



College of
Policing

Professional development review

Guidance on reviewing and
assessing performance

College of Policing Limited
Leamington Road
Ryton-on-Dunsmore
Coventry
CV8 3EN

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Introduction

The primary purpose of this guidance is to assist managers with implementing the revised professional development review (PDR) model in a force. It sets out the main changes to the PDR process, its use within the Professional Development Programme and, for police officers (constable to chief inspector), the link between performance and pay. While this document is intended for managers, it is relevant to police staff, members of the Special Constabulary and police officers, and will help them understand and have ownership of their own PDR.

The PDR is not a process but rather a vehicle by which an individual can take ownership of their professional development in policing and plan for career progression. It also enables line managers to review performance, provide formal recognition of good work, note in-year changes to objectives, assist career development or address underperformance.

The PDR should be regarded as a series of conversations where together, the individual and their line manager plan and subsequently review the professional development over a 12-month period. The individual is responsible for their own development and for providing evidence of performance for review. The line manager will support and direct the individual, having regard to the local policing aims and objectives and what is practicable, given the needs of the force at that time.

While the PDR is designed to assess performance, this guidance also sets out in brief terms how it aligns and supports the professional development programme and the wider requirement for line managers to assess (where applicable) staff within:

- continuing professional development (CPD)
- Assessment and Recognition of Competence (ARC)
- National Police Promotion Framework (NPPF).

Separate guidance has been issued for these individual work strands, but all of the strands will be combined into a single process. The PDR will be used as the vehicle for recording assessment decisions.

Key changes to the PDR

In July 2014, the Chief Constables' Council supported a proposal that each force would ensure that it had in place an appraisal system with the following key elements:

- a behavioural competency framework – it was strongly recommended that all forces use the Policing Professional Framework (PPF)
- an element of CPD
- a method for confirming satisfactory performance on an annual basis.

On 20 March 2015, the secretary of state agreed to amend the determination under regulation 24 of the Police Regulations 2003 (annex F - Pay) to implement the 2014 Police Negotiating Board agreement published in PNB Circular 2013/14 (Revised). The amendment established a link between progression through pay scales for police officers (constable to chief inspector) to attaining a satisfactory grade or above in the PDR (annex A). This link was established on 1 April 2015 for sergeants, inspectors and chief inspectors, and on 1 April 2016 for constables.

The regulations allow for the College of Policing to set national standards for a PDR. These are set out as follows:

- All forces must have an appraisal process that is based on the role profiles and personal quality statements described in the PPF. Where a force retains or develops its own set of behavioural indicators, these should be fully mapped across to the PPF to ensure that officers are being assessed to the same national standard.
- Line managers must be trained to the national policing standard for assessment before conducting a performance assessment. This is particularly relevant where progression through the pay scale is dependent on the PDR review.
- Officers must complete their PDR by the date set by the chief constable. The assumption of competence exemption applies only where the force cannot deliver the PDR process due to exceptional circumstances affecting the force. The assumption of competence also applies to individuals who, through unique circumstances, are not able to attend the workplace. In the main this will be limited to individuals who are on extended leave, long-term illness or suspended from duty and prevented from attending the workplace for 12 months or more. Maternity leave is likely to be the main area of legislative impact. This also applies, however, to parental leave, adoption leave and carer's leave where the individual continues to receive pay.
- Forces must consider altering their appraisal and pay roll processes to link the PDR appraisal date to the individual's incremental date.

Special Constabulary

Members of the Special Constabulary should be assessed on an annual basis against the performance criteria of their role. The College of Policing advice is that the force PDR approach should be used. Work is ongoing to produce an ARC assessment model for the Special Constabulary and further guidance will be issued in due course.

The Code of Ethics, published by the College of Policing, provides a guide to the principles that every member of the policing profession of England and Wales is expected to uphold and the standards of behaviour they are expected to meet. The code is intended to be used on a day-to-day basis to guide behaviour and decision making and should be considered within the PDR as part of the decision-making process. This applies not just to line managers in how they conduct the assessment, but to individuals and the integrity and relevance of the evidence they submit.

The PDR model

A national PDR form is not being proposed or developed by the College of Policing. While it is accepted that the visual look of a PDR will differ from force to force, each should incorporate the same constituent parts and use the PPF to assess the following against role requirements and personal qualities:

- personal information
- objectives
- CPD
- summary of evidence
- interim and final assessment of performance
- quality assurance and appeal process.

This will provide the consistency and validity required for ethical evaluation. It will also provide reassurance to those being assessed that the process is open and fair. The minimum national standards by which performance in the role and the supporting behaviours should be assessed are those described in the PPF.

The PDR is applicable to all officers up to and including chief superintendent and police staff in equivalent grades. Pay progression based on the appraisal grading of satisfactory or above, is only applicable to constables, sergeants, inspectors and chief inspectors.

Although officers and line managers will tend to concentrate on appraisals where progression through the pay scale is relevant, the assessment process and assessment standards are relevant to all officers and members of staff.

Training line managers

Forces will continue to deliver local training on the PDR process. To support line managers in making valid and reliable assessments on performance, the College of Policing has introduced a training package on the minimum national standards for assessment.

The national standards are set out in the Police Sector Standard for the Training of Assessors.

Working in partnership with Sussex Police, an online learning package has been developed. This online package is hosted on the College's managed learning environment (MLE) and will be open access. As with the workbook, this package is designed to be completed before the classroom phase. The College MLE package follows the framework laid down in the **Learner workbook**.

These national standards should be incorporated into local training on the PDR/ performance assessment process used in each force. Adopting the standards will provide reassurance to officers that assessment of performance is both valid and reliable and ensure greater consistency across forces.

It will be for forces to decide how they implement national standards, deliver training and monitor any locally developed quality assurance measures on training and PDR outcomes.

While all line managers should eventually be trained, forces should consider prioritising those managers who will assess staff for pay progression. The level of training should also reflect the previous skill and experience of a line manager. A very experienced line manager should be able to assess to the national standard, having completed only part of the training outlined above. A less experienced manager should complete the training as described.

