour.

**15. Do I need to complete a DAP if I am happy in my role/not seeking promotion?**

Individuals are strongly encouraged to complete a DAP as a record of what you have achieved during the past 12months and can be refereed to at any time. DAP has been designed for you to evidence your good work and is a way for you and your line manager to look at other opportunities that may be available to you such as coaching, Llwyio etc. For a more comprehensive list please see the Leadership Development Prospectus under the talent management section of your DAP.

**16. I have returned to work following a period of maternity leave, do I need to complete a DAP?**

Yes. As soon as practicably possible you should log into DAP to complete your personal details. This will send an automatic email to your line manager to arrange a 1:1 meeting set your objectives. You may be able to incorporate your 1:1 with your new parent return to work. This can be done at any point of the year and doesn't need to fall with the dates advertised.

**17. I have returned to work following a period of sickness absence, do I need to complete a DAP?**

Yes. As soon as practicably possible you should log into DAP to complete your personal details. This will send an automatic email to your line manager to arrange a 1:1 meeting to set your objectives. This can be done at any point of the year and doesn't need to fall in line with the dates advertised.

**18. I would like to complete my DAP in welsh but I know my line manager does not speak welsh and this would cause additional stress & work to them. What should I do?**

You can choose to complete your DAP in **YOUR** chosen language whether this be Welsh or English. Your line manager can engage with the IS&T and translation teams to assist them in completing their relevant sections through the medium of Welsh.

**19. Why is Training Needs Analysis and Career Pathways sections still under construction?**

We are currently working with IS&T and Learning and Development to identify what should be included under these sections.

The Employee relations team would welcome any ideas on what you would like to see under these sections.

**20. I am unsure on how to use DAP, who can I contact to assist me?**

Please contact your Divisional HR Officer or the Employee Relations Team who will be happy to assist you in using the system.

EV 7

# The Competency Framework used in force recruitment/selection & promotion processes is changing

## Why?

One of the conclusions drawn from the College of Policing's 2015 Leadership Review was that the values inherent in the Code of Ethics should be embedded at all levels in all local and national selection processes, such as assessment centres and interviews. Implementing the recommendation led to developing the CVF to replace the Policing Professional Framework (PPF) Personal Qualities.

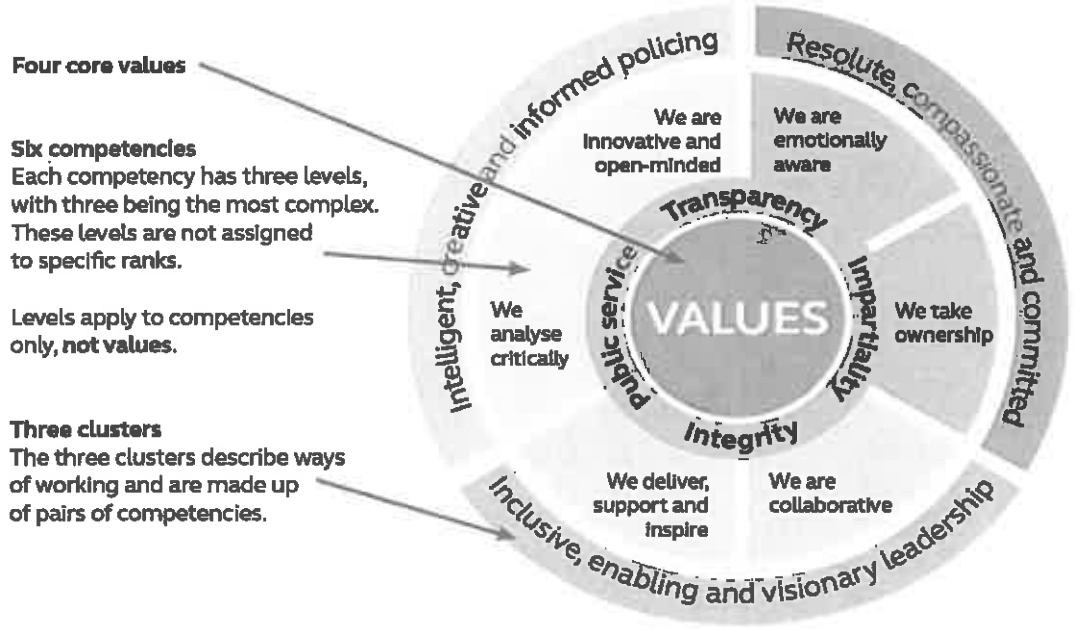
The CVF clearly defines new and relevant competencies and values which strongly uphold the principles of the Code of Ethics.

CVF is already being used in force for some of the College of Policing's national assessment processes such as Fast Track and Direct Entry Programmes, and within our DAP process. We are now in the process of implementing CVF completely across all of our force selection and promotion processes by **1st August 2019.**

## What is changing?

The main differences between CVF and the competency framework we have been using (PPF) are:

- A new set of six relevant and future looking competencies
- Competencies divided into three distinct levels to reflect different levels of responsibility and role complexity
- Four defined and measurable core vales
- Values defined by behavioural indicators




**In summary...**
**The purpose of introducing the CVF is to:**
- **adapt policing to new demands and challenges**
- **ensure we achieve the highest standards of professional conduct.**

Incorporating the new CVF definitions and measures of values and competencies will require some modification of existing force processes and this work is currently being undertaken by People Services. This work includes our role profiles being linked to CVF, and shortlisting/interview training being cascaded through the force to those already trained in PPF, and to those with no prior shortlisting/interview experience.

Ev 7 a



# Values

## Impartiality

This value links to the principles of fairness and objectivity from the Code of Ethics.

As a police service, we must show impartiality throughout all our dealings with colleagues, partners and members of the public. This is achieved by being unprejudiced, fair and objective. We consider different sides of a situation and ensure that each side is given equal consideration. We do not favour one person or group over another, acknowledging that discrimination increases feelings of unfairness and makes our jobs harder to do. We must not allow personal feelings, beliefs or opinions to unfairly influence our actions in any situation.

We assess each situation based on its own merits ensuring we are fair and consistent in our actions. We are clear in our rationale for the decisions or actions we take ensuring they are clear and evidence-based.

### Behaviours

- I take into account individual needs and requirements in all of my actions.
- I understand that treating everyone fairly does not mean everyone is treated the same.
- I always give people an equal opportunity to express their views.
- I communicate with everyone, making sure the most relevant message is provided to all.
- I value everyone's views and opinions by actively listening to understand their perspective.
- I make fair and objective decisions using the best available evidence.
- I enable everyone to have equal access to services and information, where appropriate.

## Integrity

This value links to the principle of integrity from the Code of Ethics.

We understand and reinforce expectations of professional behaviour and openly recognise good and bad performance. We maintain the highest levels of professionalism, making sure that we always uphold the values and ethical standards of the police service.

We need to build and maintain confidence with the public, colleagues and partners if we are to deliver a modern and effective police service. Doing the right thing is about becoming a role model and upholding public trust.

### Behaviours

- I always act in line with the values of the police service and the Code of Ethics for the benefit of the public.
- I demonstrate courage in doing the right thing, even in challenging situations.
- I enhance the reputation of my organisation and the wider police service through my actions and behaviours.
- I challenge colleagues whose behaviour, attitude and language falls below the public's and the service's expectations.
- I am open and responsive to challenge about my actions and words.
- I declare any conflicts of interest at the earliest opportunity.
- I am respectful of the authority and influence my position gives me.
- I use resources effectively and efficiently and not for personal benefit.

## Public Service

This value links to the principles of respect and selflessness from the Code of Ethics.

As individuals and as part of a wider organisation, we have a responsibility to ensure that we act in the best interests of society as a whole. Improving the safety and wellbeing of the public underpins all that we do. We constantly think about how to create the best possible outcomes for those we serve and we take personal responsibility for delivering these. We show resilience and determination to overcome barriers and to provide the best outcome.

We are dedicated to work in the public interest, engaging and listening to their needs and concerns. We work to make sure that the public feel valued and engaged, which helps to build confidence in the police service. We are respectful to the needs and concerns of different individuals and groups.

## Behaviours

- I act in the interest of the public, first and foremost.
- I am motivated by serving the public, ensuring that I provide the best service possible at all times.
- I seek to understand the needs of others to act in their best interests.
- I adapt to address the needs and concerns of different communities.
- I tailor my communication to be appropriate and respectful to my audience.
- I take into consideration how others want to be treated when interacting with them.
- I treat people respectfully regardless of the circumstances.
- I share credit with everyone involved in delivering services.

## Transparency

This value links to the principles of honesty and openness from the Code of Ethics.

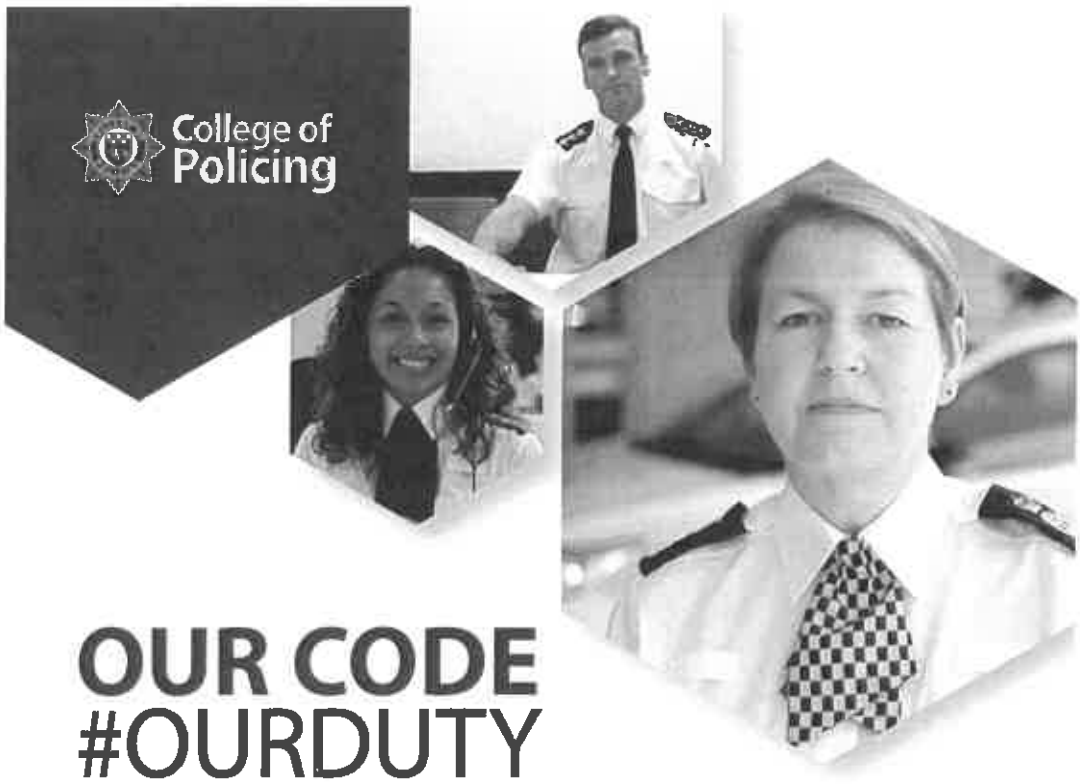
We are transparent in our actions, decisions and communications with both the people we work with and those we serve. This ensures that we are honest and open in our interactions and decision making. We are genuine with those we communicate with and endeavour to create trusting relationships. We accept feedback and are comfortable in responding to criticism and finding ways to improve.

We build trust with our colleagues, partners and communities by being open about what we have done and why we have done it and by keeping our promises so communities can rely on us when needed.

## Behaviours

- I ensure that my decision-making rationale is clear and considered so that it is easily understood by others.
- I am clear and comprehensive when communicating with others.
- I am open and honest about my areas for development and I strive to improve.
- I give an accurate representation of my actions and records.
- I recognise the value of feedback and act on it.
- I give constructive and accurate feedback.
- I represent the opinions of others accurately and consistently.
- I am consistent and truthful in my communications.
- I maintain confidentiality appropriately.

Ev 8




# OUR CODE #OURDUTY

**For the first time in policing, the Code of Ethics lays out the principles and standards of behaviour that everyone who works in policing can aspire to.**

The Code of Ethics applies to all officers and staff in England and Wales, in every force, in every role, at every level.

It provides a framework that will support you in making the complex judgements you are faced with every day, often in highly challenging situations and sometimes in a split second.

In policing, as in society, there are occasions when there is no clear cut 'right or wrong' solution. By living the Code, you can be confident that you'll tackle these ethical dilemmas in the best way and be able to account for your decisions with pride.

And if you are ever in a situation where you feel a colleague, regardless of their rank, role or position, is not meeting the high standards expected, the Code of Ethics should give you the confidence to do the right thing and challenge them.

The vast majority of those working in policing are already working to high standards. The Code simply defines the expectations more clearly and brings policing into line with other professions that have such codes. Knowing the police are adhering to a single Code should also help to give the public more confidence in what you do.

The Code of Ethics has been developed by your professional body, the College of Policing in consultation with those who work across policing at all levels, ranks and roles.

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**For more information about the College of Policing or the Code of Ethics, please visit www.college.police.uk/ourduty**

**Join in the conversation on Twitter: #ourduty**

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## You Said

"THERE NEEDS TO BE A STRONGER FOCUS ON 'KNOWING OUR PEOPLE' AND INCREASED VISIBILITY OF THOSE IN LEADERSHIP ROLES."

## We Did

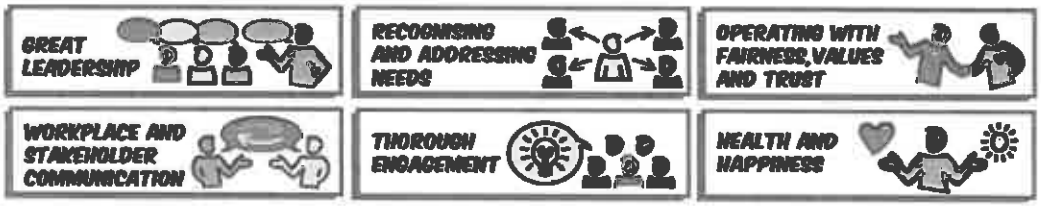
ask the Chief

YOUR QUESTIONS AND COMMENTS, DIRECT TO THE CHIEF. GIVE FEEDBACK AND GET UPDATES ON THINGS THAT AFFECT YOU.

THE CHIEF CONSTABLE HAS VISITED MOST STATIONS AND DEPARTMENTS. NOT HAD A VISIT? YOU'RE ON HIS LIST.

DPP BLOG

WHERE THE CHIEF OFFICER GROUP KEEP YOU UPDATED ON NEWS AND GIVE INSIGHTS IN TO THINGS HAPPENING BEHIND THE SCENES.




@PGCCMarkCollins

@DCCDyfed_Powys

Ev9

## You Said

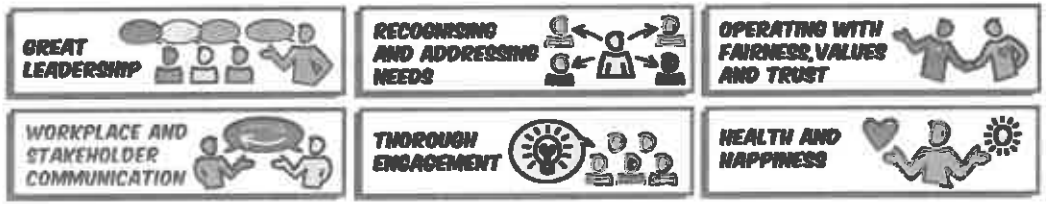
"THERE ARE BARRIERS TO PROACTIVE WORK. THIS MAINLY RELATES TO STAFFING LEVELS, WORKLOAD, EMPOWERMENT AND TRUST."

## We Did

THE ICAT TEAM IS UP-AND-RUNNING, WORKING TO REDUCE DEMAND ON THE FRONT-LINE.

41 NEW POSTS HAVE BEEN CREATED, COVERING A RANGE OF SPECIALIST AREAS.

THE CALON LEADERSHIP & WELLBEING STRATEGY, LAUNCHED THIS MONTH, EMPOWERS EVERYONE TO LEAD AND CHALLENGE




@PGCCMarkCollins
@DCCDyfed_Powys

## You Said

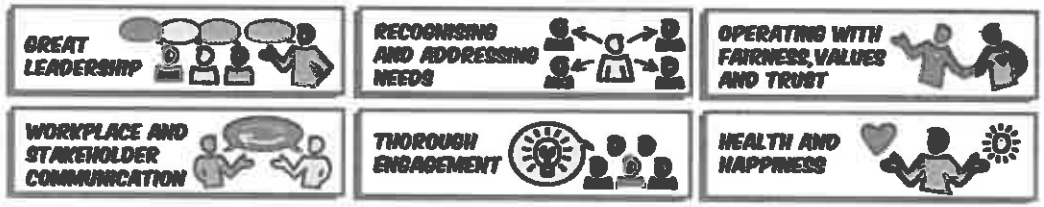
"DEVELOPMENT OPPORTUNITIES COULD BE GIVEN MORE FAIRLY."

THE CALON LEADERSHIP & WELLBEING STRATEGY EMPOWERS EVERYONE TO BE A LEADER.

## We Did

THIS YEAR'S BIDS FOR TRAINING TOTAL £436,000 - THIS IS WELL OVER BUDGET. WE ARE WORKING THROUGH THEM, MATCHING REQUESTS TO THE FORCE PRIORITIES.

THE SECOND LLYWIO TALENT MANAGEMENT COHORT HAVE NOW STARTED THE SCHEME.




@PGCCMarkCollins
@DCCDyfed_Powys

## You Said

"DYFED-POWYS POLICE COULD SHOW OFFICERS AND STAFF THAT IT CARES AND VALUES THEM MORE."

THE CALON LEADERSHIP & WELLBEING STRATEGY, LAUNCHED THIS MONTH, HAS THE WORKFORCE AT ITS HEART.

CALON
PUTTING LEADERSHIP AND WELLBEING AT THE HEART OF EVERYTHING WE DO

## We Did

THE INFORMER *live*

LIVE-TIME NEWS FROM THE FRONT LINE AND BEHIND THE SCENES - CELEBRATING YOUR EFFORT TO KEEP US MOVING, GROWING, DEVELOPING AND SAFEGUARDING

PLANNING FOR THE 2018 STAFF AWARDS IS UNDERWAY. APPLICATIONS OPEN SOON.

