

Police Service of Northern Ireland

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POLICY DIRECTIVE

POLICE OFFICER PROMOTION POLICY

1. POLICY IDENTIFICATION

POLICY TITLE: Police Officer Promotion Policy

POLICY OWNERSHIP:

DEPARTMENT Human Resources
BRANCH Personnel

AUTHOR Recruitment and Selection Unit

POLICY APPROVED BY: Director of Human Resources

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2. POLICY STATEMENTS

- (1) Leadership is key to delivering Policing with the Community and opportunities to demonstrate it exist at all levels. Promotion procedures within Police Service of Northern Ireland (PSNI) must accurately identify people with genuine leadership potential and commitment to Policing with the Community.
- (2) This Policy will ensure that the performance culture required to provide effective policing is reflected in the management tenets that are used by the PSNI in the promotion of police officers.
- (3) The Police Officer Promotion Policy will support the Chief Constable's stated purpose for the PSNI 'Making Northern Ireland Safer for Everyone through Professional, Progressive Policing'.

3. INTRODUCTION

- (1) This Policy sets out the processes for candidate application, quality assurance, appeals, feedback, final selection and the overall framework for Police Promotion. Individual guidance will be set for each promotion process and will be published when each process is advertised. Applicants for promotion are advised to anticipate the impact promotion may have in terms of change to role and possible location.

- (2) **Aim**

The intention of this Policy is to create a mechanism:

- (a) To provide police officers with an opportunity to apply to be considered for promotion;
- (b) To select candidates on merit who will perform well in the target rank;
- (c) To ensure that there is fairness and openness in how decisions on promotion applications are reached;
- (d) To ensure that effective continuance of essential supervisory and management responsibilities within PSNI.

- (3) **Objective**

- (a) To ensure PSNI achieves its business objectives by maximising the utilisation of human resources in line with organisational need;
- (b) To provide a promotion system that is fair, transparent and robust at every stage in selection criteria but also flexible to meet operational need.

- (4) **Application**

- (a) This Policy applies to all serving police officers up to and including Chief Superintendent applying for corporate substantive promotion. It does not cover selection of police officers to lateral vacancies advertised, as these will be dealt with by Vacancy Bulletins issued locally or by Internal Selection.
- (b) The Chief Constable has derogated responsibility for temporary promotion to District/Department Level. Although this Policy does not apply to temporary promotion of police officers, the temporary promotion of all police officers should follow best practice guidance and ensure any process used is fair, transparent and robust.
- (c) This Policy applies to individuals and teams within the organisation who have a contribution to make to police officer promotion processes.
- (d) This Policy applies to individuals and bodies external to PSNI whom provide a promotion related product or service.

(5) Legal basis

- (a) The implementation of this Policy will ensure that the PSNI police officer promotion process complies with current employment law and police promotion regulations.
- (b) Promotion to the rank of Sergeant and Inspector is governed by The Police Service of Northern Ireland (Promotion) Regulations 2008.
- (c) This Policy also takes into account the provisions of the Human Rights Act 1998 and Section 75 of the Northern Ireland Act 1998.
- (d) Code of Ethics - All police officers, regardless of rank, must comply with the Code of Ethics. Police officers should ensure that they remain familiar with the Code of Ethics and its application. Policy Directive 11/07 - Integrity and Professional Standards sets out how the PSNI will deal with breaches of this Code. This document meets Integrity Standards.

4. IMPLICATIONS OF THE POLICY

(1) Financial Implications

- (a) Rigorous application of the promotions processes for police officers should minimise the potential for the processes being contested and appealed.
- (b) Expenses may be incurred through the use of external bodies to provide products, and services.
- (c) There will be a financial impact by the abstraction of police officers and staff resourcing promotions processes.

(2) Efficiency

To ensure PSNI achieves its business objectives by maximising the utilisation of human resources.

(3) Training

- (a) Support will be provided (centrally and locally) by Human Resources and externally through relevant service providers to ensure that individuals and teams supporting promotion processes are suitably equipped to perform their role.
- (b) Information gathered from promotion processes will be used to inform training needs at an individual/team and organisational level.

(4) Human Resources

In order to implement this Policy individuals throughout the organisation will continually need to be released to plan, administer, design, quality assure and assess promotion processes.

(5) Bureaucracy

The implementation of this Policy will result in increased administration; however this is balanced against the organisational need to have police officer promotion processes, which are fit for purpose.

(6) Risks

This Policy seeks to introduce a rigorous, robust and transparent promotion process. The procedure(s) outlined in this document are credible and equitable so as to withstand critical examination and minimise the potential risk to PSNI of legal action taken as a result of promotions processes.

(7) Consultation

Internal and external consultation has taken place with the following:

- (a) Top Team;
- (b) Director of Human Resources;
- (c) Deputy Director of Human Resources;
- (d) Head of Police College;
- (e) Head of Establishment and Structure;
- (f) Police Promotions Examinations Board;
- (g) Police Federation of Northern Ireland (PFNI);
- (h) Superintendents' Association;
- (i) Northern Ireland Policing Board (NIO);
- (j) Northern Ireland Office;
- (k) District Commanders;
- (l) Equality and Diversity Unit;
- (m) Legal Services Unit;
- (n) Heads of Human Resources;
- (o) Head of Professional Standards Department (PSD).

(8) Internal Policy Links

- (a) Policy Directive 04/06 - Equal Opportunities;
- (b) Policy Directive 07/06 - 'Disability Discrimination Act – Management of All Staff – (Police Officers and Police Staff) Policy;
- (c) Policy Directive 05/07 – Police Officer APR;
- (d) Policy Directive 06/07 – Probationer Management Policy;
- (e) Policy Directive 08/07 - Management of Sickness Absence Policy;
- (f) Policy Directive 11/2007 - Integrity and Professional Standards;
- (g) Policy Directive 02/08 - The Professionalising Investigation Programme (PIP);
- (h) Policy Directive 07/08 - Internal Verification Policy;
- (i) Policy Directive 08/08 – PSNI Performance Management System;
- (j) Service Procedure No 31/03 - Guidance for Promotions, Appointments, and Transfers Appeal Applicable to Police Personnel Only;

- (k) Service Procedure No 09/04 - Service Confidence Procedure;
- (l) Service Procedure No 43/2007 - Unsatisfactory Attendance Procedure - Police Officers;
- (m) Service Procedure No 55/08 - Promotion Selection and Appointment;
- (n) Code of Ethics 2008.

5. HUMAN RIGHTS/EQUALITY/INTEGRITY/FREEDOM OF INFORMATION

- (1) This Policy is deemed to be Human Rights compliant.
- (2) It has been screened for Section 75 considerations and complies with the PSNI Code of Ethics.
- (3) The Policy is suitable for disclosure in accordance with the Freedom of Information Act 2000 as part of the Police Service's Publication Scheme.
- (4) Please refer to Policy Directive 04/06 - Equal Opportunity Policy, for further information. The purpose of this Policy is to ensure that, during the course of their employment, no police officer or member of police staff receives less favourable treatment or is discriminated against on the grounds of their sex, pregnancy or maternity leave, marital or civil partnership status, sexual orientation, race or ethnic origin, colour, religious belief (or similar philosophical belief), political opinion, national identity, age, disability or whether or not they have dependants

6. REVIEW

- (1) The owner of the Policy will review this document in 12 months time by way of consultation.
- (2) Interim reviews may also be prompted by feedback, challenge or change in legislation.
- (3) Feedback or queries relating to this Policy should be addressed to the Recruitment and Selection Unit.

SECTION 7

PROCEDURES

1. POLICY GUIDELINES FOR PROMOTION

(1) Promotion Regulations (Promotion to Sergeant and Inspector)

Promotion to the ranks of Sergeant and Inspector is governed by The Police Service of Northern Ireland (Promotion) Regulations 2008.

(2) Revocation and Transitional Provisions (Promotion to Sergeant and Inspector)

(a) The 1995 Regulations are revoked;

(b) This paragraph applies to any member who:

(i) Immediately before the coming into operation of these Regulations:

(aa) is qualified for promotion under the 1995 Regulations to the rank of Sergeant;

and

(bb) has not been promoted to that rank; or

(iii) passes the qualifying examination for promotion to the rank of Sergeant held in 2008 under the 1995 Regulations and is otherwise qualified for promotion to the rank of Sergeant.

(c) A member to whom paragraph (2) applies may be promoted to the rank of Sergeant during the period ending on 31 December 2010 without undertaking a selection examination for promotion to that rank.

(d) This paragraph applies to any member who:

(i) Immediately before the coming into operation of these Regulations:

(aa) is qualified for promotion to the rank of Inspector;

(bb) has not been promoted to that rank; or

(ii) passes the qualifying examination for promotion to the rank of Inspector held in 2008 under the 1995 Regulations and is otherwise qualified for promotion to the rank of Inspector

(e) A member to whom paragraph (d) applies may be selected for promotion to the rank of Inspector during the period ending on 31 December 2010 without undertaking a selection examination to that rank.

(3) Qualification for Promotion

(a) A Constable to be qualified for promotion to the rank of Sergeant shall have completed the probationary period in the rank of Constable;

(b) A Sergeant to be qualified for promotion to the rank of Inspector shall have completed the probationary period in the rank of Sergeant.

(4) Filling of Vacancies

Vacancies in any ranks will be filled by the promotion of individuals whose names appear on the respective Select List, provided their conduct; efficiency and general suitability for promotion. HR will post police officers and will take into account organisational need at that time. The Chief Constable retains the right to post police officers anywhere in the country.

2. REQUIREMENT FOR PROCESS/ORGANISATION NEED

Promotion for police officers in the PSNI to all ranks, up to and including Chief Superintendent, will be by way of a promotion process. Promotion processes will be held at times when there is a requirement or demand within PSNI for relevant posts to be filled. They may be held more or less frequently as required. The timing of which will be determined by the integrated scheduling of promotions and specialist appointments, with the agreement of the Command Team.

3 ADVERTISING OF PROCESS

- (1) Individual guidance will be set for each promotion procedure and will be published when each procedure is advertised to the Service by way of a Vacancy Bulletin, and also advertised externally as required through the appropriate media.
- (2) It is imperative that all eligible police officers have the opportunity to apply. All supervisors are reminded that Vacancy Bulletins should be brought to the attention of all police officers under their command who are absent from duty either by email or direct mail. An audit trail should be kept of all correspondence

4. SELF-NOMINATION/APPLICATION FORM

- (1) Application for promotion will be through completing the appropriate self-nomination/application form. Such forms will be available electronically on the PSNI Intranet, or forwarded electronically/by post in response to enquiries from external police officers.
- (2) The police officer will be required to answer questions relating to their eligibility. The relevant 'Notes for Guidance' for that process, containing comprehensive information on procedure, will accompany the self-nomination/application form. It is the responsibility of the police officer to ensure that they understand the requirements for that particular promotion process.
- (3) It is anticipated that in the future applications will be completed via the HR SAP system.

