

TYNE AND WEAR FIRE AND RESCUE SERVICE (TWFRS)	
CAPABILITY/PERFORMANCE, PROCEDURE AND GUIDANCE	
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CAPABILITY/ PERFORMANCE, PROCEDURE AND GUIDANCE

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1 CAPABILITY/PERFORMANCE PROCEDURE

1.1 INTRODUCTION

- 1.1.1 This document outlines the procedure to effectively manage capability and poor performance issues in respect of individual employees in a fair, consistent and supportive manner. The procedure runs parallel with, but is not part of, the Disciplinary Procedure. The Service recognises that poor job performance and issues around capability cannot be treated as “disciplinary offences”. It is acknowledged that careful recruitment and induction procedures, together with the continuous development of employees, all contribute to the reduction of the risk of poor performance.
- 1.1.2 The first stage in dealing with poor job performance is to determine whether the matter is one of capability or misconduct. This can normally be ascertained by counselling/investigation. A capability problem is where the employee has received all necessary training but still cannot achieve a satisfactory level of performance through no fault of their own, for example as a result of poor health. If on the other hand, the employee fails to reach the required standard of performance as a result of carelessness, negligence or lack of effort, this will be treated under the Disciplinary Procedure as misconduct.
- 1.1.3 Where appropriate, with the agreement of the employee and their trade union representative, alternative employment or other solutions may be considered at any stage of the procedure.
- 1.1.4 There may be cases where an employee is in receipt of additional payment for increased responsibilities and the capability problems are evidently associated with the additional responsibilities. In these circumstances it may be possible to resolve the problem by the employee agreeing to relinquish the additional payment and return to their normal post. Any employee considering this should seek advice regarding the implications of such a decision.
- 1.1.5 Where work performance consistently falls below the expected standards, attempts must be made to provide structured support, guidance and training in accordance with this procedure in order to encourage improvement and raise performance to an acceptable level.
- 1.1.6 The primary objective of the capability procedure is to effect an improvement in the employees’ work performance through the provision of guidance, advice, training and support. It is accepted that an employee’s performance can vary from time to time. Occasional poor performance, of a minor nature can normally be resolved by giving informal advice and support to the employee involved.
- 1.1.7 In the majority of cases, poor performance is caused by a lack of competence where the employee is willing to achieve the required standards but needs the assistance and support of others to do so. However, in the minority of cases performance below required levels is

caused by wilful refusal to perform to acceptable standards. In the former case it would be appropriate to use the capability procedure and in the latter case to use the disciplinary procedure. It is important to recognise that there may be occasions when it is necessary to move from the capability procedure to the disciplinary procedure when the employee refuses to perform to an acceptable standard.

SECTION 1

1.2 CAPABILITY/PERFORMANCE PROCEDURE (GREEN BOOK EMPLOYEES)

1.2.1 When an employee's work performance gives cause for concern the Line Manager will inform the employee at the earliest opportunity and investigate the matter. A written record of all the relevant information will be compiled in the form of a case note (Appendix D).

1.2.2 The investigation will explore the difference between the expected standards and the actual work performance, the nature of the problem, its seriousness and the causes. It should be thorough and may involve the following:

- Discussions with the employee concerned.
- Reviewing the employee's job description and policy or guidance documentation.
- The training and development received to date.
- Any external and/or mitigating factors.
- Obtaining reports as appropriate from other employees.
- Obtaining advice as appropriate from the Service HR Manager.
- Inspecting the employee's workplace/workstation (please refer to the Health and Safety Manual for additional information and guidance). With regard to reasonable adjustments due to disability, further information can be obtained from the OHU/Diversity and Equality Officer.

1.2.3 Following completion of the investigation and an initial assessment of the seriousness of the matter one of the following options will be taken:

- If it is concluded that there are no performance/capability issues to address then no further action will be taken.
- If the capability issue is related to a health problem then the employee will be referred to the Occupational Health Unit. If an employee is not prepared to cooperate with this approach then a decision will be taken under this procedure using the information available at the time.
- If concluded that the problem is of a minor nature the Line Manager shall discuss the matter informally with the employee and consider completing a case note (Appendix D).
- In all other cases the formal stage of the procedure outlined below should be initiated.

- 1.2.4 Wherever possible every effort should be made to resolve the matter informally.

1.3 INFORMAL STAGE

- 1.3.1 Cases involving minor unsatisfactory performance are usually best dealt with informally by the Line Manager. A quiet word is often all that is required. The informal approach means that minor problems can be dealt with quickly and confidentially.

- 1.3.2 At this informal stage the Manager should ensure that employees understand the expected standards of performance, explain the difference that exists and what support and guidance will be provided to bridge the gap, if necessary by giving them a written case note (Appendix D). This does not form any part of their disciplinary record but it will be filed on an individual's Personal Record File (PRF) for a period of 3 months. The note will expire at the end of this time period but remain on file. No reference will be made to expired notes for case during subsequent capability or disciplinary investigations or hearings.

- 1.3.3 Where a training need has been identified, a more detailed record is required. In such cases, a structured Learning and Development Plan should be completed (Appendix B). Appendix A provides guidance for this.

1.4 FORMAL STAGE

- 1.4.1 The formal stage of the capability procedure should be activated where the problem is deemed to be at a serious level or where there has been no significant improvement in an employee's performance following the informal stage of the procedure. Prior to implementing this stage advice should be sought from the Area Manager HR, Learning and Development Services. In these circumstances the Line Manager will provide the employee with a copy of this procedure and where appropriate advise them to contact their trade union representative.

- 1.4.2 No formal action shall be taken against an accredited trade union official until the circumstances of the case have been discussed with a senior representative or full time official of the organisation concerned. This discussion will be held by the Brigade Manager HR, Learning and Development Services.

- 1.4.3 The employee will be requested in writing to attend a formal review meeting with the Line Manager. The employee will be given a minimum of 7 days notice and advised of their right to be accompanied by a trade union representative or a fellow employee at the meeting. All the information resulting from the investigation relating to the alleged performance/capability issues must be included with the letter. Formal meetings should also have a representative of the HR Department present to advise on procedural matters and to ensure that the meeting is conducted in accordance with procedures.

