

# **INDUCTION AND PROBATIONARY PERIODS POLICY**

**May 2014**

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<b>Committee Approved:</b>	SRCCG Committees Joint Trade Union Partnership Forum SMT
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<b>Sustainability Impact Assessment</b>	Completed
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**The on-line version is the only version that is maintained. Any printed copies should, therefore, be viewed as 'uncontrolled' and as such may not necessarily contain the latest updates and amendments.**

## POLICY AMENDMENTS

Amendments to the Policy will be issued from time to time. A new amendment history will be issued with each change.

<b>New Version Number</b>	<b>Issued by</b>	<b>Nature of Amendment</b>	<b>Approved by</b>	<b>Date approved</b>	<b>Date on Intranet</b>
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# Table of Contents

1	INTRODUCTION .....	4
2	ENGAGEMENT .....	4
3	IMPACT ANALYSES .....	4
3.1	Equality .....	4
3.2	Sustainability .....	4
3.3	Bribery Act 2010.....	4
4	SCOPE .....	5
5	POLICY PURPOSE & AIMS .....	5
6	DEFINITIONS .....	5
7	Roles / Responsibilities / DUTIES.....	6
8	IMPLEMENTATION .....	7
9	TRAINING & AWARENESS .....	7
10	MONITORING & AUDIT .....	7
11	POLICY REVIEW .....	7
12	REFERENCES .....	7
PART 2 - PROCEDURE.....		8
1	CONTRACT OF EMPLOYMENT AND RELATED POLICIES AND PROCEDURES .....	8
2	RECORD KEEPING .....	8
3	RIGHT TO REPRESENTATION.....	8
4	EXTENSION TO PROBATIONARY PERIODS.....	8
5	OUTCOME OF PROBATIONARY PERIOD .....	9
6	RIGHT OF APPEAL.....	9
APPENDICES .....		10
Appendix 1: Equality Impact Assessment .....		11
Appendix 2: Sustainability Impact Assessment .....		22
Appendix 3: Standard Letter for Review Meeting .....		26
Appendix 4: Probationary Periods – Review Documentation .....		27
Appendix 5: Standard Letter – Successful Outcome.....		28
Appendix 6: Standard letter – Extension of Probationary Period.....		29
Appendix 7: Standard letter – Unsuccessful Outcome .....		30

## 1 INTRODUCTION

- 1.1 This policy describes the approach of NHS Scarborough and Ryedale Clinical Commissioning Group (the CCG) to the use of probationary periods for new employees.
- 1.2 The purpose of a probationary period, together with other measures such as induction, is to provide a consistent means by which new employees can be supported to become effective as quickly as possible and to enable a manager to objectively assess the capability, attitude and potential of the new employee. Should the required standards of the CCG not be met during the probationary period employment may either be terminated or, exceptionally, extended.

## 2 ENGAGEMENT

- Joint Trade Union Partnership Forum/Policy Development Group
- SRCCG staff via team meetings/team brief/internet

## 3 IMPACT ANALYSES

### 3.1 Equality

In applying this policy, the CCG will have due regard to the need to eliminate unlawful discrimination, promote equality of opportunity, and provide for good relations between people of diverse groups, in particular on the grounds of the following characteristics protected by the Equality Act (2010); age, disability, gender, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, and sexual orientation, in addition to offending background, trade union membership, or any other personal characteristic.

An Equality Impact Analysis is attached at Appendix 1. As a result of performing the analysis, it is evident that a risk of discrimination exists and this risk may be removed or reduced by implementing the actions detailed within the *Action Planning* section of the Equality Impact Analysis. A Manager has a duty to recognise that an employee's performance during the probation period may be because they have a disability and may require extra support (*reasonable adjustments*) to enable them to effectively carry out their role and successfully complete the probation period. Whilst there are currently no employees recorded with disabilities, the CCG recognises it should prepare its policies on the basis that employees with disabilities may be recruited or become disabled, either permanently or temporarily, in the future.

### 3.2 Sustainability

A Sustainability Impact Assessment has been completed for this policy and is attached at Appendix 2.

### 3.3 Bribery Act 2010

The Bribery Act is relevant to this policy. Under the Bribery Act it is a criminal offence to:

- Bribe another person by offering, promising or giving a financial or other advantage to induce them to perform improperly a relevant function or activity, or as a reward for already having done so; and
- Be bribed by another person by requesting, agreeing to receive or accepting a financial or other advantage with the intention that a relevant function or activity would then be performed improperly, or as a reward for having already done so.

These offences can be committed directly or by and through a third person and other related policies and documentation (as detailed on the CCG intranet) when considering whether to offer or accept gifts and hospitality and/or other incentives.