5. COMMUNICATION STRATEGY

- (1) To further enhance openness and transparency, Human Resources will proactively communicate important information to police officers in a regular and timely manner throughout the process, via a number of channels, ie through the email system and the promotion page on PoliceNet. This will include the number of vacancies anticipated, nature of processes and dates of process and release of results.
- (2) All candidates will be notified by individual email of the result of the promotion process. Attached to the individual emails will be a letter indicating their position on the merit list.
- (3) Heads of Human Resources will be furnished with the final Select List to allow them to forward plan within their own District/Department.

6. CLOSING DATE

Individual police officers are responsible for ensuring their self-nomination/application form is forwarded to central Human Resources to reach them no later than the closing date and time indicated on the Vacancy Bulletin.

7. ELIGIBILITY

- (1) After the closing date, all applications will be scrutinised against the eligibility criteria.
- (2) Any police officer who fails to meet the criteria will be withdrawn from the process, and advised accordingly.

(3) **Promotion disqualification.**

A police officer, below the rank of Chief Superintendent, who has been in receipt of any form of punishment following a disciplinary/misconduct hearing other than a caution will not be eligible to apply for promotion for a period of two years. The two-year period will be calculated from the date the punishment was imposed to the date the Vacancy Bulletin is issued. If any such member's name is at that time on a Select List for promotion, their name shall be removed there from.

(4) **Member suspended from duty/discipline pending**

- (a) Any police officer who is currently suspended from duty or is awaiting the outcome of any discipline action may apply for promotion providing they meet the eligibility criteria.
- (b) If successful, the applicant must be available to take up the position within the specified time frame. Appointment will be dependent on outcome and final suitability check.
- (c) Nothing in this section restricts the Chief Constable from applying his prerogative to remove from a Select List the names of any member whose conduct, efficiency and general suitability for promotion has become unsatisfactory.

(5) **Member on any period of leave**

- (a) A member, who is on a period of leave covered by statutory requirements during the period of the promotion board/exams, will be eligible to attend the board/exams.
- (b) Any police officer who is currently on maternity leave will be eligible to apply for promotion. The offer of appointment will be made and the date set will take into account the officers' period of absence under the statutory maternity leave scheme. The appointment will be held open for the police officer until the termination of her statutory maternity leave period. Should the police officer fail to return to work and take up the new position on the date set, the offer of appointment to that position will immediately be rescinded and that offer treated as a deferral.
- (c) If appropriate please refer to OSPRE rules & syllabus
http://www.npia.police.uk/en/docs/Rules_Syllabus_Sept07_Final_Version.pdf

(6) **Qualifying service for promotion**

Any period of unpaid leave, covered by statutory requirements, will not be reckonable in calculating the period of service necessary to qualify a member for consideration for promotion.

(7) **Chief Constable's Discretion**

- (a) Nothing in this section restricts the right of the Chief Constable to promote at his discretion any member provided that in the case of a Constable or Sergeant, they have met the criteria required by The Police (Promotion) Regulations (Northern Ireland) 2008 or to remove from a Select List the names of any member whose conduct, efficiency and general suitability for promotion has become unsatisfactory.

- (b) Please note that the Chief Constable has derogated responsibility for temporary promotion to District/Department level. The Police Service of Northern Ireland (Promotion) Regulations 2008 states 'A member who is required to perform the duties of a higher rank may be promoted temporarily to that rank by the Chief Constable'. The Chief Constable can therefore promote at his discretion any member to a temporary level without following the guidelines outlined in this Policy.

(8) Notification of Promotions

All promotions will be published in Weekly Orders and it will be sufficient to quote the number thereof as the relevant authority.

8. MANAGEMENT OF SICKNESS ABSENCE POLICY - POLICY DIRECTIVE 08/07

- (1) All applicants whether internal or external who meet the eligibility criteria will then be screened against Management of Sickness Absence Policy – Policy Directive 08/07 and mitigating circumstances may be assessed by an Appeals Panel, as necessary.
- (2) Where an applicant is subject to a current **Formal or Final Warning**, issued in accordance with Service Procedure No 43/2007 – Unsatisfactory Attendance Procedure – Police Officers, there is **no further internal right of appeal** and their application will be rejected from the process.
- (3) Any candidate who fails to meet the eligibility criteria, or is rejected by the Appeals Panel, will be withdrawn from the process and advised accordingly.

9. SELECTION/ASSESSMENT PROCESS

- (1) The Police Service of Northern Ireland (Promotion) Regulations 2008 states 'Subject to Regulation 8' promotion from one rank to another rank shall be by selection:
 - (a) Each selection process for promotion to the rank of Sergeant shall include a selection examination for promotion to that rank.
 - (b) Each selection process for promotion to the rank of Inspector shall include a selection examination for promotion to that rank.
- (2) The Chief Constable will determine the process for selection:
 - (a) The assessment process for the ranks of Sergeant and Inspector are outlined in specific Service Procedures, rules and guidance applicable to the OSPRE[®] process and relevant Notes for Guidance.
 - (b) The assessment process to be used for promotion to other ranks will be outlined in the Notes of Guidance for each specific promotion competition.
- (3) The process will be subject to validation before being administered in accordance with guidelines provided in the Notes for Guidance. The results of the promotion process will be monitored and analysed to identify any trends and patterns, which may be of interest and identify any instances of adverse impact.
- (4) All applicants will be subject to an eligibility check to ensure they are eligible to enter the promotion competition. Failure to meet the eligibility criteria will render the police officer ineligible to apply for promotion. HR Managers will verify eligibility.
- (5) The specific eligibility criteria for each process will be clearly detailed in the appropriate Vacancy Bulletin.
- (6) Any reasonable adjustments required under the Disability Discrimination Act or as a result of compelling circumstances will be reviewed on an individual basis and if necessary referred to a Panel.

- (7) All appeals surrounding eligibility criteria must be addressed by the applicant with their HR Manager and managed within that District or Department.
- (8) **Candidate's expenses.** Please refer to PPAC.

10. MODERATOR INPUT

The Internal Moderator(s), will oversee the promotion process through the following stages, inception, design, assessment and through to the review process. This person should be at least one rank higher than the applicable post. However, in some instances two moderators will be used. Where a second moderator is used for their subject matter expertise, it is not necessary that they be of the higher rank. However the more senior moderator will perform the role of chief moderator for that process.

11. APPEALS MECHANISM

- (1) Appeals relating to the listing of police officer's suitability for promotion should not be addressed through this process. A candidate may appeal the decision 'not to recommend' the applicant for promotion. In this case, the matter should be referred to the relevant authorities at a local level.
- (2) A request for appeal can only be made on the above grounds if a candidate believes that their performance was adversely affected. Specific guidance on this process will be provided in the relevant Notes for Guidance.
- (3) This appeal process does not apply to Managing Attendance. For information on MAP appeals please refer to Service Procedure No 31/2003 - Guidance for Promotions, Appointments and Transfers Appeals – Applicable to Police Personnel Only.
- (4) This appeal process does not apply to appointment off the promotion Select List. For information on appointment appeals please refer to Selection & Appointment Service Procedure.
- (5) An appeal can only be lodged:
 - (a) When a police officer considers there have been procedural flaws in the promotion competition. A procedural flaw relates to a flaw in the promotion material and/or the promotion process;
 - (b) When a police officer considers they have not been treated equitably.
- (6) In each case it is the **police officer's own responsibility** to provide specific evidence to support their appeal within the set time limits. Documentation can be sent electronically or original documents forwarded by post.
- (7) For each promotion competition Internal Selection will appoint a member of staff to co-ordinate appeals who will be known as the 'appointed appeals officer'.
- (8) **Stage One**
 - (a) A candidate who wishes to make an appeal must submit outline grounds for appeal in writing to Internal Selection within 1 day of completion of their assessment. They have then 7 days from their assessment to submit the full grounds for appeal.
 - (b) Upon receipt of the appeals papers an Appeals Panel will be convened to examine the facts and conduct a review of the assessor's panel's decision in conjunction with those relevant stakeholders. The appointed appeals officer will inform the candidate of the decision of the Appeals Panel within 7 days.
 - (c) Requests for appeal sent in after results are notified will not be considered. In addition, requests by candidates who are successful in the process will not be considered further.
 - (d) The Appeals Process will not hold up the publication of the Select List. However the Select List will be conditional based on the outcome of any Appeals.

(9) Stage Two

- (a) If the appeal is not upheld the appellant can, within 7 days of notification of stage one outcome, ask for the appeal papers to be forwarded to the nominated HR Representative.
- (b) Within 7 days of receiving the appeal papers the nominated HR representative will make a decision. The appointed appeals officer in Internal Selection will inform the candidate of the decision within 7 days.

(10) Stage Three

- (a) If the appeal is not upheld and the appellant considers they:
 - (i) can provide new evidence not previously available to the appellant authority;
 - or
 - (ii) there have been procedural flaws.
- (b) They may, within 7 days of written notification of the result of the Stage Two process, request that the appeal is referred to the 3rd Stage Appeals Authority (details will be provided in relevant Notes of Guidance for each process).
- (c) Within 14 days of the decision made by the 3rd Stage Appeals Authority, the appointed appeals officer will inform the candidate of the decision.
- (d) **There is no further right of appeal.**
- (e) Candidates should be aware, that in signing the self-nomination form, they are acknowledging that they are suitably prepared to undertake the assessment process relevant to the next rank. Should their situation change it is the candidate's responsibility to make Human Resources, locally, aware prior to the commencement of any related assessment. It is unlikely, that any factors, which should have been apparent to the candidate at the time, can be later used to support a challenge to either the fairness of the assessment process, or the assessment of their performance.
- (f) The specific details of the Appeals process will be provided in the Notes of Guidance for each promotion competition.

12. SELECT LIST

The Select List will be published giving, in alphabetical order, the names of individuals found suitable for promotion. If there are outstanding Appeals, then the Select List will be conditional based on the outcome of the Appeals Process.