- 1.4.4 At the meeting the Line Manager should:
- Explain the purpose of the capability procedure.
 - State the standards of work performance expected from the employee and advise the employee using any supporting documentation of the alleged areas of deficiency.
 - Allow the employee to respond to the allegations and discuss the alleged deficiencies to determine the validity of the allegations.
- 1.4.5 If the allegations are not valid and the performance issues are not directly attributable to the employee, the Line Manager should inform the employee accordingly and their representative and conclude the meeting. The HR Department will then notify the individual of the outcome in writing and a copy kept on file.
- 1.4.6 However, if the allegations are valid and are attributable to the employee, the formal meeting will carry on to consider the following:
- Seeking the employee's acknowledgment that a deficiency exists.
 - Explore the reasons for the deficiency such as a lack of knowledge or experience, lack of training, domestic or health problems etc.
 - Agreement to the course of action to be taken to encourage improvement in work performance by defining the standards and/or targets and arrangements for advice, support and training. (Appendix B).
 - Agree the monitoring and evaluation process within clearly identified timescales. (Appendix B).
 - Setting a date for a review meeting.
 - Issuing an appropriate level of written warning and cautioning the employee that further action may be taken, including the possibility of dismissal, if no significant improvement in work performance is observed and the agreed targets are not met; despite the appropriate advice, support and training that will be given.
 - Advising the employee that the decision will be confirmed in writing and a copy of the warning will be retained on their personal record file (Appendix E & F provides examples).
 - Advising the employee of their right of appeal against the decision to issue a warning. Employees must submit an appeal no later than **7 days** after they have been informed of the decision.
- 1.4.7 Where a gap in knowledge, skills, experience or training has been identified as the reason, a structured Learning and Development Plan should be produced (Appendix B). Appendix A provides guidance for this.
- 1.4.8 The level of entry into the procedure will depend upon the assessment of the seriousness of the alleged performance/capability issues.

1.5 MONITORING AND EVALUATION

- 1.5.1 The timescale adopted will depend upon the seriousness of the lack of capability or performance issue concerning the employee. In each case, consideration will be given to whether the problem is of a specific or broader nature and whether it is a recent or longer standing issue.
- 1.5.2 Whilst it is usual for written warnings to be issued prior to consideration of dismissal, the period given for improvement will be no more than six months after the date of entry into the capability procedure.
- 1.5.3 During the review period, following the issue of a formal warning, the Line Manager must ensure that the employee is given the guidance, support and training agreed at the formal meeting in order to enable the employee to reach the required performance standards/targets.
- 1.5.4 Performance will be monitored and evaluated against the required standards/targets.
- 1.5.5 The review period will allow sufficient time for the employee to improve and be assessed. The timescale for improvement monitoring will normally be monthly but may be less depending upon the nature of the problem.

1.6 FORMAL REVIEW MEETING(S)

- 1.6.1 The HR Department will confirm the arrangement of the review meeting, in writing, giving a minimum of seven working day's notice. All supporting documentation detailing the performance/capability issue will accompany this correspondence.
- 1.6.2 The review meeting will assess the current level of performance of the employee following the issue of the warning. A member of the HR Department will be present to advise on procedural matters and to ensure that the meeting is conducted in accordance with procedures. Discussion should take place on the guidance, advice, support and training provided and the Line Manager's assessment on the level of work performance.
- 1.6.3 The possible outcomes to the review meeting are as follows:
- The required improvement has been achieved and the employee will be encouraged to maintain the standards achieved.
 - Some improvement has been made but the standard expected has not been achieved. The review period may be extended and a further review meeting date agreed.
 - No improvement has been made despite the programme of advice, training and support given to the employee. The employee will receive a final written warning or be dismissed dependent upon the seriousness of the case.

- If a final written warning is issued the employee will be expected to achieve the required standard within 3 months or further disciplinary action will be taken, this may result in termination of employment. Such decisions should be made following consultation with Area Manager, HR, Learning & Development Services.

1.6.4 The HR Department will inform the employee of their right to appeal against the decision. The procedure to be followed as detailed below.

1.7 APPEAL

1.7.1 The opportunity to appeal against any warning issued is essential to natural justice. Personnel may raise an appeal within 7 days of the date of issue of any Written or Final Written Warning. In the light of an appeal, all case notes will be examined and re-considered by the Area Manager or Brigade Manager HR, Learning and Development, as appropriate.

1.8 PROBATIONARY PERIOD (CORPORATE EMPLOYEES)

1.8.1 All new employees (corporate) will be subject to a 20 week probationary period of employment.

Employees who have transferred from another post within the Service and employees who have transferred from another Local Authority Department or from any organisation accepted by this Authority without a break in service, will not be subject to a probationary period, unless they are in probation at time of transfer.

1.8.2 The probationary period assessment forms will be issued at the prescribed intervals by the HR Department as follows:-

Assessment Period	Sent to Line Manager	Due Date in HR Dept
6 weeks service	at 4 weeks service	at 7 weeks service
12 weeks	at 10 weeks service	at 13 weeks service
20 weeks	at 19 weeks service	at 21 weeks service.

The Line Manager must return the form to the HR Department.

1.8.3 In circumstances where the probationary period assessment forms show that an employee is making unsatisfactory progress or who is very much on the minimum acceptable level will be brought to the early attention of the HR Manager.

1.8.4 In such circumstances a case conference will be organised between the HR Manager and the Line Manager in order to take an early initiative on a particular situation. It is expected that in most circumstances, support and training can be organised which will improve the standards of the employee who will be required to attain and maintain an acceptable level of performance. This should be recorded in a structured Learning and Development Plan (Appendix B). Appendix A provides guidance for this.

- 1.8.5 When support and training do not improve the work performance of the employee in their probationary period it is important that the necessary actions are taken to terminate the probationary employee's employment well in advance of the 6 month period. The Area Manager HR, Learning and Development shall be fully briefed by the HR Manager prior to probationary service being terminated. For this purpose the final assessment form (at 20 weeks service) includes a specific question geared to determining whether the probationary employee should be transferred to the permanent establishment.
- 1.8.6 On satisfactory completion of the probationary period, a letter will be sent confirming the employee has been appointed to the permanent establishment. The letter shall be drafted by the HR Manager then approved and signed by the Area Manager HR, Learning and Development.

SECTION 2

2 CAPABILITY/PERFORMANCE PROCEDURE (GREY BOOK STAFF)

2.1 ATTAINMENT AND MAINTENANCE OF COMPETENCE - GENERAL

2.1.1 This section of the procedure applies to staff employed by the Tyne and Wear Fire and Rescue Service under National Joint Council (Grey book) conditions.

2.1.2 This section lays out actions that will be taken whenever a development need is identified or an individual is not successful in an assessment/skill attainment target. The procedure may also apply where an individual has not been able to demonstrate the maintenance of standards in relation to their role. However, this is dependent upon the issues being related to capability, performance or conduct.

2.1.3 It is stressed that each occurrence falling within the scope of this document should be approached in an understanding and professional manner.

2.1.4 It is recognised that there are specific stages of an individual's employment, namely:-

- Trainee (Phase 1: Initial Firefighter or Fire Control Development Course);
- Firefighter Development (Phase 2: Firefighter or Fire Control Development Programme);
- Competent Firefighter/Firefighter (Control) (Phase 3).

2.1.5 Each of the above stages are structured in such a way as to allow individuals to attain acceptable levels of competence in a progressive manner. It follows therefore that when a development need is identified, the periods allowed for an individual to attain the required standard may differ, dependent upon the stage of development.

2.1.6 Individuals will be monitored on a continuous basis throughout their service. The aspects that will be monitored are:-

- The practical abilities of the individual.
- The development of technical knowledge and skills.
- Attitude to discipline.
- Suitability to undertake their role.
- Demonstrate a commitment to Equality & Diversity.

