
STATUTORY INSTRUMENTS

1999 No. 731

POLICE

The Police (Conduct) (Senior Officers) Regulations 1999

<i>Made</i>	- - - -	<i>10th March 1999</i>
<i>Laid before Parliament</i>		<i>11th March 1999</i>
<i>Coming into force</i>	- -	<i>1st April 1999</i>

The Secretary of State, in exercise of the powers conferred on him by section 50 of the Police Act 1996⁽¹⁾, and after complying with the requirements of section 63(3) of that Act, hereby makes the following Regulations:

Citation and commencement

1. These Regulations may be cited as the Police (Conduct) (Senior Officers) Regulations 1999 and shall come into force on 1st April 1999.

Revocations and transitional provisions

2.—(1) Subject to the following provisions of this regulation, the Police (Discipline) (Senior Officers) Regulations 1985⁽²⁾ (“1985 Regulations”) are hereby revoked.

(2) Subject to paragraph (3), where a report, complaint or allegation has been or is received in respect of conduct by a senior officer which occurred or commenced before 1st April 1999—

- (a) nothing in these Regulations shall apply, and
- (b) the 1985 Regulations shall, as far as applicable, continue to have effect.

(3) In the case of a report, complaint or allegation which—

- (a) relates to conduct by a senior officer which occurred or commenced before 1st April 1999, but
- (b) is received on or after 1st April 2000,

the conduct shall be treated, for the purposes of this regulation, as having occurred or, as the case may be, commenced on 1st April 1999.

(1) 1996 c. 16.
(2) S.I. 1985/519.

Regulations applicable only to senior officers

3. These Regulations shall only apply in relation to conduct by a senior officer, that is to say, by a chief constable or an assistant chief constable or, in the case of the City of London and metropolitan police forces, by a member of the force in question of or above the rank of commander.

Interpretation

4.—(1) In these Regulations, unless the context otherwise requires—

“the appropriate authority” means, in relation to a senior officer of the metropolitan police force, the Commissioner of Police of the Metropolis and, in relation to a senior officer of any other police force, the police authority for that force’s area;

“appropriate standard” means the standard set out in the Code of Conduct;

“Authority” means the Police Complaints Authority;

“Code of Conduct” means the code of conduct contained in Schedule 1 to the Police (Conduct) Regulations 1999(3);

“complaint” has the meaning assigned to it by section 65 of the 1996 Act;

“investigating officer” means an officer appointed under section 68(3) of the 1996 Act, or under regulation 7, to investigate a complaint or other matter relating to the conduct of a senior officer;

“police force concerned” means, in relation to a senior officer whose conduct is the subject of a report, complaint or allegation, the police force of which he is a member; and any reference to the chief officer concerned is a reference to the chief officer of that force;

“representative” means, in relation to proceedings under these Regulations in respect of the conduct of a senior officer, counsel, a solicitor or a member of a police force selected by him for the purpose of those proceedings;

“senior officer” has the meaning assigned to it by regulation 3; and “the senior officer concerned” means the senior officer in relation to whose conduct there has been a report, complaint or allegation;

“tribunal” means such a tribunal as is mentioned in regulation 14;

“the 1996 Act” means the Police Act 1996.

(2) In relation to a senior officer of the metropolitan police force, these Regulations shall have effect as if the references in regulations 11 and 14 to a member, officer or servant of the police authority, or of any local authority which appoints any member of the police authority, were references to a member of the metropolitan civil staffs within the meaning of section 15 of the Superannuation (Miscellaneous Provisions) Act 1967(4).

(3) In these Regulations, unless the context otherwise requires, any reference to a regulation shall be construed as a reference to a regulation contained in these Regulations.

Suspension—ordinary procedure

5.—(1) Where it appears to the appropriate authority, on receiving a report, complaint or allegation which indicates that the conduct of a senior officer does not meet the appropriate standard, that the senior officer concerned ought to be suspended from membership of the force and from his office as constable, the appropriate authority may, subject to the following provisions of this regulation, so suspend him.

(3) S.I. 1999/730.

(4) 1967 c. 28.

(2) The appropriate authority shall not so suspend a senior officer unless it appears to them that either of the following conditions (“the suspension conditions”) is satisfied:

- (a) that the effective investigation of the matter may be prejudiced unless the senior officer concerned is so suspended;
- (b) that the public interest, having regard to the nature of the report, complaint or allegation, and any other relevant considerations, requires that he should be so suspended.