The regulatory change linking pay to performance directly affects the ranks of constable to chief inspector and the line managers who assess them. The national standards of assessing performance, however, should be regarded as appropriate for performance assessment across all relevant ranks and grades.

The PDR appraisal

All police officers, Special Constabulary officers and police staff must have a PDR. The appraisal is a cycle of ongoing discussion, planning and activity between the individual and line manager. The review at the end of the 12 months, appraisal cycle or interim reviews is an accumulation of these discussions and outcomes of activity undertaken by the individual. The role of the line manager is to assess the evidence supplied and come to a decision on performance within the national assessment structure.

While line managers must assess all staff to these common standards, they should give additional support to the following;

i. New to service, rank or role

Where individuals are on a programme of role-based learning (for example, Initial Crime Investigators Development Programme, financial investigation course), evidence captured by that process should be referenced by the individual and viewed by the line manager, but need not be replicated in the PDR.

If relevant, evidence that supports a line manager's observation may be recorded in the PDR on the assessment page. This observation applies to all other material that may reflect good or developmental performance areas, including good work reports, commendations and case files.

While it is a matter for individual forces, it is bureaucratic to expect probationary officers and police staff undergoing a formal probationary process to engage in a second process, where the same or similar skills are being recorded and evaluated. Forces should make amendments to either process that enable the individual to work to one process which meets the needs of that individual and the force concerned.

As roles in the service change, line managers may need to assess whether the change is so significant that an individual requires additional support to evidence how they have adapted to the parameters of their revised role.

ii. Excelling performers (non-Fast Track)

Where a line manager grades or anticipates grading a member of staff as an 'excelling performance', they should provide detailed documentary evidence to support that grading. This should include relevant information as to how the individual has significantly developed in their role and, where appropriate, evidence of how they may have gone on to develop in a higher role. Additionally, the objectives agreed should also be of a standard that would reflect performance at this higher level and which goes beyond being slightly challenging.

Providing the core objectives have been attained, however, non-attainment of an additional or higher level objective(s) is not evidence of underperformance in the core role. Line managers may wish to comment on the outcome, but it should not be used as rationale to introduce underperformance measures.

Managers should look to understand why an additional or higher-level objective has not been met and, where appropriate, put a supportive development plan in place.

iii. Low performing staff

Where a line manager determines at any time during the PDR year that an individual is likely to fall below a satisfactory grade, they must be proactive in attempting to redress the decline. They should not wait for a scheduled PDR meeting to address the issue. Where necessary, a fully documented development plan should be created (or updated, if it already exists) so that both sides fully understand what action is required.

Evidence that an individual is moving towards a below satisfactory grading does not automatically lead to the start of an unsatisfactory performance procedure (UPP), or incapability procedure for police staff. Any individual may, for a short period, perform below what is expected and prompt supportive and developmental action by the line manager may redress this drop in performance.

In such circumstances, however, the line manager must discuss any performance issue with the individual at the earliest opportunity. They should not accumulate a list of performance-related concerns and wait until a scheduled review meeting to discuss them.

Where low levels of performance continue post-intervention, the problems become protracted or it is likely to lead to a determination that pay progression is at risk, Stage One (or, where appropriate, Stage Two) of UPP or incapability procedure must be used.

Line managers may want to consider, with the consent of the individual, whether a relevant staff association/union/staff support association could be approached to assist or advise on any underlying issue relevant to the group they represent. This may give a clearer understanding of issues pertinent to an individual's circumstances affecting performance.

While staff associations will provide advice, line managers must not place such organisations in a position where they can no longer represent the individual. A list of useful contacts is shown in annex D.

iv. Career development

Where individuals are seeking advancement through promotion, temporary promotion, transfer or other career development opportunities, the line manager should consider agreeing to additional developmental objectives. These objectives should provide evidence for the anticipated role that runs alongside an individual's current core role or work-based objectives.

Such an agreement can best be reached through an open discussion between both regarding managing career expectations and what supportive objectives could be created to assist these goals. As previously stated, however, non-attainment of a higher level of performance does not infer that the individual is not meeting a satisfactory standard for the core role.

Line managers and individuals should develop a relationship whereby they can have an honest and frank discussion around career development and advancement. This is particularly relevant where promotion or temporary promotion is being sought. Line managers must manage the expectations of their staff, taking into account personal ability, development needs and likely vacancies in a desired role.

Evidence of performance

The evidence of performance is based on:

- role as described in the PPF (or mapped to PPF)
- personal qualities attributed to the rank or grade as described in the PPF (or mapped to PPF)
- CPD
- attaining objectives
- ARC (where relevant).

This evidential requirement applies equally to the general annual assessment of staff as well as an assessment for police officers to progress to the next pay point.

Role

The role requirements for officers are described in the PPF. Officers (and, where available, police staff) should be assessed against the core competencies for the role.

Forces may use their own core role descriptors but these must be mapped across to the PPF to ensure that police officers are being nationally assessed against the same standards. As a minimum, individuals should be assessed against the core functions of the role.

Chief officers may consider whether additional evidence is required to reflect against the specifics of a specialised police role, but such evidence is not relevant to show competence against the core functions of constable, sergeant and inspector.

Personal qualities

The PPF personal qualities are banded according to role. Officers and police staff must provide evidence against each of the qualities. In general terms, this will be a short statement and reference to the source document. This will vary according to the individual but may include documents such as letters of thanks, incident logs or case files. Evidence from a third-party, peer group, other supervisors or external stakeholders, including members of the public, may also be referenced.

Line managers must, however, make a professional judgement on the value and ethical origins of unsolicited comments from team members and members of the public, particularly where highly supportive or negative bias is apparent in the comments. The individual and the line manager must consider the Code of Ethics when addressing the value and origins of such comments.

Unsolicited comments that would infer a breach of conduct or performance that would warrant further investigation must be dealt with in accordance with the relevant policy/guidelines.

Continuing professional development

The College of Policing defines CPD as:

‘A range of learning activities through which policing professionals maintain or enhance their capacity to practice legally, safely, ethically, and effectively.’

‘Maintaining’ involves individuals taking personal responsibility to ensure that they keep their knowledge and skills up to date, in line with any changes to legislation or practice advancements and in line with existing national standards for their role, i.e., National Occupational Standards (PPF), standards of professional practice (APP) and learning standards (NPC).