13. FINAL SUITABILITY CHECK

- (1) Prior to a Select List being published all successful applicants will be subject to vetting with PSD and the Police Ombudsman for Northern Ireland (PONI) and other vetting if required, as outlined in the Vacancy Bulletin.
- (2) Any police officer who is on sickness absence will be permitted to apply for promotion. The subsequent appointment date will be dependant on their return to work and their fitness to fully take up the new position. The offer of promotion will be made and the date set by Police Postings. Should the police officer fail to return to work and take up the new position on the date set, the offer of promotion to that position will immediately be rescinded and that offer treated as a deferral.
- (3) When a police officer has been off on sick absence for a significant period of time HR Department may require verification from OHW to confirm that the police officer is fully fit to return to the new position.

- (4) Member not promoted from current list:
- (a) Any member whose name appears on a Select List and who is not promoted during the currency of that list must reapply.
 - (b) Any Inspector or Sergeant who appears on the Select List for a specialist post and who is removed from the general promotion list will also be removed from the Specialist Post Select List. They must successfully reapply for promotion before being able to reapply for a specialist post at a higher rank.

14. CANDIDATE FEEDBACK

Feedback on the promotion process will be given to candidates in accordance with instructions contained in the Notes for Guidance for that process.

15. REVIEW PROCESS

Upon completion of each promotion process, a formal review of that process will take place, to identify best practice and areas for improvement in subsequent processes. The Project Manager, based on analysis conducted and feedback received from candidates, external and internal moderators, will conduct this review.

16. ORGANISATIONAL FEEDBACK

Information derived from the promotion processes will be made available to the Police College to support organisational training and development initiatives.

SERGEANTS PROMOTION PROCEDURE

17. INTRODUCTION

- (1) Leadership is key to delivering Policing with the Community and opportunities to demonstrate it exist at all levels. Promotion procedures within PSNI must accurately identify people with genuine leadership potential and commitment to Policing with the Community.
- (2) The promotion to Sergeant, as identified in this Policy, will support the Chief Constable's stated purpose for the PSNI 'Making Northern Ireland Safer for Everyone through Professional, Progressive Policing'.
- (3) This Policy will ensure that the performance culture required to provide effective policing is reflected in the management tenets that are used by the PSNI in the promotion, development and management of Sergeants.
- (4) This Policy details how the assessment process to Sergeant will work, the assessment process in their probationary period and the action to be taken to be confirmed in the rank of Sergeant.

18. LEGAL BASIS

- (1) Promotion to the rank of Sergeant will be governed by The Police (Promotion) Regulations (Northern Ireland) 2008 when it becomes operational.
- (2) Qualifications for Promotion:

A Constable to be qualified for promotion to the rank of Sergeant shall have completed the probationary period.

- (3) Schedule
 - (a) A Constable who will on the date the examination is held have completed their probationary service will be eligible to take the first part of the selection examination for promotion to the rank of Sergeant;
 - (b) A Constable on probation who is participating in the HPD scheme is eligible to take the first part of the selection examination for promotion to the rank of Sergeant.
- (4) PSNI Unsatisfactory Performance and Attendance Regulations 2007 detail the powers of the Chief Constable where police officers are unable to fully discharge their duties as a result of either unsatisfactory attendance or unsatisfactory performance.
- (5) This Policy also takes into account the provisions of the Human Rights Act 1998 and Section 75 of the Northern Ireland Act 1998.
- (6) The 1995 Regulations will be revoked upon the publication of The Police (Promotion) Regulations (Northern Ireland) 2008.
- (7) Revocation and Transitional Provision:
 - (a) This paragraph applies to any member who, immediately before the coming into operation of these Regulations:
 - (i) is qualified for promotion under the 1995 Regulations to the rank of Sergeant; and
 - (ii) has not been selected for promotion to that rank.
 - (b) A member to whom paragraph (a) applies may be selected for promotion to the rank for which that member was qualified under the 1995 Regulations until 31 December 2010 without undertaking the selection examination for promotion to that rank.

19. AIM

The purpose of this Policy is to ensure promotion procedures within PSNI accurately identify people with genuine leadership potential and enable them to promote and develop the best candidates for the role of Sergeant. The developmental activities for probationary Sergeants will support the HMIC review of promotion processes within PSNI.

20. APPLICATION

- (1) This Policy is aimed at:

All Constables applying for promotion to Sergeants, probationary Sergeants and all staff responsible for managing and assessing this groups.
- (2) Code of Ethics. All police officers, regardless of rank, must comply with the Code of Ethics. Police officers should ensure that they remain familiar with the Code of Ethics and its application.
- (3) Policy Directive 11/07 - Integrity and Professional Standards sets out how the PSNI will deal with breaches of this Code. This document meets Integrity Standards.

21. PROCEDURES AND GUIDANCE

- (1) In accordance with the HMIC recommendation the PSNI will require probationary Sergeants to undertake developmental activities before being signed out of their probationary period.
- (2) The probationary period will normally be for 12 months – however this may be extended where it is appropriate to do so.

- (3) The purpose of the probationary period is for PSNI to be satisfied that those appointed as Sergeants have the skills, knowledge and capability to effectively perform the required role. This includes a requirement to demonstrate the ability to attend work and have minimum absenteeism.
- (4) During the probationary period Sergeants will be required to gather a portfolio of evidence [Sergeants Development Portfolio, (SDP)] against three selected National Occupational Standards (NOS) appropriate to the rank of Sergeant and four Core Leadership Development Programme (CLDP) modules. Line Managers will assess the SDP and sign off attainment of the standards. Continued non-achievement of competence as a probationary Sergeant will lead to the police officer reverting to their previous rank.
- (5) The portfolios will be internally verified by means of dip sampling.
- (6) Applicants for promotion are advised to anticipate the impact promotion may have in terms of change to role and possible location.

22. ACCESSING INFORMATION

Information on the Sergeants promotion process can be accessed by visiting the Promotion Page on PoliceNet; all forms relating to the process and the portfolio contents can either be downloaded for electronic completion or printing. Further information on the CLDP programme can be accessed via training pages on PoliceNet.

23. STAGES OF THE PROMOTION PROCESS FOR SERGEANTS

There are 6 stages to the Promotion Process:

Stage 1: Suitability;

Stage 2: Legal Examination;

Stage 3: Assessment Against Competencies and Matching to Vacancies;

Stage 4: Eligibility for Placement on the Select List;

Stage 5: Training Programme;

Stage 6: Probationary Period.

A Constable on probation, and participating in the HPD scheme is eligible to take the OSPRE[®] examinations for promotion to the next rank as and when facilitated by the PSNI. If successful for promotion, this will not take place until they have been confirmed in the rank of Constable.

(1) Stage 1 – Suitability

- (a) Stage 1 is a self-nomination Part 1 Sergeants Form. Internal Selection will issue this by way of a Part II Service Procedure. This will detail in full the Service Procedure regarding the exact dates and timings for each promotion process and the eligibility criteria, which must be satisfied. It will be the applicant's responsibility to check their eligibility and to complete the appropriate Self-Nomination OSPRE[®] Part 1 (Sergeants Form, which can be downloaded from the PoliceNet) in order to be considered for promotion and to ensure that the timeframe is met.
- (b) Additional eligibility not accounted for by legislation will be outlined in the Notes of Guidance for each specific promotion process.
 - (i) The criteria to determine eligibility for promotion to a higher rank may be subject to an examination of all or some of these areas (not exhaustive):

NOT PROTECTIVELY MARKED

- (aa) Absence Management;
 - (bb) Unsatisfactory Performance regulations;
 - (cc) Completion of Probationary Period;
 - (dd) Commitment Period;
 - (ee) Acceptable Annual Performance Appraisal (APR);
 - (ff) General Suitability Declaration by Line Manager.
- (ii) Any police officer who has been in receipt of any form of punishment following a disciplinary/misconduct hearing other than a caution will not be eligible to apply for promotion for a period of two years. The two-year period will be calculated from the date the punishment was imposed to the date the Vacancy Bulletin closes. If any such member's name is at that time on a Select List for promotion, their name shall be removed there from.
 - (iii) Any police officer who is currently suspended from duty or awaiting the outcome of a disciplinary matter may apply for promotion providing they meet the eligibility criteria. If successful, the applicant must be available to take up the position within the specified time frame.
 - (iv) If a police officer is absent from duty regardless of the reason, it is their individual personal responsibility to keep themselves apprised of any activity relating to promotion and should make appropriate arrangements to achieve this. All supervisors are reminded that Vacancy Bulletins should be brought to the attention of all police officers under their command who are absent from duty either by email or direct mail. An audit trail should be kept of all correspondence.
 - (v) Any reasonable adjustments required under the Disability Discrimination Act or as a result of compelling circumstances will be reviewed on an individual basis and if necessary referred to a Panel.
 - (vi) The specific eligibility criteria for each process will be clearly detailed in the appropriate Vacancy Bulletin.
 - (vii) All appeals surrounding eligibility criteria must be addressed by the applicant with their HR Manager and managed within that District or Department. Appeals should be dealt with as outlined in Selection & Appointments Service Procedure, as detailed in the local level appeals selection.
 - (viii) Police officers who are appointed to the rank of Sergeant will be required to remain within that post, District or Department for a period of 2 years from the date of appointment. On completion of this period of commitment they will be eligible to apply for transfer or specialist post.
- (c) It will be the responsibility of each applicant to ensure that they have completed and returned the registration form and site request document. These forms must be returned to Internal Selection and Promotion, Lisnasharragh by the date indicated in the notification document.
 - (d) Candidate registration will be acknowledged by individual email.
 - (e) Applicants who fail to submit their registration form by the due date will not be entered into the promotion examinations.
 - (f) Probationer Constables who anticipate that they will meet the criteria under the Regulations and Promotion Policy and wish to sit the OSPRE[®] Part I examination for the relevant rank may apply.
 - (g) There is no appeal at Stage 1 that will be dealt with at the Centre.