(3) If the appropriate authority determine that a senior officer ought to be suspended under this regulation, they shall forthwith notify the Authority of their decision and of the suspension condition appearing to them to justify their decision.

(4) If, upon being so notified of the decision of the appropriate authority, the Authority are satisfied that the suspension condition in question is fulfilled, they shall as soon as practicable notify their approval of the suspension of the senior officer concerned to the appropriate authority; and the suspension of the officer shall not have effect unless the approval of the Authority is so given.

(5) Where the Authority give their approval to the suspension of a senior officer, his suspension shall take effect from the time he receives notice of that approval from the appropriate authority and he shall be suspended until—

- (a) the Authority decide otherwise; or
- (b) the appropriate authority decide otherwise; or
- (c) it is decided that the conduct of the senior officer concerned shall not be the subject of proceedings under regulation 11; or
- (d) the notification of a finding that the conduct of the senior officer concerned did not fail to meet the appropriate standard or notification that, in spite of a finding that his conduct did fail to meet the appropriate standard, no sanction should be imposed; or
- (e) a sanction has been imposed,

whichever first occurs.

Suspension—urgent cases

6.—(1) Subject to paragraph (2), in cases of urgency, the like power of suspension as under regulation 5 may be exercised with immediate effect—

- (a) in relation to a chief officer, by the police authority; and
- (b) in any other case, by the chief officer concerned.

(2) Where a senior officer has been suspended under paragraph (1), the appropriate authority shall notify the Authority forthwith.

(3) Without prejudice to regulation 5(5), the suspension of a senior officer under this regulation shall cease to have effect at the expiry of 24 hours from its imposition unless within that period the Authority have notified the appropriate authority of their approval of it.

Investigating officers

7.—(1) Where a report, complaint or allegation is received which indicates that the conduct of a senior officer did not meet the appropriate standard, the following provisions of this regulation shall have effect for the purpose of investigating the matter.

(2) The provisions of paragraphs (3) and (4) shall have effect—

- (a) in relation to cases arising otherwise than from a complaint to which Chapter I of Part IV of the 1996 Act applies; and

(b) in cases arising from such a complaint when the requirements of that chapter are dispensed with by or under regulations made under section 81 of the 1996 Act.

(3) Unless the appropriate authority decide, in the light of such preliminary enquiries as they may make, that no proceedings under regulation 11 need be taken, the matter shall be referred to an investigating officer who shall cause it to be investigated.

(4) The investigating officer shall be—

- (a) a member of the police force concerned; or
- (b) if the chief officer of some other force is requested and agrees to provide an investigating officer, a member of that other force,

and of at least the rank of the senior officer concerned.

(5) Neither—

- (a) the chief officer concerned; nor
- (b) any member of the police force concerned serving in the same division as the senior officer concerned,

shall be appointed as the investigating officer for the purposes of paragraph (3) or section 68(3) of the 1996 Act.

(6) The provisions of this regulation are without prejudice to the powers of the Authority with regard to the approval of the investigating officer under section 72(3)(a) or (b) of the 1996 Act in a case where the Authority are required, or have determined, to supervise the investigation of a complaint or other matter under that section.

Initial personal explanation

8. The investigating officer shall, as soon as is practicable (without prejudicing his or any other investigation of the matter), cause the senior officer concerned to be given written notice—

- (a) that there is to be an investigation into the case;
- (b) of the nature of the report, complaint or allegation;
- (c) informing him that he is not obliged to say anything concerning the matter, but that he may, if he so desires, make a written or oral statement concerning the matter to the investigating officer or to the appropriate authority; and
- (d) informing him that if he makes such a statement it may be used in any subsequent proceedings under these Regulations.

Personal explanation following investigation

9.—(1) Where, following or, where paragraph (2) applies, during the investigation of a report, complaint or allegation, it appears that the conduct of a senior officer may not have met the appropriate standard, the appropriate authority shall consider whether proceedings under regulation 11 need be taken.

(2) This paragraph applies where, before the end of the investigation, it appears to the investigating officer that the case is one in respect of which the conditions specified in Part I of the Schedule to these Regulations are likely to be satisfied and informs the appropriate authority accordingly.