HEDDLU DYFED-POWYS POLICE
GWOBRAU ANNUAL 2018 BLYNYDDOL AWARDS

- GREAT LEADERSHIP
- RECOGNISING AND ADDRESSING NEEDS
- OPERATING WITH FAIRNESS, VALUES AND TRUST
- WORKPLACE AND STAKEHOLDER COMMUNICATION
- THOROUGH ENGAGEMENT
- HEALTH AND HAPPINESS

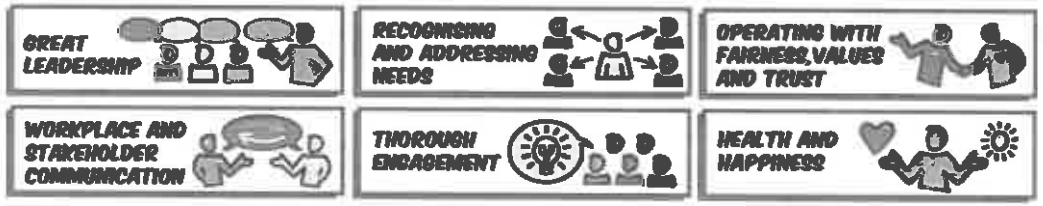
@PGCCMarkCollins
@DCCDyfed_Powys

## "THERE ARE BARRIERS TO REPORTING ALLEGATIONS OF DISCRIMINATION OR BULLYING, AND WE NEED TO LEARN FROM ANY REPORTS MADE."

## IF YOU FEEL YOU HAVE BEEN TREATED UNFAIRLY AT WORK CONTACT ANY OF THESE FOR SUPPORT:

- LINE/SENIOR MANAGER
- HR EMPLOYEE RELATIONS
- OCCUPATIONAL HEALTH
- SAFE CALL
- CHAPLAINCY SERVICE
- BAD APPLE

- HR SUPPORT OFFICERS
- UNISON
- POLICE FEDERATION
- SUPERINTENDENTS ASSOCIATION
- CARE FIRST
- SUPPORT NETWORKS




@PGCCMarkCollins
@DCCDyfed_Powys

Ev 10

CALON LEADERSHIP & WELLBEING STRATEGY
EXECUTIVE SUMMARY 2017 - 2021

# Foreword

As your Chief Constable, I am very proud to lead the force and to serve our many diverse local communities.

I firmly believe that policing is a vocation and that, we, in Dyfed-Powys Police continue to strive to protect the public and deliver the very best service that we possibly can within the budget provided.

Leadership is not rank or role specific.

I believe that recruitment is the start of our journey to success and defines the future leaders that we appoint to join us in our efforts to protect the public. I would very much like Dyfed-Powys to be the employer of choice for individuals seeking a career in policing.

It is essential that we value our workforce, and all members of Dyfed-Powys Police will be treated fairly and with respect. They will be engaged, consulted, developed and empowered as leaders. I want every person working for Dyfed-Powys Police to feel a big part of the force and its future direction.

*"I want every person working for Dyfed-Powys Police to feel a big part of the force and its future direction"*

Many members of our workforce have told me that they often feel isolated and that their voice is not heard. Some members of our workforce do not feel engaged or valued and feel that our organisation doesn't care for them. This cannot and will not continue. I want our workforce to practice our force values and embrace the Code of Ethics and I also want to see a much-improved team ethos across Dyfed and Powys where we are routinely sharing ideas and concerns.

I want to encourage everyone to come up with new ideas and innovation to deliver our key priorities more efficiently and effectively. We need to work together and capitalise on our strengths to deliver our service based on care, values and engagement for the benefit of our workforce and our communities.

The College of Policing (with full support from Chief Constables) have developed a new Competency and Values Framework (CVF) and this is the ideal opportunity to introduce our new 'CALON' Leadership and Wellbeing Strategy, which is the product of much work and which has regard for the unique requirements of Dyfed-Powys Police.

I am very proud of the force and the people who work for Dyfed-Powys Police. We all have a part to play in delivering the best service possible to the public of Dyfed and Powys and ensuring that we create a great place to live and work.

Mark Collins
Chief Constable

How we work with each other, the public and our partners is important. Our mission vision and values reinforce this for us.

The competency values framework has been launched by the College of Policing guiding all of us in the behaviours for policing and what are expected of us in the service.

How we behave with each other, the public and our partners determines how good we are at providing our service.

The behaviours have been mapped through the Calon Leadership and Wellbeing Strategy and action plans. .

We are a very proud "Welsh Family Force" who will deliver excellence through the care, values and engagement of our people.

This document contains a summary of the Calon Leadership and Wellbeing Strategy.

The document outlines the following:

- What is CALON?
- Our Journey
- What is the purpose of a Leadership and Wellbeing Strategy?
- What does success look like for us?
- Our CALON Model

## What is CALON?

- The word "CALON" means "heart" in the Welsh language and for that very reason it was chosen to symbolise our commitment as a force in putting care, values and engaging leadership at the heart of everything we do. A new 'CALON' Leadership and Wellbeing Vision has therefore been identified.

***"Dyfed-Powys Police strives to continually deliver excellence through care, values and engagement"***

- Underpinning the CALON Leadership and Wellbeing Strategy are six distinct delivery plans. These will ensure we will be best positioned to meet future organisational challenges and foster the growth and development of others to succeed.

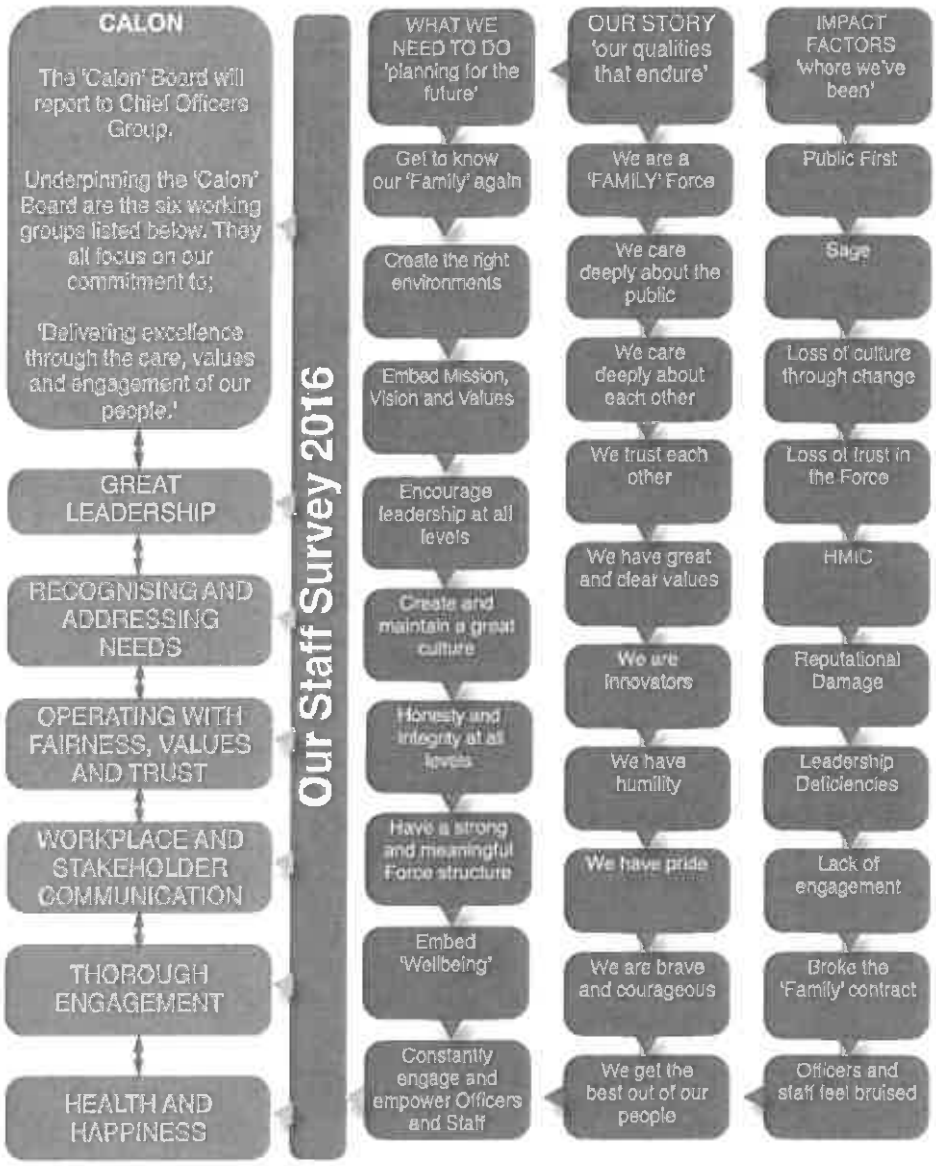
- The "GROWTH" strategic objectives are identified as follows:

Great Leadership
Recognising and Addressing Needs
Operating with Fairness, Values & Trust
Workplace & Stakeholder Communication
Thorough Engagement
Health and Happiness

- The six Growth objectives are underpinned by six delivery plans with nominated leads allocated to ensure delivery and roll-out.

## Towards the future: Our Journey

**In order to move forward, we recognise we need to step back. We will evaluate where we have been, what we have and together, determine where we will go next.**



## What is the purpose of the Leadership and Wellbeing Strategy?

**The purpose is to enable leaders to "deliver excellence through the care, values and engagement of our people".**

**With the support of all we will create the right environment, structures, processes and approaches to enable leaders to flourish. Supporting each other to be the best we can be and creating a high performance culture through its people.**

**There are six delivery plans underpinning the strategy these are:**

**Great Leadership; Recognising and addressing needs; Operating with fairness, trust and values; Workplace and stakeholder communication; Thorough engagement; Health and Happiness.**

Empowering people means trusting them to make decisions and do things their way"

**"The single most dignified thing you can do is just listen to someone" – Nancy Kline**

**How do we do this in Dyfed-Powys Police (DPP)?**
The underpinning principles are based on the very best practices and investors in People Principles.
They are:

- Use Evidence-based approaches: e.g. staff survey, HMIC review (Peel Inspection) Code of Ethics action plan, IIP action research, coaching and mentoring to name a few.
- DPP needs to now focus on behaviours, change the culture to empowerment and put people at the heart of everything we do.

**"Happy people live longer and are more productive people; realising you always have choices is the heart of being human"**

"Lead well and people will follow

**"It doesn't make sense to employ smart people and then tell them what to do; we employ smart people to tell us what to do" Steve Jobs**

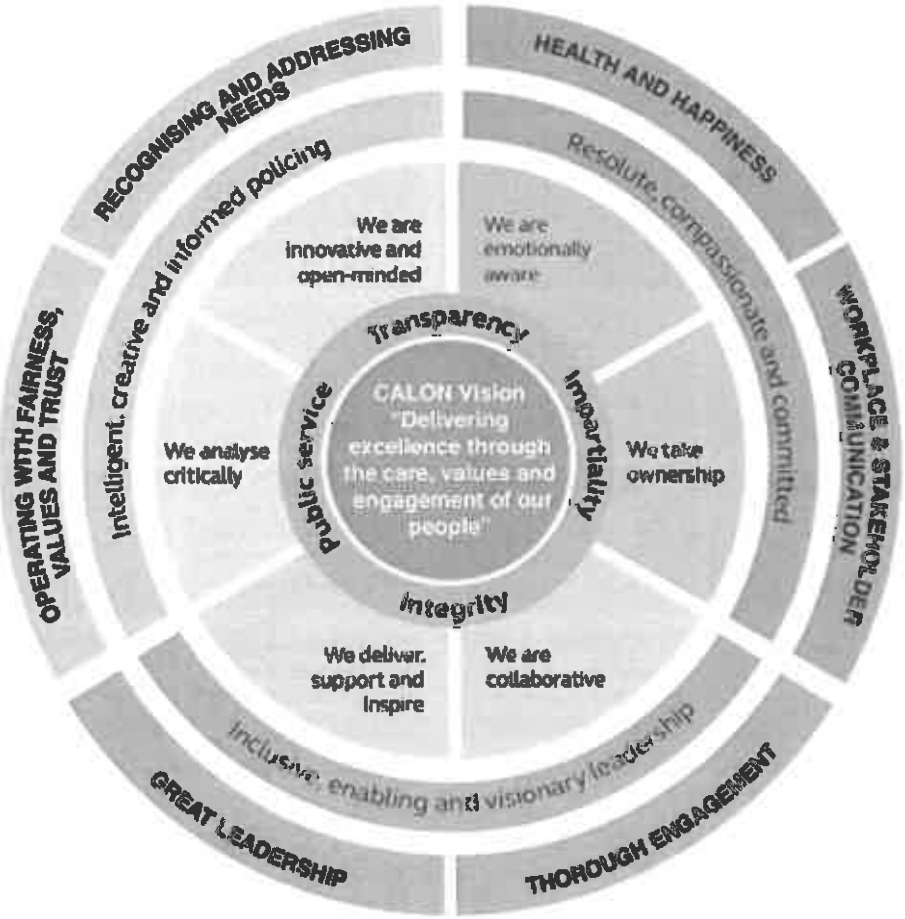
## What does success look like over the next 4 years ?

| Theme | Where are we now | What we will do | Success will be |
|---|---|---|---|
| Great Leadership | Loss of our culture through constant change | We need stability and clear direction. Leaders need to live the organisations values and behaviours | Empowering People |
| Recognising & Addressing Needs | We need to understand the skills of our staff and link that to our workforce plan. | We need to build capability. We need to ensure that staffs capabilities are actively managed and developed. | Building Capability. |
| Operating with Fairness, Values & Trust | Lack of trust in organisation and leaders | Leaders create a culture of openness and trust where people constantly behave in line with organisations values | Living the organisations values |
| Workplace Comms | No clear communication strategy for the force | Clear and consistent messages to all and in a timely and variety of methods | Increased trust |
| Through Engagement | People do not feel involved with the changes to the organisation | Changes are communicated before they are finalised so staff are involved and committed to the future success | Sustainable success |
| Health and Happiness | Wellbeing is recognised but needs to be part of leadership not just a function within the force | Leaders are engaged fully with their staff and support and encourage all. | Increased psychological wellbeing |

## Our CALON Model

**With the 'CALON' Vision at the heart of all we do, we can confidently address the 3 key priorities identified by our Chief Constable, by implementing and demonstrating our leadership behaviours at every level. We can achieve GROWTH with a clear understanding of all that we stand by (our principles).**

## Dyfed-Powys Police GROWTH Model:



## Rationale for selection

The leadership and wellbeing strategy relies on a behavioural shift towards care, values and engagement. Focusing on leadership to promote wellbeing is essential to this strategy. Great leadership and wellbeing practices support colleagues to understand and live the collaboratively defined behaviours, through good leadership, teamwork and engagement.

## Our Current Situation

The historical focus of policing on response, uniform processes and action means there has been limited capacity and capability to understand and implement the very best people management approaches. This has been within both individuals and teams; and as a result it has also been seen in our systems, processes and approaches. We are committed to change.

| Leadership Behaviours | | |
|---|---|---|
| Level 1 - Practitioner | Level 2 - Supervisor and middle manager. | Level 3 - Senior manager and Executive |
| PC & equivalent police staff | Sergeant, Inspector & Chief Inspector & equivalent police staff | Superintendent, Chief Superintendent & Chief Officer Team & equivalent police staff |
| Identify & address skills gaps | Identify & fast-track own and others development needs | Provide clarity when communicating direction and priorities for the organisation |
| Team-working, embrace values and Code of Ethics and respect difference | Engage, motivate and empower others | Ensure that everyone has a tailored development plan with defined personal objectives |
| Support others with their development needs | Role model - demonstrate values-based leadership and promote inclusivity as part of creating a team ethos | Embed the values and Code of Ethics across the organisation |
| Make informed and courageous decisions | Care for and support your team. Engage and get to know the needs of the team | Deliver and embed the 'CALON' Leadership and Wellbeing Strategy |
| Provide new ideas and innovation to improve efficiency and effectiveness | Coach and mentor others and create opportunities to aid development | Foster a coaching and mentoring culture across the whole organisation |
| Regularly seek feedback to aid continuous development | Reward and recognise positive contribution including new ideas and innovation | Create the environment for new ideas, creativity and innovation |

We will:

1. Improve the measurement and management of our demands and resources

2. Ensure the structure, promotion processes and performance monitoring of the organisation meet the challenges we face in 21st Century and that our Calon behaviours of care, value and engagement are embedded.

3. Promote workforce Autonomy and Independence of Judgement

4. Identify and develop talent to ensure that the right people are in the right posts at the right time;

5. Scope our future capability workforce requirements, and develop an enhanced plan to meet these requirements over the next 2, 5 and 10 years.

6. Provide flexibility and support to enable our workforce to take ownership of their career development.

7. Deliver enhanced development interventions, ensuring fairness of opportunity.

8. Deliver interventions that assist the decision making and ownership of our workforce.

9. Develop an enhanced strategy for recognition and reward at all levels.

10. Ensure we have a representative workforce with the right skills, powers and experience necessary for the changing profile and priorities in policing.

## Rationale for selection

A workforce requires the effective skills, behaviours, resources and work environment in order to perform effectively. The careful assessment and delivery of these needs is vital

## Our Current Situation

The 2016 Force Calon Survey identified the need to improve the behavioural skills of our leaders, the work environment and the management of demands. We have targeted engagement with diverse groups of our workforce ensuring we are able to measure the different opinions and perceptions to identify any issues for us as a Force. We have commenced work on the demand management of structures and we have a detailed workforce plan for submission for 2017-2025. An Estates review and plan has been undertaken and the publication of the National Police Chief's Council Policing Vision 2025 gives clear direction of commitment to policing and transformation.

| Leadership Behaviours | | |
|---|---|---|
| Level 1 - Practitioner | Level 2 - Supervisor and middle manager. | Level 3 - Senior manager and Executive |
| PC & equivalent police staff | Sergeant, Inspector & Chief Inspector & equivalent police staff | Superintendent, Chief Superintendent & Chief Officer Team & equivalent police staff |
| Prioritise workload against the Chief Constables priorities | Ensuring everyone understands and delivers the Chief Constables priorities | Set direction and communicate Chief Constables priorities |
| Engender a team spirit and "be there" to support your team colleagues | Implement the 'CALON' delivery plan | Develop and deliver the 'CALON' Leadership and Wellbeing Strategy |
| Take personal ownership for own development and future career needs and aspirations | Ensure team skills profiles are created, updated and that skills gaps are identified and addressed | Ensure a training and development programme is in place to address skills and confidence gaps |
| Taking ownership and responsibility and making decisions in line with the National Decision Making Model | Embed a culture of ownership and responsibility where staff are empowered to make decisions using the National Decision Making Model | Foster a culture of "everyone is a leader" across the whole organisation |
| Practising the Values and Code of Ethics when considering others different needs and perspectives | Creating an environment whereby feedback is routinely used to identify needs and receive healthy challenge | Deliver a representative workforce, which meets the diverse needs of communities and modern day policing |

We will:

1. Improve the measurement and management of our demands and resources

2. Ensure the structure, promotion processes and performance monitoring of the organisation meet the challenges we face in 21st Century and that our Calon behaviours of care, value and engagement are embedded.