2.1.7 Irrespective of the stage of an individual's employment, the three levels of warning which can be implemented when an area of weakness is identified.

- Case note.
- Written warning.

- Final written warning.

2.1.8 The normal sequence of events will be to implement the informal procedure first and then, if necessary, progress to the formal levels of warning. However, it is appreciated that certain occasions may arise when it is felt more appropriate to initiate the formal procedure immediately.

2.1.9 The procedures for implementing all levels of warning are detailed in Section 2.4 of this document. Guidance on who is responsible for issuing these warnings is also provided.

2.1.10 If any individual fails an assessment/skill attainment target, or whenever a development need is identified, provision will be made for the individual to receive further development and/or directed private study. Details of all identified development needs and further support provided should be recorded on a structured Learning and Development Plan (Appendix B), in accordance with Appendix A.

2.1.11 In consideration of any capability or performance issues, and when considering the issue of any warning to an individual, the HR Manager will take into account any properly certified periods of absence.

2.2 IDENTIFIED DEVELOPMENT NEED (INFORMAL PROCEDURE)

2.2.1 When an area of weakness or development need is identified, it is in the interest of all parties that any training needs are dealt with informally in the first instance. The appropriate support and guidance will be offered to all individuals to assist in resolving the training need.

2.2.2 In respect of trainee Firefighters undertaking Phase 1 Development, and in recognition of the extent of the course work involved, the first informal record of a training need will be entered on the relevant pro forma which will be located in each individual's Phase 1 Learning and Development Record (Appendix G).

2.2.3 In respect of Phase 1 Firefighters, where the identified training need has not been successfully resolved as detailed in the Phase 1 Learning and Development Record, a structured Learning and Development Plan (Appendix B) will be produced. Appendix A provides guidance for this.

2.2.4 In respect of Phase 1 and 2 Firefighters, nothing in the informal proceedings will preclude the issue of a Written Warning when a Key Stage assessment/skill attainment target has not been achieved. Case notes and/or counselling do not form part of an individual's disciplinary record.

2.2.5 Where a training need is identified, for individuals within Phase 2 and 3 Development, a structured Learning and Development Plan (Appendix B) will be produced in all cases. Appendix A provides guidance for this.

- 2.2.6 In all cases the individual will be counselled by the Watch Manager/Department Head or trainer, as appropriate. The objective is to identify any underlying problems that may be adversely affecting performance. The following areas should be considered:
- Any particular difficulties with study including learning disability e.g. dyslexia.
 - Difficulties in applying required technical knowledge or skills.
 - Relationships with colleagues.
 - Relationship with trainers.
 - Relationship with manager.
 - Any other circumstances which may have an effect upon an individual's performance.
- 2.2.7 All reasonable assistance will be given to the individual in order to resolve any particular problems that are identified.
- 2.2.8 Depending on the circumstances of the case, a reasonable amount of time may be allowed for the problem to be resolved before proceeding to the next stage. The amount of time allowed may vary but will not usually exceed 90 days.
- 2.2.9 Notwithstanding sections 2.2.1 – 2.2.8 above, a Line Manager may prepare a case note (Appendix D) where a more detailed record is required.
- 2.2.10 If no improvement is identified then use of the formal procedures may be appropriate. Should additional guidance be required on the above, the Senior Learning and Development Manager should be contacted for additional help and advice.
- 2.2.11 In all cases when an appointed manager in this procedure is not available, their role may be deputised by a suitable replacement so that the process of implementation of this procedure is not adversely delayed.

2.3 IDENTIFIED DEVELOPMENT NEED (FORMAL PROCEDURE)

- 2.3.1 It is important to note that employees have a statutory right to be accompanied by a fellow worker or trade union official when they make a reasonable request to be accompanied. This statutory right to be accompanied applies to any interview or counselling session that may result in a formal warning or some other action being taken.
- 2.3.2 If any weakness or development need is identified then, subject to the problem not being resolved through the informal procedure, the formal warning procedure should be used.
- 2.3.3 In respect of Phase 1 and 2 Firefighters, the failure of any Key Stage assessment/skill attainment target will also initiate the use of formal procedures.

- 2.3.4 In all cases the individual will be interviewed and the reason for the interview will be explained and each area of concern detailed. The individual will then be invited to make comment. Any such comment made will be recorded on a case note (Appendix D).
- 2.3.5 In respect of Phase 1 Firefighters, the Training Centre Manager and the trainer who has identified the weakness or training need will conduct the interview. The individual may request to be accompanied by a fellow worker or trade union official. To aid this, the Learning and Development department have appointed Mentors who are not part of the trainee course staff and will be available for such events. *Note: It would not be appropriate to allow another trainee to undertake this role.*
- 2.3.6 In respect of Phase 2 and 3 Firefighters, the Training Centre Manager, District Manager, Station Manager, Watch Manager or Department Manager will conduct the interview. The individual may request to be accompanied by a fellow worker or trade union official.
- 2.3.7 In respect of retained employees the District Manager, Station Manager or Watch Manager, will conduct the interview. The individual may request to be accompanied by a fellow worker or trade union official.
- 2.3.8 In respect of Phase 2 Firefighters (Control), the Group Manager (Control) and Watch Manager (Control) will conduct the interview. The individual may request to be accompanied by a fellow worker or trade union official.
- 2.3.9 A comprehensive case note detailing the identified areas of weakness and remedial action recommended will be written on every occasion (Appendix D). The case note will include the following information:
- The date, time and persons present.
 - The areas of weakness or development need identified.
 - The remedial action that has been recommended. The assistance offered to the individual in order to undertake the remedial action, including the name of any person designated as “personal trainer/mentor”.
 - The period of time allowed for the shortcomings to be rectified and the action that will be taken at the end of this time to identify whether the required standards have been met.
 - Any comments made by the individual. Should the individual decline to comment, then this fact should also be recorded.
- 2.3.10 The case note will then be signed by the individual and interviewing manager and placed in the individual’s development file where appropriate and in all cases copied to the individuals Personal Record File (PRF). Copies of the report will be handed to the individual and also delivered under confidential cover to the relevant Area Manager. It is emphasised that comprehensive case notes (Appendix D) MUST be generated after all interviews, copies of which must be forwarded, under

confidential cover, via the relevant Area Manager, for inclusion in the individuals PRF.

2.4 THE ISSUE OF WRITTEN WARNINGS

2.4.1 Written Warnings will be prepared by the HR Department on the instructions of the Senior Learning and Development Manager, **following IN ALL CASES consultation with the Area Manager (HR, Learning and Development Services).**

2.4.2 In respect of a Phase 1 Firefighter, the Training Centre Manager will report to the Senior Learning and Development Manager who will ensure that the Written Warning is prepared.

2.4.3 In respect of Phase 2 and 3 Firefighters, the Training Centre Manager, District Manager or Station Manager as appropriate will report to the Senior Learning and Development Manager who will ensure that the Written Warning is prepared.