(3) Unless the appropriate authority decide that no such proceedings need be taken, the appropriate authority shall inform the senior officer in writing of the report, allegation or complaint and give him a written notice—

- (a) asking him whether or not he accepts that his conduct did not meet the appropriate standard;
 - (b) informing him that he is not obliged to say anything concerning the matter, but that he may, if he so desires, make a written or oral statement concerning the matter to the authority; and
 - (c) informing him that if he makes such a statement it may be used in any subsequent proceedings under these Regulations.
- (4) If the appropriate authority decide that no proceedings under regulation 11 need be taken, they shall so inform the senior officer in writing forthwith.
- (5) In a case where paragraph (2) applies, the appropriate authority shall—
- (a) determine whether the case is one in respect of which the conditions specified in Part I of the Schedule to these Regulations are satisfied; and
 - (b) if they determine that the case is one in respect of which those conditions are satisfied and unless they are of the opinion that the circumstances are such that it would be inappropriate to do so, certify the case as a special case;

and where the appropriate authority certify the case under sub-paragraph (b), the notice given under paragraph (3) shall inform the senior officer concerned that it has been so certified.

Sanction without hearing

10.—(1) If the senior officer concerned accepts that his conduct did not meet the appropriate standard, the appropriate authority may impose a sanction under regulation 22 without the case being dealt with in accordance with regulations 11 to 21.

(2) Notwithstanding that the senior officer concerned accepts that his conduct did not meet the appropriate standard, the appropriate authority may, after considering the report of the investigation, deal with the matter according to the appropriate authority's discretion if they are satisfied that it does not justify the imposition of any sanction under these Regulations.

Notice of proceedings

11.—(1) This regulation shall apply where the senior officer concerned—

- (a) accepts that his conduct did not meet the appropriate standard but the appropriate authority do not proceed as mentioned in regulation 10(1) or (2); or
- (b) does not accept that his conduct failed to meet the appropriate standard but the appropriate authority, after taking into account any statement he may have made in pursuance of notice given under regulation 8 or 9, are not satisfied that his conduct did meet the appropriate standard.

(2) Subject to paragraph (4), where this regulation applies the appropriate authority shall refer the case to a hearing and instruct an independent solicitor to give written notice to the senior officer concerned—

- (a) that the case is being referred to a hearing, and
- (b) specifying the conduct of that senior officer which it is alleged failed to meet the appropriate standard and the paragraph of the Code of Conduct in respect of which the appropriate standard is alleged not to have been met.

(3) The reference in paragraph (2) to an independent solicitor is a reference to a solicitor who is not a member, officer or servant of the appropriate authority or of any local authority which appoints any member of the appropriate authority.

(4) Notwithstanding that a case is one to which this regulation applies by virtue of paragraph (1) (b), if, after considering the report of the investigation, the appropriate authority are satisfied that the

conduct in question, even if found to have failed to meet the appropriate standard, would not justify the imposition of any sanction under these Regulations, the steps mentioned in paragraph (2) need not be taken and the matter may be dealt with according to the appropriate authority's discretion.

(5) Proceedings at or in connection with a hearing to which a case is referred under this regulation shall, for the purposes of section 65 of the 1996 Act (interpretation of Chapter I of Part IV) be disciplinary proceedings.

Withdrawal of case

12.—(1) At any time before the beginning of the hearing referred to in a notice under regulation 11, the appropriate authority may direct that the case be withdrawn.

(2) Where a direction is given under paragraph (1), the appropriate authority shall, as soon as possible, cause the senior officer concerned to be served with a written notice of the direction and the case shall be treated as if it had not been referred to a hearing.

Documents to be supplied to the senior officer concerned

13.—(1) Where a senior officer is given notice under regulation 11, he shall, at least 21 days before the date of the hearing referred to in that notice, be notified of the time, date and place of the hearing and be supplied with copies of—

- (a) any statement he may have made under regulation 8 or 9;
- (b) any relevant statement, document or other material obtained during the course of the investigation.

(2) In this regulation any reference to a copy of a statement shall, where it was not made in writing, be construed as a reference to a copy of an account thereof.

Hearing by tribunal

14.—(1) Where a case is referred to a hearing it shall be heard by a tribunal consisting of a single person selected and appointed by the appropriate authority from a list of persons nominated by the Lord Chancellor.

(2) To assist the tribunal on matters pertaining to the police there shall also be appointed by the appropriate authority one or more assessors selected by that authority with the approval of the tribunal one of whom is or has been a chief officer of police, so, however, that there shall not be so appointed—

- (a) a person who is one of Her Majesty's inspectors of constabulary;
- (b) the chief officer of the force of which the senior officer concerned is a member; or
- (c) a member, officer or servant of the appropriate authority or of any local authority which appoints any member of the appropriate authority.