Anyone with concerns or reasonably held suspicions about potentially fraudulent activity or practice should refer to the Local Anti-Fraud and Corruption Policy and contact the Local Counter Fraud Specialist.

## **4 SCOPE**

- 4.1 This policy and procedure will apply to all new employees of the CCG but will not apply to those engaged on fixed term contracts of six months or less where a local induction will be appropriate.
- 4.2 Existing CCG staff who take up new posts within the CCG will not be subject to a probationary period nor will individuals who join the CCG due to the application of the Transfer of Undertakings Protection of Employment regulations. However a local induction will be appropriate.
- 4.3 The CCG has the right to terminate the contract of an employee at any time during the probationary period should they fail to meet the required standards. Staff whose contracts are terminated during the probationary period will be entitled to a **notice period of one month**, which will normally be paid in lieu.
- 4.4 On successful completion of the probationary period, the notice period as outlined in an individual's contract of employment will apply.

## **5 POLICY PURPOSE & AIMS**

- 5.1 The probation process should work alongside the induction process to help create a positive and supportive working environment, allowing new staff to settle into the organisation and learn the key elements of the job within a reasonable and realistic timescale.
- 5.2 The policy aims to ensure that the probation process is undertaken for all staff and is applied in a fair and consistent manner, within a supportive framework and in line with employment legislation requirements.

## **6 DEFINITIONS**

- 6.1 A probationary period is a trial period during which the performance, conduct and attendance of the employee will be assessed by a manager against the particular requirements of the role, the CCG's values and behaviours and expected levels of attendance and punctuality.
- 6.2 A decision about whether the probationary period has been successful will normally be made within **six months** of the date of commencement of employment. However, if there are significant concerns highlighted at earlier review stages, and there is no evidence of the required improvement being made, a decision to dismiss or to extend the probationary period may be taken before the end of the probationary period by the appropriate manager.

- 6.3 During the probationary period the employee's performance, conduct and attendance will be reviewed by the manager and recorded within standard documentation (Appendix 3 and 4).

Induction review	Week 1
Initial review	Week 4
Intermediate review	Week 12
Final review	Week 26

This timetable is however flexible and can be tailored to meet the needs of the line manager and employee, provided three review meetings are held.

- 6.4 Where necessary additional support and development opportunities will be provided by the manager.

## **7 Roles / Responsibilities / DUTIES**

### **7.1 Senior Management Team**

- 7.1.1 Responsible for ensuring that this policy is implemented within their teams.

### **7.2 Managers**

- 7.2.1 To create and implement an induction plan for the employee including regular supervision arrangements (please refer to the CCG Induction Handbook for further information).
- 7.2.2 To agree induction and probationary review dates with the employee and to ensure that these reviews are undertaken and the probationary assessment forms are completed.
- 7.2.3 To establish clear objectives for the employee and to ensure that training (including statutory and mandatory) and development opportunities are identified, planned and undertaken by the new employee.
- 7.2.7 To seek advice from a eMBED Workforce Representative should the employee not be performing to the required standard.
- 7.2.4 To make recommendations to their manager should they believe that an employee's contract of employment ought to be terminated during, or at the conclusion of, the probationary period.
- 7.2.5 To ensure that copies of all related correspondence and records are kept and are accessible.
- 7.2.6 Where necessary, to carry out a workplace assessment and ensure that any reasonable adjustments required at work are implemented in a timely manner.

### **7.3 eMBED Workforce Team**

- 7.3.1 To provide guidance and advice to managers and probationers about implementation of this policy and procedure as appropriate.
- 7.3.2 To provide support to line managers in monitoring the completion of probationary periods.

7.3.3 To ensure that all recruitment/contractual documentation reflects the requirement for probationary periods, with particular emphasis on correct notice periods.

## **7.4 The Employee**

7.4.1 To perform to the best of their ability.

7.4.2 To undertake any agreed induction, training and development activities and to implement learning from these activities.

7.4.3 To raise training and development needs with the manager as early as possible.

7.4.4 To identify whether they have a protected characteristic and whether additional support, training, equipment or adjustments are required.

## **8 IMPLEMENTATION**

8.1 This policy will be communicated to staff via team meetings/team brief and will be available for staff on the intranet.

8.2 Breaches of this policy may be investigated and may result in the matter being treated as a disciplinary offence under the CCG's disciplinary procedure.

## **9 TRAINING & AWARENESS**

9.1 A copy of the policy will be available on the CCG intranet. Training needs will be identified via the performance appraisal process and performance development plan.