2.4.4 In respect of Phase 1, 2 and 3 Firefighters (Control), the Group Manager (Control) will report to the Senior Learning and Development Manager who will ensure that the Written Warning is prepared.

2.4.5 Each individual case will be dealt with on its own merits therefore comprehensive Written Warnings will be prepared on an individual basis and must be specific to the case in question (Appendix E). All Written Warnings must include:

- The name, number and role of the recipient.
- The fact that it is a confidential Written Warning.
- The areas of weakness or development needs that were previously identified and in which the required improvement has not been made and/or the assessment failed together with the mark attained and the minimum pass mark.
- The remedial action that has been recommended.
- The period of time allowed for the shortcomings to be rectified and the action that will be taken at the end of this time, to identify whether the required standards have been met.
- The fact that during the currency of the Written Warning, every opportunity will be afforded the individual, by means of additional learning and development also continuing direct supervision, to remedy the areas of weakness.
- The action that may be taken at the end of the period of warning should the individual fail to attain the required standard.

2.4.6 The Area Manager HR Learning and Development Services will sign all Written Warnings, **BUT ALL FINAL WRITTEN WARNINGS MUST BE SIGNED BY THE BRIGADE MANAGER (HUMAN RESOURCES, LEARNING & DEVELOPMENT).**

- 2.4.7 A Trainer/Mentor will be allocated to oversee and support the individual in undertaking the structured Learning and Development Plan (Appendix B).
- 2.4.8 Once a Written Warning has been signed, the original copy will be given to the individual. The individual must sign any Written Warning with copies being forwarded, under confidential cover, to the individuals PRF and to the relevant Area Manager.
- 2.4.9 In the case of Trainees, the Training Centre Manager will present the Written Warnings to the individual.
- 2.4.10 Following the issue of a Final Written Warning any further failure or identified weakness may result in termination of employment.
- 2.4.11 In the case of Firefighters in Phases 2 or 3 the District Manager (Group Manager) will present the Written Warning to the individual.
- 2.4.12 In the case of Firefighters (Control), the Group Manager (Control) will present the Written Warning to the individual.
- 2.4.13 The relevant Area Manager will present all Final Written Warnings.
- 2.4.14 Following the issue of a Final Written Warning, where insufficient progress is evident, despite the support given to an individual, the individual's employment may be terminated.

2.5 PHASE 1 INITIAL FIREFIGHTER TRAINING (TRAINEE COURSE)

- 2.5.1 Tyne and Wear Fire and Rescue Service recognise that each Trainee employed by this Service has shown a potential to become a Firefighter. However, it is also recognised that many of the attributes required of today's professional Firefighter can only be assessed during the Phase 1 initial Firefighter training course and it must be appreciated that on occasions there may be failures. Nevertheless, all Trainees will be given every opportunity, by means of learning and development, direct supervision and where necessary counselling, to attain the core skills required of them prior to being posted operationally.
- 2.5.2 The procedure to be adopted when an area of weakness or a development need is identified is as stated in Section 2.2 – 2.3 of this document. The Training Centre Manager and the Training Centre Staff must exercise discretion and professionalism in their judgment of Phase 1 Firefighters. To assist in this task, the following will apply:
- 2.5.3 All Phase 1 Firefighters will be closely monitored to ensure that satisfactory levels of knowledge are being attained and maintained. Any points of concern will be recorded.
- 2.5.4 On a weekly basis, the Deputy Training Centre Manager will hold a conference with the BTC trainers to discuss each Phase 1 Firefighters level of performance. Where an area of weakness or a development need

is identified a structured Learning & Development Plan will be produced (Appendix B).

- 2.5.5 Each failure of an assessment/skill attainment target is a reportable event in this procedure. Warnings may be issued for any reportable event. This means that a Phase 1 Firefighter may move through the various levels of warning by a combination of failure to show improvement in an identified area of weakness and assessment/skill attainment target.
- 2.5.6 The Phase 1 Initial Firefighter Training course is designed to provide the Phase 1 Firefighters with the relevant skills and knowledge required to operate safely, under supervision, as a Firefighter in development. Therefore ALL subject assessments and Skill Attainment Targets MUST be successfully completed before conclusion of the phase 1 programme. Phase 1 Firefighters will not proceed onto a station until successful completion of the Phase 1 development programme.
- 2.5.7 Phase 1 Firefighters will be made fully aware of the contents of this document at the commencement of the trainee course.
- 2.5.8 Following the issue of a Final Written Warning any further failure or identified weakness may result in termination of employment.
- 2.5.9 When a Final Written Warning is to be issued, the individual's representative body will be informed.

2.6 PHASE 2 DEVELOPMENT (FIREFIGHTER LEARNING AND DEVELOPMENT PROGRAMME)

- 2.6.1 On successful completion of the Phase 1 Initial Firefighter Training Course, employees enter their formal Phase 2 development, concluding at 24 months service from the date of entry.
- 2.6.2 Within this period, Phase 2 Firefighters will undertake a specific course of study and training, as outlined in the "*Firefighters Development Programme*", and must successfully complete progress assessments at 8 and 17 months and Key Stage Assessments at 9, 12 months service.
- 2.6.3 All elements of Key Stage assessments, together with the NVQ qualification must be successfully completed to achieve Qualified Firefighter status.
- 2.6.4 **8 Month Assessment.**
 - 2.6.4.1 The 8 month assessment will be conducted at Station Level and supervised by Service Delivery and Learning and Development Department staff. The assessments seek to measure the individual progress being made towards successful completion of the formal assessments conducted at 12 and 17 months respectively.

- 2.6.4.2 In the event that a Phase 2 Firefighter fails to attain an overall pass in any assessments, that Firefighter shall be the subject to a written warning as detailed in Section 2.4 of this procedure.
- 2.6.4.3 If an overall pass is achieved but individual sections of the assessment are failed (less than 60% in any one section) then this should be recorded as an identified training need (Appendix B). Appendix A provides guidance for this. Further development and support will then be offered to address the identified development need.
- 2.6.4.4 Depending upon the individual circumstances involved, suitable re-assessment should be carried out to ensure the development need has been addressed prior to the 9, 12 or 17 monthly assessment as applicable.
- 2.6.4.5 It should be noted that these assessments provide a means of ensuring that individual development is at the right level to ensure success at the Key Stage assessment points. Any re-assessment conducted at this point remains a Service Delivery responsibility with suitable guidance being available from the Learning & Development Department, SHQ.
- 2.6.4.6 In the event that no improvement is displayed at the end of the specified period, the appropriate Warning may be issued. Should no improvement be observed following this, then the matter will be progressed through the appropriate stages of this procedure.
- 2.6.4.7 In the event that the required improvement is not displayed at the end of the time specified a Final Warning may be issued.
- 2.6.4.8 Following the issue of a Final Written Warning any further failure or identified weakness may result in termination of employment.
- 2.6.4.9 When a Final Written Warning is to be issued, the individual's representative body will be informed.
- 2.6.5 **9 Month BA Assessment**
- 2.6.5.1 The fundamental requirement to wear Breathing Apparatus within the Fire Service is paramount and it is essential that the Phase 2 Firefighters successfully complete all stages of this assessment process. Failure to reach the required standard will result in the issue of a Written Warning. The individual will be required to resit the assessment following a suitable period of support and further study.
- 2.6.5.2 If an individual fails a resit of an assessment taken following a Written Warning, a Final Written Warning will be issued. In all circumstances when a Final Written warning is to be issued an individual case review will take place between Training Centre Manager, Senior Learning and Development Manager and Deputy Training Centre Manager. The outcome of the review will be conveyed to the Area Manager and Brigade Manager HR, Learning and Development.