Procedure at hearing

15.—(1) The hearing shall be in private.

(2) The case shall be presented—

- (a) by the independent solicitor mentioned in regulation 11(2); or
- (b) by some other independent solicitor.

(3) In paragraph (2)(b), "independent solicitor" has the same meaning as in regulation 11.

(4) The senior officer concerned may conduct his case either in person or by a representative.

(5) Any question as to whether any evidence is admissible, or whether any question should or should not be put to a witness, shall be determined by the tribunal.

(6) A verbatim record of the proceedings before the tribunal shall be taken and a transcript of the record shall be made and sent to the appropriate authority; and, if a sanction is imposed by that authority and the senior officer concerned so requests within the time limit for any appeal and after he has lodged notice of appeal in accordance with rules made under section 85 of the 1996 Act, a copy of the transcript shall be supplied to him.

Statements in lieu of oral evidence

16. With the consent of the senior officer concerned the tribunal may allow any document to be adduced in evidence during the hearing notwithstanding that a copy thereof has not been supplied to the senior officer concerned in accordance with regulation 13(1).

Adjournment of hearing

17. The tribunal may from time to time adjourn the hearing if it appears to it to be necessary or expedient to do so for the due hearing of the case.

Hearing in absence of senior officer concerned

18.—(1) It shall be within the discretion of the tribunal to proceed with the hearing of the case in the absence of the senior officer concerned if it appears just and proper to do so.

(2) Where, owing to the absence of the senior officer concerned, it is impossible to comply with any of the procedures set out in these Regulations, that procedure shall be dispensed with.

Attendance of complainant at hearing

19.—(1) This regulation shall apply where there has been a complaint against the senior officer concerned.

(2) Notwithstanding anything in regulation 15(1) but subject to paragraphs (3), (4) and (6), the tribunal shall allow the complainant to attend the hearing while witnesses are being examined, or cross-examined, and the complainant may at the discretion of the tribunal be accompanied by a friend or relative.

(3) Where the complainant or any person allowed to accompany him is to be called as a witness at the hearing, he and any person allowed to accompany him shall not be allowed to attend before he gives his evidence.

(4) Where it appears to the tribunal that a witness may, in giving evidence, disclose information which, in the public interest, ought not to be disclosed to a member of the public, it shall require the complainant and any person allowed to accompany him to withdraw while the evidence is given.

(5) Where the senior officer concerned gives evidence, then after the person presenting the case has had an opportunity of cross-examining him, the tribunal shall put to him any questions which the complainant requests should be so put and might have been properly so put by way of cross-examination and, at its discretion, may allow the complainant himself to put such questions to the senior officer concerned.

(6) Subject as aforesaid, the complainant and any person allowed to accompany him shall neither intervene in, nor interrupt, the hearing; and if he or such a person should behave in a disorderly or abusive manner, or otherwise misconduct himself, the tribunal may exclude him from the remainder of the hearing.

(7) In this regulation, a reference to the complainant is a reference to the originator of the complaint notwithstanding that it was transmitted to the appropriate authority by some other person or by the Authority or some other body.

Tribunal's report

20.—(1) The tribunal shall review the facts of the case and decide whether or not the conduct of the senior officer concerned met the appropriate standard.

(2) The tribunal shall not find that the conduct of the senior officer concerned failed to meet the appropriate standard unless the conduct is—

- (a) admitted by the senior officer concerned; or
- (b) proved by the person presenting the case on the balance of probabilities,

to have failed to meet that standard.

(3) The tribunal shall, as soon as possible after the hearing, submit a report to the appropriate authority setting out—

- (a) the finding of the tribunal under paragraph (1);
- (b) if that finding was that the conduct of the senior officer concerned failed to meet the appropriate standard, a recommendation as to any sanction which, subject to regulation 21, in its opinion should be imposed; and
- (c) any other matter arising out of the hearing which it desires to bring to the notice of the appropriate authority.

(4) The tribunal shall send the senior officer concerned a copy of the report.

Decision of appropriate authority

21.—(1) On receipt of the report of the tribunal the appropriate authority shall decide either to dismiss the case or—

- (a) to record a finding that the conduct of the senior officer concerned failed to meet the appropriate standard but to take no further action, or
- (b) to record such a finding and impose a sanction.