‘Enhancing’ emphasises the point that the purpose of CPD activity should not be restricted to maintaining competence. CPD supports the notion of lifelong learning and should, therefore, be a personal commitment to continuously seeking to improve, either within the scope of an existing role or to support career progression.

In order to maintain competence in individual job roles, staff have a personal responsibility to operate within professional codes (such as the Code of Ethics) and should continually seek to enhance their core skills in line with National Occupational Standards (NOS).

A carefully considered application of CPD activities can not only benefit the individual, but the policing profession as a whole, as well as the general public we serve. Investing in and incorporating CPD into daily routines, as a core requirement of professional development, will ensure both police officers and staff maximise performance and maintain competence.

Of necessity, individuals will always bring best evidence to the meeting but line managers should look within the role development to draw out any experiential learning that may have originally caused the individual some concern. This is not to undermine the officer but to provide balance and/or identify further developmental areas.

For example, an officer may have had difficulties when giving evidence at a trial because of lack of knowledge, preparation, or courtroom skills. The learning from such events can in some circumstances be more developmental than direct teaching or mentoring. Providing the officer has learned from the experience, this should be graded as a positive outcome by the line manager.

Objectives

Objectives should be agreed in accordance with force policy. SMART objectives will be agreed according to force policy but should incorporate a range of short, medium or long-term objectives that stretch the individual.

PDR meetings

Initial meeting

The initial meeting should take place in the period immediately before the PDR year or cycle begins. This will allow for the preceding PDR to be closed down and any pay-related assessment to be completed.

At the meeting, both the line manager and individual should be prepared to discuss the role, how it can be developed and the evidence expected to allow a performance appraisal to take place. They should also discuss and agree the CPD element. Ideally while formal training is a key part of development, CPD should also allow the individual to develop in their role through experiential learning, mentoring and wider short-term opportunities.

While it is a matter for chief officers, it is usual for interim reviews to be conducted. As a minimum, this should be at the mid-year point but may be quarterly or any other agreed schedule. The interim meeting provides an opportunity for both the line manager and individual to review progress, amend objectives and, where relevant, put into place supportive development plans.

Line managers are strongly encouraged to have ad hoc meetings with staff. These need not be the formal arrangements for mid-year or end of year reviews, but general discussions on how an individual is progressing. Any relevant information or evidence can then be recorded.

Mid-year meetings

Before the mid-year (and end of year/cycle) meeting, the line manager should agree with the appraisee the evidence to be used in the assessment. The quantity of documents or source material will vary according to the individual being appraised, but it must be sufficient to allow a line manager to openly and ethically come to a decision whether the appraisee meets the required standard or not.

Most mid-year review meetings will ideally be managed within one to two hours. This is not to say that meetings cannot be curtailed prematurely or extended. Further meetings can be arranged if necessary to address all of the issues that the manager or the individual may wish to discuss.

Managers can set aside additional time to allow for a more detailed discussion of performance; A need for this may arise from circumstances particular to an individual or from external circumstances impacting on affecting that individual. Such action may help managers overcome a possible lack of understanding around activity, capability or personal issues affecting an individual's performance.

End of year meeting

The same timescales apply for the end of year/cycle meeting but it should look to cover two separate areas:

- where interim meetings have been held, the assessment of that period
- the overall end of year assessment and grading.

Line managers should first deal with the end of period assessment in exactly the same way as the previous assessments. Once this is completed, then the overall end of year assessment can commence.

Line manager evidence

After the meeting, the line manager records a short narrative statement as to the key points discussed. They also record their observations as to performance based on the role profile and the relevant personal qualities under the PPF.

As a minimum, the statement should reflect success, barriers and, if relevant, changes or improvements arising from a development plan. The individual must be given the opportunity to review and comment on this narrative statement. It is unlikely that a single adverse issue, dealt with through management intervention (for example, not UPP or misconduct proceedings) would affect an overall grade marking. In most cases where an overall grade for the year was at risk, a more formal process would be expected to have been followed.

Where a line manager is considering such action, however, they must evaluate the incident in terms of role profile and personal qualities, the outcome of the incident and the individual's response to it, including any response to an improvement plan. Where necessary, line managers should refer to the Code of Ethics and/or seek advice of the second line manager or HR manager.

Assessing evidence

Assessments of the evidence for performance will be made against the national standards for assessment. Line managers must be trained in their local PDR process, which will include the national standards, before they conduct an assessment and, in particular, any assessment related to pay progression.

In some cases, formal training may be required, particularly where a line manager is new to role. For many, however, gaining an understanding of the principles will be sufficient.

It is for forces to decide how the standards are brought within current PDR training and how it is delivered locally.

Assessment cycle**Setting the general grading score**

Line managers, in determining the end of year grade, will look at the recorded evidence for role-related development, personal qualities, CPD, attainment or otherwise of objectives and, where appropriate, response to development plans. They will also consider their own personal observation as to how the individual performed their role.

The line manager will use the national assessment standards to assess the overall performance.

Where pay progression for a police officer is relevant, the question for the line manager to consider is: 'does the officer meet the minimum standard against the PDR competencies'? While many officers will focus on the pay progression element, assessment within the PDR at any stage of an officer's career is equally important. Officers must provide suitable evidence for assessment each year. Lack of such evidence, unless outside their control or without reasonable explanation, is likely to lead to a 'not achieved' performance grade. Where an officer's performance and development is graded as 'not achieved', they will move to Stage One of UPP.

Police staff are subject to differing contractual arrangements on pay and therefore an appraisal must follow local policy. Using the national assessment standards, however, will allow the force to conduct a structured and ethical assessment.

As with previous PDR guidance, the 'no surprise' criterion applies. An individual must be made aware that their performance is unsatisfactory before the end of year review. In general terms, this will be addressed through an informal development plan for minor or short-term issues. Where appropriate, police officers will be supported through formal UPP, and police staff supported through incapability procedures.