## **10 MONITORING & AUDIT**

10.1 The implementation of this policy will be audited on an annual basis by the CCG and reported to CCG Governing Body.

## **11 POLICY REVIEW**

11.1 The policy and procedure will be reviewed after 3 years for the CCG Governing Body in conjunction with Trade Union representatives. Where review is necessary due to legislative change, this will happen immediately.

## **12 REFERENCES**

12.1 To ensure that this policy is viewed in context, it should be read in conjunction with other relevant CCG policies i.e.

- Recruitment and Selection
- Disciplinary
- Performance Appraisal
- Managing Attendance Policy and Procedure

## **PART 2 - PROCEDURE**

### **1 CONTRACT OF EMPLOYMENT AND RELATED POLICIES AND PROCEDURES**

- 1.1 During the probationary period the employee will be employed on a contract of employment and subject to a range of CCG policies and procedures together with all relevant operational policies and procedures. However, the following policies will not apply during the probationary period: Management of Attendance Policy, Disciplinary Policy and Managing Work Performance Policy. This does not affect any statutory rights.
- 1.2 Details of the probationary period will be clearly set out in offer letters, and the contract of employment.
- 1.3 During the probationary period the employee will be subject to a notice period of one month.
- 1.4 Following successful completion of the probationary period the employee will also be covered by the Performance Appraisal Policy.

### **2 RECORD KEEPING**

- 2.1 It is important that a written/electronic record is kept by the manager of the outcome of every stage of the probationary assessment process and that this record can be accessed by the employee and the eMBED Workforce Team.
- 2.2 Records will include the Probationary Period Assessment Form (Appendix 4) and copies of any letters sent to the employee by the manager concerning a need for improvement, an extension of the probationary period and the outcome of the probationary period review process.

### **3 RIGHT TO REPRESENTATION**

- 3.1 An employee is entitled to be accompanied at a probationary period review meeting should they wish. The employee may be accompanied by a Trade Union or staff organisation representative, or a colleague not acting in a legal capacity.
- 3.2 A minimum of five working days' notice of each review meeting will be provided by the manager who will take into account the right of the employee to representation when making the meeting arrangements.
- 3.3 It is the responsibility of the employee to arrange for their representative to attend as review meetings will go ahead with or without a representative being present given the importance of adhering to the timetable laid down in this policy/procedure.

### **4 EXTENSION TO PROBATIONARY PERIODS**

- 4.1 A probationary period should only be extended in exceptional circumstances, e.g. where the performance of the employee has not met the required standard, but it is felt that further time for review is necessary, e.g. due to a lack of available support or because of sickness absence resulting in an inability to conduct reviews.
- 4.3 Any extension to the probationary period can only be for a short period of time, and for no more than eight weeks beyond the end of the initial probationary period. The manager and the employee must both agree to an extension. Advice and guidance

on the extension of probationary periods is available from the eMBED Workforce Team.

- 4.4 Any extension to the probationary period should be confirmed to the employee, see Appendix 6, including the reason/s for the extension together with the required standards/objectives and the support available to achieve the required performance standards.

## **5 OUTCOME OF PROBATIONARY PERIOD**

- 5.1 Upon completion of the probationary review meetings, including any extension to the probationary period, the manager will either decide that the employee is to be confirmed in post or to recommend that they be dismissed.
- 5.2 This decision/recommendation, with reasons, will be recorded in a letter to the employee to be written. A copy should be retained by the manager, and on the employee's personal file (see Appendix 5 and 7).
- 5.3 Where there is a recommendation that the employee be dismissed this will be subject to a written report by the manager which will be considered at a meeting with the Chief Officer, or Senior Manager with delegated authority, the line manager, a eMBED Workforce representative and the employee, at which a decision will be made. The employee is entitled to be accompanied at this meeting as stated in section 3 of this procedure.

## **6 RIGHT OF APPEAL**

- 6.1 An employee has a right to appeal against a decision made to terminate their employment during, or at the conclusion of, their probationary period.
- 6.2 The appeal process to be followed is laid down in Appendix 5 of the CCG Disciplinary Policy and Procedure – CCG Appeals Procedure.