(2) As soon as possible after the appropriate authority has taken its decision in the case that decision shall be notified in writing to the senior officer concerned.

Sanctions

22.—(1) For the purposes of regulation 10, 20 or 21, the sanctions which may be recommended or imposed shall be—

- (a) dismissal from the force;
- (b) requirement to resign from the force as an alternative to dismissal taking effect forthwith or on such date as may be specified in the recommendation or decision;
- (c) reprimand.

(2) Where the question of the sanction to be imposed is being considered by the appropriate authority under regulation 10 or 21—

- (a) they shall have regard to the record of police service of the senior officer concerned as shown on his personal record and may receive evidence from any witness whose evidence would, in their opinion, assist them in determining the question; and

(b) the senior officer concerned, or his representative, shall be afforded an opportunity to make oral or, if appropriate, written representations as respects the question or to adduce evidence relevant thereto.

(3) Regulation 15(5) shall apply to proceedings at which such evidence as is referred to in paragraph (2)(a) or (b) or such oral representations as are referred to in paragraph (2)(b) is given or are made as it applies to the proceedings before the tribunal.

Copy of report and decision to be sent to the Secretary of State

23. A copy of the report of the tribunal together with the decision of the appropriate authority shall be sent by the appropriate authority to the Secretary of State.

Expenses of hearing

24.—(1) All the expenses of a hearing under these Regulations, including the costs of the senior officer concerned, shall be defrayed out of the police fund.

(2) Any costs payable under this regulation shall be subject to taxation in such manner as the Secretary of State may direct.

Special cases

25.—(1) This regulation applies to any case in which a report, complaint or allegation is made which indicates that the conduct of a senior officer did not meet the appropriate standard and in respect of which the conditions specified in Part I of the Schedule to these Regulations are satisfied and a certificate has been issued under regulation 9(5)(b).

(2) In the application of these Regulations to a case to which this regulation applies, regulations 11 to 22 shall, subject to paragraph (3), have effect subject to the modifications specified in Part II of the Schedule to these Regulations.

(3) Where the appropriate authority have determined that the case is one to which this regulation applies but have directed that the case be returned to the investigating officer the provisions referred to in paragraph (2) shall have effect without modification.

(4) In Part II of the Schedule to these Regulations, any reference to a provision of these Regulations shall, unless the contrary intention appears, be construed as a reference to that provision as modified by that Part.

Home Office
10th March 1999

Jack Straw
One of Her Majesty's Principal Secretaries of
State

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SCHEDULE

Regulation 25

SPECIAL CASES

PART I

CONDITIONS

- 1.—(1) The conditions referred to in regulation 25(1) are—
- (a) the report, complaint or allegation indicates that the conduct of the senior officer concerned is of a serious nature and that an imprisonable offence may have been committed by the senior officer concerned; and
 - (b) the conduct is such that, were his case to be referred to a hearing under regulation 11 and the tribunal hearing the case were to find that the conduct failed to meet the appropriate standard, it would in the opinion of the appropriate authority be reasonable to impose the sanction specified in regulation 22(1)(a) (dismissal from the force); and
 - (c) the report, complaint or allegation is supported by written statements, documents or other material which is, in the opinion of the appropriate authority, sufficient without further evidence to establish on the balance of probabilities that the conduct of the senior officer concerned did not meet the appropriate standard; and
 - (d) the appropriate authority are of the opinion that it is in the public interest for the senior officer concerned to cease to be a member of a police force without delay.
- (2) In this paragraph, an “imprisonable offence” means an offence which is punishable with imprisonment in the case of a person aged 21 or over.

PART II

MODIFICATIONS

2.—(1) In regulation 11 (notice of proceedings) for paragraphs (1) and (2) there shall be substituted the following paragraphs:

“(1) This regulation shall apply where the appropriate authority certify the case as a special case under regulation 9(5)(b) and do not proceed as mentioned in regulation 10(1) or (2).

(2) The appropriate authority shall, as soon as is practicable—

- (a) refer the case to a hearing and fix a date for that hearing; and
- (b) instruct an independent solicitor to give written notice to the senior officer concerned—
 - (i) that the case has been certified as a special case and referred to a hearing to be held at a time, date and place specified in the notice; and
 - (ii) specifying the conduct of that senior officer which it is alleged failed to meet the appropriate standard and the paragraph of the Code of Conduct in respect of which the appropriate standard is alleged not to have been met.”.