NOT PROTECTIVELY MARKED

(2) **Stage 2 – Legal Examination**

- (a) Stage 2 is OSPRE[®] Part I. This is a multiple-choice examination based on knowledge and application of the law, which has been identified as being crucial for effective performance in the next rank.
- (b) Candidates who received a 'low band fail' will be ineligible to enter the examination the next time it is held.
- (c) For appeals procedures candidates should refer to the OSPRE[®] Rules and Syllabus available from National Police Improvement Agency (NPIA). Web site address: www.npia.police.uk/
- (d) Candidates who fail to turn up for the OSPRE[®] Part I examination will be deemed as 'absent' and therefore will be automatically excluded for the next examination. The candidate must explain the reasons for their absence to their local HR Manager who in turn must notify Internal Selection and Promotion. If the absence is deemed by the HR locally to be exceptional, then the candidate will be allowed to re-apply for OSPRE[®] Part I (via Stage 1) at the next available opportunity. Candidates whose absence was not considered 'exceptional' will be ineligible to enter the examination the next time it is held.
- (e) Candidates who withdraw from OSPRE[®] Part I on 2 consecutive occasions will be ineligible to enter the examination the next time it is held – see Procedures contained in OSPRE[®] Rules and Syllabus document.
- (f) Police officers may use the existing appeals procedure contained in the rules of OSPRE[®]. This also applies to police officers who wish to withdraw from OSPRE[®] Part I after the published deadline or who failed to attend the examination. For more information visit the NPIA website at www.npia.police.uk/

(3) **Stage 3 – Assessment Against Competencies and Matching to Vacancies**

- (a) Stage 3 is OSPRE[®] Part II. This is a practical assessment based on role-play scenarios. Police officers will be appraised on the competencies they demonstrate and the strength of their performance. To be successful at this stage, the candidate must achieve the pass requirement, (please see OSPRE[®] guidelines) **and** achieve a place in the order of merit that falls within the number of vacancies required for that rank. [This element will be enforced once The Police (Promotion) Regulations (Northern Ireland) 2008 come into operation]. Those Constables who do not achieve this will have to re-apply.
- (b) A candidate must pass OSPRE[®] Part II within 2 attempts within 3 consecutive processes of passing OSPRE[®] Part I otherwise the police officer must re-qualify for OSPRE[®] Part I (via Stage I).
- (c) **Rules:** Please note, a police officer who is unsuccessful at Part II may make one further attempt within the next two OSPRE[®] Part II processes. These police officers will enter the Promotion Process at Stage 3. Failure will mean that the police officer must re-qualify for OSPRE[®] Part I (via Stage 1).
 - (i) These rules will apply regardless of whether the failure to complete the process is due to a personal choice of abandoning the promotion process or a selection decision through the different Stages.
 - (ii) Entry to OSPRE[®] Part II will be restricted to Constables, who have achieved a pass in OSPRE[®] Part I or have been unsuccessful at their first attempt at OSPRE[®] Part II and are eligible to make one further attempt under the three consecutive promotion process rule.
- (d) Police officers who achieve a pass in OSPRE[®] Part I are required to take OSPRE[®] Part II at the first available opportunity.

- (e) Eligible police officers are automatically entered into OSPRE[®] Part II.
- (f) Police officers may use the existing appeals procedure contained in the rules of OSPRE[®]. For more information visit the NPIA website at www.npia.police.uk/

(4) **Stage 4 – Eligibility for Placement on the Select List**

Eligibility will be based on the following:

- (a) Police officers must apply for promotion at the first available opportunity otherwise they will lose their OSPRE[®] Part II qualification and must re-apply. See Rules above for stage at which a police officer must re-apply and enter the promotion process at.
- (b) Internal Selection and Promotion, will notify successful applicants by way of Vacancy Bulletin for promotion to the rank of Sergeant. This will detail in full the exact dates and timing for the promotion process and the eligibility criteria, which must be satisfied. It will be the **applicant's responsibility** to check their eligibility and to complete the appropriate Self-Nomination 'Promotion Form' and to ensure that the timeframe is met. Applicants must complete and submit this form in order to be considered for promotion.
 - (i) Must have passed and hold a valid OSPRE[®] Part I and OSPRE[®] Part II or equivalent;
 - (ii) Meet all eligibility criteria as outlined in the Vacancy Bulletin;

and

 - (iii) Obtain a place in the order of merit that matches the number of determined vacancies;
 - (iv) Applicants will be notified of the outcome of the eligibility check and MAP appeal within 28 days of the issue of the promotion protocol.

(v) **However:**

 - (aa) If a candidate fails the eligibility checks they will not be placed on the Select List and will have been deemed to have failed the promotion process;

or

 - (bb) If a candidate fails to obtain a place in the order of merit that matches the number of determined vacancies, they will have been deemed to have failed the promotion process.

In either case the police officer will need to undertake OSPRE[®] Part II again, provided that the life span of their OSPRE[®] Part I is still valid. See Rules above.

Please note, to obtain a place, external applicants must hold the relevant OSPRE[®] Part II in that given year with a score that is equal or higher than that achieved by PSNI police officers in the order of merit, as well as meeting all PSNI eligibility criteria.

- (c) The mark awarded on specific stages of the promotion competition is not automatically carried forward to the next part of the promotion competition. A final position on the Select List may be determined by a further part of the competition. This and how the Select List is compiled will be detailed in the promotion protocol.
- (d) The police officers' HR Manager should inform Police Postings if, having been successful in being placed on the promotion Select List and prior to appointment there has been a significant change in:

- (i) Absence Management;
 - (ii) Criminal or Disciplinary investigations;
 - (iii) Unsatisfactory Performance regulations.
- (e) Police Postings will then consult with the police officers' Head of HR, and if required PSD and the individuals' inclusion on that Select List may be reviewed and if necessary they will be bypassed on the list or removed completely from the list.
- (f) Any police officer who has been offered promotion and wishes to decline that offer will defer to the bottom of the Select List. Upon declining a second offer of appointment the police officer's name will be removed from that Select List. There will be no right to appeal this decision.
- (g) Police officers should be aware that in deferment there is a possibility that they may be offered the same locations twice.
- (h) Appeals against suitability criteria should be dealt with locally as outlined in Selection & Appointments Service Procedure, under the local level appeals section.

(5) Stage 5 – Training/Development Programme

Front Line Supervisors Training/Development Programme (Sergeants)

- (a) PSNI will require probationary Sergeants to undertake developmental activities via a Front Line Supervisors Training/Development Programme. This will involve a programme delivered by the Police College (PCNI) and a series of developmental modules to be completed before the end of the probationary period.

A pre requisite for involvement on the programme will be the completion of a Leadership CLDP workbook, which will incorporate a distance learning pack, which is essential to the development of the police officers on the programme. Probationary Sergeants will be required to pass a knowledge check assessment at the commencement of the programme. Anyone who fails to pass the knowledge check to the required standard will not be allowed to continue on that particular attendance event and will be re-scheduled. If the individual fails the knowledge check twice, the Police College will refer the matter to the Director of HR for further guidance. To be signed out of their probationary period probationary Sergeants must have successfully completed this training/development programme. Please note that attendees will be expected to participate fully during the training programme. Failure to do so may result in the PCNI returning the police officer to their District/Department with a report without successful completion of the course.

- (b) Probationary Sergeants who are on the HPDS will be required to participate in the Front Line Supervisors Training Programme.
- (c) Feedback or queries relating to the Front Line Supervisors Programme should be addressed to the Leadership Development Programmes, Police College.

(6) Stage 6 SECTION A Probationary Period incorporating the Sergeant Development Portfolio (SDP) and Core Leadership Development Programme (CLDP)

Police officers who are successful in the promotion process will take up their new posting as a probationary Sergeant.

- (a) There will be a mandatory requirement to complete four modules from the Core Leadership Development Programme (CLDP) before the end of the probationary period. Failure to successfully complete any of these modules on the third attempt, within the probationary period will mean that the police officer cannot be confirmed in the rank of Sergeant. The CLDP modules Operational Activities and Leadership are specified as mandatory. The Leadership workbook will have been completed as part of the pre-course work prior to attendance at the Front Line Supervisors training/development programme. The police officer should select a further 2 modules from the list of CLDP modules available to meet their specific development needs. These modules will be recorded in the probationary Sergeants Personal Development Plan, as part of the probationary Sergeants Annual Performance Review (APR). Evidence of successful completion of the 4 CLDP modules must be placed on the SDP.

(i) Accreditation of Prior Learning (APL)

Completion of the CLDP is seen as a developmental tool however, if you are applying for an award then Accreditation of Prior (and/or Experiential) Learning (APEL) may apply in certain instances.

- (aa) If you feel that there is a case for APEL then this should be discussed, in the first instance, with your Line Manager.
- (bb) To proceed you will need to put together a portfolio of evidence to demonstrate the relevance and currency of prior learning or qualifications and then forward to the CLDP co-ordinator.

(ii) High Potential Development Scheme (HPDS)

Probationary Sergeants who are on the HPDS will not be required to complete the SDP or CLDP modules, except Leadership during their probationary period, as they will undertake the HPDS portfolio, which will provide the required evidence.

(b) Local Induction

Where a newly promoted Sergeant is allocated to a new work area it is good practice to ensure that the police officer is properly inducted.

- (i) The purpose of this induction will be to welcome the probationer Sergeant to the District/Department, provide the probationer with a briefing on the policing context within the District/Department and advise of the specific policing objectives. The probationary Sergeant should ensure that they are fully aware of what is expected of them over 12 months and that they are aware of the standards of performance required.
- (ii) Following the induction meeting, a meeting should be arranged with the Area Commander or nominated delegate. The purpose of this meeting will be to provide the probationer Sergeant with an opportunity to personally meet the Commander or nominated delegate and for the Commander to re-iterate the expectations in terms of attendance and performance.

(c) Annual Performance Review

(i) The Personal Performance Agreement (PPA)

- (aa) Following in-year promotion the probationary Sergeant and their new Line Manager will meet to agree the probationary Sergeant's APR. The PPA will contain the following mandatory objectives:

(A) "To ensure successful completion of the three NOS's outlined in the SDP within the 12-month probationary period."

- (B) "To successfully complete four mandatory CLDP modules within the 12-month probationary period."
- (C) Where the probationary Sergeant and the Line Manager agree further APR performance 'work' or development objectives, for the period related to work in the department/team, the Line Manager when reviewing the SDP should review progress on these. These further objectives should be signed off as usual at the end of the APR review period ie in April. Where the Sergeant's probationary period overlaps two APR periods, the probationary Sergeant will transfer the two objectives in relation to their probationary period ie completion of SDP and CLDP modules, to the new APR e-document.

(bb) Probationary Sergeants who are on the HPDS will not be required to complete these two objectives during their probationary period, as they will undertake other objectives in relation to the HPD scheme.