3. Promote workforce Autonomy and Independence of Judgement

4. Identify and develop talent to ensure that the right people are in the right posts at the right time;

5. Scope our future capability workforce requirements, and develop an enhanced plan to meet these requirements over the next 2, 5 and 10 years.

6. Provide flexibility and support to enable our workforce to take ownership of their career development.

7. Deliver enhanced development interventions, ensuring fairness of opportunity.

8. Deliver interventions that assist the decision making and ownership of our workforce.

9. Develop an enhanced strategy for recognition and reward at all levels.

10. Ensure we have a representative workforce with the right skills, powers and experience necessary for the changing profile and priorities in policing

## Rationale for selection

Organisations and values are inseparable. Values inspire trust, trust builds relationships and relationships drive growth. We must adopt an evidence base when setting standards and making decisions and ensure that equality principles and ethical frameworks such as the Code of Ethics nine policing principles are used to guide us. Above all we need to operate with fairness, justness, equal opportunities and non-discrimination and ensure that the vision, mission and values of Dyfed-Powys Police are embedded.

## Our Current Situation

We have relaunched our vision, mission and values and ensured that all staff are fully informed. We have updated our Strategic Equality Plan and our code of ethics nine policing principles are being integrated into all that we do. We have a proactive code of ethics committee and close links with the Superintendents Association, Police Federation and Unison. A lesson's learnt committee reviews Professional Standards and People Processes and we discuss transformational issues and the embedding of fairness, trust and values at our People Board.

| Leadership Behaviours | | |
|---|---|---|
| Level 1 - Practitioner | Level 2 - Supervisor and middle manager. | Level 3 - Senior manager and Executive |
| PC & equivalent police staff | Sergeant, Inspector & Chief Inspector & equivalent police staff | Superintendent, Chief Superintendent & Chief Officer Team & equivalent police staff |
| Demonstrate high personal standards and embrace the Code of Ethics | Role model demonstrating values based leadership | Ensure the Code of Ethics and Values are fully embedded |
| Strong public focus displaying honesty, integrity, impartiality openness and honesty | Embedding the Code of Ethics across all teams | Deliver the equality strategy ensuring a representative workforce and one that embraces difference |
| Value, support and care for all team members | Demonstrate caring and engaging leadership, taking overall responsibility for the team | Role model - Do what you say, practice the force values and recognise the value of engaging the workforce in future direction and key decision making |
| Challenge inappropriate or discriminatory behaviour | Intervene and deal robustly with inappropriate and discriminatory behaviour | "Walk the walk" - be accessible, visible and engage the whole workforce |
| Respect the different needs of colleagues and communities and see others perspectives | Foster a culture of reflection, feedback and continuous learning and improvement | Create a culture of continuous learning and development and ensure a proportionate response where mistakes are found to have been made |
| Be reflective, self-aware and seek regular feedback to consider your own performance and your impact on others | "Walk the Walk" to engage with teams and verify that strategic direction is understood and being implemented | Encourage feedback on personal performance and decision making |

We will:

1. Continue to build a culture which values difference, openness and transparency, underpinned by the shared values and behaviours as set out in the Police Service Code of Ethics.

2. Embed our values and Code of Ethics into all local and national selection processes (LR 3) and adopt the Competency Values Framework for Policing (2017).

3. Improve our workforce understanding and use of the mission, vision and values.

4. Remove the stigma of mental health and promote mental health equality and support.

5. Reduce the impact of psychological harm to our workforce from internal Professional Standards (PSD) investigations and disciplinary matters.

6. Adopt behaviours that promote staff feeling valued and cared for by the organisation.

7. Ensure as leaders we give clear direction and outline expectations to those who work within Dyfed-Powys.

8. Encourage staff to be innovative, open minded, inquisitive and outward looking with the confidence to challenge.

9. Seek to understand how well we are performing, both as individuals and teams, and seek to continuously improve.

10. Expect staff to take ownership and empower them to do the right thing.

11. Reduce barriers to early reporting of allegations of discrimination or bullying and auditing reported cases to identify trends and learning the lessons.

## Rationale for selection

Effective leadership and wellbeing requires two-way commitment and communication between an organisation and its members. Communication includes both formal communication of messages but also a much wider definition including **interpersonal communications, coaching conversations and the promotion of a coaching culture.**

## Our Current Situation

The need for improved methods of communication, particularly during a period of change was highlighted within the 2016 force survey along with improvements to the interpersonal communication between our workforce and its leaders. We have recently launched a new corporate communications strategy and new communication methods are being developed. The coaching model is a key area of our leadership focus and we have an established network of organisational coaches.

| Leadership Behaviours | | |
|---|---|---|
| Level 1 - Practitioner | Level 2 - Supervisor and middle manager. | Level 3 - Senior manager and Executive |
| PC & equivalent police staff | Sergeant, Inspector & Chief Inspector & equivalent police staff | Superintendent, Chief Superintendent & Chief Officer Team & equivalent police staff |
| Take time to understand the Chief Constables directions and priorities | Ensure that everyone knows what is expected of them and the standards required | Promote a culture of "coaching communication" |
| Understand and comply with the Code of Ethics | Communicate and promote advisory and support services | Communicate direction and key messages in a way that the workforce can understand |
| Speak up on matters that concern you or any ideas you may have to improve the force | "Walk the walk" to engage the workforce and to deliver key messages | Direct and deliver a workforce engagement strategy |
| Provide support and mentoring to colleagues who lack confidence or require development | Proactively communicate positive work making best use of modern technology and communication platforms | Foster a culture of two-way feedback to deliver effective change and to ensure organisational learning |
| Be proactive in seeking out information and direction which will make you more effective in your role | Be proud to work for Dyfed-Powys Police and demonstrate pride when engaging with colleagues, partners and the public | "Walk the walk" to ensure that key messages are being disseminated and understood |
| Be reflective, self-aware and seek regular feedback to consider your own performance and your impact on others | "Walk the Walk" to engage with teams and verify that strategic direction is understood and being implemented | Encourage feedback on personal performance and decision making |

We will:

1. Promote a culture of "coaching communications" that will be the predominant communication style within our organisation.

2. Promote the new Leadership and Wellbeing Model, "Calon", fully within the Force.

3. Develop and implement a communication plan to promote support services and disseminate wellbeing information.

4. Develop a method of actively sharing ideas, good practice and engaging with our workforce that breaks down barriers and encourages creativity and engagement.

5. Introduce a simple, non-threatening feedback tool that can be routinely used to capture feedback between leadership and its workforce extending to line managers, staff and specialist roles.

6. Ensure that, at a minimum, monthly, quality two-way communications are under taken between leaders and their staff. Improved access to communications technology to support this in remote geographical areas will be a priority.

7. Develop an enhanced process specifically to communicate change and check and test the approach using staff feedback.

8. Increase access to coaching, particularly at practitioner and first line supervisor level and ensure all first line managers achieve a minimum standard of coaching ability with funding and support given to those interested to further develop this area.

## Rationale for selection

Engaged organisations have strong and authentic values, with clear evidence of trust and fairness based on mutual respect, where two-way promises and commitments between employers and employees are understood and fulfilled. We deliver, support and inspire and we understand the vision for Dyfed-Powys Police to role model our values on a daily-basis. Manager behaviour is vital for sustainable engagement. This means creating the right climate for staff to undertake their role and to do this to the best of their ability. Engagement alone is not enough

Wellbeing +Engagement = Sustainability.

## Our Current Situation

The police service is transforming the way it delivers policing and must inspire all to develop the flexibility, capability and inclusivity required to adapt to change. Our recent staff survey captured honest and practical ideas and feedback that we will embed into our Calon action plans and our Investors in People assessment outlined the need for us to invest in staff so they can fully embrace this change.

We are committed to developing and implementing the technological solutions to enhance engagement within our workforce and our communities and to remove any barriers that inhibit voice and inclusivity. Our Staff Associations fully represent the workforce but we need to increase interpersonal and wider organisational engagement.

| Leadership Behaviours | | |
|---|---|---|
| Level 1 - Practitioner | Level 2 - Supervisor and middle manager. | Level 3 - Senior manager and Executive |
| PC & equivalent police staff | Sergeant, Inspector & Chief Inspector & equivalent police staff | Superintendent, Chief Superintendent & Chief Officer Team & equivalent police staff |
| Advocacy - speak positively about the force to improve public confidence | Implement the force engagement strategy | Develop and deliver the organisational engagement strategy |
| Provide suggestions to make the force more efficient and effective | Listen to and act on any concerns or new ideas and innovation | Promote a culture of participation, innovation and togetherness |
| Provide feedback to line managers to help improve the organisation | Facilitate an environment where two-way feedback is the norm | Create a communication channel for all and act on new ideas and concerns |
| Challenge where you have any concerns about the force or its future direction | "Walk the walk" to discuss key issues with the workforce and identify any barriers to delivering the vision of the organisation | Demonstrate pride in the force and its people and celebrate success |
| Facilitate team discussions about needs and concerns and feedback to line managers | Engage with senior leaders and identify ideas and concerns to further improve the force | Involve the whole workforce in key decisions |

We will

1. Ensure that we encourage innovation and forward thinking by rewarding both success and participation and develop a process that widens access to this reward.

2. Act on what our workforce are telling us and promptly respond to their ideas and concerns.

3. Be authentic when engaging with our staff and follow through with our commitments.

4. Increase pride and engagement of our workforce by leading the way and encouraging innovation.

5. Ensure that when decisions are made about issues concerning working practices we ask for opinions from our workforce.

6. Promote greater engagement between departments within the Force.

7. Develop a process that facilitates engagement and feedback but that also specifically meets the needs of front line staff to ensure they are able to increase their voice and participation in decision making.

8. Develop ways to increase job satisfaction and feedback and ensure that we harness the full capabilities of our workforce.

9. Ensure that the promotion of wellbeing and engagement are intrinsic to our measurement of management performance so that we build an environment where our workforce look forward to going to work.

## Rationale for selection

Good work is important for physical and psychological wellbeing. Employers who adopt healthy working practices will have a happy, healthy and more productive workforce.

Whilst the health of every individual is their responsibility, Dyfed-Powys Police aims to promote a positive and healthy workplace that supports and empowers staff to make healthy choices. This means highlighting and minimising harmful working practices and promoting and implementing approaches that support good health.

## Our Current Situation

Dyfed-Powys Police has been recognised by the HMIC (2016) as having a good "In house" Occupational Health Service, delivering a comprehensive range of support services and health promotion events. The Force continues to improve its understanding of physical and psychological health strategies and we have a long-standing wellbeing group and wellbeing champions. The 'CALON' survey captured a comprehensive list of staff suggestions that impact on health and where possible they will each be considered for implementation. However, there is a disconnect between ownership of the wider organisation for the promotion of health and happiness. Going forward we will adopt a more proactive approach to the prevention of ill health where promoting health and happiness will be specific line manager objectives and wellbeing a standing agenda with our workforce.

| Leadership Behaviours | | |
|---|---|---|
| Level 1 - Practitioner | Level 2 - Supervisor and middle manager. | Level 3 - Senior manager and Executive |
| PC & equivalent police staff | Sergeant, Inspector & Chief Inspector & equivalent police staff | Superintendent, Chief Superintendent & Chief Officer Team & equivalent police staff |
| Be a 'happy and healthy' role model | Be a 'happy and healthy' role model | Be a 'happy and healthy' role model |
| Support team members to be physically active | Encourage use of facilities provided | Provide facilities to encourage healthy living |
| Report upwards on positive work by colleagues | Encourage use of available support services | Provide advisory and support services to promote health and happiness |
| Signpost facilities to others to ensure maximum use | Encourage new ideas to improve health and happiness in the workplace | Motivate the workforce with reward and recognition schemes |
| Signpost advisory and support services for colleagues in need | Motivate the team through reward and recognition and creating new opportunities | Celebrate success and recognise everyone's contribution |

We will:

1. Ensure a comprehensive, advisory, and support service, is available to the workforce.

2. Ensure that priorities around health and work are assessed and reviewed.

3. Review the Calon annual survey staff suggestions that impact on health and happiness with a view to implementing all practical suggestions that can be reasonably rolled out. We will also scope the requirements for more comprehensive interventions so they can be included in future planning.

4. Review information on staff wellbeing to improve our policies and procedures that impact on wellbeing.

5. Promote a community feel within the organisation (One DPP).

6. Encourage and support increased physical activity of our workforce to promote the overall wellbeing of staff.

7. Implement strategies to increase the resilience of our staff and facilitate awareness and support of health issues.

8. Closely monitor psychological health and prioritise support and interventions that support our staff and maintain and enhance our Mindful Employer and mental health action plan.

9. Adopt best practice and aim to lead the way in the promotion of Wellbeing. We will follow the guidance laid out in the current national Wellbeing Charters and, when available, will sign up to the police specific Wellbeing Charter being developed for policing. In doing so, we will strive to meet a standard of excellence.

10. Enhance the role of our of health and wellbeing champions to become more autonomous and introduce a local reporting line on this issue to Chief Inspector/ Superintendent level so that wellbeing issues and suggestions are picked up and that senior management actively drive this area of importance.

# CALON

**PUTTING LEADERSHIP AND WELLBEING AT THE HEART OF EVERYTHING WE DO**

**OUR SIX CALON G.R.O.W.T.H. STRATEGIC OBJECTIVES WILL DRIVE OUR CONTINUED DEVELOPMENT AND GROWTH**

**GREAT LEADERSHIP**

**RECOGNISING AND ADDRESSING NEEDS**

**OPERATING WITH FAIRNESS, VALUES AND TRUST**

**WORKPLACE AND STAKEHOLDER COMMUNICATION**

**THOROUGH ENGAGEMENT**

**HEALTH AND HAPPINESS**

Ev 11

# Business Support Officer – HR/Payroll
## Job Family - Supervisor

| | |
|---|---|
| **Grade:** E | **Department:** Business Support Unit |
| **Location:** Headquarters | **Security Vetting: RV** |
| **Role Specific Requirements/ Restrictions:** | None |
| **Role Specific Hazards:** | Display Screen Equipment |
| **System Access Requirements:** | MyTrent Manager Self Service, MyTrent Self Service, Sickness Recording, Tasking (DMS), Working Time Recording |

**Brief Description of your job, its main purpose and major tasks:-** To provide day to day supervision of staff within the Business Support Unit, ensuring efficient and effective deployment of resources, showing flexibility in meeting changes in demand. To implement training and development programmes to up skill staff and provide enhanced resilience within the Business Support Unit and specifically within the HR/Payroll Department.

**Role Specific Tasks**

1. To oversee specific budgets and ensuring expenditure is monitored in liaison with BSUCo-ordinators.
2. To produce performance reports, assessing progress against BSU objectives for consideration by senior manager.
3. To implement ongoing training and development particularly within the HRfunction.
4. To identify activities and processes that require improvement, highlighting continuous improvement SPOCs within business areas to deliver change and enhance performance.
5. To have responsibility for ensuring that IT solutions/functionality are exploited to optimiseuse along with senior BSU managers.
6. To provide supervisory resilience within the BSU during periods of absence/abstraction within the supervisor pool.
7. Responsible for the development and improvement of the recruitmentfunction.

**Role Generic Tasks**

8. To be responsible for the management, development and provision of quality services through flexible tasking processes.
9. To provide day to day line management of employees, including the proactive management ofworkplace health and wellbeing.
10. To deal with employee conduct, performance and attendance matters in adherence to Forcepolicy.
11. To work with customersat the initial point of contact and have the responsibility for resolving queries.
12. To prepare original reports and statistical returns to improve quality and performance and meet statutory and regulatory requirements
13. To be responsible for specific budgets and ensuring expenditure ismonitored.
14. To implement ongoing training and development activity to up skill staff, promoting flexibility of deployment and resilience.
15. To identify activities and processes that requires improvement to deliver change and enhanceperformance.
16. To provide supervisory resilience during periods ofabsence/abstraction.
17. To comply and act in accordance with relevant legislation, Dyfed-Powys Police Policies and protocols, including Code of Ethics, Personal Development Review (P.D.R), Equal Opportunities, Health & Safety, Management of Police Information, Data Protection and InformationSecurity.

**To view descriptors of the level of responsibility required of this role please** click here.

**Note:** This job description is provided to give post holders a broad outline of the job activities of this post. Dyfed-Powys Police may require other duties to be undertaken which are not necessarily specified on the job description but which are commensurate with the scale of the post. The job description may be amended from time to time within the scope and level of responsibility relevant to this post.

**Selection Criteria to be evidenced on application is below:-**

| | Attainments | Application | Interview |
|---|---|---|---|
| Role Specific | 1. Must have experience of compiling statistical returns by computer and/or manually. **(E)** | X | X |
| | 2. Must be able to prioritise and make best use of resources (staff and equipment) **(E)** | X | X |
| | 3. Must involve others and create a supportive environment encouraging team working and self-motivation **(E)** | X | X |
| | 4. Must have practical working experience in a Human Resource function and be able to interpret and apply relevant legislation **(E)** | X | X |
| | 5. Should have experience of policy development and implementation **(D)** | X | |
| | 6. Should hold or be working towards a certificate level qualification in Human Resource Management or equivalent **(D)** | X | |
| Role Generic | 7. Must possess GCSEs Grades A - C, in Mathematics and English Language, or have proven relevant experience to a comparable level in numeracy and literacy **(E)** | X | |
| | 8. Must have experience of mentoring, coaching or supervising others **(E)** | X | X |
| | 9. Must have previous administrative experience **(E)** | X | X |
| | 10. Must be able to administer policies and procedures to quality standards **(E)** | X | X |
| | 11. Must have effective written and oral communication skills, with an ability to communicate with people at all levels of the organisation **(E)** | X | X |
| | 12. Must have proven organisational skills and have the ability to effectively prioritise tasks to achieve deadlines **(E)** | X | X |
| | 13. Must demonstrate proficiency at working to a high degree of accuracy and show attention to detail **(E)** | X | X |
| | 14. Must demonstrate a practical approach to problem solving **(E)** | X | X |
| | 15. Must be proficient in the use of Microsoft Word for word processing and Excel for data manipulation and reporting **(E)** | X | X |
| | 16. Must be able to travel within the force area as required by the role **(E)** | X | |
| | 17. Should be able to respond to general enquiries over the phone and face to face through the medium of Welsh (Level 1) **(D)** Click here **for DPP Welsh Language requirements** | X | |

**(E)** – Essential / **(D)** – Desirable

**Please Note:** At interview candidates will be assessed against the criteria detailed in the following link Click here. Further details on the interview process are provided as part of the candidate information pack.