Low performance is likely to have occurred over a significant period of time and will have been documented by the line manager to warrant referral to UPP/incapability processes. As such, a senior HR manager should review placing an individual into UPP/incapability (particularly towards the end of the appraisal year) if this is not supported by robust evidence, if it results from a single event, or if the performance grade is disputed.

Should the performance of an individual unexpectedly decline during the completion period of the PDR and, as a consequence, that individual is then placed in UPP/incapability, a decision on whether pay progression is to be withheld must be referred to the senior management team.

Consideration should also be given as to when the performance issue took place, not just its impact. The end of year assessment is primarily based on the whole of the previous year's performance and the performance issue may be outside of that period but yet fall within the formal PDR timetable. Such a performance issue may also require other policies (such as misconduct) to be invoked, however. Further consideration as to the PDR grading should be considered at a higher level. Admissions of misconduct or gross misconduct will affect the PDR grading.

Where, following a misconduct investigation, a decision is made that misconduct is no longer appropriate and that performance should be dealt with by way of UPP, the action/development plan will apply to the current PDR year. UPP cannot be applied to a PDR year that is closed or where an assessment has been made but not yet finalised.

Grading matrix

Winsor recommended a simple grading mechanism of 'unsatisfactory contribution', 'satisfactory contribution', and 'highly effective contribution'. The grading matrix in **annex B** has been successfully used by Thames Valley Police and provides for a more nuanced approach in the assessment process. It is for chief officers to determine the mechanism that best suits their appraisal process, however, but the three levels above must be regarded as the minimum standard.

The grading matrix is to be used primarily at the end of the PDR year to reflect the level of performance across the year. The line manager, using the marking grid, may wish to give an interim grading at the end of any meeting but this is for information only and is not recorded. It simply allows police officers and staff members to understand their current level of performance and consider the nature and pace of their development needs. Only at the end of the PDR year should a formal grading be recorded.

Satisfactory performance will vary and be dependent on the individual role, rank or grade and level of experience. Line managers may consider the following as an exemplar (more detail can be found in annex B) but must defer to the policy and guidance in use in their own force.

Overall		Supervisors	Rating guide
Achieved	<p>Meets demands and accountabilities of role.</p> <p>Consistent and thoroughly proficient performer.</p> <p>Displays high standards of behaviour and professionalism.</p> <p>Develops self through CPD record.</p> <p>Or, someone new in post who is working towards full competence and is meeting all development needs without requiring an action plan.</p>	<p>Leads the way in personal standards of integrity and behaviour.</p> <p>Promotes coaching within the team and encourages development.</p> <p>Maintains CPD record to demonstrate knowledge and practice is current.</p> <p>Demonstrates the force values and uses PDR to recognise achievement and challenge poor performance and attendance.</p>	<p>Achieved Rating – Executive (ACPO/force command team) 5/7 competency boxes rated Achieved; 4 objectives – at least 3 rated Achieved</p> <p>Senior manager (ch supt/ supt/BB5) 4/6 competency boxes rated Achieved; 4 objectives – at least 3 rated Achieved</p> <p>Middle manager (ch inspector/inspector/BB4) 4/6 competency boxes rated Achieved; 4 objectives – at least 3 rated Achieved</p> <p>Supervisory manager (sgt/BB3) 2/3 competency boxes rated Achieved; 2 objectives – both rated Achieved</p> <p>Practitioner (PC/BB3/BB2/BB1) 2/3 competency boxes rated Achieved</p> <p>Note – BB1 – 5 represents TVP staff grades.</p>

Assumption of competence

The assumption of competence will only apply to individuals who have not attended the workplace for most or all of the PDR year/cycle. In general terms, these will be individuals who are on maternity-related leave, adoption or parental leave, long-term illness or those who are suspended from duty on full pay. In such cases, pay increases must be made in line with police regulations. The assumption of competence does not apply to officers or staff who, having had the opportunity to gather evidence of performance, fail to complete a PDR. Heavy workload, secondment or protracted deployments would not be accepted as rationales for failing to provide such evidence.

In most appraisals (excepting where the individual is subject to UPP, incapability proceedings or awaiting an appeal – see below) a PDR is complete once the line manager's decision has been reviewed and accepted by the second line manager or, where used, a moderating panel. It is strongly recommended that forces have a quality assurance process in place to monitor outcomes.

As a guide, the period between the end of year grading and formal completion of the appraisal process (the completion period) should be limited to six to eight weeks. As a consequence, it may be necessary for forces to identify and fast track those appraisals where pay progression is relevant.

Secondments

Officers on secondment are still required to complete a PDR. In most cases, this will be the PDR of the police force (including the National Crime Agency) to which they are seconded. Where a secondment is outside the police service, the local PDR should be used if available.

Where a PDR is not used or does not meet the full criteria of the home force, it is the responsibility of the officer to gather evidence to allow for an assessment to take place in their home force. Additionally, where a pay increment or access to ARC assessment is due and a PDR is not available or is insufficient in scope, the home force PDR should be used.

Appraisal for pay progression (police officer only)

Officers must attain a grading of satisfactory or above in their PDR to progress to the next pay point on the anniversary of their date of appointment or promotion.

If an officer is underperforming during the PDR year and has not responded to management intervention or a development plan, the line manager must place the officer in Stage One of UPP.

If the officer responds to the UPP and a decision is made to remove them from that process, then, providing the overall PDR evidence supports a satisfactory grade, the officer will move to the next pay point.

If, by the date of the final PDR assessment, the officer is still in UPP, pay progression will be withheld. This will apply to the full 12 months of the next PDR year/cycle. If an officer satisfactorily responds to UPP, they can be removed from UPP but a pay increment to the next pay point will only follow a satisfactory grade in the PDR conducted at the end of that year or cycle. The pay increment applies from the date of the PDR being signed off and pay will not be backdated.

If a decision is taken not to place an underperforming officer in UPP and they subsequently receive a PDR grade of below satisfactory, then the officer will move to the next pay point but must be placed in Stage One of UPP. The UPP will apply to that forthcoming PDR year.

Pay progression cannot be withheld unless an officer is in UPP before the final PDR assessment decision is made. It is therefore important for line managers to plan and consider the evidence necessary to validate a decision to place an officer in UPP.