(ii) Behaviours

- (aa) The behaviours for the probationary Sergeant should be taken from their role profile. They underpin the delivery of objectives and effective performance in the role. The expected attitudes and behaviours underpin the demonstration of the occupational standards. These behaviours should be selected in the individual's APR.
- (bb) A probationary Sergeant cannot be deemed competent even if they have demonstrated adequate technical performance, if their attitude and behaviour does not meet the expected standards of the PSNI and society.
- (cc) The probationary Sergeant is not required to gather evidence against these behaviours, however they must take these behaviours into account when carrying out the tasks and activities in the SDP. Failure to effectively demonstrate these behaviours may result in the police officer receiving a performance rating of 'Weaknesses in Performance' in their APR (please refer to Police Annual Performance Review, Service Procedure). The probationary Sergeant cannot be signed out of their probationary period if they receive a 'Weaknesses in Performance' rating in their APR.

(iii) Personal Development Plan (PDP)

- (aa) The PDP will contain the three National Occupational Standards as development objectives. It will also contain a development objective related to the mandatory requirement to complete 4 CLDP modules during the probationary period.
- (bb) Probationary Sergeants who are on the HPDS will not be required to complete these objectives during their probationary period, as they will be undertaking objectives in relation to the HPD scheme

(iv) Professionalising Investigation Programme (PIP)

Probationary Sergeants who are taking up PIP compliant roles, to which the PIP National Occupational Standards are attached, will be required to undertake registration through the PIP process. PIP Levels 1 and 2 will be evidenced and assessed through the APR process. Please refer to Policy Directive 02/08 - Professionalising Investigation Programme (PIP) for more information.

PLEASE NOTE:

The probationary Sergeant is NOT required to have gained PIP registration prior to being signed out of their probationary period under the Sergeants Promotion Service Procedure. However, successful registration to PIP will be necessary to prove competence and satisfy the requirements within the APR.

(d) Sergeant Development Portfolio (SDP)

- (i) During the 12-month probationary period the probationary Sergeant will be assessed in the workplace by line management, against 3 compulsory National Occupational Standards (NOS) Units.
- (ii) The titles of the National Occupational Standards for 2009 are:
 - (aa) **Lead the work of teams and individuals, 4D1;**
 - (bb) **Manage yourself 4D4;**
 - (cc) **Prepare for, monitor and maintain policing operations, 2B7.**

Please note - Individuals promoted from the 2008 list, must gather evidence against the National Occupational Standards previously advertised.

- (iii) Each NOS 'unit' is made up of a number of 'elements'. The probationary Sergeant must be signed off as 'competent' in each of these 'elements' to successfully complete a 'unit'. A description of each 'unit', the activities to be undertaken to meet the standard required, the method of assessment, the evidence requirements and the documentation to be completed for the SDP is described in the SDP Guidance which will be provided to the probationary Sergeant and is available on PoliceNet.
- (iv) In each element, the police officer will be assessed by the Line Manager (assessor) as being, 'competent', 'not competent' or 'insufficient evidence'.
- (v) To successfully complete the probationary period and be confirmed in the rank the probationary Sergeant must be signed off as 'competent' in all elements of the three NOS units above; have completed the four CLDP modules and successfully attended the 2-week Front Line Supervisor's Course.
- (vi) The SDP may be subject to the verification procedures outlined in the Internal Verifiers Policy.
- (vii) A police officer may withdraw from promotion to the rank of Sergeant (and therefore revert to their previous rank) by informing Internal Selection and Promotion in writing. Police officers may only voluntarily withdraw up to ten days before their final assessment date. Please note - OSPRE[®] Part I is only valid for two attempts at OSPRE[®] Part II within three consecutive promotion processes ie if a police officer does not successfully complete the promotion process during the life span of their OSPRE[®] Part I exam then they must undertake OSPRE[®] Part I again.

(e) Evidence

It is the responsibility of the probationary Sergeant to gather and present evidence to indicate that they have demonstrated the standards described in the SDP. Each piece of evidence should be numbered and added to their SDP. To ensure that the Probationary Sergeant has a good range of evidence to prove their competence, they must provide at least 3 pieces of evidence against each element. Remember that 1 piece of evidence may demonstrate competence against more than 1 element in the NOS's. Evidence may be gathered if the individual has been in an 'acting sergeant' role immediately before promotion. However it should be noted that the portfolio must not be fully completed from evidence during this period, nor does it shorten the length of the probationary period.

(f) SDP Assessment Process

- (i) A formal review of the probationary Sergeant's SDP will be undertaken every three months ie three-month, six-month and nine-month stage by the Line Manager. It is the probationary Sergeants responsibility to ensure the SDP is up to date. At this review the progress of the probationer Sergeant will be reviewed, ensure that evidence is being gathered for the SDP, any previous action plans have been followed through and consider any further development requirements that the police officer may have. The outcome of these reviews will be recorded by the Line Manager and placed on the SDP.
- (ii) The PSNI is of the view that to adequately consolidate all learning and demonstrate the required levels of efficiency and effectiveness probationary Sergeants need to be in a role where they can evidence all NOSs for the entire probationary period.

(g) Dealing with Performance Issues/Probationer Performance Below Standard

- (i) As a result of the assessment, the Line Manager will either indicate that the probationer Sergeant is 'on-target' or 'not-on-target'. If the Line Manager has assessed the probationer Sergeant as 'not-on-target', in any of the NOS 'elements' then corrective action(s) must be agreed, recorded and a review date set to enable the probationary Sergeant to get back 'on-target' before the next formal review. This could be the result of the individual failing to complete the SDP documentation or having provided insufficient evidence, which impacts on the Line Manager's ability to carry out the reviews stages. The NOS element(s) should be marked 'insufficient evidence' at this stage.
- (ii) If in the opinion of the Line Manager the probationary Sergeant has not undertaken the corrective action(s) within the timeframe agreed, the Line Manager may identify the police officer as being 'not-competent' in the element(s) of the NOS unit/units being assessed. At this stage the Line Manager may evoke the unsatisfactory performance procedure. It is essential that before initiating unsatisfactory performance procedure that Line Managers consult with the Professional Development Officer (PDO)/HR Manager who will review the Line Manager's evidence to ensure that this process is being applied consistently across the District/Department and offer support and guidance to the Line Manager on the process.
- (iii) Please review appropriate Service Procedure No 2/09 -Managing Unsatisfactory Performance of Police Officers and PSNI Unsatisfactory Performance and Attendance Regulations 2007.
- (iv) In exceptional circumstances a probationary Sergeant may find themselves in disagreement with the decision of the Line Manager regarding the outcome of the assessment against evidence submitted or the activity being assessed. In the first instance it is recommended that the probationary Sergeant discuss their concerns with their Line Manager. If the probationary Sergeant feels the matter has not been resolved to their satisfaction, in such instances the probationary Sergeant has the right to appeal against the assessment process by the Line Manager of SDP. Please see Policy Directive 08/08 - PSNI Performance Management and Development System - Annual Performance Review (APR) - (Police Officers and Police Staff).

(h) Change of Line Manager during the probationary period

Where the Line Manager changes during the probationary period the 'new' Line Manager and the 'outgoing' Line Manager should where possible, meet to 'hand-over' responsibility for the probationary Sergeant probation. Where this is not possible a brief report should be prepared by the outgoing Line Manager outlining progress to date and including all relevant documentation. The 'new' Line Manager should meet with the probationary Sergeant at the earliest opportunity.

(i) Managing Attendance

As a result of the introduction of the PSNI (Unsatisfactory Performance and Attendance) Regulations 2007, an Unsatisfactory Attendance Procedure has been implemented (Service Procedure No 43/07 refers). This details how absence will be monitored within PSNI and the level at which the Unsatisfactory Attendance Procedure 'triggers'.

(j) Extensions to the Probationary Period

There may be occasions when the probationary period needs to be extended.

- (i) If during the probationary period a probationary Sergeant is absent from work for a period of time and action is taken against the police officer under the Unsatisfactory Attendance Procedure the probationary period may be extended. Please refer to Service Procedure No 43/2007. The length of the extension will be determined by the Local Absence Review Panel (LARP) however as these extensions are for development purposes they will normally be pro-rata to the amount of time that the police officer has been absent from operational duties.

(ii) Maternity Leave

For police officers who have availed of maternity leave the probationary period will be suspended for the duration of the pre-selected maternity period of 13, 26 or 52 weeks. Following the expiry of the pre-selected period the probationary period will be reinstated. This will allow the police officer the opportunity to complete the Sergeants Development Portfolio and/or CLDP programme and evidence their competence. On successful completion of the developmental activities as indicated above appropriate to the rank, the police officer will be confirmed in the rank of Sergeant. It is appropriate to extend probation for time spent on restricted duties by pregnant police officers.

(k) The Final Review

- (i) One month prior to the expiration of the initial or extended probationary period HR locally will contact the Line Manager and request confirmation that the probationary Sergeant has achieved a performance award of at least 'Acceptable Performance' in their APR and they have successfully completed the developmental activities as advised for the rank.
- (ii) Upon receipt of confirmation the local HR Manager will arrange for the Final Report form (Sergeant Confirmation of Appointment form available on PoliceNet) to be completed and together with a print out of sick absence. The local HR Manager will check that all paperwork is in order, that the developmental activities have been completed and that the police officer's attendance does not give rise to any concern. When the HR Manager locally is satisfied that this is the case, the papers will be forwarded to the District Commander/Head of Department advising that a recommendation that the police officer is confirmed in the rank of Sergeant. The District Commander/Head of Department should not routinely meet with the police officers at this stage unless they have specific concerns that they wish to address directly with the police officer.
- (iii) Once the District Commander/Head of Department has endorsed the recommendation to confirm the police officer in the rank of Sergeant, the HR Manager will forward the final report at the top of the file to the ACC region/branch for approval to confirm the police officer. This process should not ordinarily exceed 28 days. Where there are any negative comments or there have been earlier concerns regarding the police officer's suitability for permanent appointment to the rank, papers relating to these should be tabbed and indexed for ease of reference of the ACC.
- (iv) Upon return of the approval of confirmation the local HR Manager should arrange a meeting between the District Commander/Head of Department and the police officer to issue the police officer with written notification of the confirmed status.

- (v) HR will arrange for confirmation to be sent to Police Postings for inclusion on the Weekly Order and the updating of SAP records.
- (vi) Those on the HPD scheme are subject to the review and reports as indicated under this scheme.

24. CANCELLATION

The following Policy Directive is hereby cancelled:

PD 14/07 – Sergeants Promotion Policy.