2.6.5.3 Following the issue of a Final Written Warning any further failure or identified weakness may result in termination of employment.

2.6.5.4 When a Final Written Warning is to be issued, the individual's representative body will be informed.

2.6.6 **12 & 17 Month Assessments**

2.6.6.1 In the event that an individual fails to achieve an overall pass mark in any Key Stage assessment that is given during Phase 2 of employment, the following action will be taken:

2.6.6.2 A Written Warning will be issued and the individual will be required to resit the assessment. The individual will be afforded necessary support and guidance where appropriate.

2.6.6.3 If an individual fails a resit of an assessment taken following a Written Warning, a Final Written Warning will be issued. In all circumstances when a Final Written Warning is to be issued an individual case review will take place between Training Centre Manager, Learning and Development Manager and Deputy Training Centre Manager. The outcome of the review will be conveyed to the Area Manager and Brigade Manager HR, Learning and Development.

2.6.6.4 When a Final Written Warning is to be issued, the individual's representative body will be informed.

2.6.6.5 If the individual has attained the required standard at the 17 month Key Stage assessment and completion of the development portfolio, a substantive appointment will be recommended. If the individual has not attained the required standard, one of the following may be recommended:

- Further extension of the development period.
- Termination of employment.

2.7 **PHASE 3 DEVELOPMENT AND MAINTENANCE PROGRAMME (SUBSTANTIVE FIREFIGHTER)**

2.7.1 On successful completion of the Phase 2 development programme, Firefighters will become competent and move into Phase 3 maintenance.

2.7.2 Individuals will be monitored on a continuous basis throughout their service to ensure that there has been appropriate attainment and maintenance of learning and development. The aspects that are covered are:

- The practical abilities of the individual.
- The development of technical knowledge and skills.
- Attitude to discipline.

- Suitability to undertake their role.
- Demonstrate a commitment to Equality and Diversity.

2.7.3 The continuous maintenance of skills and knowledge, and the attainment of new skills and knowledge, will be monitored and validated in the first instance by Watch based Supervisory managers, using the Personal Development Record process.

2.7.4 Watch based staff will also be validated using the bi-annual Watch validation session as well as attendance at programmed Learning and Development events at the Training Centre, which also form part of the validation process. Furthermore, validations of knowledge and skills will take place at operational incidents via the operational assurance process.

2.7.5 In the event that an individual fails to demonstrate the required levels of attainment and maintenance of skills, in any of the circumstances described above, the following action will be taken:

2.7.6 The individual concerned will be notified of any identified development need by the appropriate line manager. The line manager will clearly identify the nature of the development need and will also set out the steps to be taken in order to address the development need in full, as detailed in Appendix A. A structured Learning and Development Plan will be produced in all cases (Appendix B). The line manager will also offer full support to the individual where required to facilitate the development of the individual in order that the required standard is met and appropriate arrangements are put in place for maintenance.

2.7.7 Where an identified development need has become apparent by other means, such as operational assurance or validation sessions, the circumstances will be recorded in a case note (Appendix D) by the assessing manager/s and the appropriate line management staff will be informed. A structured Learning and Development Plan will also be produced (Appendix B). Again full support will be made available to address the needs of the individual in order to make good the development need.

2.7.8 The warnings procedure set out in Sections 2.2 - 2.4 of this document will provide guidance where failure to attain or maintain skills and knowledge has occurred.

2.8 CONTROL ROOM PROCEDURES

2.8.1 PHASE 1 INITIAL FIREFIGHTER (CONTROL) (TRAINEE COURSE)

2.8.2 Tyne and Wear Fire and Rescue Service recognises that each Phase 1 Firefighter (Control) employed by this service has shown a potential to become a Firefighter (Control). However, it is also recognised that many of the attributes required of today's professional Firefighter (Control) can only be assessed during the Phase 1 and Phase 2 periods and it must be appreciated that on occasions there may be failures. Nevertheless, all

Phase 1 Firefighter (Control) will be given every opportunity, by means of learning and development, direct supervision and where necessary counselling, to attain the core skills required of them prior to being considered a working member of a watch.

- 2.8.3 The procedure to be adopted when an area of weakness or a development need is identified is detailed in Section 2.2 - 2.3 of this document. The Watch Manager (Control) and Control Learning & Development Manager must exercise discretion and professionalism in their judgement of Phase 1 Firefighter (Control). To assist in this task, the following will apply:
- 2.8.4 All Phase 1 Firefighter (Control) will be closely monitored to ensure that satisfactory levels of knowledge are being attained and maintained. Any points of concern will be recorded and where a development need is identified a structured Learning & Development Plan will be produced (Appendix B).
- 2.8.5 Each failure of an assessment/skill attainment target is a reportable event in this procedure. Warnings may be issued for any reportable event. This means that a Phase 1 Firefighter (Control) may move through the various levels of warning by a combination of failure to show improvement in an identified area of weakness and assessment failures. In all circumstances when a Final Written Warning is to be issued, an individual case review will be conveyed to the Area Manager and Brigade Manager HR, Learning and Development.
- 2.8.6 A Key Stage Assessment will normally be taken at the end of week 2. During weeks 3/4 a trainee will be assigned to a watch for a tour of duty. A further assessment will be taken at week 4/5 weeks, which must be passed for the trainee to successfully complete the course.
- 2.8.7 The Phase 1 Initial Firefighter (Control) course is designed to provide the relevant skills and knowledge required to operate safely, under supervision, as a Firefighter (Control) in development. Therefore ALL subject assessments and Key Stage Assessments MUST be successfully completed before conclusion of the phase 1 programme.
- 2.8.8 Phase 1 Firefighter (Control) will be made fully aware of the contents of this document at the commencement of the trainee course.
- 2.8.9 Following successful completion of the final assessment, the Phase 1 Firefighter (Control) will be assigned to a watch and commence further practical and theoretical training to attain the core skills required at 12 weeks service. The Watch Manager (Control) will supervise this training.
- 2.8.10 Individuals who fail any section of the final assessment will be placed on the relevant warning and be subject to an individual case review.
- 2.8.11 All warnings and case notes will be kept on file for the appropriate period of the warning.