(2) For paragraph (4) of regulation 11 there shall be substituted the following paragraph:

“(4) The hearing referred to in paragraph (2)(a) shall be fixed for a date not less than 21 and not more than 28 days from the date on which notice is given under paragraph (2)(b).”.

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3. For regulations 12 and 13 there shall be substituted the following regulations:
 - “12. At any time before the beginning of the hearing the appropriate authority may direct that the case be returned to the investigating officer.
 - 13.—(1) The appropriate authority shall ensure that the notice referred to in regulation 11(2)(b) is—
 - (a) delivered to the senior officer concerned personally; or
 - (b) left with some person at, or sent by recorded delivery to, the address at which he is residing; and
 - (c) accompanied by copies of—
 - (i) the certificate under regulation 9(5)(b);
 - (ii) any statement he may have made under regulation 8 or 9; and
 - (iii) any relevant statement, document or other material obtained during the course of the investigation.

(2) In this regulation any reference to a copy of a statement shall, where it was not made in writing, be construed as a reference to a copy of an account thereof.”
 4. In regulation 15 (procedure at hearing) in paragraph (5) the words “, or whether any question should or should not be put to a witness,” shall be omitted.
 5. In regulation 16 (statements in lieu of oral evidence), at the end there shall be added the following paragraph:

“(2) No witness shall be called by either party to the case.”
 6. For regulation 17 (adjournment of hearing) there shall be substituted the following regulation:

“17. The tribunal may adjourn if it appears to it to be necessary or expedient to do so for the due hearing of the case; but

 - (a) shall not exercise the power to adjourn more than once; and
 - (b) shall not adjourn for longer than a period of one week or, on application by the senior officer concerned, 4 weeks.”
 7. In regulation 19 (attendance of complainant at hearing)—
 - (a) in paragraph (2) for the words “paragraphs (3), (4) and (6)” there shall be substituted “paragraph (6)” and the words “while witnesses are being examined, or cross-examined,” shall be omitted; and
 - (b) paragraphs (3) to (5) and, in paragraph (6), the words “subject as aforesaid,” shall be omitted.
 8. In regulation 21 (decision of appropriate authority), in paragraph (1) after the words “dismiss the case or” there shall be inserted “direct that it be returned to the investigating officer or”.
 9. In regulation 22 (sanctions)—
 - (a) in paragraph (2)(a), for the words “receive evidence from any witness whose evidence would” there shall be substituted “admit such documentary evidence as would”; and
 - (b) in paragraph (2)(b), after the word “adduce” there shall be inserted “documentary”.

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EXPLANATORY NOTE

(This note is not part of the Regulations)

These Regulations make provision, in pursuance of section 50 of the Police Act 1996, with respect to the conduct of members of police forces and the maintenance of discipline and establish procedures for cases in which a member of a police force may be dealt with by dismissal, requirement to resign or reprimand. These Regulations, by virtue of regulation 3, apply only to senior officers.

The Regulations revoke (with savings) the Police (Discipline) (Senior Officers) Regulations 1985 and provide new procedures for dealing with conduct by senior officers which fails to meet the standard set out in the Code of Conduct contained in Schedule 1 to the Police (Conduct) Regulations 1999 (S.I.1999/730).

Regulations 5 and 6 enable the appropriate authority (as defined in regulation 4) to suspend a senior officer in respect of whose conduct a report, complaint or allegation has indicated failure to meet the appropriate standard.

Regulations 7 to 10 provide for investigation of such a report, complaint or allegation and for the appropriate authority to deal with the case without a hearing if the senior officer accepts that his conduct did not meet the appropriate standard. Regulations 11 to 14 deal with the preliminary stages prior to a hearing and regulations 15 to 19 with procedure, evidence and attendance at the hearing. Regulation 20 requires the tribunal to make a finding as to the conduct of the officer and report to the appropriate authority with a recommendation as to sanction, if appropriate. Regulation 21 requires the appropriate authority to dismiss the case or record a finding as to the conduct and either impose a sanction or take no further action. Regulation 22 deals with the imposition of sanctions and regulations 23 and 24 deal with reporting to the Secretary of State and providing for the expenses of the hearing.

Regulation 25 and the Schedule provide for the Regulations to be modified in the case of special cases of serious conduct of a criminal nature.