Ev 12

Heddlu Police

DYFED-POWYS

Diogelu ein cymunedau, gyda'n gilydd Safeguarding our communities, together

## Application Form: Llywio Career Development Scheme

Any police officer or member of staff who meets the criteria below may be nominated to the Scheme. Officers and staff may demonstrate a high level of ability and potential at any level within the organisation. The criteria below should be used by applicants and supervisors as a guide. Supervisory support is preferable, however self-nominations will be accepted. Applicants are not expected to meet all the criteria. It may also be useful to refer to the applicant's own role profile to assist completion of this form.

- Please submit all applications to: Llywio@dyfed-powys.pnn.police.uk
- The deadline for nominations is midnight on **28th February 2017.**
- Applications submitted on March 1st or thereafter will not be considered.

**Criteria**

- The police officer or member of staff is employed by or seconded to Dyfed-Powys and **currently**:

- *Has a high level of self-awareness*
- *Proactively seeks opportunities for personal development*
- *Communicates effectively with a range of colleagues*
- *Maintains a high level of competence in her or his role*
- *Has the respect and trust of colleagues*
- *Understands Dyfed Powys Police's vision, values, and priorities*
- *Strives to meet the needs of communities and staff*
- *Is open to feedback and has a high capacity to learn*

Plus they have the **potential** to:

- Take on new projects
- Solve problems creatively
- Use critical judgement
- Be a proactive catalyst for change

Please provide evidence of how the police officer or member of staff meets the criteria for the scheme by providing evidence under each of the broad headings below (maximum word count per section is stated within).

| **The Individual**<br>(Exploring the applicant's personal qualities. Please provide supporting examples). |
|---|
| • *Do you demonstrate a high level of competence in your role?*<br>• *Do you have a high level of self-awareness*<br>• *Do you proactively seek opportunities for personal development*<br>• *Do you have the **potential** to take on new projects and influence organisation change?*<br>• *Do you believe you have the potential to develop yourself further or become a future leader?* |
| **Evidence:**<br><br>*(750 words maximum)* |

| **Team Working**<br>(Exploring the applicant's team working skills. Please provide supporting examples). |
|---|
| • *Do you communicate effectively with a range of colleagues?*<br>• *Do you have the respect and trust of colleagues?*<br>• *Do you maintain a high level of competence your day job?* |
| **Evidence:**<br><br>(500 words maximum) |

| **Organisation**<br>(Exploring the applicant's public and organisational focus. Please provide supporting examples). |
|---|
| - *Do you understand Dyfed Powys Police's vision, values, and priorities*<br>- *Do you strive to meet the needs of communities and staff* |
| **Evidence:**<br><br>(500 words maximum) |

| **Personal Statement**<br>(Why should the applicant be considered over others?) |
| --- |
| - *Please consider all points listed in the criteria section* |
| **Evidence:**<br><br><br>(500 words maximum) |

| | |
|---|---|
| Application supported by:<br>(Line Manager / Coach / Peer) | |
| Supporting Comments: | |
| Self-Nomination | Yes / No |

Please submit all forms or questions to Llywio@dyfed-powys.pnn.police.uk by midnight on **28th February 2017**.

Heddlu Police

DYFED-POWYS

Diogelu ein cymunedau, gyda'n gilydd Safeguarding our communities, together

# LIVE ABSENCE REPORT

## Monday 07 Sep 2020

Sickness Trigger Hit

| Area | Establishment Total | Absence Total | % Establishment Absent |
|---|---|---|---|
| CID | 428.04 | 13.70 | 3.2 |

| Pay Ref No | Name | Post | Station | Department | Division | Absence Start Date | Current Status | Last Updated | Injury On Duty / Near Miss | Occupational Health Referral | Bradford Score | Number Of Absences In Last 12 Months | No. Of Days Lost In Current Absence | No. Of Days Lost In Last 12 Months | Marked As Sick On Rota Until | End Date Of Current GP Note | Line Manager |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | CID | 06/08/2020 | Active | 07/09/2020 08:15:45 | N | N | 768 | 4 | 33 | 48 | 29/08/2020 | 29/08/2020 | |
| | | | | | CID | 17/07/2020 | Active | 07/09/2020 08:15:41 | N | N | 220 | 2 | 53 | 55 | 19/08/2020 | 19/08/2020 | |
| | | | | | CID | 09/12/2019 | Active | 07/09/2020 08:15:40 | N | N | 274 | 1 | 274 | 274 | 16/09/2020 | 16/09/2020 | |
| | | | | | CID | 22/06/2020 | Active | 07/09/2020 08:15:41 | N | N | 78 | 1 | 78 | 78 | 22/09/2020 | 22/09/2020 | |
| | | | | | CID | 01/09/2020 | Active | 07/09/2020 08:15:41 | N | N | 120 | 2 | 7 | 30 | 07/09/2020 | 07/09/2020 | |
| | | | | | CID | 08/01/2020 | Active | 07/09/2020 08:15:40 | N | N | 1028 | 2 | 244 | 257 | 10/09/2020 | 10/09/2020 | |
| | | | | | CID | 06/09/2020 | Active | 07/09/2020 08:15:41 | N | N | 2 | 1 | 2 | 2 | 10/09/2020 | 12/09/2020 | |
| | | | | | CID | 04/07/2020 | Active | 07/09/2020 08:15:41 | N | N | 66 | 1 | 66 | 66 | 21/09/2020 | 21/09/2020 | |



EV13

| | | | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | CID | 16/08/2020 | Active | 07/09/2020 08:15:41 | N | N | 704 | 4 | 23 | 44 | 27/08/2020 | 30/08/2020 | |
| | | | | | CID | 25/08/2020 | Active | 07/09/2020 08:15:41 | N | N | 14 | 1 | 14 | 14 | 31/08/2020 | 31/08/2020 | |
| | | | | | CID | 25/07/2020 | Active | 07/09/2020 08:15:41 | N | N | 198 | 2 | 45 | 49 | 24/10/2020 | 24/10/2020 | |
| | | | | | CID | 27/08/2020 | Active | 07/09/2020 08:15:41 | N | N | 12 | 1 | 12 | 12 | 24/09/2020 | 24/09/2020 | |
| | | | | | CID | 09/05/2020 | Active | 07/09/2020 08:15:41 | N | N | 122 | 1 | 122 | 122 | 26/10/2020 | 26/10/2020 | |
| | | | | | CID | 02/09/2020 | Active | 07/09/2020 08:15:41 | N | N | 6 | 1 | 6 | 6 | 07/09/2020 | 06/09/2020 | |

# ABSENCE REPORT

## Monday 31 Aug 2020 to Sunday 06 Sep 2020

Sickness Trigger Hit

| Area | Establishment Total | Absence Total | % Establishment Absent |
|---|---|---|---|
| CID | 427.90 | 16 | 3.74 |

| Pay Ref No | Name | Post | Station | Department | Division | Absence Start Date | Current Status | Last Updated | Injury On Duty / Near Miss | Occupational Health Referral | Bradford Score | Number Of Absences In Last 12 Months | No. Of Days Lost In Current Absence | No. Of Days Lost In Last 12 Months | Marked As Sick On Rota Until | End Date Of Current GP Note | Line Manager |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | CID | 09/12/2019 | Active | 07/09/2020 08:15:40 | N | N | 274 | 1 | 273 | 273 | 16/09/2020 | 16/09/2020 | |
| | | | | | CID | 05/01/2020 | Active | 07/09/2020 08:15:40 | N | N | 1028 | 2 | 243 | 256 | 10/09/2020 | 10/09/2020 | |
| | | | | | CID | 09/05/2020 | Active | 07/09/2020 08:15:41 | N | N | 122 | 1 | 121 | 121 | 26/10/2020 | 26/10/2020 | |
| | | | | | CID | 26/05/2020 | Closed | 07/09/2020 08:15:41 | N | N | 420 | 2 | 98 | 105 | 30/08/2020 | 30/08/2020 | |
| | | | | | CID | 22/06/2020 | Active | 07/09/2020 08:15:41 | N | N | 78 | 1 | 77 | 77 | 22/09/2020 | 22/09/2020 | |
| | | | | | CID | 04/07/2020 | Active | 07/09/2020 08:15:41 | N | N | 66 | 1 | 65 | 65 | 21/09/2020 | 21/09/2020 | |
| | | | | | CID | 17/07/2020 | Active | 07/09/2020 08:15:41 | N | N | 220 | 2 | 52 | 54 | 19/08/2020 | 19/08/2020 | |
| | | | | | CID | 25/07/2020 | Active | 07/09/2020 08:15:41 | N | N | 196 | 2 | 44 | 48 | 24/10/2020 | 24/10/2020 | |
| | | | | | CID | 08/08/2020 | Active | 07/09/2020 08:15:45 | N | N | 768 | 4 | 32 | 47 | 29/08/2020 | 29/08/2020 | |

| | | | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | CID | 16/08/2020 | Active | 07/09/2020 08:15:41 | N | N | 764 | 4 | 22 | 43 | 27/09/2020 | 30/08/2020 | |
| | | | | | CID | 25/08/2020 | Active | 07/09/2020 08:15:41 | N | N | 14 | 1 | 13 | 13 | 31/08/2020 | 31/08/2020 | |
| | | | | | CID | 28/08/2020 | Closed | 06/09/2020 16:31:42 | N | N | 40 | 2 | 5 | 10 | 01/09/2020 | 03/09/2020 | |
| | | | | | CID | 01/09/2020 | Active | 07/09/2020 08:15:41 | N | N | 120 | 2 | 6 | 29 | 07/09/2020 | 07/09/2020 | |
| | | | | | CID | 02/09/2020 | Active | 07/09/2020 08:15:41 | N | N | 9 | 1 | 5 | 5 | 07/09/2020 | 08/09/2020 | |
| | | | | | CID | 06/09/2020 | Active | 07/09/2020 08:15:41 | N | N | 2 | 1 | 1 | 1 | 10/09/2020 | 12/09/2020 | |
| | | | | | CID | 27/08/2020 | Active | 07/09/2020 08:15:41 | N | N | 12 | 1 | 11 | 11 | 24/09/2020 | 24/09/2020 | |

# SICKNESS TRIGGER REPORT
## Mon 31 Aug 2020 to Sun 06 Sep 2020

| CID | | | |
|---|---|---|---|
| Staff Member | Triggers | Absence Information | Action(s) Required |
| | **Triggering On:**<br>Bradford Score >200 (274)<br>Days Current Absence >27 (273) | Last Absence 09/12/2019 to current<br>Last Review By OHU: 22/06/2020<br>Medical Certification Until 16/09/2020<br>No Open Supportive Plan | Management Contact Due On 01 Sep 2020 |
| | **Triggering On:**<br>Bradford Score >200 (420)<br>Days Current Absence >27 (98) | Last Absence 26/05/2020 to 31/08/2020<br>Last Review By OHU: 22/06/2020<br>Medical Certification Until 30/08/2020<br>No Open Supportive Plan | Complete Supportive Plan<br>Sickness Certificates Required |
| | **Triggering On:**<br>Days Current Absence >27 (65) | Last Absence 04/07/2020 to current<br>No OHU Referral<br>Medical Certification Until 21/09/2020<br>No Open Supportive Plan | Management Contact Due On 31 Aug 2020 |
| | **Triggering On:**<br>Bradford Score >200 (220)<br>Days Current Absence >27 (52) | Last Absence 17/07/2020 to current<br>No OHU Referral<br>Medical Certification Until 19/08/2020<br>No Open Supportive Plan | Doctor Certificate Due On 20 Aug 2020<br>**(Please note that certificates must be provided to cover the whole period of absence and must be submitted to the Business Support Unit (HR) within 14 days of the due date.)**<br>Marked As Sick On Rota Date Passed (19 Aug 2020) |

| | | | |
|---|---|---|---|
| | **Triggering On:**<br>Days Current Absence >27 (44) | Last Absence 25/07/2020 to current<br>Last Review By OHU: 24/08/2020<br>Medical Certification Until 24/10/2020<br>No Open Supportive Plan | Management Contact Due On 01 Sep 2020 |
| | **Triggering On:**<br>Bradford Score >200 (768)<br>Number Of Absences >2 (4)<br>Days Current Absence >27 (32) | Last Absence 06/08/2020 to current<br>No OHU Referral<br>Medical Certification Until 29/08/2020<br>No Open Supportive Plan | Doctor Certificate Due On 30 Aug 2020<br>**(Please note that certificates must be provided to cover the whole period of absence and must be submitted to the Business Support Unit (HR) within 14 days of the due date.)**<br>Management Contact Due On 01 Sep 2020<br>Marked As Sick On Rota Date Passed (29 Aug 2020) |

Ev 14

# Transformational Leadership Programme

The Transformational Leadership Programme aims to equip learners with the knowledge, skills and confidence to coach and guide cultural change. The course will enable participants to apply transformational leadership behaviours, tools and techniques in their day to day activities so that agreed values and behaviours are embedded across the organisation. This programme supports the work that underpins the CALON Leadership and Wellbeing Strategy which commits us to delivering our service based on care, values and engagement.

The course is a five day course aimed at supervisors and managers both Police Officers and Police Staff across DPP. This course will provide the skills to enable the individual to coach and mentor staff within the workplace.

**Topics covered throughout the course of the week include:**

- Understanding myself
- Emotional Intelligence and Understanding your Emotional Bank balance
- Using a Coaching style of Leadership
- Discussion around Leadership styles
- Managing Change Successfully using various change models and theories
- Giving Performance Feedback
- Employee Engagement / Team Building
- Developing leadership Coaching skills
- Effective Communication and Positive Body Language

**Learning Outcomes:**

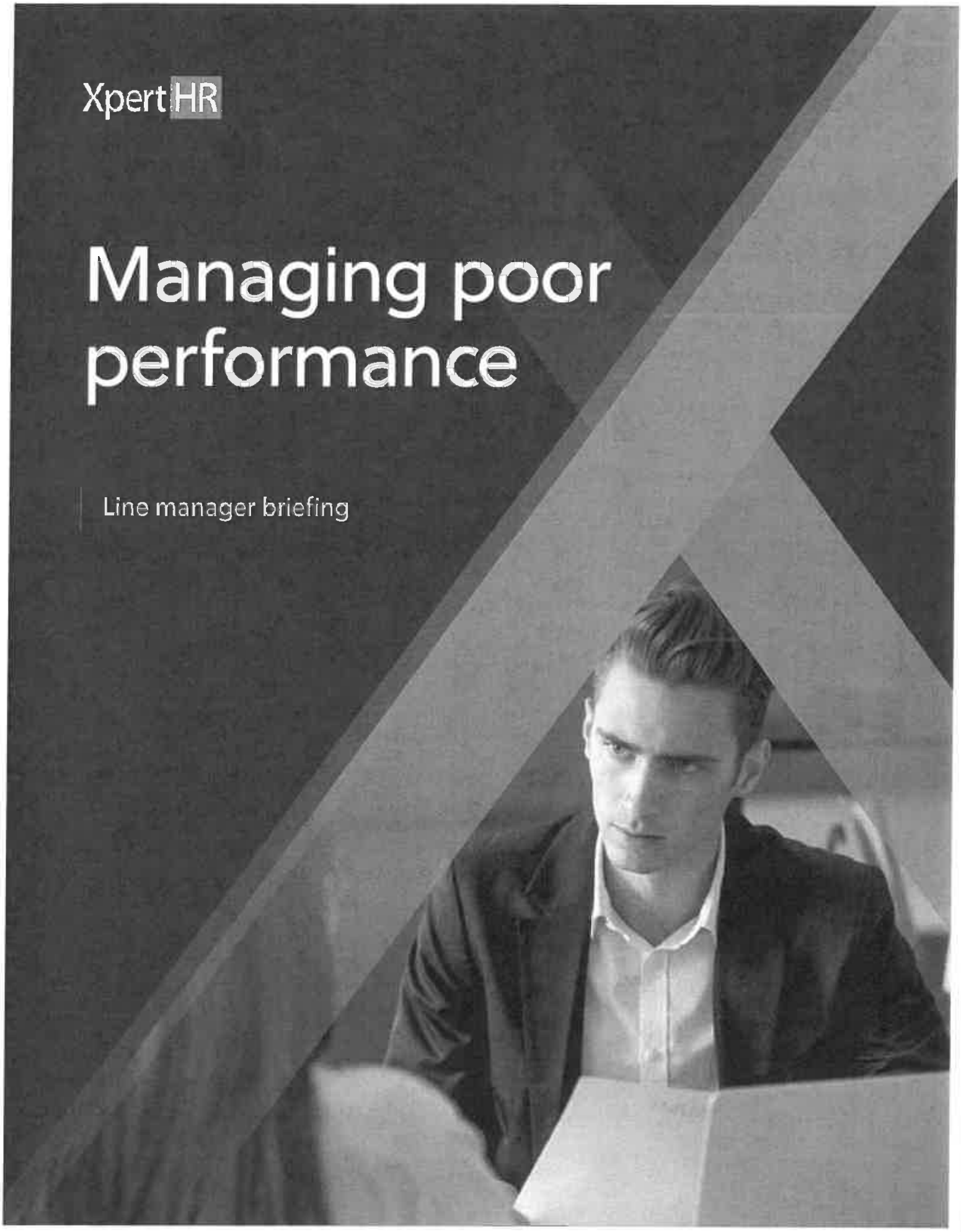
- Bring out the ***best in people***
- ***Coach and guide*** others and self through complexity
- ***Work positively*** through uncertainty and ambiguity
- Set a tone that ***trying things is good*** and supporting and helping their teams to reflect on ***what worked well , what could have been better*** and implementing learning
- ***Demonstrate initiative*** and come up with their own answers- rather than asking permission
- ***Manage relationships*** , as opposed to just activities , in order to achieve objectives
- Ensure ***sustainable performance*** and proactive working across DPP

EV15

XpertHR

# Managing poor performance

Line manager briefing



XpertHR

# Managing poor performance:
## Line manager briefing

Addressing poor performance is a key element of a line manager's role - and for many that now means managing the performance of team members working from home.

Our line manager briefing provides the guidance line managers need to deal confidently with performance management issues - including the additional challenges that can arise in a remote working environment. It includes sample conversations and "Dos and don'ts", as well as "Talking points" for training sessions.

### The guide covers:

- Introduction
- Identifying poor performance
- Early intervention
- Feedback
- Consistency
- Where feedback does not work
- Preparing for an informal performance management discussion - checklist
- Making it formal
- Taking notes
- Barriers to success
- Help and support
- Setting targets and objectives
- Supervision and review
- Redeployment
- Settlement agreements
- Allegations of bullying and discrimination
- Where problems have been ignored in the past
- When the employee is working remotely
- Key points to remember

### About XpertHR

XpertHR is the UK's leading online resource for employment law, HR good practice and benchmarking, bringing together everything HR professionals need to stay compliant with employment legislation, operate cost effectively and maintain a competitive edge.

