

APPENDIX 2

POLICE REGULATION 12 AND 13 GUIDANCE NOTES.

Police Regulation 12 and 13 applies to Student Officers only, during their probationary period.

These guidance notes are to assist both Student Officers and staff supporting the IPLDP Programme who are engaged with Student Officers during the probationary stage where performance issues are identified.

Performance issues can be identified at any stage, by Trainers, Tutors, Assessors, Line Managers or Force Work-based Assessment Manager.

The identification of a performance issue requires immediate risk assessment and early intervention.

Where initial remedial action has not been successful, this guidance together with the attached flow chart (V3.5) should be followed.

Risk Assessment

Risk assessment will identify whether the issue is deemed as **High** or **Low** risk and this will establish which route is taken with regards to the Regulation 13 process.

The rationale behind the risk assessment needs to be documented against the criteria of risk to:

- the public
- the organisation
- colleagues
- the individual student officer.

Examples of High Risk scenarios would include

- Failure to complete and demonstrate competence in Personal Safety Training and subsequent 2 day refresher during the initial 23 week training period
- Repeated failure of knowledge checks
- Failure of the fitness test following re-test.

1. High Risk

Where the issue is deemed to be **High risk**, this must be brought to the attention of the Human Resource Manager (HRM) at the earliest opportunity to allow a Formal Case Conference to take place.

1.a. Formal Case Conference (Flowchart Box 3)

The HRM will chair the Case Conference and will determine who is appropriate to attend the Case Conference i.e.:

- Student Officer
- Police Federation Representative or 'Friend' who is a member of Staffordshire Police
- Work-Based Assessment Manager
- Line Manager
- Trainer
- Tutor/Assessor

All evidence and mitigation must be submitted to the HRM five working days in advance of the Formal Case Conference. The Work-based assessment Manager will present a summary of evidence collated that has been disclosed to the student officer/their representative **five working days** prior to the Case Conference.

At the conclusion of the Formal Case Conference, the HRM will decide:

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- Does the risk necessitate Regulation 13 recommendation? (See 3. below)
- Is it appropriate for an application of extension of probationary period (Regulation 12). (See 1.b. below)

Where it is deemed not necessary at this time to recommend Regulation 13, an improvement plan will be agreed and a further date will be set for the Case Conference to review the improvement/development plan for a final recommendation. The evidence and mitigation in relation to the improvement plan will be submitted five working days prior to the Final Case Conference taking place.

1.b. Regulation 12

Where Regulation 12 (extension of probationary period) is deemed appropriate, the HRM will formally request the extension through form 65, outlining the circumstances, reason for extension and length of extension requested. The request will be submitted through the Head of People Services for recommendation and DCC for review before final decision by the Chief Constable.

Where a request for Regulation 12 is deemed appropriate through a reason other than underperformance/unsatisfactory attendance (e.g. pregnancy, injury), there is no requirement for case conference. The HRM will submit the request as per above.

2. Low Risk

Where the issue is deemed to be low risk, a Performance Improvement Plan (**Flowchart Box 1**) should be agreed with the Student Officer, Line Manager and Work-Based Assessment Manager to try to address the development issue identified.

This should be created using the 'SMARTER' model. (Specific, Measurable, Achievable, Realistic, Timeliness, Evaluate and Review). A copy of the plan with strict time lines should be retained in the Student Officer's Portfolio and within their personal file within People Services.

The improvement plan requires a written update by the line manager.

2.a. Maintenance of Performance

Where the initial problem appears to have been resolved in either low or high risk instances, **it is important that the student officer maintains their performance/behaviour** and this will be documented within a development plan and monitored by the Line Manager. Where there is evidence to suggest that the student officer has not maintained their performance/behaviour for the remainder of their two year probationary period (or longer where Regulation 12 has been authorised by the Chief Constable), the Student Officer will revert back to the process where Formal Case Conference will take place.

Failure to Resolve Issue

Where the issue has not been resolved by the student officer, the next stage (**Flowchart Box 2**) will be for the second line manager to invoke a final action plan with a fixed review period (Maximum 5 weeks).

Resolution of the issue following review of an action plan still requires maintenance of performance throughout the remainder of the probationary period (See 2.a. above)

Where the issue has still not been resolved, the next stage is to inform the HRM to arrange a Formal Case Conference (See 1.a. above).

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3. Recommendation of invocation of Regulation 13

Where the HRM recommends Regulation 13, at any stage in during the probationary period, the file of evidence including the minutes of the Case Conference(s) will be forwarded to Head of People Services.