ROLES AND RESPONSIBILITIES

1. PROBATIONARY SERGEANT

- (1) To comply with the requirements of this Policy Directive.
- (2) As outlined under The Police (Promotion) Regulations (Northern Ireland) 2008 a member who is promoted to the rank of Sergeant shall be on probation for a period of one year or for such longer period as the Chief Constable may determine in the circumstances of a particular case.
- (3) It is the responsibility of the probationary Sergeant to proactively pursue, gather and present the evidence to indicate that they have demonstrated the National Occupational Standards described in the Sergeants Development Portfolio (SDP) and to keep the SDP up to date.
- (4) To make the SDP available for assessment/verification when requested to do so.
- (5) Participate in the SDP review process, and keep the Line Manager apprised of progress on an ongoing basis.
- (6) To bring any difficulties they are having to the attention of the Line Manager at the earliest possible opportunity.
- (7) During the period of their probation, undertake and successfully complete 4 mandatory CLDP modules, liaising directly with PCNI regarding the completion of the workbooks.
- (8) To take personal responsibility to address any underperformance issues identified by the Line Manager.

2. LINE MANAGER:

For newly promoted Sergeant

- (1) Act as 'Assessor' for the Sergeants Development Portfolio (SDP).
- (2) To play an active part in encouraging/facilitating the development of the probationary Sergeants competence against the NOSs in the SDP.
- (3) Agree the probationary Sergeant's Annual Performance Review (APR).
- (4) Monitor the probationary Sergeants progress on completion of the SDP.
- (5) To organise and conduct a formal review of the SDP every three months. Ensure that the SDP is being completed and any action plans that have been developed as a result of this review have been followed through.
- (6) Record the outcome of the formal reviews in the SDP evidence file.
- (7) Deal with any performance issues.

3. PROBATIONARY DEVELOPMENT OFFICER (PDO) DISTRICTS ONLY – SERGEANTS

- (1) Usually of Inspector rank, the PDO will be responsible for overseeing the development of all probationers within the District.
- (2) Participate in the formal SDP review process.
- (3) Advise the Line Manager on issues relating to the application of the under performance.

- (4) Final Review, the PDO will check that all SDP paperwork is in order, that the required National Occupational Standards have been completed and that the police officer's attendance does not give rise to any concern.
- (5) Participate in the appeals process. Please see Policy Directive 07/08 – Internal Verification Policy for further information.

4. COUNTERSIGNING OFFICER

- (1) For Sergeants usually of the rank of Chief Inspector or above their role is to ensure Line Manager competence.
- (2) Ensure consistency of application and standards across their area of responsibility.
- (3) Provide advice and guidance to Line Managers in relation to effective assessment.
- (4) The Countersigning Officer must ensure that the Line Managers are operating the SDP assessment process effectively.
- (5) Countersigning Officer should convene a meeting of Line Managers on a regular basis to ensure that assessment standards/processes are being adhered to and that the application of the process is fair and consistent.
- (6) The Countersigning Officer must ensure that the Line Managers are conducting the formal reviews with the probationary Sergeants.
- (7) Provide advice and guidance to Line Managers in relation to effective management.

5. LEAD INTERNAL VERIFIER (LIV) AND INTERNAL VERIFIER (IV) – PLEASE SEE INTERNAL VERIFIERS POLICY FOR ROLES AND RESPONSIBILITIES

6. HR MANAGER

- (1) HR roles and responsibility for each process will be detailed in the Notes for Guidance issued by Internal Selection.
- (2) In exceptional circumstances the HR Manager can perform the role, or can deputise for the Internal Verifier.
- (3) To provide advice and guidance regarding any underperformance issues.
- (4) To co-ordinate the confirmation of rank at the end of the probationary period.

7. PCNI

- (1) It will be the role of the Police College to deliver training to newly promoted Sergeants, Line Managers and Internal Verifiers required for delivery of this procedure.
- (2) To liaise directly with the individual, providing the necessary CLDP workbooks and support for the programme.
- (3) To assess the CLDP workbooks completed and provide feedback to the individual.
- (4) To monitor progress during the 12 months and provide feedback to the Line Manager, should the need arise.
- (5) The training products required to support this Policy Directive will require a considerable allocation of resources but will result in the production of strong product that can be regularly used to positively impact on the quality of Sergeants and this Service delivery.

INSPECTORS PROMOTION PROCEDURE

25. INTRODUCTION

- (1) Leadership is key to delivering Policing with the Community and opportunities to demonstrate it exist at all levels. Promotion procedures within PSNI must accurately identify people with genuine leadership potential and commitment to Policing with the Community.
- (2) The Promotion to Inspector as identified in this Policy will support the Chief Constable's stated purpose for the PSNI 'Making Northern Ireland Safer for Everyone through Professional, Progressive Policing'.
- (3) This Policy will ensure that the performance culture required to provide effective policing is reflected in the management tenets that are used by the PSNI in the promotion, development and management of Inspectors.
- (4) This Policy details how the assessment process to Inspector will work, the assessment process in their probationary period and the action to be undertaken to be confirmed in the rank of Inspector.

26. LEGAL BASIS

- (1) Promotion to the rank of Inspector is governed by The Police (Promotion) Regulations (Northern Ireland) 2008.
- (2) The 1995 Regulations are revoked.
- (3) Police Service of Northern Ireland Unsatisfactory Performance and Attendance Regulations 2007 detail the powers of the Chief Constable where officers are unable to fully discharge their duties as a result of either unsatisfactory attendance or unsatisfactory performance.
- (4) This Policy also takes into account the provisions of the Human Rights Act 1998 and Section 75 of the Northern Ireland Act 1998.

27. REVOCATION AND TRANSITIONAL PROVISIONS (PROMOTION TO INSPECTOR)

- (1) This paragraph applies to any member who, immediately before the coming into operation of these Regulations:
 - (a) Is qualified for promotion under the 1995 Regulations to the rank of inspector; and
 - (b) Has not been selected for promotion to that rank; or
 - (c) Passes the qualifying examination for promotion to the rank of Inspector held in 2008 under the 1995 Regulations and is otherwise qualified for promotion to the rank of Inspector.
- (2) A member to whom paragraph (1) applies may be selected for promotion to the rank for which that member was qualified under the 1995 Regulations until 31 December 2010 without undertaking the selection examination for promotion to that rank.

28. AIM

The purpose of this Policy is to ensure promotion procedures within PSNI accurately identify people with genuine leadership potential and enable them to promote and develop the best candidates for the role of Inspector. The introduction of the developmental activities for probationary Inspectors will support the HMIC review of promotion processes within PSNI.

29. APPLICATION

- (1) This Policy is aimed at all Sergeants applying for promotion to Inspector, probationary Inspectors and all staff responsible for managing and assessing these groups.
- (2) Code of Ethics and Integrity & Professional Standards - Policy Directive 11/2007. All officers, regardless of rank, must comply with the Code of Ethics. Officers should ensure that they remain familiar with the Code of Ethics and its application. Integrity & Professional Standards Policy Directive 11/07 sets out how the PSNI will deal with breaches of this Code. This document meets Integrity Standards.

30. PROCEDURES AND GUIDANCE

- (1) In accordance with the HMIC recommendation the PSNI will require probationary Inspectors to undertake developmental activities before being signed out of their probationary period.
- (2) The probationary period will be for 12 months – only in exceptional circumstances will it be extended.
- (3) The purpose of the probationary period is for PSNI to be satisfied that those appointed as Inspectors have the skills, knowledge and capability to effectively perform the required role. This includes a requirement to demonstrate the ability to attend work and have minimum absenteeism.
- (4) During the probationary period Inspectors will be required to successfully complete the identified units of Core Leadership Development Programme (CLDP), which will lead to a management qualification.
- (5) Failure to evidence competence, ie not completing the identified units of CLDP to the required standard and/or receiving a 'weakness' rating in their APR, as a probationary Inspector will lead to the officer reverting to their previous rank.
- (6) Applicants for promotion are advised to anticipate the impact promotion will have in terms of change to role and possible location.

31. ACCESSING INFORMATION

Visiting the Promotion Page on PoliceNet can access information on the Inspectors promotion process; all forms relating to the process. Further information on the CLDP programme can be accessed via training pages on PoliceNet.

32. STAGES OF THE PROMOTION PROCESS FOR INSPECTORS

There are 6 stages to the Promotion Process:

Stage 1: Suitability;

Stage 2: Legal Examination;

Stage 3: Assessment Against Competencies and Matching to Vacancies;

Stage 4: Eligibility for Placement on the Select List;

Stage 5: Training Programme;

Stage 6: Probationary Period.

A Sergeant on probation, and participating in the HPD scheme is eligible to take the Part I OSPRE® examinations for promotion to the next rank as and when facilitated by the PSNI. If successful for promotion, this will not take place until they have been confirmed in the rank.

(1) Stage 1 – Suitability

- (a) Stage 1 is a self-nomination Part 1 Inspectors Form. Internal Selection will issue this by way of a Part II Service Procedure. This will detail in full the Service Procedure regarding the exact dates and timings for each promotion process and the eligibility criteria, which must be satisfied. It will be the applicant's responsibility to check their eligibility and to complete the appropriate Self-Nomination OSPRE[®] Part 1 (Inspectors Form, which can be downloaded from the PoliceNet) in order to be considered for promotion and to ensure that the timeframe is met.
- (b) Additional eligibility not accounted for by legislation will be outlined in the notes of guidance for each specific promotion process.
 - (i) The criteria to determine eligibility for promotion to a higher rank may be subject to an examination of all or some of these areas (not exhaustive):
 - (aa) Absence Management;
 - (bb) Unsatisfactory Performance regulations;
 - (cc) Completion of Probationary Period;
 - (dd) Commitment Period;
 - (ee) Acceptable Annual Performance Appraisal (APR);
 - (ff) General Suitability Declaration by Line Manager.
 - (ii) Any officer who has been in receipt of any form of punishment following a disciplinary/misconduct hearing other than a caution will not be eligible to apply for promotion for a period of two years. The two-year period will be calculated from the date the punishment was imposed to the date the Vacancy Bulletin closes. If any such member's name is at that time on a Select List for promotion, their name shall be removed there from.
 - (iii) Any officer who is currently suspended from duty may apply for promotion providing they meet the eligibility criteria. If successful, the applicant must be available to take up the position within the specified time frame.
 - (iv) If an officer is absent from duty regardless of the reason, it is their individual personal responsibility to keep themselves apprised of any activity relating to promotion and should make appropriate arrangements to achieve this. All supervisors are reminded that Vacancy Bulletins should be brought to the attention of all officers under their command who are absent from duty either by email or direct mail. An audit trail should be kept of all correspondence
 - (v) Any reasonable adjustments required under the Disability Discrimination Act (DDA) or as a result of compelling circumstances will be reviewed on an individual basis and if necessary referred to a Panel.
 - (vi) The specific eligibility criteria for each process will be clearly detailed in the appropriate Vacancy Bulletin.
 - (vii) Appeals relating to the listing of police officer's suitability for promotion should not be addressed through this process. A candidate may appeal the decision 'not to recommend' the applicant for promotion. In this case, the matter should be referred to the relevant authorities at a local level.