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## Introduction

All management is performance management. The central role of a manager is to harness the resources at their disposal to achieve business aims. These aims can be met only if the individuals working towards them are working effectively and competently. A key part of your role as manager is to get the best out of the people in your team and that means addressing any problems with the way in which individual members of that team are working.

In dealing with poor performance it is essential that you act fairly, show no favouritism to individuals and avoid committing any discrimination based on the protected characteristics set out in the Equality Act 2010.

The cost of getting this wrong can be significant, not only in terms of claims for unfair dismissal or discrimination, but also in terms of the cost to the business of performance issues not being addressed effectively.

This briefing is intended to help you realise the value to you and your organisation of managing poor performance while ensuring that, at the same time, you act fairly and within the law.

## Identifying poor performance

This is easier in some jobs than others. As a manager you will have a clear idea of what "good" performance looks like. You may be concerned with how quickly units of work are completed or with the quality of finished work. It may be a question of how many calls are made, or how many calls have a successful outcome. It may be a question of customer feedback, or sales figures, or something entirely different.

For example:

- Employee A is a press officer for a large financial company. As such they have to write press briefings about key developments in the organisation. However, their manager is concerned that these are frequently sent out with grammatical and spelling mistakes with the result that they are not used by the specialist press as much as the company would like.
- Employee B works in a call centre. The number of calls they make each day is measured and compared with their colleagues' call rate. Employee B's numbers are consistently 15% below the average and as a result their sales figures are also below target.
- Employee C is a customer service assistant for an online retailer. A number of customers have complained that they have received the wrong goods in the post. While the employer accepts that some mistakes are inevitable, other customer service assistants do not receive the same number of complaints about their orders.
- Employee D is a software developer for a business-to-business software firm. They are required to develop specific features of a new accounting package aimed at small businesses. However, the project has been delayed because they have failed to complete their designated part of the work on time.
- Employee E is a plumber. In the past month, remedial work has had to be done in respect of three hot water tanks that they installed for customers. In each case, the customer complained about the mess that they left behind and, in two cases, it was necessary to replace some pipes that had been incorrectly fitted.

*Did you know that...*

***...If an employee is pregnant you need to take extreme care in raising concerns about their performance? It is essential that an employee is not treated unfavourably for a reason that relates to pregnancy as this would amount to discrimination. Take advice from HR before raising performance issues with pregnant employees.***

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What really matters is that there is a shared understanding of what level of performance is required and how it is measured. As a manager it is your responsibility to ensure that everyone understands what level of performance is required.

This is not a conversation that can be confined to annual performance appraisals. Employees need regular constructive feedback on their performance. This need not be heavy-handed, but you should not allow a situation to develop where an employee is unaware of the fact that their performance is poor.

### The difference between poor performance and misconduct

Sometimes it can be difficult to tell whether the problem is one of poor performance or misconduct. As a general rule, the key question is whether or not the employee's actions are deliberate. If an employee's lower than average work rate is as a result of, for example, leaving work early or taking extended lunch breaks, this is a misconduct issue. However, if the problem relates to the time that the employee takes to complete the work as a result of poor organisation or a lacklustre approach, this should be dealt with as poor performance.

Deliberate carelessness can often amount to misconduct. In the plumbing example above, the mess left behind in the customer's home would probably be treated as misconduct. Tidying up after a job is a basic requirement of the role and, in failing to do so, the employee is simply neglecting their duty. In contrast, fitting pipes incorrectly, unless it was the result of a deliberate lack of care and attention, is probably a question of poor performance.

### Handling complaints and observations relating to performance

Poor performance may come to your attention because you yourself notice it. However, it may also be something that is pointed out by other employees, managers or customers. It is important that the employee is given an adequate opportunity to respond to the substance of any complaint before you reach a conclusion about its validity.

Where complaints are made by fellow employees, be aware of the need for discretion. Do not get into a conversation about the strengths and weaknesses of the employee with their colleagues. Instead, thank them for their concern and obtain as much detail as possible about the performance issue that they have identified. Where possible, check this for yourself before raising the matter with the employee. That way there is no need to bring any other employees into the process. Where this cannot be done - perhaps the employees were concerned when they saw the employee perform a particular task, but there is no record to check - it will not be possible to take action without telling the employee what their colleagues saw. If the employee disputes their version of events, you will need to take a view as to whose account is more likely to be true.

Do not give fellow employees a running commentary on any performance management measures that you are taking as a result of their complaints or observations. If they ask, thank them for their concern and say that the issue is being dealt with privately.

## Early intervention

The longer poor performance is left unaddressed, the harder it is to resolve the issue fairly. It may be tempting to hope that a problem will simply go away or that you can work around the issue without addressing it directly.

You may regard it as something that HR needs to deal with - but dealing with poor performance is your responsibility as a line manager.

However difficult or awkward it may seem, it is far easier to resolve performance issues fairly and within the law if problems are tackled at an early stage. Ignoring poor performance until it has become a major concern will have a negative impact on team and organisation performance. Other employees may become resentful that an employee is being allowed to get away with performing poorly and this may affect their own motivation. They may take it as a signal that the organisation does not value high-quality work and

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*What gets in the way of raising performance concerns with employees?*

the performance of the whole team may suffer as a result. It is also unfair on other employees to ignore poor performance. If someone is not doing their fair share of the work then it is often left to colleagues to pick up the slack or spend time correcting the employee's errors to the detriment of their own work.

Allowing a problem to continue without addressing it will make it harder to raise the issue with the employee concerned and increase the risk of a dispute as the employee may have forgotten the incident you are referring to and feel unable to defend how they handled it.

Crucially, not addressing issues when they occur gives the impression that you are happy with an employee's performance. This can make any subsequent intervention seem unfair. If you have ignored errors in the past and suddenly start pointing them out to the employee, this could look as if you are picking on them for some other reason. If you have given the impression that the volume of work produced by the employee is satisfactory, and then tell the employee that they need to produce more, this will inevitably strike the employee as being an unreasonable demand. From the employee's point of view, it will seem as though you are increasing their workload. This can make any subsequent intervention seem unfair and give the impression that you have an ulterior motive.

# Feedback

Constructive feedback on the work that individuals are doing should be a regular feature of your relationship with them.

This means giving negative as well as positive feedback. This can feel awkward and uncomfortable, but it should not be avoided. In giving negative feedback to employees you should be:

- prompt - do not save feedback for a review meeting weeks after the event;
- clear - the employee needs to understand what the issue is to be able to rectify it and they also need to appreciate the importance of your conversation, namely that the issue is something that they need to take on board and address - signify this tactfully but clearly;
- objective - you are not criticising the employee's personality or innate ability, but pointing out behaviours that could be improved;
- constructive - you need genuinely to aim at helping the employee improve for the future; and
- specific - address a particular issue or task, avoid comments that are too general and focus on specific points that can be properly discussed.

## Dos and don'ts

| Don't say | Do say |
|---|---|
| That report you wrote was full of errors, I spent ages having to correct it. | Here are the changes that I made to your report highlighted in "tracked changes". You can see that most of them were the results of grammatical errors and typos. Look in particular at this paragraph. |

Negative feedback is best given face-to-face. It may be tempting simply to put it in an email, but this can cause real difficulties. It can be difficult to judge the right tone in an email and easy to sound more strident than is appropriate. More importantly, if you are not present you cannot deal with the employee's initial reaction to

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the feedback. They may be upset or anxious about their position and you need to be there to make sure that they focus on the positive things that they can do to improve the situation. There is no point in just allowing your negative feedback to prey on the employee's mind until you have an opportunity to meet. The most important thing is to agree a way forward and, for this to happen, there needs to be a proper conversation. Most employees will also respect you more for talking to them face-to-face rather than sending an email.

Before meeting an employee to give negative feedback it is important to prepare. If complaints have been made, make sure you have the precise terms of those complaints at your fingertips. If you are commenting on a particular piece of work, make sure that you have either the work itself, or a detailed assessment of it. Ensure that you understand the context in which the work is done and any other circumstances that might affect the employee's performance. For example:

- Is the employee's workload currently higher than usual?
- Are other employees experiencing similar problems?
- Has anything in the working environment changed, for example have there been changes in equipment or has a new software system or seating arrangement been introduced?

Bear in mind that, while preparation is critical, it is an informal meeting, not a hearing. There is no need to present a dossier of evidence to prove your case. You just need to be prepared to talk in detail about the performance issues that you want to raise and any other circumstances that are relevant to the employee's performance.

When giving negative feedback it is important to bear in mind the following:

- Be concerned but not angry.
- Never lose your temper, never raise your voice.
- Do not, under any circumstances, swear.
- Use positive visual and verbal behaviours (such as maintaining eye contact, creating opportunities for the employee to speak and not interrupting).
- Make sure feedback is given where it cannot be overheard.
- Never embarrass employees in front of their colleagues.
- Make it clear that this is about addressing a problem - the employee is not being "told off".
- Be able to explain what impact the problem is having on the business and the consequences that the employee's poor performance is having on colleagues or customers.
- Agree a way forward: what steps will you both take to improve the situation?

## Dos and don'ts

| Don't say | Do say |
|---|---|
| You are badly organised. | This area of work needs to be better organised. |
| You are too slow. | This work needs to be completed more quickly. |
| You are very careless. | I don't think this work was done as carefully as it should have been. |
| You aren't very good at X. | X needs to be done better. |

Avoid getting into an argument but be prepared to challenge any denials or excuses. Keep focused on the work done by the employee. Do not get dragged into a discussion about work done by others unless this has a direct impact on what the employee does.

Ideally you want the employee to accept the criticism and the need to improve, but do not pursue this too far. If the employee simply refuses to accept any shortcomings in

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their work, explain that it is your responsibility to ensure that the work is done properly and give clear instructions about how you want to see the work done in the future.

If the employee is resistant to any criticism it is worth pointing out that ultimately it is for the employer to decide on what standards of work can be expected of employees and that the employee must meet those standards to remain in employment.

Do not overdramatise this. Do not threaten the employee with dismissal.

### Dos and don'ts

| Don't say |
| --- |
| It's my way or the highway. |
| Shape up or ship out. |
| If you don't like it, you know where the door is. |

You want the employee to understand that:

- you value their work and want them to stay;
- there are some problems with the way in which their work is currently being done;
- these problems need to be addressed and the employee's work needs to improve; and
- you will help and support the employee in making this improvement.

If the employee becomes visibly upset and emotional be prepared to take a break to allow them to compose themselves. Stress that you want the meeting to be about positive ways in which things can get better and that you will listen to any suggestions that the employee may have. Agree another time to meet to talk about those suggestions so that you can agree a way forward. Do not force the employee to go straight back to their desk or workstation - suggest that they get some fresh air or a coffee before continuing with their work.

If the employee becomes aggressive or threatening, bring the meeting to an immediate end. Say that their reaction is inappropriate and stress that you simply want to agree a positive way forward. Allow them some time to cool down before resuming. If you feel that you have actually been threatened, or that their behaviour was unacceptable, contact HR and discuss whether or not disciplinary action is needed.

## Consistency

Acting in a consistent way is a fundamental part of behaving reasonably and fairly. You should be careful to make sure that you are not singling out one employee for particular attention where other employees are experiencing similar problems with their performance.

This is one reason why it is so important to have a clear appreciation of how individual members of your team are performing. If you focus on one employee's performance - perhaps because you happened to notice a particular mistake - but have ignored similar issues with other employees, this can seriously undermine the fairness of the process and also undermine your perceived impartiality as a manager.

When you are addressing an individual performance issue, you should consider whether this is a problem that is particular to one individual, or whether it is a problem with the performance of the entire team. If it is the latter you should consider an intervention aimed at the whole team rather than the individual.

## Where feedback does not work

How long you should give the employee to show that they are responding to feedback will of course vary with the circumstances. There are some issues that can be addressed immediately (for example the number of calls made by a telesales executive) and you should know within days whether or not the employee has

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responded appropriately to your comments. Other types of work may take longer for any improvement to be apparent. However, you should be able to form a clear impression of how the employee has responded and whether or not there has been any change in their application or attitude towards their work.

If the employee has not responded to your feedback then it may be necessary to have a more formal discussion about their performance. This will not, however, be a formal hearing (that may come later).

The purpose of the meeting will be to express your concern that the employee has not responded to your feedback and that problems with their performance are continuing. Clearly set out the ways in which the employee's performance is falling below the standard required. This will involve gathering detailed examples of the employee's work and, where possible, comparative pieces of work that do meet the required standard. Make it clear that your objective is to see the employee succeed in their role and ask for the employee's response to what you have said.

You should ensure that the meeting takes place privately, where you will not be overheard by others. Importantly:

- be empathetic - this is a difficult situation for the employee;
- do not be apologetic - this is an issue that needs to be addressed and this is the right way to address it; and
- do not give the impression that you are being forced into this process by others - take responsibility for the need to discuss these issues.

## Dos and don'ts

| Don't say | Do say |
|---|---|
| Your colleague X can do this properly, so there is no reason why you can't. | I understand this is difficult for you, but it's important that this work is done well. |
| Look, if it were up to me, I'd just let you get on with things, but HR are making us crack down on performance issues. | When your performance has improved you will be much happier at work, and in a much stronger position to develop your career. |
| I've got better things to do than spend time making sure you do your job properly. | It's my job to help you succeed. I want us to work together to get you to where you need to be. |

If you are satisfied that the employee is willing and able to address the issues that you have raised then arrange to meet again at a later date to discuss progress. End the meeting on a positive and optimistic note.

If there is no sign that the employee will respond in the way that is needed, or if any expected improvement does not take place in the agreed time frame, you will need to organise a more formal meeting under the capability procedure. At the end of the meeting tell the employee that you remain concerned about whether or not the issues that you have raised will be addressed and that, if they do not take on board your comments, you will have to consider what steps to take next. Give them an opportunity to reflect on what you have said and have a further conversation with them a few days later if need be. If they remain disengaged or resistant consider progressing to the formal capability procedure.

Make a note of the meeting as soon as it is over. Set out the concerns you raised and any agreement that was reached on the way forward. Follow up the meeting with an email to the employee (where possible) setting out what has been agreed. End the email with an expression of confidence that the situation can be resolved to everyone's satisfaction.

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*Has an employee ever become emotional in a meeting with you?*

*How did you deal with the situation?*

## Preparing for an informal performance management discussion - checklist

- Book a private meeting room where your conversation will not be overheard.
- Book the meeting for an appropriate time of day - not the busiest time or when the employee's absence will be conspicuous.
- Make sure you allow adequate time for the meeting, and leave some time free afterwards to deal with any issues that arise, or if the meeting itself overruns.
- Review the way forward agreed at the last meeting and the specific improvements you asked for.
- Note the ways in which the employee's performance has improved - try to think of at least some.
- Note the areas of work with which you are disappointed.
- Consider whether or not any external factors may have affected the employee's performance (for example a sudden surge of work or colleagues being off sick).
- Note the steps that you would like to see the employee take to improve.
- Identify the single most important thing that the employee can do to improve their performance.
- Make sure you allow adequate time for the meeting.
- Do not arrange the meeting for a time just before another important appointment - make sure you have time to deal with any issues that arise, or the meeting itself overrunning.

## Making it formal

There is no need to instigate formal procedures every time you identify a problem with an employee's performance. However, where you have tried to address the problem through appropriate advice and support without success it may be necessary to use the formal capability procedure.

The use of this procedure should not come as a surprise to the employee. They will already know that problems have been identified with their performance as a result of their discussions with you.

Make sure that you follow the formal procedure carefully and remember that its primary purpose is to help improve the employee's performance. If there is any aspect of the procedure that is unclear to you discuss this with HR.

## Taking notes

If you are making notes of a meeting (and you will be unless that job is specifically assigned to a colleague) make sure that your notes are readable. If you are typing them up, do so as soon as possible after the meeting and certainly within 24 hours.

Do not write anything in your notes that would embarrass you if they were to be read by others. Do not make personal comments about the employee or their appearance. Do not doodle! Imagine that your notes will be read by a judge in an employment tribunal while you are sitting at the witness table.

Your notes do not need to be a verbatim account of the meeting, but they should be detailed enough to identify

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the issues discussed, the key points made by both parties and the outcome decided. Where objectives are agreed or set, make sure that these are clearly recorded in the notes. You may also wish to email the employee a reminder of the objectives that you have agreed.

## Barriers to success

The purpose of performance management is to improve performance. It is not to try to catch out the employee or prove that they are incompetent and need to be dismissed. Good performance management discussions, whether or not they form part of a formal capability procedure, allow both parties to identify what factors might be preventing the employee from performing well.

The barriers to success could include:

- issues arising in the employee's personal life;
- an underlying health issue;
- relationships with colleagues;
- the employee's level of engagement or attitude to work;
- the employee's skill at performing a particular aspect of the work;
- something in the working environment that makes the employee's job more difficult;
- a lack of resource - perhaps faulty or out-of-date equipment;
- unrealistic deadlines or targets; or
- recent changes in the role with which the employee is struggling to cope.

Once any barriers to success have been identified, it is possible to decide what to do about them. This is likely to involve action and commitments on both sides. Even if the main conclusion is that the employee needs to try harder or be more diligent, you should still consider what you can do to help the employee achieve this. This might involve providing more encouragement and support when good work is done or increasing the supervision of work until you are satisfied that the problem has been addressed.

Where the employee claims that their performance is adversely affected by a long-term health issue or a disability make it clear that additional support may be available. At this stage contact HR for further advice as it may be necessary to undertake a detailed workplace assessment and enlist the help of occupational health.

### Dos and don'ts

| Don't say | Do say |
|---|---|
| We all have problems to deal with. | What do you think might get in the way of your performance improving? |
| Just sort yourself out. | How can I help you get over these barriers? |
| Stop making excuses. | What needs to change to ensure you succeed? |

## Help and support

You need to ask what you can do that could help the employee succeed. Provide the employee with the opportunity to be fully involved in the discussion - a collaborative approach, where possible, is more likely to enable the employee to move forward. You are entitled to expect that the employee will be competent enough to perform their role without extensive additional training. However, where there has been a change, such as the introduction of new technology, you could consider additional training. There may be other training solutions that could tackle particular issues (for example, time management training might improve the employee's organisational skills). You may want to allow additional time for certain tasks while the employee builds up their

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skills in that area or you may arrange for the employee to be helped by a colleague with aspects of the work with which they are struggling. The following are examples of the type of thing you might say:

- "I know that the new accounting software can seem daunting, but I really think you will find it makes your job easier, once you've got to grips with it. There are some online courses you can do to help you get used to the new features and see what the system can do for you. I'd be happy to free you up for a couple of afternoons to work through these - and then we can see if you feel more comfortable with the workload we've been giving you."
- "I think you'd find it easier to meet the standards we require if you organised your time better. There is a course run by one of our suppliers that can give you some time management tools that I think you will find useful. I know a number of colleagues have benefited from the course in the past. However, it will need commitment from you to make it work - do you think you'd be up for that?"
- "I appreciate that you've found these new procedures quite complicated, but some colleagues have found they really help to speed up the process once you've got to grips with them. Would you be prepared to sit down with someone who can take you through how they do things? I think that could be really helpful."