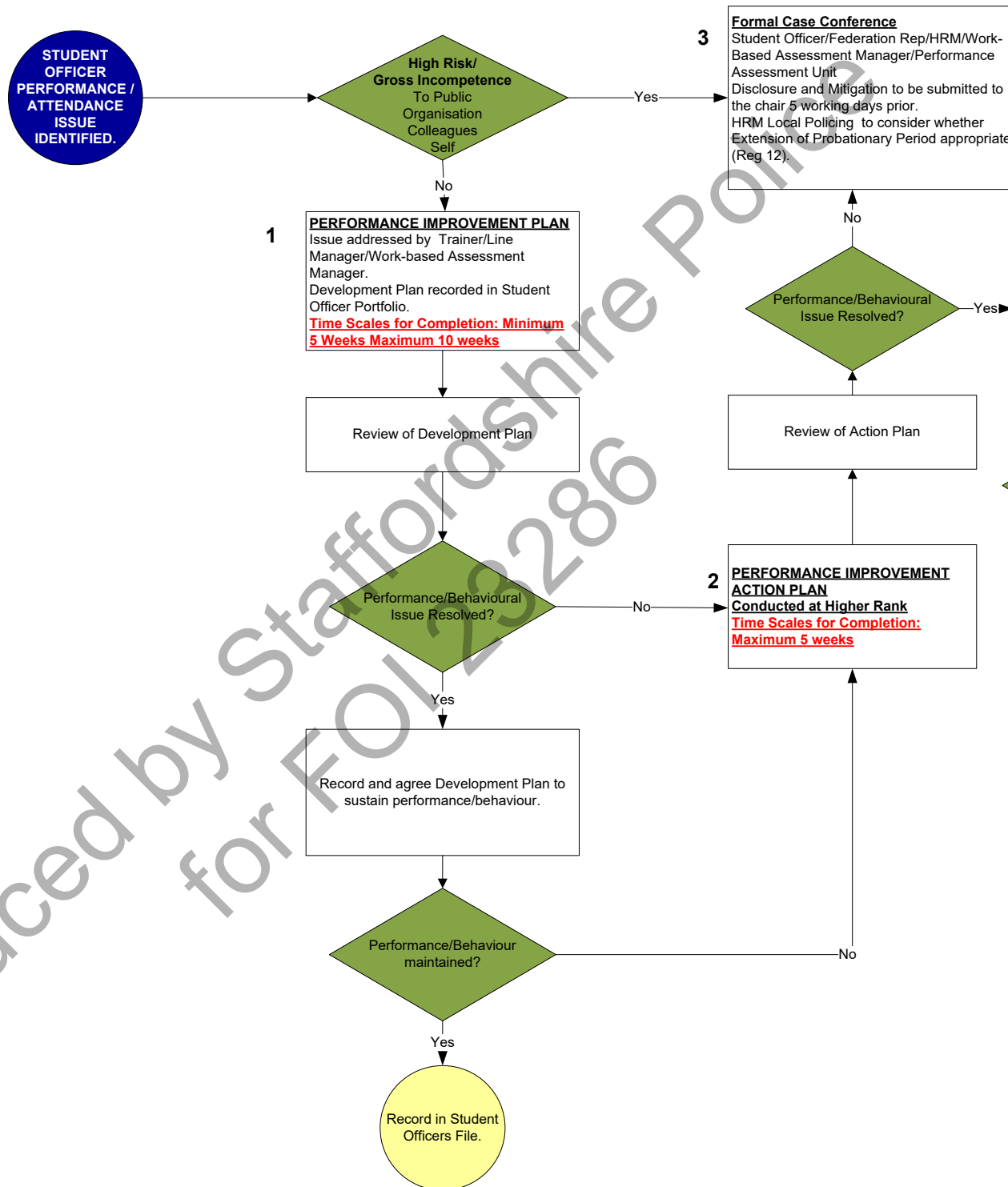
In High Risk cases only, the submission of any outstanding mitigation to Head of People Services will be allowed. It is their decision as to whether this will be done in person or in writing. Head of People Services will decide to either:

- Refer back to HRM with any actions necessary
- or
- Recommend Regulation 13

Where Regulation 13 has been recommended, the file will be forwarded to the Deputy Chief Constable for a final review prior to the Chief Constable receiving it for final decision.

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STUDENT OFFICER - REGULATION 12 AND 13 PROCESS



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