Line managers must also outline to the officer at an early stage the likely outcomes for continued underperformance.

Line managers must make the pay assessment based on the evidence provided by the officer for the PDR review. The assessment must be made within the national policing standard for assessment on assessment.

Where an individual meets the satisfactory standard, but completion of an appraisal is unexpectedly delayed, progression to the next pay point must take place at the earliest opportunity. Where relevant, pay must be backdated to the pay progression point as set by police regulations.

This also applies where, following appeal against an appraisal grade, an individual is assessed as meeting the 'satisfactory' grade.

If completion of the PDR is delayed for a protracted period due to lack of managerial resources or it results from an unexpected and ongoing significant policing event, an assumption of competence for pay purposes must be made in respect of that individual.

Role of second line manager/moderating panel

The role of the second line manager or moderating panel is an integral part of an effective appraisal process. The role is not merely one of countersigning to show that an appraisal has been conducted to a required standard, but provides reassurance to those being appraised that the process is being fairly delivered across the team or unit.

Focus groups held as part of the equality impact assessment were very clear that some staff feel vulnerable in that they may be required by a line manager to perform to a higher standard than the majority, but feel unable to raise their concerns. This is wider than just male/female, or BME/white members of staff, but includes part-time workers, those with a disability and those towards the end of their service being required to provide higher levels of performance in the PDR just to support their position in the organisation.

The second line manager/moderating panel must ensure that the PDRs in relation to their staff are fair, objective, honest and ethical. They have an important initial role in quality assuring PDRs and should also consider the following questions:

- Are the objectives SMART, sufficiently challenging and do they link to strategic objectives?
- Are the PDR decisions fair? Has the line manager shown any prejudice, discrimination, victimisation or harassment in grading their staff?
- Are the PDR decisions honest? Has the line manager graded someone appropriately or have they simply said everyone is competent?
- Is the development plan feasible and a true reflection of the individual's development needs?
- Does the individual agree with the decision made by their manager?
- Is there equality of opportunity? Where appropriate, the PDR is evidence of providing or promoting equal opportunity for all staff.
- Is mediation required between line manager and individual if there is disagreement over the PDR grading, comments or objectives?

Appeals

Each force must have an appeals process as part of their PDR policy. This need not be bespoke to the PDR or pay progression, providing the appeal is managed independently.

In most cases, conflict in respect of the performance grading can be resolved through an open discussion with the line manager or second line manager. Officers should be told why the evidence they supplied is not sufficient and, if available, be given an opportunity to add to the evidence base from sources **already** available.

Unless there is time available within the PDR year, an officer should not be provided with an opportunity to gather new evidence. The appraisal must be conducted on the evidence available at the end of the PDR year.

As stated previously, in all but the most limited of circumstances, it is expected that an officer who is at risk of not being graded as satisfactory and not progressing to the next pay point will already be within UPP.

Prior to invoking an appeal and to provide reassurance to officers in UPP, the evidence provided by the individual should be reviewed by an independent third party. This role could be undertaken by a fully qualified internal assessor or another line manager. Care needs to be taken to ensure that reviewers are occupationally competent to comment on the validity of any operational or technical evidence submitted by the officer.

The independent assessment should be limited to the performance evidence supplied to the first line manager. The independent assessor should compare and contrast this evidence with others in the officer's peer group. To ensure the privacy of the peer group, only the evidential text in the PDR should be compared. All personal information should be redacted before being seen by the independent assessor.

The independent assessor cannot overrule the decision of the first line manager but their findings may be taken into account by the second line manager or those conducting the appeal. The review findings may also be used to develop SMART objectives for the individual, which may form part of an action/development plan or within the UPP.

Although more resource-intensive than participation of an independent assessor, forces may choose to refer the matter to a moderator or moderating panel for comment or decision.

Equality and diversity

The Equality Act 2010 and government policy on equality provide a legislative framework to protect the rights of individuals and advance equality of opportunity for all. They provide protection for individuals from unfair treatment and promote a fair and more equal society.

In addition, this legislation identifies specific requirements for public authorities (known as the public sector equality duty) to eliminate unlawful discrimination, harassment and victimisation, advance equality of opportunity and foster good relations between persons who share a relevant protected characteristic and persons who do not.

When developing or amending their appraisal policy, forces must give due regard to the impact their PDR process has on equality. Forces must monitor it in respect of the relevant protected characteristics to ensure that there is no unlawful discrimination.

The College of Policing has published an equality impact assessment which may assist forces in meeting their obligations under the Equality Act 2010.

Assessment and recognition of competence

The ARC process allows for an assessment of competence of police officers in the core role relevant to their rank. The foundation threshold assessment is initially aimed at constables moving from pay point 3 to pay point 4. Further work is being conducted to develop and implement a higher-level assessment and a reconfirmation assessment. It is proposed that, in the future, the model will be used to assess competence at all ranks up to and including chief superintendent.

The overall aim of ARC is to support the professionalism of policing by ensuring that officers, irrespective of any specialist role they perform, are able to safely, legally and ethically undertake the core role of constable. This will mean that nationally, officers are working to the same standards of service and know what is expected of them. This will reassure the public that officers remain competent, continue to develop professionally and demonstrate the expected behaviours for their rank.

While the evidence for the assessment of competence and of performance is likely to be drawn from the same source, the PDR is not the main vehicle by which an assessment of competence will be made. Additional evidence, solely relevant to the proposed foundation threshold assessment will be required at key milestones in an officer's career. The assessment decision on competence could be included as a separate box with the PDR process.

While the aims and evidential requirements between competence and performance assessments are different, the national standards on how assessments will be conducted are the same.

In practice, the end of year PDR meeting should be used to assess both performance and competence. The PDR must be assessed and decided on first. Only where an officer receives a satisfactory grade (or above) in their PDR can an officer be assessed under ARC.

An officer (at pay point 3) who receives a satisfactory grade in their PDR and ARC will move to pay point 4.

Where an officer fails to attain the ARC, they may retake the assessment after a suitable development period. This period will not be shorter than four weeks or longer than eleven months. Once the satisfactory grade has been attained, the officer will move to pay point 4. Pay at the higher rate will commence as of that date and will not be backdated to the original assessment date. Continued failure to attain the ARC assessment standard would indicate that the officer is not competent in the core role and UPP should be considered. A schematic of the PDR and ARC process is shown in annex B.