These measures are not the solution in themselves but steps on the way to the employee performing at the level required. You are not expected simply to tolerate an employee working at a level that is below the standard required.

***What steps have you taken in the past to support employees whose performance has been a problem?***

## Personal issues

The employee may explain personal issues that are getting in the way of their ability to do their job. Where it is clear that a situation has arisen - such as divorce or bereavement - that it will take time for the employee to get over, you should do what you can to support the employee. This might involve making allowances when it comes to their performance at work.

You must always be respectful of an employee's private life so do not press them to give details that they are reluctant to share. Resist the temptation to try to solve the problem by giving advice on how the employee should deal with a difficult spouse or manage complicated childcare needs.

Do not be judgmental.

If the employee raises a personal problem, express sympathy and concern. Ask if there is anything that you can do to help and make sure that the employee is aware of any counselling services that are available.

If your judgment is that this is a short-term problem and the employee needs to be given time to deal with it, consider what help and support you can give the employee in reducing pressures at work.

A good conversation on this issue might involve you saying:

> "Thank you for telling me that and I'm sorry you're going through a difficult time. I don't want you getting even more worried about work and we'll all do our best to help. I'll see if I can ease the flow of work in your direction while you deal with things. If it all gets too much for you or something urgent crops up that you need to deal with then just come and see me and we'll sort something out."

If, however, you find yourself saying something like the below, the conversation is going very badly. Not only is

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the employee's performance unlikely to improve, but you may well be in danger of the employee resigning and claiming constructive dismissal:

> "Look we all have personal problems. Frankly I've had some rough times myself and I found it helped just to throw myself into my work. You need to try to put personal things out of your mind when you are at work - that way they don't get on top of you. It isn't really fair on the others if I allow you to slack off just because you have some problems at home."

Ultimately, it is not your job to resolve the employee's personal issues. You should also be aware of the impact that the employee's performance is having on the business or on the work of colleagues. You may need to take a view as to how far you can really go in making allowances - or how long you can continue to accept poor performance. Where it is clear that there is a long-term problem in the employee's personal life that is affecting their work, discuss the issue with HR who might be able to provide additional support or consider a more long-term solution.

*Did you know that...*

***...in some circumstances an employee can resign and claim "constructive dismissal"? This is where they resign in response to a fundamental breach of contract by the employer - often a breach of the implied term that the employer will not act in such a way as to undermine "mutual trust and confidence" between employer and employee. Even though the employee resigns it is treated as a dismissal in law, because the serious nature of the employer's conduct entitles the employee to terminate the contract.***

## Setting targets and objectives

In the formal capability procedure it is likely that a review period will be set, which will include a series of targets or objectives for employees to meet. It is very important that you do not set employees up to fail. The purpose of these milestones is to help you monitor the improvement in the employee's progress - they are not there to demonstrate their incompetence.

The objectives must be realistic. They must be in line with what is achieved by other employees performing at an acceptable level. You should think carefully about each one and ask yourself whether or not you can justify asking the employee to work at this level.

## Supervision and review

One aspect of a capability procedure may be an increased level of supervision. For example, you may ask to see each piece of work that the employee completes or look at work as it is progressing. It is important that this is done in a helpful way. Do not give the impression that you resent the additional work. This will simply increase the employee's anxiety about the process and is unlikely to yield positive results. You should also be mindful that being under the scrutiny of a capability procedure can be a very stressful experience for the employee and acknowledge this.

### Dos and don'ts

| Don't say | Do say |
|---|---|
| This must be pretty humiliating for you, but it can't be helped. The sooner you improve, the sooner this will be over with. | I know it's upsetting to go through this process, but try to focus on the positive. We all want you to succeed and the purpose of this procedure is to help you do that. |

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Remember that these steps are focused on helping the employee to succeed and that this is a key part of your role as a manager.

The procedure will provide for regular review meetings to discuss progress. These do not replace the need to give ongoing feedback, advice and encouragement to the employee throughout the period. If it becomes clear that the process is not working or there is something unfair or unworkable about the targets or objectives, do not be afraid to revisit them.

If objectives have been fairly set, you should have the confidence to stick to them. If the employee does not meet the standard required, it is important to say so clearly and honestly. It might seem easier to sign the process off as completed satisfactorily, but this is simply likely to create further problems at a later stage.

*How quickly can you tell, in your business, whether or not an employee's performance is improving?*

*What are the key indicators?*

### Timescales

There is no set time period that must be given to allow an employee to improve their performance. Much depends on the kind of work being done, the nature and scale of the problem, the impact it is having on the business and the steps that must be taken to put things right.

Where the problem arises from a lack of effort by the employee, there may be circumstances when it is reasonable to ask for an immediate and sustained improvement. Where, on the other hand, the employee needs to be trained in the use of new technology or equipment you will need to factor in the time that this training will take.

The overall timescale for improvement will usually be set as part of the process under the capability procedure.

### Warnings and dismissal

Dismissal for poor performance should never come as a surprise to the employee. Under the capability procedure, if the employee's performance does not improve, the result will usually be a warning requiring an immediate and sustained improvement. If that is not forthcoming dismissal may follow, after a properly constituted hearing, and subject to a right of appeal.

It is important that any decision to dismiss is taken only after the appropriate hearing. You should not do anything to prejudge the outcome of that hearing. Do not express a settled view that the employee is going to be dismissed or give the impression that the final hearing is essentially just a formality. At this stage in the process you will be working closely with HR to ensure that the appropriate procedures are followed.

## Redeployment

You might reach the view that the employee is in the wrong job. It may be that they have been promoted to a new role and are struggling to cope with new duties and responsibilities. It may be that the job has changed so that it no longer fits well with the employee's skills and abilities.

Never simply tell the employee that they are in the wrong job. This could be seen as you telling the employee that they cannot do the job they are employed to do. Saying this before the capability procedure has been completed could mean that the entire procedure is regarded as unfair because it had a predetermined outcome. In an extreme case it might even provoke the employee to resign and claim constructive dismissal.

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In your discussions with the employee about what is going wrong, they may raise the issue of the change in the job and express a wish to be redeployed or return to their previous role. At this stage it would be appropriate to note the request and contact HR to discuss it. Do not give any commitment at this stage as it cannot always be guaranteed that a suitable alternative post will be available.

## Settlement agreements

You should not assume that it will be possible simply to pay the employee off rather than deal with their poor performance. Settlement agreements are a useful tool for settling genuine disputes. They are not a substitute for dealing with performance issues.

You should not hold out the prospect of a settlement agreement when discussing an employee's performance. Doing so could give the impression that you are simply trying to get rid of the employee and fundamentally undermine the integrity of the process.

If the employee indicates that they would consider leaving if some sort of settlement were offered tell the employee that this will be considered and move on. This will enable separate discussions about any possible settlement to take place outside the capability procedure.

## Allegations of bullying and discrimination

It is important to appreciate that an employee may well be very upset at having a discussion about their poor performance and may question your motives for raising the matter. You are entitled to be treated with respect and if the employee becomes abusive or threatening then bring the meeting to an end and contact HR. The matter may then be dealt with under the disciplinary procedure.

If the employee complains that you are bullying them make sure you remain calm. Explain that you are simply trying to help the employee reach the standard required. Be prepared to take a break if the employee is clearly upset.

If the employee alleges that they are being discriminated against (for example, if they suggest that your problem with them stems from a protected characteristic such as sex or race) then it is particularly important to stay calm. Do not allow an argument to develop. Politely bring the conversation to an end and contact HR for advice.

## Where problems have been ignored in the past

One problem that you may encounter is that you are trying to tackle poor performance that has been tolerated by others in the past. It might also be that you have not dealt with a problem but you now feel that it needs to be addressed.

The fact that the employee has been given the impression that their level of performance has been acceptable does not prevent you from dealing with the issue now. However, it does mean that you have to be sensitive about how you handle the issue.

Essentially you owe the employee an apology. You should be honest and open and explain the problem.

- Tell the employee that in the past certain practices or behaviours have been allowed to develop, but these are not something that can be allowed to continue.

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- Make it clear that you share responsibility with the employee for the problem that has arisen, but that you also share responsibility for putting it right.
- Explain the problem and explore what needs to happen to rectify it.
- Agree the measures that will be put in place and agree a time period to review progress.
- If satisfactory progress has not been made consider instigating the formal capability procedure.

## When the employee is working remotely

Increasingly, employees and their line managers are working at different locations, including in their own home, particularly since the start of the coronavirus (COVID-19) pandemic.

In theory, the principles of good performance management apply equally in the context of remote working as in a normal working environment. However, there are additional factors that may need to be taken into account and particular challenges that may arise.

It is important to be aware of the environment in which the employee is working. In a permanent homeworking situation, you should already have ensured that the employee has the appropriate equipment and workspace to do their job to the right standard. However, homeworking may just be a temporary arrangement to accommodate the employee's need to isolate at home or because the workplace can no longer accommodate the number of people it once did. In that situation, you may need to make allowances, in terms of performance, for the employee not having access to the same facilities as in their normal workplace.

As an arrangement becomes more permanent, it is important to reach a clear understanding of what is expected, both in terms of the work that will be done, and the way in which the working day will be organised. For many employees, one of the advantages of working remotely is that they can be more flexible about how they allocate their time. That might involve taking a break from work to attend to a household chore and then catching up on their work after normal working hours. In many jobs where employees work from home, such arrangements have no adverse effect on the quality of the work that is done and can be beneficial to both sides. Other jobs may not allow for such flexibility and require employees to be "at their desk" whenever not on a scheduled break. It is important that both sides understand the appropriate level of flexibility that comes with the job. Do not assume that just because an employee does not answer a call, or immediately respond to an email or request for an online meeting, that they are not working properly. Make sure that the employee understands when they might be contacted by you to discuss work, so they can make sure that they are available.

Where there is genuine reason to think that the employee's work is not satisfactory, you will need to discuss that just as you would if they were working alongside you in the workplace. This might take the form of a phone call or an online meeting. Be aware of the circumstances in which the employee is working and make it clear that the conversation is one that needs to be held in private. Since you cannot take the employee to one side and ensure that nobody else can overhear what is being said, you will need to give the employee an opportunity to make appropriate arrangements. Email or message the employee to flag up the need for a conversation and arrange a time when the employee will be undisturbed by family members or housemates.

The result of the conversation might be a greater level of supervision. Try to avoid overly intrusive electronic surveillance such as requiring the employee to record their working day on a webcam. As well as raising potential data protection issues, such an approach

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is unlikely to build trust and help the employee to improve. Instead, you could arrange regular catch-up conversations and break larger pieces of work down into smaller more measurable chunks. As progress is made, the online meetings can become less frequent.

In those cases where the problem continues to the point of a formal procedure, it will usually be possible to arrange for the appropriate meetings to be conducted in person. Where that cannot be arranged, there is nothing to prevent you holding an online meeting. You should take care to ensure that the employee has the right to be accompanied - albeit in a virtual environment - by a fellow employee or trade union official.

### Dos and don'ts

| Don't | Do |
|---|---|
| Don't rely on technology to impose overly intrusive supervision. | Do make sure to keep in regular touch with employees and provide genuine support.<br>Do make sure there is a common understanding of how a homeworker's working day will be organised.<br>Do make sure that difficult conversations will not be overheard by family members or housemates. |

## Key points to remember

- Performance management is something you do every day - not just when an employee is performing badly.
- Deal with performance issues promptly - do not let them fester.
- Be consistent in the way in which you manage performance - do not pick on employees you happen not to get on with.
- Make sure everyone understands what is expected of them - and how their performance is assessed and measured.
- Be prepared to give structured and constructive feedback when an employee is not performing well.
- Do not allow feedback to become personal - focus on how the work is being done, not on the personal qualities of the employee.
- Try to reach a shared understanding of what improvements are needed in the employee's performance.
- If you enter into a formal procedure, make sure you understand it fully and can follow it precisely. Speak to HR if you are in doubt about what the procedure requires.
- Take responsibility for managing the employee's performance - do not imply that you are being made to do it by someone else.
- Be sensitive to the employee's position. Avoid anything that may embarrass or humiliate the employee in front of others.
- Do not discuss the process with the employee's colleagues unless this is absolutely necessary - for example, if asking them to provide support or informal training.
- Make sure that any targets set are realistic and achievable. Do not set the employee up to fail.
- Remember above all that the purpose of the process is genuinely to improve the employee's performance - not punish the employee for performing badly.
- Always aim for a collaborative, problem-solving approach: how can you get the employee to the required standard?

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How to manage an employee who goes off sick during a performance improvement procedure

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# Ask the Chief

Got a question? Get in touch. Your voice in delivering progress, together

**Annual Awards**

Sir I appreciate the difficulties in conducting the Annual Awards ceremony this year due to Covid-19. What are the plans to conduct the ceremony for this years nominees? Has any consideration been given to doing a virtual ceremony this y...

Answered

**Suspect Interview booklet and MG21b forms**

Sir, Is it possible to maybe combine the suspect interview booklet with the MG21b so that it is always provided in interview when dealing with suspects and when a need for phone examination. It would mean getting everything we need first tim...

Answered

**THE USE OF ANPR IN EVIDENCE**

Sir, over recent times, I have made requests for ANPR data for evidential use in cases where our suspect has committed

ask the Chief

Ask the Chief exists as an avenue for you to seek out answers to questions relating to Dyfed-Powys police. I'll get back to you within 72 hrs. Your voice in delivering progress, together.

Ask a question »

EV 16

## Online Learning Account - NCalt

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Logout Dave Harris

Home

### Welcome Dave to the Managed Learning Environment

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- National Policing Curriculum
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**Courses I am enrolled on**

| Course Title | Course Type | Format |
|---|---|---|
| ECDL Module 4 - Spreadsheets (Excel 2010) | ELearning | |
| Transgender in the workplace | ELearning | |
| Fire Safety The Facts Video | ELearning | |
| Induction Safety E-learning | ELearning | |
| Fire Safety E-Learning | ELearning | |
| ECDL 2007 Module 4 : Spreadsheets | ELearning | |
| ECDL 2003 Module 1 : Security for IT Users | ELearning | |
| Child Sexual Offender Disclosure Scheme | ELearning | |
| Religion and Belief and the Police | ELearning | |
| Race and the Police e-learning | ELearning | |
| Gender and the Police | ELearning | |
| Disability and the Police - E-Learning | ELearning | |
| Computer Environment (Retired 31.01.11) | ELearning | |

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BV17

EV19

**Email to Line Manager with Probationary Forms – Ncalt packages**

ENTER EMPLOYEE NAME, START DATE, PIN NO in title of email

Dear

Please find attached an Induction Checklist and Probationary Period Assessment form in relation to the appointment of ..... Can you please ensure that this form is completed and forwarded to the Business Support Unit on completion of the probationary period.

Please ensure all certificates in relation to the Ncalt online e-learning packages are also enclosed.

Please see list of these Ncalt packages below for your attention

**List of Elearning Courses**
Display Screen Equipment (DSE)
Introduction to Health & Safety Training Video
Fire Safety
Risk Assessment E-Learning
Manual Handling
Electrical Safety Training Video
Data Protection Training Video
Managing Information: Non-Operational (for police staff)
Managing Information: Operational (for police officers and certain police staff such as FCC)
Equality Act 2010: An Introduction

Many thanks

Ev 18

**Statement of Particulars & Unconditional Offer Letter**

Please find attached the following paperwork in relation to the ?????????? post in which you have been successful.

**Unconditional Offer Letter** – please sign the last page
**Statement of Particulars** – please sign one copy & return (ensure you keep a copy for your own records)
**All Other forms** – please complete all forms & sign where relevant

Please return all documents to:
HR – BSU, Dyfed-Powys Police, PO Box 99, Llangunnor, Carmarthen, SA31 2PF

As specified in your Unconditional Offer Letter, prior to your commencement with Dyfed-Powys Police you are required to complete the Police Staff Induction Programme online learning (list below). This can be accessed through a system called Ncalt. This learning is to ensure you have a baseline of knowledge and understanding in critical subject areas. **This learning must be completed before you commence employment. At the end of each training session you will have the option to print off a certificate. Please bring these certificates with you on your first day as they will form part of your initial induction.**

To access the e-learning packages from a home or other computer please click on this link below:

http://mle.ncalt.com/Account/Login **user name:** **password:**

(If you are having problems launching a course, it may be necessary to hold the Ctrl button down on your keyboard, whilst clicking the course launch icon on the screen in order to override the pop up blocker. Also, please be advised that this system works best with Internet Explorer – it should not be used with other browsers.)

**List of Elearning Courses**
Display Screen Equipment (DSE)
Introduction to Health & Safety Training Video
Fire Safety
Risk Assessment E-Learning
Manual Handling
Electrical Safety Training Video
Managing Information: Non-Operational *(for Police Staff)*
Managing Information: Operational *(for Police Officers and certain Police Staff such as FCC role)*
Equality Act 2010: An Introduction

If you have any queries please do not hesitate to contact a member of the HR Business Support Unit Team via. Email address: BSU-HR@dyfed-powys.pnn.police.uk

Ev20

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# Assessment and Recognition of Competence (ARC)

## Overarching guidance

Version 1.1

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# Overarching guidance – Assessment and Recognition of Competence (ARC)

## Purpose of the guidance

This guidance is to provide you with as much help and information as possible to implement the ARC process, inform line managers and those who will train line managers on the assessment of a constable who is approaching pay point 4. The aim is to make the assessment phase as fair and sound as possible and for the process to be a positive and rewarding experience for both you and the constable.

## Introduction

The main purpose of the assessment and recognition of competence (ARC) process is to ensure that police officers and members of the Special Constabulary retain and maintain the knowledge, skills and behaviours of their core role (e.g. constable, sergeant) irrespective of any specialist or non-operational role they currently perform.

This guidance has been developed primarily to assist those who will implement the ARC process. It also provides line managers and those being appraised through the ARC assessment with information to enable the assessment to be applied fairly and ethically. The College of Policing has published on the ARC page of the College website user guides for line managers and constables which focus on the specific requirements for each role.

Members of the Special Constabulary are volunteers and as such do not have a pay progression model. A similar but tailored ARC model will be developed for the Special Constabulary and will be the subject of separate guidance to be issued at a later date.

The foundation level ARC process is initially applied to constables who are approaching the end of pay point three. An ARC assessment is required to enable them to progress to pay point four of their pay scale.

It is intended that, subject to agreement of the College Board, additional ARC assessments will be developed including:

- an assessment to reflect professional development towards the top of the pay scale
- a reconfirmation of core knowledge skills and behaviours at designated points throughout an officer's career.