- 2.8.12 Following the issue of a Final Written Warning, any further failure of identified weakness may result in termination of employment.
- 2.8.13 When a Final Written Warning is to be issued, the individual's representative body will be informed.
- 2.8.14 **12 Week Assessment**
- 2.8.14.1 Between 8 and 12 weeks of service, each Phase 1 Firefighter (Control) will be subject to an assessment consisting of reports from the Control Manager, Control Support Manager, Control Learning & Development Officer and Watch Manager (Control) together with evidence relating to practical workplace observations during this period. Written workbook 1 will also be completed by the trainee.
- 2.8.14.2 Individuals who fail any section of the 12 week assessment process will be placed on a Written Warning and be subject to a structured Learning and Development Plan (Appendix B).
- 2.8.14.3 All re-assessments conducted at this point remain a departmental responsibility.
- 2.8.14.4 In the event that the required improvement is not displayed at the end of the time specified, a Final Written Warning will be issued.
- 2.8.14.5 Any subsequent failure will result in a case review. The outcome of the individual case review will result in one of the following actions being taken:
- Extend the Phase 1 period.
 - Recommend Termination of employment.
- 2.8.14.6 On successful completion of the assessments and subject to recommendation received from the Watch Manager (Control), the individual will progress to Development Status and receive the relevant pay rate.

2.9 PHASE 2 DEVELOPMENT (FIREFIGHTER (CONTROL) LEARNING AND DEVELOPMENT PROGRAMME)

- 2.9.1 On successful completion of the Phase 1, employees enter their formal Development Phase 2, concluding at a point in service where competent status has been attained. This is usually between 18 and 24 months service, but should be no later than 24 months service from the date of entry.
- 2.9.2 Within this period, Phase 2 Firefighters (Control) will undertake a specific course of study and training, as outlined in the "*Phase 2 - Firefighter Control Development Programme*", and must successfully complete progress assessments at various stages as outlined below.

2.9.3 All elements of the Key Stage assessments must be successfully completed to achieve the award of Competent Firefighter (Control).

2.9.4 **9 and 18 Month Assessments**

2.9.4.1 These assessments seek to measure the progress being made towards successful completion of the Key Stage assessment conducted at 12 and 24 months. This consists of a performance report from the Watch Manager (Control), Control Learning & Development Officer, Control Support Manager and the Control Manager in addition to a review of the evidence within the individuals NVQ portfolio. In addition, at 9 months service Workbook 2 will be submitted and assessed and a professional discussion will take place with the Control Learning & Development Officer.

2.9.4.2 In the event that the Phase 2 Firefighter (Control) fails to obtain an overall pass in the assessments, the Development Firefighter (Control) shall be subject to a Written Warning as detailed in section 2.4.

2.9.4.3 If an overall pass is achieved but individual sections of the assessment are failed (60% in any one section) then this should be recorded as an identified development need in accordance with Appendix A and a structured Learning and Development Plan completed (Appendix B).

2.9.4.4 All re-assessments conducted at this point remain a departmental responsibility.

2.9.4.5 In the event that the required improvement is not displayed at the end of the time specified, a Final Written Warning will be issued.

2.9.4.6 Following the issue of a Final Written Warning any further failure or identified weakness may result in termination of employment.

2.9.5 **12 Month Assessment**

2.9.5.1 At 12 months service, each Phase 2 Firefighter (Control) will be subject to an assessment consisting of reports from the Control Manager, Control Support Manager, Control Learning & Development Officer and Watch Manager (Control) together with a practical assessment and submission of Written Workbook 3. A professional discussion will also take place with the Control Learning & Development Officer.

2.9.5.2 In the event that the Phase 2 Firefighter (Control) fails to obtain an overall pass in the assessments, the Development Firefighter (Control) shall be the subject to a Written Warning as detailed in section 2.4.

2.9.5.3 If an individual fails a resit of an assessment taken following a Written Warning, a Final Written Warning will be issued. In all circumstances when a Final Written Warning is to be issued an individual case review will take place between Watch Manager (Control), Control Learning &

Development Manager, Control Support Manager, Control Manager and Senior Learning and Development Manager. The outcome of the review will be conveyed to the Area Manager and Brigade Manager HR, Learning and Development.

2.9.5.4 When a Final Written Warning is to be issued, the individual's representative body will be informed.

2.9.5.5 If the individual has attained the required standard at the 12 month assessment then they will continue with their development programme. If the individual has not attained the required standard, one of the following will be recommended:

- Further extension of the assessment period.
- Termination of employment.

2.9.6 **24 Month Assessment**

2.9.7 On successful completion of the 12 month assessment, a Firefighter (Control) will undertake a further 12 month training period. The syllabus and content as outlined in the Phase 2 Firefighter (Control) Development Programme.

2.9.8 Following this development period, a Key Stage assessment, will take place at 24 months. The assessment will consist of a performance report from the Watch Manager, Control Learning & Development Officer, Control Support Manager and Control Manager. A review of the evidence within the portfolio will be carried out by the Internal Verifier.

2.9.9 The timing of this assessment is dependant upon the progress being made by the individual. This may take place earlier than 24 months if an individual has completed their portfolio and it has been verified.

2.9.9.1 In the event that the individual fails the assessments, they shall be subject to a Written Warning as detailed in Section 2.4 and required to resit the assessment. The individual will be afforded necessary support and guidance where appropriate.

2.9.9.2 If an individual fails a resit of an assessment taken following a Written Warning, a Final Written Warning will be issued. In all circumstances when a Final Written Warning is to be issued an individual case review will take place between Watch Manager (Control), Control Learning & Development Manager, Control Support Manager, Control Manager and Senior Learning and Development Manager. The outcome of the review will be conveyed to the Area Manager and Brigade Manager HR, Learning and Development.

2.9.9.3 When a Final Written Warning is to be issued, the individual's representative body will be informed

2.9.10 If the individual has attained the required standard at the 24 month Key Stage assessment and completion of the development portfolio, a substantive appointment will be recommended. If the individual has not attained the required standard, one of the following may be recommended:

- Further extension of the development period.
- Termination of employment.

2.10 PHASE 3 DEVELOPMENT AND MAINTENANCE PROGRAMME (SUBSTANTIVE FIREFIGHTER (CONTROL))

2.10.1 Successful completion of the 24 Month Firefighter (Control) Development Programme and verification of the NVQ portfolio shall result in the award of Competent Status and the appropriate rate of pay.

2.10.2 Individuals will be monitored on a continuous basis throughout their service to ensure that there has been appropriate attainment and maintenance of learning and development. The aspects that are covered are:

- The practical abilities of the individual.
- The development of technical knowledge and skills.
- Attitude to discipline.
- Suitability to undertake their role.
- Demonstrate a commitment to Equality and Diversity.

2.10.3 The continuous maintenance of skills and knowledge, and the attainment of new skills and knowledge, will be monitored and validated in the first instance by Watch based Supervisory managers, using the Personal Development Record process.