National Police Promotion Framework

The NPPF is a continuous four-step process that officers must successfully complete before being substantively promoted to the rank of sergeant or inspector. As part of this process, line managers will be asked to assess officers in terms of competence at Steps One and Four of the NPPF.

Step 1 – eligibility for promotion

The line manager will, on being notified that an officer has applied for the NPPF, conduct an assessment on whether the officer is competent in their current rank. The standard PDR assessment from either last PDR (if close in time to application) or an interim assessment for the purpose of the NPPF application can be used. The assessment must be made according to the National Guidelines for Assessment and the result noted on the PDR and/or an internal form locally developed for the purpose. The benefit of using the PDR is that objectives or a development plan can be agreed to allow for the officer to gain suitable experiential learning that would support development towards the higher rank.

Step 4 – temporary promotion and work-based assessment.

The assessment at Step Four is in two parts. Only part (b) is relevant to line manager assessment.

(a) Work-based assessment against NOS. This will be conducted by assessors who are trained to assessor standard (or working towards that level) and who will assess on behalf of the external awarding body and the force.

(b) Assessment of performance at the higher rank. The line manager will assess within the PDR process the performance of an officer against the PDR based on the temporary rank of the candidate. The assessment is mandated for a minimum 12-month continuous period of performance in the temporary rank and must follow the National Guidelines for Assessment. Periods of maternity, paternity and adoption leave are ignored. For example, an officer going on maternity leave 8 months into the 12-month temporary promotion period would, on her return to work, recommence at the same point and complete a further 4 months before being assessed.

Annex A

Home Office Circular 006/2015

Linking police officer pay progression to performance

Published 20 March 2015

Contents

1. Determination of the secretary of state under the police regulations 2003

The Secretary of State, in exercise of the powers conferred by regulation 24 of the Police Regulations 2003 (SI 2003/537), as amended, and having consulted appropriately, makes the following determination.

The Secretary of State has determined that, with effect from 1 April 2015 except where otherwise stated:—

In the determination under regulation 24 of the Police Regulations 2003 (Annex F – Pay), after Part 1A, insert:

Part 1B.

Incremental progression through the pay scale to be dependent on performance for sergeants, inspectors and chief inspectors (from 1 April 2015) and for constables (from 1 April 2016)