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- (viii) Officers who are appointed to the rank of Inspector will be required to remain within that post, District or Department for a period of 2 years from the date of appointment. On completion of this period of commitment they will be eligible to apply for transfer or specialist post.
- (c) It will be the responsibility of each applicant to ensure that they have completed and returned the registration form and site request document. These forms must be returned to Internal Selection and Promotion, Lisnasharragh by the date indicated in the notification document.
- (d) Candidate registration will be acknowledged by individual email.
- (e) Applicants who fail to submit their registration form by the due date will not be entered into the promotion examinations.
- (f) Probationer Sergeants who anticipate that they will meet the criteria under the regulations and Promotion Policy and wish to sit the OSPRE[®] Part I examination for the relevant rank may apply.
- (g) There is no appeal at Stage 1 that will be dealt with at the Centre. Appeals should be dealt with as outlined in Selection & Appointments SP, as detailed in the local level appeals section.

(2) Stage 2 – Legal Examination

- (a) Stage 2 is OSPRE[®] Part I. This is a multiple-choice examination based on knowledge and application of the law, which has been identified as being crucial for effective performance in the next rank.
- (b) Candidates who received a 'low band fail' will be ineligible to enter the examination the next time it is held.
- (c) For appeals procedures candidates should refer to the OSPRE[®] Rules and Syllabus available from National Police Improvement Agency (NPIA). Web site address: www.npia.police.uk/
- (d) Candidates who fail to turn up for the OSPRE[®] Part I examination will be deemed as 'absent' and therefore will be automatically excluded for the next examination. The candidate must explain the reasons for their absence to their local HR Manager who in turn must notify Internal Selection & Promotion. If the absence is deemed by the HR locally to be exceptional, then the candidate will be allowed to re-apply for OSPRE[®] Part I (via Stage 1) at the next available opportunity. Candidates whose absence was not considered 'exceptional' will be ineligible to enter the examination the next time it is held.
- (e) Candidates who withdraw from OSPRE[®] Part 1 on two consecutive occasions will be will be ineligible to enter the examination the next time it is held – see procedures contained in OSPRE[®] Rules and Syllabus document.
- (f) Officers may use the existing appeals procedure contained in the rules of OSPRE[®]. This also applies to officers who wish to withdraw from OSPRE[®] Part I after the published deadline or who failed to attend the examination. For more information visit the NPIA website at www.npia.police.uk/

(3) Stage 3 – Assessment Against Competencies and Matching to Vacancies

- (a) Stage 3 is OSPRE[®] Part II. This is a practical assessment based on role-play scenarios. Officers will be appraised on the competencies they demonstrate and the strength of their performance. To be successful at this stage, the candidate must achieve the pass requirement, (please see OSPRE[®] guidelines) **and** achieve a place in the order of merit that falls within the number of vacancies required for that rank. Those Sergeants who do not achieve this will have to re-apply.

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- (b) A candidate must pass OSPRE[®] Part II within 2 attempts within 3 consecutive processes of passing OSPRE[®] Part I otherwise the officer must re-qualify for OSPRE[®] Part I (via Stage 1).
 - (c) **Rules:** Please note, an officer who is unsuccessful at Part II may make one further attempt within the next two OSPRE[®] Part II processes. These officers will enter the Promotion Process at Stage 3. Failure will mean that the officer must re-qualify for OSPRE[®] Part I (via Stage 1).
 - (i) These rules will apply regardless of whether the failure to complete the process is due to a personal choice of abandoning the promotion process or a selection decision through the different Stages.
 - (ii) Entry to OSPRE[®] Part II will be restricted to Sergeants who have achieved a pass in OSPRE[®] Part I or have been unsuccessful at their first attempt at OSPRE[®] Part II and are eligible to make one further attempt under the three consecutive promotion process rule.
 - (d) Officers who achieve a pass in OSPRE[®] Part I are required to take OSPRE[®] Part II at the first available opportunity.
 - (e) Eligible officers are automatically entered into OSPRE[®] Part II.
 - (f) Officers may use the existing appeals procedure contained in the rules of OSPRE[®]. For more information visit the NPIA website at www.npia.police.uk/
- (4) **Stage 4 – Eligibility for Placement on the Select List**

Eligibility will be based on the following;

- (a) Officers must apply for promotion at the first available opportunity otherwise they will lose their OSPRE[®] Part II qualification and must re-apply. See Rules above for stage at which an officer must re-apply and enter the promotion process at.
- (b) Internal Selection & Promotion will notify successful applicants by way of Vacancy Bulletin for Promotion to the rank of Inspector. This will detail in full the exact dates and timing for the promotion process and the eligibility criteria, which must be satisfied. It will be the **applicant's responsibility** to check their eligibility and to complete the appropriate Self-Nomination 'Promotion Form' and to ensure that the timeframe is met. Applicants must complete and submit this form in order to be considered for promotion.
 - (i) Must have passed and hold a valid OSPRE[®] Part I & OSPRE[®] Part II or equivalent;
 - (ii) Meet all eligibility criteria as outlined in the Vacancy Bulletin;

and

 - (iii) Obtain a place in the order of merit that matches the number of determined vacancies;
 - (iv) Applicants will be notified of the outcome of the eligibility check and MAP appeal within 28 days of the issue of the promotion protocol.
- (v) **However:**
 - (aa) If a candidate fails the eligibility checks they will not be placed on the Select List and will be deemed to have failed the promotion process.

or

- (bb) If a candidate fails to obtain a place in the order of merit that matches the number of determined vacancies, they will have been deemed to have failed the promotion process.

In either case the officer will need to undertake OSPRE[®] Part II again, provided that the life span of their OSPRE[®] Part I is still valid. See Rules above

Please note, to obtain a place, external applicants must hold the relevant OSPRE[®] Part II in that given year with a score that is equal or higher than that achieved by PSNI officers in the order of merit, as well as meeting all PSNI eligibility criteria.

- (c) The mark awarded on specific stages of the promotion competition is not automatically carried forward to the next part of the promotion competition. A final position on the Select List may be determined by a further part of the competition. This and how the select is compiled will be detailed in the promotion protocol.
- (d) The Select List will be published giving, in alphabetical order, the names of individuals found suitable for promotion. If there are outstanding Appeals, then the Select List will be conditional based on the outcome of the Appeals process.
- (e) The Officers' HR Manager should inform police postings if, having been successful in being placed on the promotion Select List and prior to appointment there has been a significant change in:
- (i) Absence Management;
 - (ii) Criminal or Disciplinary investigations;
 - (iii) Unsatisfactory Performance regulations.
- (f) Police Postings will then consult with the officers' Head of Human Resources, and the individuals' inclusion on that Select List may be reviewed and if necessary they will be bypassed on the list or removed completely from the list.
- (g) Any officer who has been offered promotion and wishes to decline that offer will defer to the bottom of the Select List. Upon declining a second offer of appointment the officer's name will be removed from that Select List. There will be no right to appeal this decision.
- (h) Officers' should be aware that in deferment there is a possibility that they may be offered the same locations twice.
- (i) Appeals relating to the listing of police officer's suitability for promotion should not be addressed through this process. A candidate may appeal the decision 'not to recommend' the applicant for promotion. In this case, the matter should be referred to the relevant authorities at a local level.
- (5) **Stage 5 – Training/Development Programme**

2nd Line Supervisors Training/Development Programme (Inspectors)

- (a) PSNI will require probationary Inspectors to undertake developmental activities through a **new 2nd Line Supervisors Development Programme**. This will involve a Leadership Workshop delivered by the Police College and completion of the identified units from the CLDP, which will lead to a recognised management qualification, before the end of the probationary period.
- (b) **High Potential Development Scheme (HPDS)**. They will not be required to participate in the 2nd Line Supervisors Training Programme, as they will complete a separate programme in relation to their HPD scheme .

- (c) Feedback or queries relating to the 2nd Line Supervisors Programme should be addressed to the Leadership Development Programmes, Police College.
- (6) **Stage 6 Section B. Probationary Period incorporating Inspector Core Leadership Programme Modules (CLDP)**
- (a) **Local Induction**
- (i) Where a newly promoted Inspector is allocated to a new work area it is good practice to ensure that the officer is properly inducted. A one to one induction meeting should take place the purpose of this meeting will be for the District Commander or nominated delegate to welcome the probationer Inspector to the District/Department, provide the Inspector with a briefing on the policing context within the District/Department and advise of the specific policing objectives.
- (ii) The probationary Inspector should then meet with their line manager who should ensure that they are fully aware of what is expected of them over 12 months and that they are aware of the standards of performance required.
- (b) **Annual Performance Review**
- (i) **The Personal Performance Agreement**
- Following in-year promotion the probationary Inspector and their new line manager will meet to agree the probationary Inspectors APR. The PPA will contain the following mandatory objectives,
- “To ensure successful completion of the identified CLDP units within the 12-month probationary period”.***
- The line manager may add up to an additional 5 objectives in relation to their work programme.
- Probationary Inspectors who are on the HPDS will not be required to complete this objective during their probationary period, as they will be undertaking objective/s in relation to the HPD scheme
- (ii) **Behaviours**
- (aa) The behaviours for the Probationary Inspector should be taken from their role profile. These behaviours should be selected for the probationary Inspector in their APR.
- (bb) A probationary Inspector cannot be deemed competent even if they have demonstrated adequate technical performance, if their attitude and behaviour does not meet the expected standards of the PSNI and society.
- (cc) The probationary Inspector is not required to gather evidence against these behaviours, however they must take these behaviours into account when carrying out tasks and activities in their role. Failure to effectively demonstrate these behaviours may result in the office receiving a performance rating of ‘Weaknesses in Performance’ in their APR (please refer to Police Annual Performance Review for more guidance). The probationary Inspector cannot be signed out of their probationary period if they receive a ‘Weaknesses in Performance’ rating in their APR.
- (iii) **Personal Development Plan (PDP)**
- (aa) The PDP will contain a development objective related to the mandatory requirement to complete the identified CLDP units during the probationary period and may contain additional development actions identified either during the 2nd Line Supervisors Development Programme or by line manager or by the individual themselves.