Additional assessments will be developed and aligned to the new organisational levels and pay grades that are currently being developed as part of the College leadership review.

Until these additional assessment models are developed, agreed and delivered, the foundation ARC assessment for constables approaching pay point 4 should be separate from but linked to the force professional development review (PDR) process. It is envisaged that in due course both the ARC and PDR processes will be combined into a more streamlined process.

The PDR is designed to assess the **performance** of a police officer or staff member over a defined period. The ARC is designed to assess the **competence** of a police constable at a defined pay point. While the two models have differing assessment outcomes, the majority of evidence in both cases will be derived from normal work-based activity and, where appropriate, this should be used to complete both the PDR and the ARC assessment.

## Assessment and recognition of competence (ARC)

ARC is an assessment which confirms that a constable is fully competent in their core role and can be deployed into any relevant operational role both within their

force or, if needed, to other parts of England and Wales. Successful completion of the ARC assessment also gives a constable access to pay point 4.

The ARC standards (see Appendix 1) are an integration of the following:

- new initial learning units (introduced in April 2016)
- the relevant constable personal qualities from the Police Professional Framework See Appendix 2
- the constable's own continuing professional development (CPD)

Although it is the line manager who makes the final assessment decision, the line manager and the constable should be working in partnership to achieve success. The line manager is the person most likely to know and understand the constable's work, the issues they face in the workplace and the constable's strengths and development areas. The line manager, therefore, is best placed to advise and support the constable through the whole process and make appropriate assessment decisions.

The ARC is not a repeat assessment of the original initial learning units. It is a new assessment of competence to demonstrate that the constable is able to manage their role and their responsibilities and is ready to move to the next pay point.

## ARC and the PDR process

In April 2015, police regulations were amended to require forces to have an appraisal process and that progression through the pay scale (constable to chief inspector) would be dependent on officers obtaining a satisfactory (or better) performance grade in their appraisal. The College has published new PDR Guidance that should be read by managers who are required to implement the ARC process.

The ARC process is applicable across all forces in England and Wales.

While the PDR and ARC processes are separate, the College strongly recommends that forces move their PDR reporting date from one based on the financial year to one where the PDR is completed on the anniversary of an officer's incremental date. The ARC assessment will, therefore, then run simultaneously with the PDR process ensuring that one-to-one meetings are not duplicated and time can be used efficiently.

Other ranks will, in due course, also be required to undertake an assessment of competence. Moving the PDR to the anniversary date minimises the annual reduction in staff effectiveness (as the majority of staff attempt to meet a single end date), ensures that the completion and administration of the PDR is spread over the calendar year and, once implemented, will assist implementation of a combined assessment process linked to the officer's anniversary date.

A single formal meeting to discuss evidence will give the PDR and ARC assessments structure and highlight examples of practice and evidence that may be used in both assessments. While a single meeting can cover both, it is important that the line manager and officer being appraised both understand that a separate decision is required for the PDR and ARC.

As stated above, a constable must first gain a satisfactory grade (or better) in their PDR in order to undertake the ARC assessment. This is required to ensure that police constables are effective in their role and that their pay progression is linked to their performance as opposed to an annual entitlement. The ARC assessment applies at the end of pay point three and is supplementary to the PDR grading.

Although dealt with in detail within the PDR Guidance, if a constable is not awarded a satisfactory grade in their PDR they should be supported through stage 1 (or 2) of the force's Unsatisfactory Performance and Attendance Procedures (UPP). This also applies when an officer is being supported through

UPP under attendance management procedures. Consequently, they will not progress to the next pay point and will remain at their current pay point for a period of 12 months. Pay progression can only be held if an officer is in UPP.

There may be occasions when performance is, on the whole, satisfactory but due to unexpected events or short-term issues the PDR evidence is not complete. For example, an officer may have been sick when officer safety training should have been undertaken. If a new training date cannot be arranged until the new PDR year, it would be inappropriate to place the officer in UPP and withhold a pay increase.

The Code of Ethics

Officers and line managers must take into account the Code of Ethics at all times in determining whether or not the evidence is appropriate and that the assessment decision is a fair representation of the competence shown by the officer.

## The assessment

The ARC assessment is a joint responsibility held by the constable and their line manager. Both the constable and line manager, therefore, have a shared responsibility to make the assessment phase a positive experience. Ideally, this will commence with a planning meeting to identify necessary actions.

The constable has the responsibility to develop themselves and provide the agreed level of evidence to be assessed within the timescales set by their line manager. The line manager is responsible for encouraging their staff and providing developmental opportunities as appropriate. They conduct an ethical and honest assessment of the evidence provided.

The line manager must be trained before undertaking either a PDR or ARC assessment. The College has developed a national training package assessor support that allows managers to assess to a national standard. Forces are

responsible for the delivery of training and it is accepted that not all managers need the same level of training. A training needs analysis (TNA) will identify the most suitable response by the force.

**Preparing for ARC – Constable**

Before the assessment for ARC begins, the constable should take an opportunity to reflect on their work and select recent examples which demonstrate how they meet the ARC standards.

The following statements may be of assistance:

- The constable and line manager need to be familiar with the ARC standards.
- Although the constable can, **by exception**, use material from the previous two years of their working life, the best examples are often closer to the assessment date.
- Two or three competent pieces of work cross-referenced into the ARC standards is often sufficient to meet all the criteria.
- Being clear of any in-force objectives can give good examples of work to use to demonstrate competency.
- It is not recommended to use examples of police work that involved a number of officers because individual assessment evidence can get lost in complex events.
- Time moves quickly so it is recommended to pace the collection of material.
- If the constable's role is different from the mainstream then opportunities should be found to help the individual demonstrate the generic standards. If this is not possible, the constable and the line manager should produce assessment evidence through another assessment methodology (e.g. simulation, professional discussion, demonstration) to confirm competency.

## Preparing for ARC – Line manager

The preparation process for the line manager begins when they recognise that they supervise a constable who is commencing pay point three of their service. In addition to the statements above, the line manager should ensure that they:

- are familiar with the role and professional competencies of the officer being appraised
- have been trained to assess to the national assessment standards (assessor support) and can contextualise the evidence appropriately
- understand how and when to intervene to manage underperformance
- can explain the force appeals procedure
- understand the UPP process
- understand the force policy and procedures required for notification to halt pay progression

The line manger should also explain the following to the constable:

- The ARC process and outcomes, particularly how the evidence will be assessed and how their pay progression may be adversely affected.
- The ethical dimensions in the submission of evidence for assessment.
- When setting the evidence requirement of the PDR year, the line manager should explain and secure agreement as to the level of evidence that is required for the ARC assessment.
- The ARC assessment will only follow a grade of satisfactory or above in the PDR at the end of that year.

## Assessment standards

The assessment standards, as already stated on page 5, are a blend of the following:

- new initial learning units (introduced in April 2016)
- the relevant constable personal qualities from the PPF
- the constable's own CPD.

The PPF is currently under review and changes to the behavioural competencies are likely to affect forces in the future. Additional guidance will be published to assist forces during the transition period.

The assessment standards have been developed to be valid to the police constable role throughout England and Wales. It is the minimum standard that all constables should be able to meet (at pay point 4), irrespective of their current role or location.

The majority of constables approaching pay point 4 will be in a uniform response role and able to gather the necessary evidence as part of their general day-to-day activity. Some constables may, however, be in a role where gathering evidence is limited. Their line manager should consider offering them additional development opportunities such as a short-term attachment or role play in a training environment, or assess the constable by another methodology to confirm that they can still perform the police constable role.

## Preparing assessment evidence

The ARC standards should not be viewed as stand-alone units but as standards that can be integrated together. A competent constable does not deliver their work unit by unit but in a complex and blended way through a variety of positive behaviours.

In an ARC assessment, it is recommended that evidence of the whole event is cross-referenced into a number of the ARC standards. These examples are known as 'evidence rich' opportunities as they illustrate a number of assessment and behavioural criteria together.

**Appendix 3** shows an example of the suggested paperwork and an explanation of how to use it when recording the ARC evidence.

**Appendix 4** and **Appendix 5** are both worked examples demonstrating how a number of assessment standards and personal qualities (behavioural competencies) can be evidenced together.

## Recording assessment evidence

It is important to note that evidence which is used for an ARC assessment may also demonstrate PDR objectives and vice versa. Each event may need to be evidenced separately but use of the same incident would be a good example of an 'evidence rich' opportunity and reduces bureaucracy.

The force PDR process may give scope to record ARC evidence or the force may have designed its own template to do so. Whichever method is chosen, it is important that both the constable and the line manager are able to access and understand the similarities and differences of the PDR and ARC requirements.

PDR evidence reflects performance against the core role and demonstration of behaviours as outlined in the PPF. ARC evidence should explain why a particular course of action was followed or what learning arose from it. While it is for the line manager to draw out information, officers who show the 'why' or 'what' learning are likely to progress successfully through the assessment process.

## Assessment outcomes

The line manager must have a good level of understanding of both the national standards for assessment (assessor support) and the possible outcomes having assessed the evidence presented by the officer. Having completed a PDR and awarded a grade of satisfactory (or greater), the line manager should, where it is applicable, conduct an ARC assessment. A schematic of the process is shown at Appendix 6.

## ARC process

| PDR outcome | Assessment outcome | Action |
|---|---|---|
| Not satisfactory. | Move to UPP stage 1.<br>No ARC assessment. | Remain at pay point for 12 months. |
| Not satisfactory due to short-term issues (see page 7 above). | **Not** moved to UPP.<br>ARC assessment satisfactory. | Move to pay point 4.<br>Move to UPP stage 1 for next 12-month period. |
| Satisfactory grade. | Non-ARC year. | Move to next pay point. |
| Satisfactory grade. | ARC year.<br>ARC assessment satisfactory. | Move to pay point 4. |
| Satisfactory grade. | ARC assessment not achieved. | Agree timed development plan (4 weeks – 11 months).<br>Inform HR /pay unit. |
| | Timed development plan achieved. | Inform HR/pay unit.<br>Move to pay point 4.<br>Pay not backdated.<br>New anniversary date for pay/PDR purposes set by HR/pay unit. |
| | Timed development plan not achieved. | Awaits regulations.<br>Inform HR/pay unit.<br>Move to stage 1 UPP. |

| | | |
|---|---|---|
| PDR cannot be undertaken due to not being at work for protracted period but remaining on pay.* | Cannot undertake ARC due to not being at work but remaining on pay.* | Inform HR/pay unit.<br>Move to next pay point if regulations on reckonable service are also met. |
| PDR cannot be undertaken due to not being at work for protracted period and off pay.** | Cannot undertake ARC due to not being at work and off pay.** | Timed development plan on return to work. |
| | Timed development plan successfully completed but line manager does not submit or force does not have process to manage the ARC. | Move to pay point 4 if regulations on reckonable service are also met.<br>The anniversary date will **NOT** be the date the timed development plan was submitted. It will revert to the original anniversary date and pay will be backdated to that date. |

* This will generally apply to officers who are retained on pay but are absent due to maternity leave, paternity leave, adoption leave, long-term illness or who are suspended from duty but directed not to attend the workplace.

** This generally applies to officers who are off pay due to unpaid maternity leave, unpaid paternity leave, unpaid carers leave or on a career break.

## Reasonable adjustments

There will be occasions when it is appropriate to identify a reasonable adjustment to the assessment, for example, if an officer is on a phased return to work after illness or a recognised disability prevents them from undertaking a specific activity. The evidence required to secure an adjustment is not to the same standard as a reasonable adjustment under the Equality Act 2010, but rather what is reasonable in the circumstances to allow an officer the same opportunities as their peers.

The assessment is still made against the national assessment standards and criteria, but there may be scope to adjust timings or the assessment methodology. In general terms, officers should look to provide evidence from the previous 12-month period. Evidence can, however, be taken from the previous 24 months by exception, such as absence in excess of 12 months.

Where the absence is less than 12 months, it may be appropriate to agree a timed development plan that allows the officer to provide stronger evidence of competence.

If a constable feels that a reasonable adjustment is appropriate, they should discuss it with their line manager at the earliest opportunity. Individual forces should have a reasonable adjustment policy in place.

Part-time or flexible working

Officers who work part time or under flexible arrangements must still complete the ARC assessment. They will not necessarily need additional time to gather the evidence, particularly if they are based on an operational response team. By exception, where an officer can reasonably show they have encountered difficulties in gaining the necessary evidence, the evidence can be drawn from during the previous 24 months.

Secondments

Officers who are seconded to positions outside their force must still complete the ARC when it is due. If an officer is seconded to another force, the home force line manager should consult with the manager having direct supervision of the seconded officer. If the secondment is outside the police service (e.g. with a local authority or the Prince's Trust), the line manger may need to use alternative assessment methods to evaluate the officer's competence.

It is the responsibility of the seconded officer to ensure that they have sufficient evidence to enable successful participation in the ARC process. If the PDR process in another force or an organisation outside policing is below the standard of the officer's home force, the policy standards of the home force policy must be used.

## Appeals procedure

Forces are required to have and publicise an appeals process that is followed if a constable disagrees with their assessment outcome.

Each force must decide upon a suitable quality assurance process that meets their needs. It is suggested that the quality assurance process for the PDR process might be co-opted as officers and managers are already familiar with that process.

When an assessment grade is challenged, forces may wish to consider using a formally qualified assessor to review the evidence to ensure the national assessment standards have been complied with. Equally, the second line manager may undertake this role providing that they have been trained and are familiar with the standards. Where the standards have not been fully complied with or if the assessment strategy is unclear, the first line manager should be asked provide clarification and, if necessary, review their original decision.

The independent assessor or second line manager cannot overturn the original decision, but if the matter proceeds to formal appeal their views can be taken into account. The benefit of such a procedure is that forces are able to show that professional independence is part of the process and that a decision to withhold pay progression is not solely down to one line manager.

**Equality impact**

In implementing the ARC process, forces must give due regard to the equality impact. The College has conducted an extensive equality impact assessment (EIA) which outlines the issues a force needs to consider in constructing its own policy. A copy of the EIA will, in due course be published on the ARC page of the College website.

# Appendix 1

## The assessment standards

### AS.1 Plan, implement and review an evidence-based preventative policing approach

Identified a problem/concern/issue/situation and applied an initiative to mitigate the risk of escalation, continuation or incidents occurring. You have followed up on the success (or otherwise) of the intervention and shared your findings.

### AS.2 Support victims, witnesses and vulnerable people

Provide initial support to those affected by offending or anti-social behaviour (victims and witnesses) and those who may be particularly vulnerable to becoming a victim of crime or anti-social behaviour. The initial support may be practical (e.g., relating to safety and security, compensation claims, paperwork) or emotional (e.g., listening).

### AS.3 Manage conflict situations in policing

Recognising and dealing with a range of behaviours and incidents requiring proportionate responses and actions. You must act in ways that do not provoke conflict and show you can defuse situations where conflict exists or threats of conflict are present. There should be an example of appropriate personal safety techniques and equipment, including self-defence and restraint.

### AS.4 Use police powers to deal with suspects

This unit is about conducting arrests, detentions and reporting procedures, including the disposal options available. Police officers have the authority to exercise an extensive range of police powers with autonomy, across many potentially volatile situations, not least when dealing with individuals suspected of committing an offence. You need to be able to conduct your actions legally and in a balanced and proportionate manner, considering the impact of your

actions on others. You need to use the correct techniques and deal with any contingencies that arise.

### AS.5 Conduct police searches

Police officers have the authority to exercise an extensive range of police powers, with autonomy, in many potentially volatile situations, including conducting police searches.

This unit is about searching individuals, vehicles, premises and outside spaces for items suspected to be evidence of an offence as part of an investigation, or for prevention of harm to self or others.

The search must be conducted in a legal and ethical way, and using approved search methods. Before you carry out the search you need to establish that you have the grounds and legal authority to do so and you must preserve the search scene. Where evidence is found, this must be seized, packaged and stored in a manner that maintains its integrity and continuity. You also need to be able to complete any necessary documentation.

### AS.6 Handle information and intelligence that can support law enforcement

This unit is about gathering information and intelligence to assist and support law enforcement objectives. You need to be able to work in accordance with the requirements of the National Intelligence Model (NIM) and principles of managing police information used across the service. You must identify, analyse and evaluate information for relevance to police investigations and law enforcement objectives from a variety of situations and sources (including human and technical) and conduct an initial analysis, assessment and grading of that information.

### AS.7 Provide an initial response to policing incidents

This unit covers providing an initial response to incidents including crime, non-crime and road-related incidents. Police officers have the authority to exercise an extensive range of police powers with autonomy across many potentially volatile situations. The initial response to incidents, which are sometimes potentially critical situations, and the control of them is a paramount aspect of the police officer's role. You need to be able to gather information on the incident, analyse the information to establish its nature and plan your actions accordingly. If you are the first on scene at a major or critical incident, you need to take control of the incident until relieved by an appropriate person.

### AS.8 Conduct priority and volume investigations

This unit is about conducting investigations and is applicable to investigations across all types of priority and volume incidents. You need to be able to gather, analyse and assess the available information and intelligence from all sources (including social media), conduct risk assessments, identify and preserve the initial scene(s), and identify and deal with materials. You must also be able to develop initial lines of enquiry and deal with any victims, witnesses and suspects. In addition, you need to ensure that the appropriate people are briefed about the status of the investigation to maintain continuity and ensure that all relevant documentation is completed and added to the case file.

### AS.9 Interview victims and witnesses in relation to priority and volume investigations

This unit is about interviewing victims and witnesses as part of priority and volume investigations. The unit covers interviews conducted at police premises or elsewhere. You must plan and prepare for both formal and informal interviews by developing an interview strategy, assessing the interviewee's fitness for interview, and setting up an appropriate location. You must conduct interviews in accordance with legislation, policy and other guidelines, using appropriate interviewing techniques and communication skills. Finally, you are expected to

evaluate interviews (including your own performance) and take any necessary further action in relation to investigations.

### AS.10 Interview suspects in relation to priority and volume investigations

This unit is about interviewing suspects as part of priority and volume investigations. The unit covers interviews with suspects who are under arrest and those who are not under arrest, whether the interview is conducted at police premises or elsewhere. You must plan and prepare for interviews by developing an interview plan, assessing the suspect's fitness for interview, and setting up an appropriate location. You must conduct interviews in accordance with legislation, policy and other guidelines, using appropriate interviewing techniques and communication skills. Finally, you are expected to evaluate interviews (including your own performance) and take any necessary further action.

# Appendix 2

## PPF Personal Qualities

### PQ.1 Serving the public

Demonstrates a real belief in public service, focusing on what matters to the public and will best serve their interests. Understands the expectations, changing needs and concerns of different communities, and strives to address them. Builds public confidence by talking with people in local communities to explore their viewpoints and break down barriers between them and the police. Understands the impact and benefits of policing for different communities, and identifies the best way to deliver services to them. Works in partnership with other agencies to deliver the best possible overall service to the public.