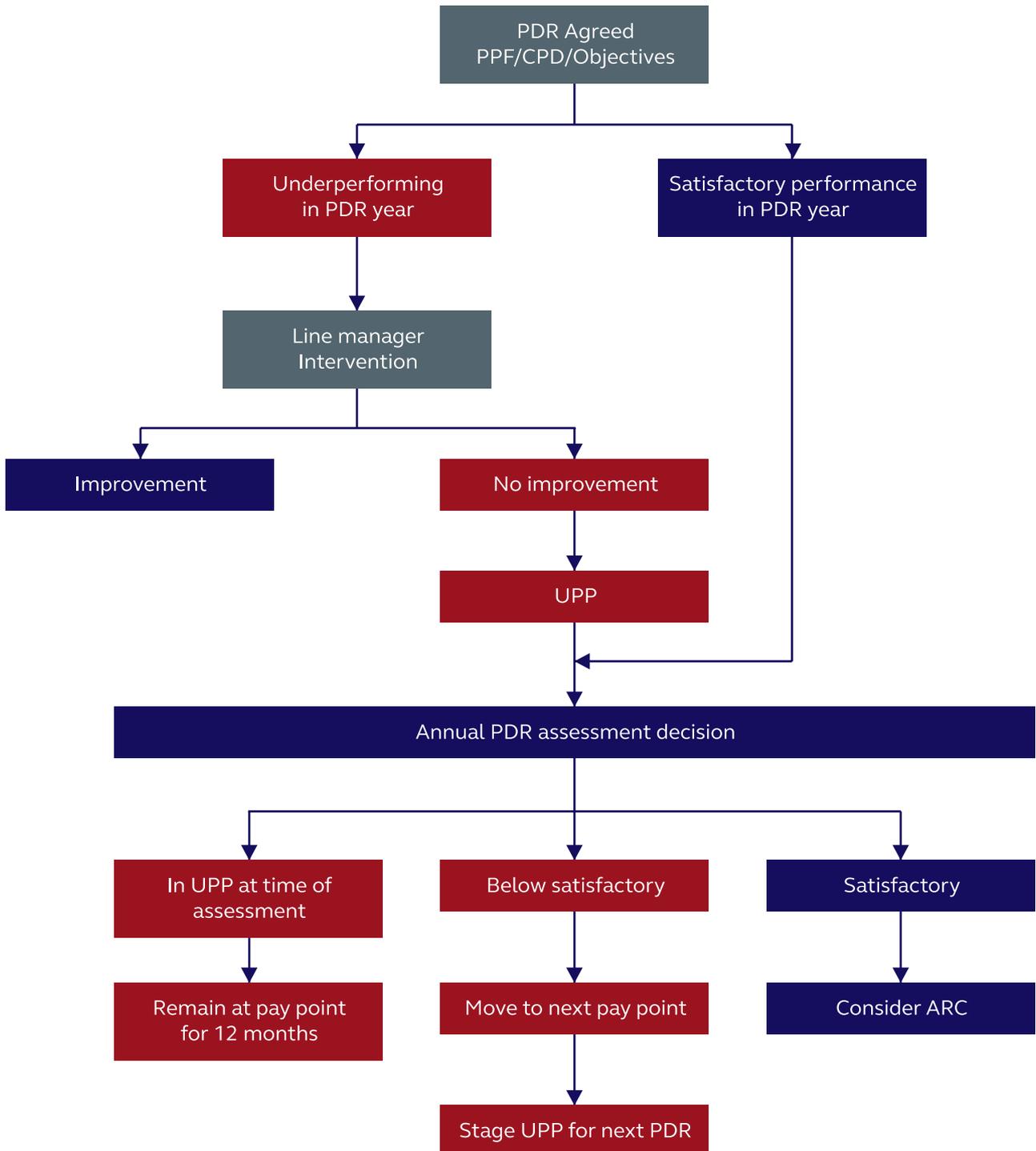
Incremental progression

- Incremental progression through the pay scale will be dependent upon a member receiving a grade of ‘achieved performance’ (or the equivalent grade in a police force’s own grading system, as determined by the Chief Constable) or above in their performance development review (“PDR”) or alternative performance assessment process relating to the preceding period of 12 months’ of their service from the anniversary of a member’s end of year assessment.
- For the purposes of this determination, “PDR or alternative process”, means an annual performance assessment process which meets minimum national performance standards and national standards of assessment set by the College of Policing, including an appeals process.
- In the absence of a PDR or alternative process which meets minimum national performance standards and national standards of assessment set by the College of Policing, a member will be assumed to have received a grade of ‘achieved performance’ (or the equivalent grade in a police force’s own grading system, as determined by the Chief Constable).
- Members will be reassessed for pay progression annually. Members will progress through the pay scale at the anniversary of their appointment or promotion, if they are awarded (or assumed to be awarded) a grade of ‘achieved performance’ or above (or the equivalent grade in a police force’s own grading system, as determined by the Chief Constable) in their PDR or alternative process.

- Increments will not be paid until formal completion, or assumed formal completion (pursuant to paragraph 3), of the PDR or alternative process. Assumed formal completion will be considered to have occurred on the anniversary of their appointment or promotion. Following such completion of the PDR or alternative process, the member's pay will progress to the next pay point backdated to the date of the due increment.
- Incremental progression will only be denied if the officer:
 - (a) is graded as 'not achieved' (or the equivalent grade in a police force's own grading system, as determined by the Chief Constable) in their PDR or alternative process; and
 - (b) is also subject to formal action within Stages 1, 2 or 3 of Unsatisfactory Performance Procedures under the Police (Performance) Regulations 2012 at the end of the 12 month period being assessed
- Where the member meets the conditions in (a) and (b) above, but only starts to be subject to the formal action referred to in (b) in the period of six weeks immediately prior to the end of the 12 month period being assessed, the Chief Constable has the discretion to permit incremental progression in the case of that member if the Chief Constable is of the view that the last six weeks of the PDR or alternative process year is not representative of the preceding 12 months' performance by the member.
- Where a member's appeal against their final PDR or alternative process grading is upheld, which means that the condition in paragraph (a) is no longer met, pay will be reinstated at the higher rate, backdated to the date of the due increment.
- During transition to the new system, incremental progression will continue to apply in relation to any PDR rating awarded in respect of a reporting year ending on or before 31 March 2015 which has not yet resulted in any increment or payment being awarded by that date.

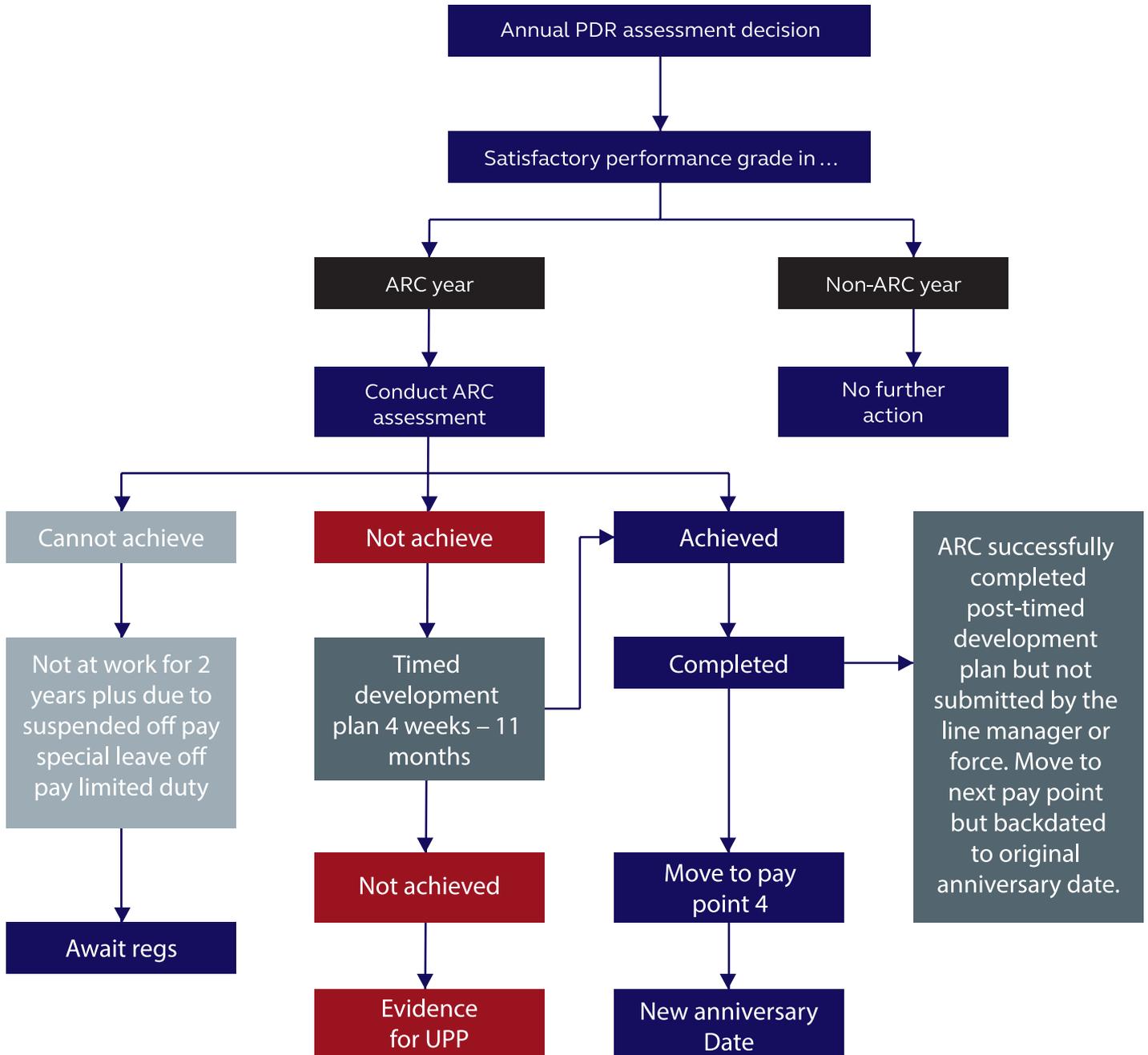
Annex B

PDR schematic



Annex B

ARC assessment schematic



Note: Officers who are away from the workplace for less than 24 months but who remain on pay, must receive the pay increase on the due anniversary date.