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(bb) Probationary Inspectors who are on the HPDS will not be required to complete this objective during their probationary period, as they will be undertaking objective/s in relation to the HPD scheme

(iv) **Professionalising Investigation Programme (PIP)**

Probationary Inspectors who are taking up PIP compliant roles eg D/Inspector C2, to which the PIP National Occupational Standards are attached, will be required to undertake registration through the PIP process. PIP Levels 3 will be evidenced and assessed through a Portfolio. Please refer to Policy Directive 02/08 – The Professionalising Investigation Programme – for more information.

PLEASE NOTE:

The probationary Inspector is NOT required to have gained PIP registration prior to being signed out of their probationary period under these procedures. However, successful registration to PIP will be necessary to prove competence and satisfy the requirements within the APR.

(c) **Core Leadership Programme Modules (CLDP)**

- (i) There will be a mandatory requirement to complete identified CLDP units, which will lead to a recognised management qualification, before the end of the probationary period.
- (ii) Failure to successfully complete any of these modules on the third attempt, within the probationary period will mean that the officer cannot be confirmed in the rank of Inspector. The identified CLDP unit's are specified as mandatory. These modules will be recorded in the probationary Inspectors PDP, as part of the probationary Inspectors APR.

Accreditation of Prior Learning (APL)

- (aa) Completion of the CLDP Units is seen as a developmental tool however; if you are applying for an award as you have already completed some CLDP modules then Accreditation of Prior (and/or Experiential) Learning (APEL) may apply in certain instances.
- (bb) If you feel that there is a case for APEL then this should be discussed, in the first instance, with your line manager and the police college CLDP advisors.
- (cc) To proceed you will need to put together a portfolio of evidence to demonstrate the relevance and currency of prior learning or qualifications and then forward to the CLDP Co-ordinator.

(d) **Formal Reviews**

- (i) A formal review of all probationary Inspectors will be undertaken as part of the APR cycle. The line manager will undertake this review. At this review the progress of the probationer Inspector will be discussed to ensure that the CLDP programme is being completed and checked, action plans that have been developed have been followed through and consider any further development requirements that the officer may have. The outcome of these reviews will be recorded by the line manager and placed on the online APR system.
- (ii) An officer may withdraw from the Inspector development (and therefore revert to their previous rank) by informing Internal Selection in writing. Officers may only voluntarily withdraw up to ten days before their final assessment date. Please note - OSPRE[®] Part I is only valid for 2 attempts at OSPRE[®] Part II within 3 consecutive promotion processes ie if an officer does not successfully complete the promotion process during the life span of their OSPRE[®] Part I exam then they must undertake OSPRE[®] Part I again.

- (iii) Where the probationary Inspector and the line manager agree further APR personal performance work or development objectives, for the period related to work the line manager should review objectives progress on these during their discussion. These further objectives should be signed off as usual at the end of the APR review period ie in April. Where the Inspectors probationary period overlaps 2 APR periods, the probationary Inspector will transfer the objectives in relation to their probationary period onto the next year's APR documentation. This should cover the remainder of the probationary period. Evidence collected for the CLDP, may be used to evidence progress against APR objectives, which have been agreed with the line manager for the period.
 - (iv) Anyone who is on the HPDS will undergo the reviews as detailed under the HPD scheme.
- (e) **Dealing with Performance Issues**
- (i) As a result of the assessment, the line manager will either indicate that the probationer Inspector objectives are 'on-target' or 'not-on-target' or 'changed'. If the line manager has assessed the probationer Inspector as 'not-on-target', then corrective action/s must be agreed, recorded and a review date set to enable the individual to get back 'on-target' before the next formal review.
 - (ii) If in the opinion of the line manager the individual has not undertaken the corrective action/s within the timeframe agreed, the line manager may identify the officer as being 'not-competent'. At this stage the line manager may evoke the PSNI Unsatisfactory Performance Regulations 2007. It is essential that the line managers consult with Head of HR locally who will review the line manager's evidence to ensure that this process is being applied consistently across the District/Department and offer support and guidance to the line manager on the process.
- (f) **Change of line manager during the probationary period**
- Where the line manager changes during the probationary period the 'new' line manager and the 'outgoing' line manager should where possible, meet to 'hand-over' responsibility for the Inspector's probation. Where this is not possible a brief report should be prepared by the outgoing line manager outlining progress to date and including all relevant documentation. The 'new' line manager should meet with the probationary Inspector at the earliest opportunity.
- (g) **Managing Attendance**
- As a result of the introduction of the PSNI (Unsatisfactory Performance and Attendance) Regulations 2007, an Unsatisfactory Attendance Procedure has been implemented (Service Procedure 43/07 refers). This details how absence will be monitored within PSNI and the level at which the Unsatisfactory Attendance Procedure 'triggers'.
- (h) **Extensions to the Probationary Period**
- (i) There may be occasions when the probationary period needs to be extended.
 - (ii) If during the probationary period a probationary Inspector is absent from work for a period of time and action is taken against the officer under the Unsatisfactory Attendance Procedure the probationary period may be extended. Please refer to Service Procedure No 43/2007. The length of the extension will be determined by the Local Absence Review Panel (LARP) however as these extensions are for development purposes they will normally be pro-rata to the amount of time that the officer has been absent from operational duties.

(l) Maternity Leave:

For officers who have availed of maternity leave the probationary period will be suspended for the duration of the pre-selected maternity period of 13, 26 or 52 weeks. Following the expiry of the pre-selected period the probationary period will be reinstated. This will allow the officer the opportunity to complete the CLDP programme and evidence their competence. On successful completion of the developmental activities as indicated above appropriate to the rank, the officer will be confirmed in the rank of Inspector. It is appropriate to extend probation for time spent on restricted duties by pregnant officers.

(j) The Final Review:

- (i) One month prior to the expiration of the initial or extended probationary period Human Resources locally will contact the line manager and request confirmation that the probationary Inspector has achieved a performance award of at least 'Acceptable Performance' in their APR and they have successfully completed the developmental activities as advised for the rank.
- (ii) Upon receipt of confirmation the local HR Manager will arrange for the Final Report form (Form Confirmation to Rank of Inspector available on Police Net) to be completed and together with a print out of sick absence. The local HR Manager will check that all paperwork is in order, that the developmental activities have been completed and that the officer's attendance does not give rise to any concern. When the HR Manager locally is satisfied that this is the case, the papers will be forwarded to the Countersigning Officer (CSO) first then to the District Commander/Head of Department advising that a recommendation that the officer is confirmed in the rank of Inspector. The District Commander/Head of Department should not routinely meet with the officers at this stage unless the commander has specific concerns that they wish to address directly with the officer.
- (iii) Once the District Commander/Head of Department has endorsed the recommendation to confirm the officer in the rank of Inspector, the HR Manager will forward the final report at the top of the file to the ACC region/branch for approval to confirm the officer. This process should not ordinarily exceed 28 days. Where there are any negative comments or there have been earlier concerns regarding the officer's suitability for permanent appointment to the rank, papers relating to these should be tabbed and indexed for ease of reference of the ACC.
- (iv) Upon return of the approval of confirmation the local HR Manager should arrange a meeting between the District Commander /Head of Department for the officer to issue the officer with written notification of the confirmed status.
- (v) HR will arrange for confirmation to be sent to Police Postings for inclusion on the Weekly Order and the updating of SAP records.
- (vi) Those on the HPD scheme are subject to the review and reports as indicated under this scheme.

ROLES AND RESPONSIBILITIES

1. PROBATIONARY INSPECTOR

- (1) To comply with the requirements of this Policy Directive.
- (2) As outlined under The Police (Promotion) Regulations (Northern Ireland) 2008, a member who is promoted to the rank of Inspector shall be on probation for a period of one year or for such longer period as the Chief Constable may determine in the circumstances of a particular case.
- (3) It is the responsibility of the probationary Inspector to demonstrate their competence at the rank through successfully completing the identified Units of the Core Leadership Development Programme (CLDP).
- (4) Participate in the CLDP review process, and keep the line manager apprised of progress on an ongoing basis.
- (5) To bring any difficulties they are having to the attention of the line manager at the earliest possible opportunity.
- (6) To take personal responsibility to address any underperformance issues identified by the line manager.

2. LINE MANAGER

For newly promoted Inspector

- (1) To play an active part in encouraging/facilitating the development of the probationary Inspector's competence.
- (2) To monitor the probationary Inspectors progress on completion of the CLDP units ensuring that the units are being completed; action plans that have been developed have been followed through and to formally review the workbooks, completing the necessary paperwork prior to submission by the individual to PCNI.
- (3) Record the outcome of the formal reviews via the Manager Self Service APR system.
- (4) To proactively deal with any performance issues identified.

3. COUNTERSIGNING OFFICER

- (1) For Inspectors usually of the rank of Superintendent or above, their role is to ensure Line Manager competence.
- (2) Ensure consistency of application and standards across their area of responsibility.
- (3) Countersigning Officer should convene a meeting of Line Managers on a regular basis to ensure that assessment standards/processes are being adhered to and that the application of the process is fair and consistent.
- (4) The Countersigning Officer must ensure that the Line Managers are conducting the formal reviews with the probationary Inspector.
- (5) Provide advice and guidance to line managers in relation to effective management.

4. HR MANAGER

- (1) HR roles and responsibility for each process will be detailed in the notes for guidance issued by Internal Selection.
- (2) To provide advice and guidance regarding any underperformance issues.
- (3) To ensure that the confirmation process has been followed.

5. PCNI

- (1) It will be the role of the Police College to deliver training to newly promoted Inspectors required for delivery of this Policy Directive.
- (2) To liaise directly with the individual, providing the necessary CLDP workbooks and support for the programme.
- (3) To assess the CLDP workbooks completed and provide feedback to the individual.
- (4) To monitor progress during the 12 months and provide feedback to the line manager, should the need arise
- (5) The training products required to support this Policy Directive will require a considerable allocation of resources but will result in the production of strong product that can be regularly used to positively impact on the quality of Inspectors and this Service delivery.