### PQ.2 and PQ.3 separate the personal qualities of Leadership to Openness to Change and Service Delivery

### PQ.2 Openness to change

Positive about change, adapting rapidly to different ways of working and putting effort into making them work. Flexible and open to alternative approaches to solving problems. Finds better, more cost-effective ways to do things, making suggestions for change and putting forward ideas for improvement. Takes an innovative and creative approach to solving problems.

### PQ.3 Service delivery

Understands the organisation's objectives and priorities, and how their own work fits into these. Plans and organises tasks effectively, taking a structured and methodical approach to achieving outcomes. Manages multiple tasks effectively by thinking things through in advance, prioritising and managing time well. Focuses on the outcomes to be achieved, working quickly and accurately and seeking guidance when appropriate.

### PQ.4 Professionalism

Acts with integrity, in line with the values and ethical standards of the police service. Takes ownership for resolving problems, demonstrating courage and resilience in dealing with difficult and potentially volatile situations. Acts on own initiative to address issues, showing a strong work ethic and demonstrating extra effort when required. Upholds professional standards, acting honestly and ethically, and challenges unprofessional conduct or discriminatory behaviour. Asks for and acts on feedback, learning from experience and developing own professional skills and knowledge. Remains calm and professional under pressure, defusing conflict and being prepared to step forward and take control when required.

### PQ.5 Decision making

Gathers, verifies and assesses all appropriate and available information to gain an accurate understanding of situations. Considers a range of possible options before making clear, timely, justifiable decisions. Reviews decisions in the light of new information and changing circumstances. Balances risks, costs and benefits, thinking about the wider impact of decisions. Exercises discretion and applies professional judgement, ensuring actions and decisions are proportionate and in the public interest.

### PQ.6 Working with others

Works cooperatively with others to get things done, willingly giving help and support to colleagues. Is approachable, develops positive working relationships. Explains things well, focusing on the key points and talking to people using language they understand. Listens carefully and asks questions to clarify understanding, expressing their own views positively and constructively. Persuades people by stressing the benefits of a particular approach, keeps them

informed of progress and manages their expectations. Is courteous, polite and considerate, showing empathy and compassion. Deals with people as individuals and addresses their specific needs and concerns. Treats people with respect and dignity, dealing with them fairly and without prejudice regardless of their

The Policing Professional Framework (PPF) is currently being reviewed and there will be a consultation on the outcomes of the review. Once any new or updated behavioural competencies are agreed, they will replace the existing ones and forces will need to adopt the new competencies as appropriate. Where a force use its own behavioural competencies, the new competencies must be mapped across or incorporated into the force model.

## Appendix 3

## Recording your ARC evidence – explanation

Police Constable.....

Line manager.....

Date.....

| **Box 1 – Description of event** | |
|---|---|
| **This is not evidence for court** but is showing where the **assessment standards (AS)** have been met during the incident, so you should summarise the event here.<br><br>You need to write a short description of the event you are using to show your competence. When you are writing your description, it will help you and your assessor to cross-reference into the description which assessment criteria you are using, for example **(AS.1).** | |
| **Box 2 – Assessment standards** | **Where the information is held**<br><br>**(only fill in the assessment standards achieved)** |

| | |
|---|---|
| | This box contains a list of the 10 assessment standards. Only write where the evidence for each of these is stored if it is applicable to the event you have written about in Box 1.<br>If you have not achieved an individual assessment standard, you must record another event/incident and present this to your line manager too.<br>At the end of the assessment period you must have covered all 10 assessment standards. It is likely that this will be achieved across two or three events as described beforehand. |
| **(AS.1)** | |
| **(AS.2)** | |
| **(AS.3)** | |
| **(AS.4)** | |
| **(AS.5)** | |
| **(AS.6)** | |
| **(AS.7)** | |
| **(AS.8)** | |
| **(AS.9)** | |
| **(AS.10)** | |

| **Box 3 – Personal Qualities** | **Example of behaviour**<br><br>Box 3 contains the six PPF personal qualities, **Leadership** has been separated into **Openness to Change** and **Service Delivery** to allow for easier recording. Only write in these boxes if you feel that you have achieved these standards. The evidence in this section should reflect **how** you carried out the activity not just that you completed it. |
|---|---|
| **(PQ.1) Serving the public** | |
| **(PQ.2) Openness to change** | |
| **(PQ.3) Service delivery** | |
| **(PQ.4) Professionalism** | |
| **(PQ.5) Decision making** | |
| **(PQ.6) Working with others** | |

| |
|---|
| **Box 4**<br><br>**Contributing to your Continuing Professional Development (CPD)**<br><br>You should note how you have demonstrated your CPD (at national, role, local or individual levels) through a range of CPD activities and how this development has helped you improve your performance, knowledge and confidence in your role. |
| |
| **Box 5**<br><br>**Line manager's comments**<br><br>An opportunity for the line manager to sign off the evidence. It is good practice to say whether or not the standards have been met. |
| |

## Appendix 4

## Recording your ARC evidence – Example 1

**Police Constable.....**

**Line manager.....**

**Date.....**

| **Description of event** |
| --- |
| There have been a number of incidents of bike theft from young people in my area and it was clear that some of these thefts could have been avoided. The bikes were being stolen from insecure areas and the bikes didn't have security chains or security markings.<br><br>I looked on our force system to see if there was any more information and intelligence **(AS.1)**. I followed the force protocols when accessing this information **(AS.6)**. I found four more incidents that followed a similar pattern. On my beat there is a senior school and youth café. I approached them both and asked if there had been any similar thefts and another two incidents were brought to my attention. The crime prevention team in my force has lots of information about bike security and has security pens to write postcodes onto bikes, so I developed an information pack on bike security to take into the school and the youth café. Within six months, bike theft in my area is down by 20%, |

| | |
|---|---|
| suggesting the security marking intervention has had an impact. In order to be more confident that the reduction in bicycle theft was linked to the security marking intervention on my beat, and was not part of a force-wide trend or a seasonal shift in crime, I did, however, check the force intelligence systems and spoke to force analysts to see if similar reductions had occurred in other areas. In the neighbouring beat area, which had had similar levels of bike theft to my beat before the security marking intervention, bike theft has stayed constant. This suggests that we can be confident that the security marking intervention is what has driven the 20% reduction in bike thefts in my area. | |
| **Assessment standard** | **Where the information is held** (only complete the assessment standards achieved) |
| **(AS.1)** | I have completed an intelligence tasking document (ref 231/2016) which is held in the intel unit. |
| **(AS.2)** | |
| **(AS.3)** | |
| **(AS.4)** | |
| **(AS.5)** | |
| **(AS.6)** | I gathered information from the crime map and interrogated the crime reporting and intel systems. |
| **(AS.7)** | |

| | |
|---|---|
| **(AS.8)** | |
| **(AS.9)** | |
| **(AS.10)** | |
| **Personal Qualities** | **Example of behaviour** |
| **(PQ.1) Serving the public** | To develop this pack, I worked with my colleague, the local school police officer, to identify the problems at the school and with the local youth café workers who were also concerned about the thefts. I arranged a number of meetings with the head teacher and the local youth workers and together we devised the support pack. After a giving a number of talks at the school assemblies to raise awareness and meeting the young people in the evening in the café, there has been a reduction of 20% in reported bike thefts in the area. |
| **(PQ.2) Openness to change** | I adopted a preventative approach to this issue and involved others in the community. This worked well and is an approach I will use again. |
| **(PQ.3) Service delivery** | My bike theft project contributed to the decrease in bike theft in the area and my team now has an additional resource of a support pack when working with victims of bike theft crimes. |
| **(PQ.4) Professionalism** | The feedback on the work I have started in their area from the school and the youth café staff was very positive. I feel I have had a positive impact on this situation and will continue to look |

| | |
|---|---|
| | at other ways to reduce crime in this area. I have received a very positive email from the school thanking me for my work. |
| **(PQ.5)**<br>**Decision making** | |
| **(PQ.6)**<br>**Working with others** | I worked with a number of other people to develop this project. This included my colleagues in the crime prevention unit and the staff from the school and youth café. |

| **Contributing to your Continuing Professional Development** |
|---|
| I reflected on this event using my CPD log.<br>My sergeant asked me to brief my shift, something which I hadn't done before.<br>I spent some time looking at the work of the crime prevention practitioner and how their work is co-dependent with my work. |
| **Line manager's comments** |
| I am satisfied that PC Jones has met AS1 and AS6 and PQ1, PQ2, PQ3 and PQ4 at the appropriate level.<br>AS1 tasks the officer to develop a project-based approach to research and put a plan in place to action it.<br>The officer had to handle information sensitively, complete the research and produce an intelligence tasking report to seek approval for the operation. This report was completed to a high standard. |

PC Jones has shared this material with the team and the intel unit for dissemination across the area.

This officer worked well with the community and local school to achieve a 20% reduction in bike crime in the area over a 6-month period.

This project is set to continue with the support of the local community. PC Jones has clearly made an impact in the professional way this was approached and has received a letter of thanks from the head teacher of the school.

PC Jones has taken an innovative approach to help prevent crime on his beat achieving some excellent results.

## Appendix 5

## Recording your ARC evidence – Example 2

Police Constable.....

Line manager.....

Date.....

| Description of event |
| --- |
| On Thursday, 4 February 2016 I was called to an address in Manor Place to the sounds of a female screaming. On arrival at the address I noticed the front door was open. I updated the control room with my time of arrival and conducted a dynamic risk assessment **(AS.7)**. A female came to the door. I noticed that she had a number of abrasions to her lower lip and blood was coming from a small wound on her left cheek. I established what had happened by asking her a number of questions and I rendered first aid **(AS.2)**. The female informed me that an ex-partner had returned to the address earlier in the evening and over the next few hours the situation had turned violent after an argument. Just before she called the police, her ex-partner had hit her around the face with his hand four or five times. While she was on the phone calling the police, he had taken her handbag containing her purse and run out of the back door into the garden. She was unsure if he was still in the garden. I arranged for a colleague to remain with |

the victim while I made a systematic search of the garden with colleagues. I updated the control room asking for other officers to assist me by going to the road at the rear of the garden to block off any escape routes **(AS.7)**.

In accordance with the relevant guidance, I had turned on my body-worn video (BWV) for the search. Within five minutes, I found the suspect hiding in a small shed at the rear of the premises **(AS.5)**. The suspect was aggressive, shouting and swearing at me. I tried to calm him down by talking to him in a relaxed manner and tried to explain what was going to happen next. Although we were in a confined space, I kept my distance, maintained a relaxed and non-threatening posture responding to the NVCs of the suspect by backing off to release some of the tension created by the situation **(AS.3)**. The suspect tried to run past me out of the shed. At this point, I detained and arrested him on suspicion of assault and theft (this was recorded on BWV). He continued to struggle trying to break free of my grip, so I handcuffed him to stop him causing an injury to himself, to me or to any of the other officers at the scene and to establish control over his movements **(AS.4)**. The suspect was taken to the police station where I gave details of the arrest to the custody officer. The suspect was detained for interview. I was able to prepare the interview strategy and obtained the relevant documents (witness statement, interview plan, and relevant intelligence checks on the suspect). The handbag and purse had been found during the search of the shed after the suspect's arrest. I conducted the taped interview at the interview room at the police station in accordance with the appropriate guidelines. My colleague from the arrest was also present during the interview **(AS.10)**.

| **Assessment standard** | **Where the information is held** (only complete the assessment standards achieved) |
|---|---|
| **(AS.1)** | Not completed in this example |

| | |
|---|---|
| **(AS.2)** | Pocket book Qs & As, AMB, call recorded in DASH[1] and arrest notes (124d) |
| **(AS.3)** | BWV clip no.2 at 1 min 20 seconds |
| **(AS.4)** | BWV clip no.3 (2 mins), DASH and arrest notes (124d) |
| **(AS.5)** | BWV clip no.1 (30seconds), DASH and arrest notes (124d) |
| **(AS.6)** | Not completed in this example |
| **(AS.7)** | 124d, CAD message |
| **(AS.8)** | Not completed in this example |
| **(AS.9)** | Not completed in this example |
| **(AS.10)** | Custody record, interview tape. |
| **Behavioural competencies** | **Example of behaviour** |
| **(PQ.1) Serving the public** | I was able to support the victim by referring her to the appropriate help required from our domestic violence unit, local council housing officer and via the courts to seek an injunction. I have established a rapport with her that will help build her confidence to seek help from the police in any future incidents. |

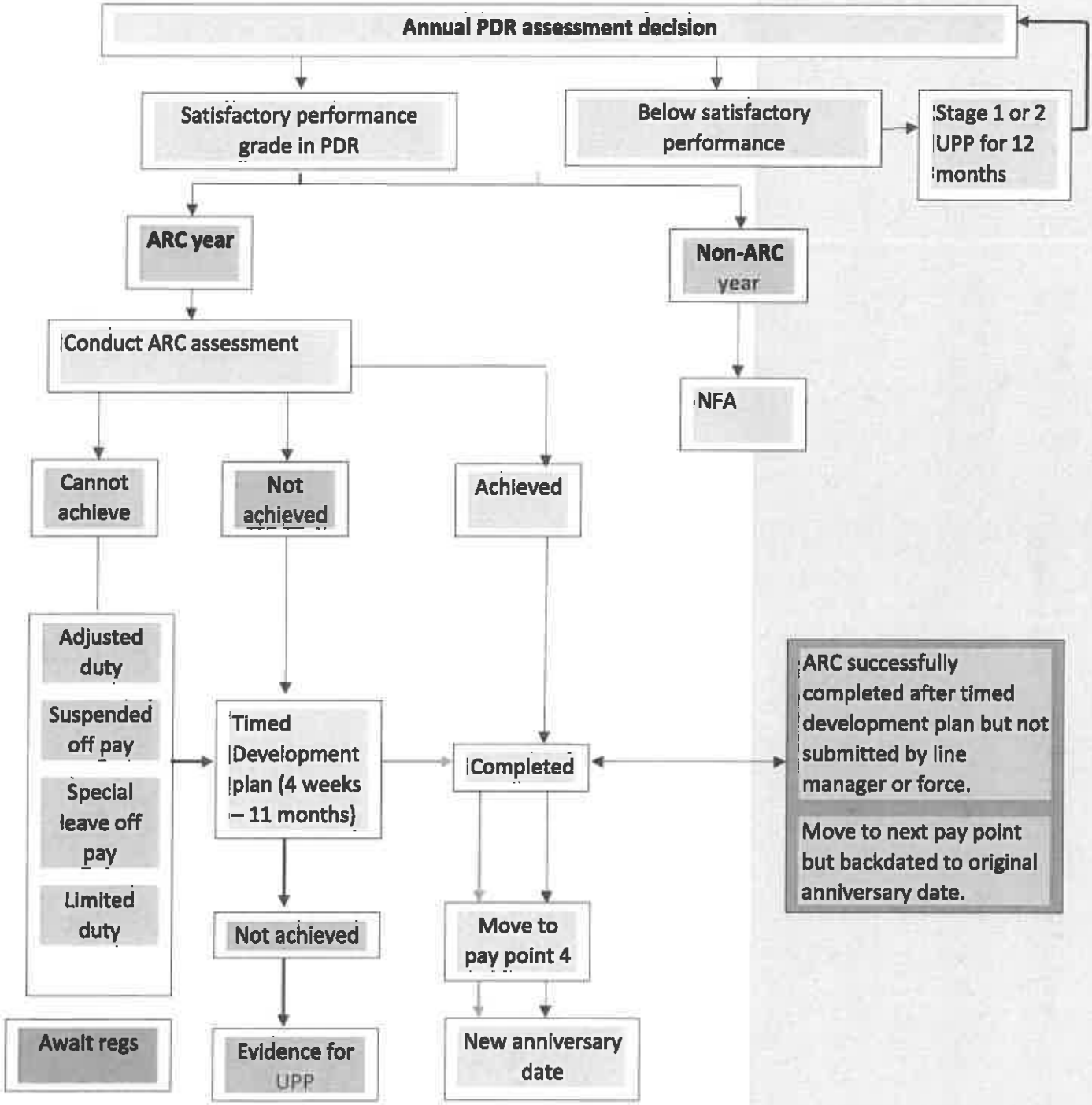
[1] Domestic abuse, stalking and harassment and honour-based violence

| | |
|---|---|
| **(PQ.2) Openness to change** | Not completed in this example. |
| **(PQ.3) Service delivery** | I recognise that DV is a priority in the force. I have made sure I understand the processes around delivery and recording of these type of incidents, without taking away the care and support expected by the victim. |
| **(PQ.4) Professionalism** | During the incident, the victim and the suspect were very emotional. I was able to maintain a clear and calm overview of what was happening and what needed to be done. I took control of this situation ensuring that other officers were aware of their role. The incident was dealt with without further injuries and I supported the victim's needs. |
| **(PQ.5) Decision making** | I was able to make decisions based on the information given to me by the victim. I was able to direct colleagues during the incident and give them clear instructions. I asked the control room for further resources to assist me with the search and transport of the suspect. |
| **(PQ.6) Working with others** | The team responded to directions given during the incident. I had confidence in the officers around me due to their experience. I kept the control room updated throughout the incident. The DASH and arrest notes (124d) will go to the domestic violence unit. I will also take time to personally brief them on the circumstances of this incident. |
| **Contributing to your Continuing Professional Development** | |
| I reread the DASH guidance to make sure I had informed all parties that required an update. | |

| |
|---|
| My line manager reminded me about the two NCALT packages for domestic violence orders. I will complete these to see if they could support me in dealing with the ongoing enquires in this case. |
| **Line manager's comments** |
| PC Jones handled this situation exceptionally well, taking control, calming the situation, directing other officers at the scene, keeping the control room informed, searching the garden, and finding and arresting the suspect.<br><br>I reviewed the BWV and saw that this was a text book arrest. The officer remained calm and totally in control of the situation. The use of handcuffs was proportionate to the situation.<br><br>I am happy to sign off the following as complete and at the appropriate level.<br><br>AS2, AS3, AS4, AS5, AS7 and AS10 plus PQ1, PQ3, PQ4, PQ5 and PQ6.<br><br>At our next one-to-one meeting, I would like you to think about any activity to meet AS8 and AS9. This may be a bit more of a challenge with your role but let's talk through a plan of action. |

# ARC assessment schematic

## Appendix 6




**NOTE**

Officers who are away from the work place for **less than 24 months** but who remain **on pay,** must receive the pay increase on the due anniversary date. Such absences include paid maternity leave, paid paternity leave, paid adoption leave, paid carer leave or being fully suspended from duty.