2.10.4 In the event that an individual fails to demonstrate the required levels of attainment and maintenance of skills, in any of the circumstances described above, the following action will be taken:

2.10.5 The individual concerned will be notified of any identified development need by the appropriate line manager. The line manager will clearly identify the nature of the development need and will also set out the steps to be taken in order to address the development need in full as detailed in Appendix A. A structured Learning and Development Plan will be produced in all cases (Appendix B). The line manager will also offer full support to the individual where required to facilitate the development of the individual in order that the required standard is met and appropriate arrangements are put in place for maintenance.

2.10.6 Where an identified development need has become apparent by other means, such as operational assurance or validation sessions, the circumstances will be recorded by the assessing manager/s and the appropriate line management staff will be informed (Appendix B). Again

full support will be made available to address the needs of the individual in order to make good the development need.

- 2.10.7 The warnings procedure set out in Section 2.2 - 2.4 of this document will provide guidance where failure to attain or maintain skills and knowledge has occurred.

2.11 INDIVIDUAL CASE REVIEW

- 2.11.1 Comprehensive records should be kept detailing the nature of any failure to attain or maintain standards. All case notes generated in relation to identified areas of development needs or warnings that have been issued will be considered along with assessment results covering the period. This will include reports from line managers or trainers involved, together with reports from the relevant manager in relation to the general performance and attitude of the individual concerned. It is the intention that an individual case review will objectively examine the facts on any individual case to ensure the most appropriate course of action is taken.

2.12 APPEAL

- 2.12.1 The opportunity to appeal against any warning issued is essential to natural justice. Personnel may raise an appeal within 7 days of the date of issue of any Formal Warning, Written or Final Written Warning. In the light of an appeal all case notes will be examined and re-considered by the Area Manager or Brigade Manager HR, Learning and Development as appropriate.

APPENDIX A

PROGRAMME OF LEARNING AND DEVELOPMENT, COUNSELLING, ASSESSMENT AND REPORTING (FOLLOWING IDENTIFICATION OF AREAS OF DEVELOPMENT/TRAINING NEEDS)

To be initiated following the identification of areas of development, failure of assessment or skill attainment target.

GUIDANCE NOTE:

For the purpose of this guidance please note the following.

- Supervisory Manager equates to Crew/Watch Manager and Crew/Watch Manager (Control).
- Departmental Manager equates to Station/Group Manager.

GENERAL

The Watch/Supervisory Manager will prepare a structured Learning and Development Plan (Appendix B) to address the area(s) of training need or failure.

For Grey Book conditioned employees, the Watch Manager must refer to the *Firefighter Development Programme/Firefighter (Control) Development Programme* when formulating the Development Plan. A copy of the schedule should be forwarded to the Learning and Development Department, via the Station/Departmental Manager, as detailed below;

- For Phase 1 Firefighters the Learning and Development Plan should be forwarded to Learning and Development Department, SHQ and for Phase 2 and 3 the Learning and Development Plan should be forwarded to the Learning and Development Department, Service Delivery.
- For Phase 1, 2 and 3 Firefighters (Control) the Learning and Development Plan should be forwarded to Learning and Development Department, SHQ.
- For Green Book conditioned employees the Supervisory Manager must refer to the job description and person specification when formulating a Learning and Development Plan (Appendix B). The Learning and Development Plan should be forwarded to Learning and Development Department, SHQ.

A Supervisory Manager will be nominated as a '*personal mentor*', with the explicit responsibility of providing all of the necessary assistance and supervision in compliance with the learning and development plan, on a continuous basis.

A comprehensive record of all learning and development assistance and supervision given, in addition to that recorded on individual personal development record, must be recorded on Appendix C.

At the end of each learning and development/training session, a copy of the

completed record/s (Appendix C) detailing the aims, objectives and outcomes of the training given should be forwarded to the Learning and Development Department, via the Station/Departmental Manager, as detailed below;

- For Phase 1 Firefighters the Learning and Development Plan should be forwarded to Learning and Development Department, SHQ and for Phase 2 and 3 the Learning and Development Plan should be forwarded to the Learning and Development Department, Service Delivery.
- For Phase 1, 2 and 3 Firefighters (Control) the Learning and Development Plan should be forwarded to Learning and Development Department, SHQ.
- For Green Book conditioned employees the Learning and Development Plan should be forwarded to Learning and Development Department, SHQ.

Should circumstances arise whereby any element of the learning and development programme is missed through leave or sickness, the Watch/Supervisory Manager will re-programme that aspect of development at the earliest possible date, however this must be recorded on Appendix C and forwarded as above.

SUPERVISION OF PROGRESS

The District/Departmental Manager will interview the individual at the commencement of the structured Learning and Development Plan. The interview may include counselling as necessary and will be recorded by means of a case note (Appendix D). For Firefighter (Control) the Group Manager (Control) will interview the individual.

The Watch/Supervisory Manager must monitor the plan of learning and development on a continuous basis, as detailed above, and will take all appropriate action to address any areas of identified weakness.

The Watch/Supervisory Manager will interview the individual during each week / period of duty. The interview will concentrate on the progress being made and offer counselling if required. A comprehensive record (Appendix D) will be maintained of the supervision and counselling given throughout the duration of the learning and development programme. The completed records should be forwarded to the Learning and Development Department, together with the record of learning and development undertaken (Appendix C) from the Watch/Supervisory Manager via the District/Departmental Manager.

For Phase 1 Firefighter the Learning and Development Plan should be forwarded to Learning and Development Department, SHQ and for Phase 2 and 3 the Learning and Development Plan should be forwarded to the Learning and Development Department, Service Delivery. For Phase 1, 2 and 3 Firefighter (Control) the Learning and Development Plan should be forwarded to Learning and Development Department, SHQ.

For Green Book conditioned employees the Learning and Development Plan should be forwarded to Learning and Development Department, SHQ.

On any occasion that supervision or counselling identifies that the required progress has not been achieved or any additional learning and development over and above that detailed in the schedule, then a case note (Appendix D) will be prepared to record any concern with regard to lack of progress and *all other relevant facts*.

All case notes will be forwarded under confidential cover via the District/Departmental Manager to the relevant Learning and Development Department ensuring that a copy is forwarded to the HR Department for inclusion in the employee's Personal Record File, as detailed below;

- For Phase 1 Firefighter the Learning and Development Plan should be forwarded to Learning and Development Department, SHQ and for Phase 2 and 3 the Learning and Development Plan should be forwarded to the Learning and Development Department, Service Delivery.
- For Phase 1, 2 and 3 Firefighter (Control) the Learning and Development Plan should be forwarded to Learning and Development Department, SHQ.
- For Green Book conditioned employees the Learning and Development Plan should be forwarded to Learning and Development Department, SHQ.

RE-ASSESSMENT

In line with the structured Learning and Development Plan (Appendix B) the re-assessment of any skills or knowledge can be undertaken in the written, oral or practical form as appropriate in the individual circumstances.

If the Learning and Development Plan has been completed to a satisfactory standard then no further action is required by the Watch/Supervisory Manager.

If the individual has not achieved the required standards, such events will be determined on an individual basis with the individual being subject to the relevant warning process as detailed in sections 2.4.