Annex C

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Performance	Overall	Supervisors	Rating guide
exceeded	<p>Exceeds demands and accountabilities of role.</p> <p>Sets an example to others in behaviour, confidence and professionalism.</p> <p>Actively coaches others and is recognised by their peers as an outstanding achiever.</p> <p>Maintains an active CPD record and reflects learning in performance.</p> <p>Makes a significant contribution to force performance.</p>	<p>s inspirational to others and promotes and embeds the coaching ethos within their teams. Leads the way in personal standards of integrity and behaviour.</p> <p>Maintains CPD record to demonstrate knowledge and practice is current</p> <p>Demonstrates the force values and uses the PDR process to recognise achievements and challenge performance.</p> <p>Actively develops their team and manages their resources well to drive confidence and performance.</p>	<p>Exceeded rating – Relevant force performance targets met;</p> <p>No ‘not achieved’ ratings</p> <p>All objectives must be to the force delivery plan/local priorities</p> <p>Executive (NPCC team/force command team)</p> <p>5/7 competency boxes rated Exceeded; 4 objectives – at least 3 rated Exceeded ; 1 Achieved</p> <p>Senior manager (ch supt/supt/BB5)</p> <p>4/6 competency boxes rated Exceeded; 4 objectives – at least 3 rated Exceeded; 1 Achieved</p> <p>Middle manager (ch inspector/inspector/BB4)</p> <p>4/6 competency boxes rated Exceeded; 4 objectives at least 3 rated Exceeded; 1 Achieved</p> <p>Supervisory manager (sgt/BB3)</p> <p>2/3 competency boxes rated Exceeded; 2 objectives - 1 rated Exceeded; 1 Achieved</p> <p>Practitioner (PC/BB3/BB2/BB1)</p> <p>2/3 competency boxes rated Exceeded; 2 objectives - 1 rated Exceeded; 1 Achieved</p>

Performance	Overall	Supervisors	Rating guide
achieved	<p>Meets demands and accountabilities of role.</p> <p>Consistent and thoroughly proficient performer.</p> <p>Displays high standards of behaviour and professionalism.</p> <p>Develops self through CPD record.</p> <p>Or, someone new in post who is working towards full competence and is meeting all development needs without requiring an action plan.</p>	<p>Leads the way in personal standards of integrity and behaviour.</p> <p>Promotes coaching within the team and encourages development.</p> <p>Maintains CPD record to demonstrate knowledge and practice is current.</p> <p>Demonstrates the force values and uses PDR to recognise achievement and challenge poor performance and attendance.</p>	<p>Achieved rating –</p> <p>Majority of force performance targets met;</p> <p>NO ‘not achieved’ ratings</p> <p>All objectives must be to the force delivery plan/local priorities</p> <p>Executive (ACPO/force command team)</p> <p>5/7 competency boxes rated Achieved; 4 objectives – at least 3 rated Achieved</p> <p>Senior manager (ch supt/supt/BB5)</p> <p>4/6 competency boxes rated Achieved; 4 objectives – at least 3 rated Achieved</p> <p>Middle manager (ch inspector/inspector/BB4)</p> <p>4/6 competency boxes rated Achieved; 4 objectives – at least 3 rated Achieved</p> <p>Supervisory manager (Sgt/BB3)</p> <p>2/3 competency boxes rated Achieved; 2 objectives – both rated Achieved</p> <p>Practitioner (PC/BB3/BB2/BB1)</p> <p>2/3 competency boxes rated Achieved</p>
not achieved	<p>A member of staff who is not meeting the required standard for the time they have been in post and requires further development. Active improvement plan reflected through CPD record on PDR.</p>	<p>Supervisory skills incomplete or weak.</p> <p>Does not display highest standards of behaviour or integrity.</p> <p>Does not address poor attendance or performance.</p>	<p>Not achieved rating</p> <p>If there are any personal qualities rated as Not Achieved, the Not Achieved rating will apply. Personal qualities cover professionalism, serving the public, decision making, working with others, performance and leadership.</p>

Annex D

Further support – contact list

Staff associations

Police Federation of England and Wales	Local PFEW representative or www.polfed.org
Police Superintendents' Association of England and Wales	Local Police Superintendents' Association representative or http://www.polic-supers.com

Staff support associations

Association of Muslim Police	http://content.met.police.uk/Site/associationmuslimpolice/
Association of Senior Women Officers	Chairperson and Secretary, Room 1806 (Tower Block), New Scotland Yard, Broadway, London, SW1H 0BG. Telephone: 020 7320 6766
British Association for Women in Policing	www.bawp.org
Christian Police Association	www.cpauk.net
Disabled Police Association	www.disabledpolice.info
Gay Police Association	Via local force representative
Gypsy Roma Traveller Police Association	www.grtpa.com
Hindu Police Association	Via local force representative
Jewish Police Association	www.jewishpoliceassociation.co.uk
National Black Police Association	www.nbpa.co.uk
National Trans Police Association	www.ntpola.com/contact-us/4589473421
Police Pagan Association	www.policepaganassociation.org/contact/4587098217
Sikh Police Association	www.sikhpolice.org
Trade Union	Via local union representative

This is not a comprehensive list and further information may be obtained from the local equality lead.

Protecting the public Supporting the fight against crime

As the professional body for policing, the College of Policing sets high professional standards to help forces cut crime and protect the public. We are here to give everyone in policing the tools, skills and knowledge they need to succeed. We will provide practical and common-sense approaches based on evidence of what works.

college.police.uk