For employees within Phase 1 development this will be determined with due consultation with the Area Manager, HR, Learning and Development Services. For Green Book conditioned employees and for employees within Phase 2 and 3, they will be required to reach the relevant standard within 6 months of the when the learning and development need was identified.

If no improvement has been made despite the programme of advice, training and support given to the employee, the employee will receive an appropriate warning. If a final written warning is issued the employee will be expected to achieve the required standard or further action will be taken which may ultimately lead to dismissal.

APPENDIX B

IDENTIFIED TRAINING NEED

STRUCTURED LEARNING AND DEVELOPMENT PLAN

CONFIDENTIAL

This form should be completed whenever a training need is identified

Name: Service No: Watch / Department / Location: Date:
Area of Learning and Development Need:
Person responsible for the Learning and Development (<i>personal mentor</i>):
Details of how the Learning and Development need was identified:
Agreed improvement/training plan (please use additional sheet and attach as required):
Timescales for completion:
Review Dates:

Training Plan agreed:

Employees name..... Service Number

Employees signature..... Date

Assessor name:..... Service Number:.....

Assessor signature: Date:.....

On Conclusion of the training plan please complete the following and forward it to the relevant Learning and Development Department.

NB: A copy of this Learning and Development need is to be kept in the probation file at the Learning & Development Department and a photocopy is to be returned to the individual for inclusion in their development portfolio. This is to be filed next to the relevant assessment.

Note: If the outcome is unsatisfactory, progress to the relevant warning as detailed in section 2.4 of Admin Procedure 3.15.

Method of assessment used to ensure training need has been addressed:
 Written Oral Practical (Please tick the appropriate box/es)

Outcome:
Satisfactory /Unsatisfactory
(Delete as applicable)

Assessor name:..... Service Number:.....

Assessor signature: Date:.....

Employee's name:..... Service Number:.....

Employee's signature:..... Date:.....

APPENDIX C

CONFIDENTIAL

RECORD OF LEARNING AND DEVELOPMENT UNDERTAKEN

Note: Where the development has not taken place due to leave or sickness absence, this should be noted below together with revised training date and forwarded the to relevant Learning and Development Department as detailed in Appendix A of Admin Procedure 3.15.

NAME

ROLE.....

SERVICE NUMBER.....

DATE OF TRAINING:
AIMS OF SESSION:
OBJECTIVES:
TRAINING UNDERTAKEN:

COMMENTS (OBJECTIVES ACHIEVED/NOT ACHIEVED):

NOMINATED MANAGER/MENTOR

Name..... Role

Number.....

Signature..... Date.....

ENDORSEMENT BY THE INDIVIDUAL

The contents of this record have been brought to my attention and I have been given the opportunity to comment in the space below.

Name..... Service Number.....

Signature Date.....

Comment (if any):

Comments of Station/Department Manager

Name.....

Service Number.....

Signature.....

Date.....

APPENDIX D

CONFIDENTIAL

CASE NOTE

Interviewing Manager:..... Service Number:

Role:.....

Name of employee:..... Service Number:.....

Role:.....

Date and Time

Others Present (Name/s and Service Number)

.....

Reason for discussion:

Agreed Improvements/Action:

Timescales:

ENDORSEMENT BY THE INDIVIDUAL

The contents of this case note have been brought to my attention and I have been given the opportunity to comment in the space below.

Name Service Number.....

Signature..... Date.....

Comment (if any)

In line with the organisation's Capability/Performance Procedure this case note will be forwarded to the HR Department to be place on your personal record file. A review will take place in 3 months time, when a decision will be made based upon your progress over that period.

INTERVIEWING MANAGER

Name Service Number.....

Signature Date

WITNESS/OTHER PARTIES PRESENT

Name Service Number.....

Signature Date

APPENDIX E

This matter is being dealt with by:

Direct Dial: 0191 444

E-mail: @twfire.gov.uk

Your Ref:

Our Ref: DG/PRF

Date:

PERSONAL & CONFIDENTIAL

Dear

NOTIFICATION OF WRITTEN WARNING – FAILURE TO ATTAIN

I write to advise you that you have been issued with a Written Warning in respect of (insert details of identified areas of weakness or development). This will remain on your Personal Record File for a period of ().

After () months you will be informed in writing, that this written warning (providing that improvements have been made) has been deemed spent.

You should note that you have 7 days from receipt of this letter () to appeal against the sanction as detailed in Admin Procedure 3.15.

You have been issued with an agreed improvement/training plan. A mentor, (insert name) has been appointed to assist you with your training plan.

This **Written Warning** will take effect from that date, or if an appeal has been lodged, from the date that the sanction has been upheld.

Should there be no evidence of improvement despite the assistance given, you may be issued with a **Final Written Warning**.

DELETE AS NECESSARY - You should also note you will no longer be eligible for Continual Professional Development Payment whilst this disciplinary sanction is 'live'.

Yours sincerely

Area Manager
HR, Learning & Development Services

cc PRF

I acknowledge receipt of this written warning and the contents therein. I understand that if the required improvements have not been made within the timescale, I may proceed to the next stage of the capability procedure: **Final Written Warning**.

Name.....

Service Number.....

Role.....

Date.....

APPENDIX F

This matter is being dealt with by:

Direct Dial: 0191 444

E-mail: @twfire.gov.uk

Your Ref:

Our Ref: DG/PRF

Date:

PERSONAL & CONFIDENTIAL

Dear

NOTIFICATION OF FINAL WRITTEN WARNING – FAILURE TO ATTAIN

I write to advise you that you have been issued with a Final Written Warning in respect of (insert details of identified areas of weakness or development). This will remain on your Personal Record File for a period of ().

After () months you will be informed in writing, that this final written warning (providing that improvements have been made) has been deemed spent.

You should note that you have 7 days from receipt of this letter () to appeal against the sanction as detailed in Admin Procedure 3.15.

You have been issued with an agreed improvement/training plan. A mentor, (insert name) has been appointed to assist you with your training plan.

This **Final Written Warning** will take effect from that date or if an appeal has been lodged from the date that the sanction has been upheld.

Should there be no evidence of improvement despite the assistance given, you may be dismissed.

DELETE AS NECESSARY - You should also note you will no longer be eligible for Continual Professional Development Payment whilst this disciplinary sanction is 'live'.

Yours sincerely

Area Manager
HR, Learning & Development Services

Cc PRF

I acknowledge receipt of this written warning and the contents therein. I understand that if the required improvements have not been made within the timescale, I may proceed to the next stage of the capability procedure: **Dismissal**.

Name.....

Service Number.....

Role.....

Date.....

**PHASE 1 DEVELOPMENT COURSE
IDENTIFIED DEVELOPMENT NEEDS**

Appendix G

Name:	Number:
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Date	Description of agreed development need	Target date for completion	Signature Trainee:	Signature Trainer:	Date completed Trainer signature:

NOTE: This record of an identified development need must be retained in the phase 1 development portfolio.