## **APPENDICES**

Appendix 1: Equality Impact Assessment

Appendix 2: Sustainability Impact Assessment

Appendix 3: Standard Letter for Review Meeting

Appendix 4: Probationary Periods – Review Documentation

Appendix 5: Standard Letter - Successful Outcome

Appendix 6: Standard Letter – Extension of Probationary Period

Appendix 7: Standard Letter – Unsuccessful Outcome

## Appendix 1: Equality Impact Assessment

<b>1. Equality Impact Analysis</b>									
<b>Policy / Project / Function:</b>	Induction and Probationary Periods Policy								
<b>Date of Analysis:</b>	11/3/14								
<b>This Equality Impact Analysis was completed by: (Name and Department)</b>	Workforce Service CSU								
<b>What are the aims and intended effects of this policy, project or function ?</b>	The purpose of a probationary period, together with other measures such as induction, is to provide a consistent means by which new employees can be supported to become effective as quickly as possible and to enable a manager to objectively assess the capability, attitude and potential of the new employee								
<b>Please list any other policies that are related to or referred to as part of this analysis?</b>	<ul style="list-style-type: none"> <li>• Recruitment and Selection</li> <li>• Disciplinary</li> <li>• Performance Appraisal</li> <li>• Managing Attendance Policy and Procedure</li> </ul>								
<b>Who does the policy, project or function affect ?</b>  Please Tick ✓	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%;">Employees</td> <td style="text-align: center;"><input checked="" type="checkbox"/></td> </tr> <tr> <td>Service Users</td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>Members of the Public</td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>Other (List Below)</td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> </table>	Employees	<input checked="" type="checkbox"/>	Service Users	<input type="checkbox"/>	Members of the Public	<input type="checkbox"/>	Other (List Below)	<input type="checkbox"/>
Employees	<input checked="" type="checkbox"/>								
Service Users	<input type="checkbox"/>								
Members of the Public	<input type="checkbox"/>								
Other (List Below)	<input type="checkbox"/>								

## 2. Equality Impact Analysis: Screening

	Could this policy have a positive impact on...		Could this policy have a negative impact on...		Is there any evidence which already exists from previous (e.g. from previous engagement) to evidence this impact
	Yes	No	Yes	No	
<b>Race</b>	<input type="checkbox"/>	✓	<input type="checkbox"/>	✓	There is no assessed positive or adverse impact on the grounds of race within the policy, but it should be monitored to ensure it is implemented consistently
<b>Age</b>	<input type="checkbox"/>	✓	<input type="checkbox"/>	✓	There is no assessed positive or adverse impact on the grounds of age within the policy, but it should be monitored to ensure it is implemented consistently
<b>Sexual Orientation</b>	<input type="checkbox"/>	✓	<input type="checkbox"/>	✓	There is no assessed positive or adverse impact on the grounds of sexual orientation within the policy, but it should be monitored to ensure it is implemented consistently
<b>Disabled People</b>		✓	✓		An assessed barrier could be that an employee with a disability as defined under the Equality Act may not be able to attain the standards required during the first 6 months of employment. See assessment.
<b>Gender</b>	<input type="checkbox"/>	✓	<input type="checkbox"/>	✓	There is no assessed positive or adverse impact on the grounds of gender within the policy, but it should be monitored to ensure it is implemented consistently
<b>Transgender People</b>	<input type="checkbox"/>	✓	<input type="checkbox"/>	✓	There is no assessed positive or adverse impact on the Transgender people within the policy, but it should be monitored to ensure it is implemented consistently
<b>Pregnancy and Maternity</b>	<input type="checkbox"/>	✓	<input type="checkbox"/>	✓	There is no assessed positive or adverse impact on the grounds of pregnancy or maternity within the policy, but

					it should be monitored to ensure it is implemented consistently
<b>Marital Status</b>	<input type="checkbox"/>	✓	<input type="checkbox"/>	✓	There is no assessed positive or adverse impact on the grounds of marital status within the policy, but it should be monitored to ensure it is implemented consistently
<b>Religion and Belief</b>	<input type="checkbox"/>	✓	<input type="checkbox"/>	✓	There is no assessed positive or adverse impact on the grounds of religion or belief within the policy, but it should be monitored to ensure it is implemented consistently
<b>Reasoning</b>	It is important to ensure consistency in approach (eg where an extension is granted to a white employee, a member of BME staff is granted the same where the circumstances are similar). Monitoring of the implementation is essential				
<b>If there is no positive or negative impact on any of the Nine Protected Characteristics go to Section 7</b>					

## 1. Equality Impact Analysis: Local Profile Data

### Local Profile/Demography of the Groups affected (staff profile figures at February 2014)

<b>General</b>	Total number of employees in the CCG is 94
<b>Age</b>	63.84% of staff are aged 30-55 21.27% of staff are over 55 14.89% of staff employed are under 30
<b>Race</b>	87.24% of staff employed in the CCG declared themselves White 9.58% of staff are not stated/undefined 1.06% of staff declared themselves Black 1.06% of staff declared themselves Mixed 1.06% of staff declared themselves Other
<b>Sex</b>	79.79% of staff employed are female 20.21% of staff employed are male
<b>Gender reassignment</b>	No information
<b>Disability</b>	82.98% of staff employed declared themselves as having no disability 17.02% of staff did not declare /undefined 0% of staff declared a disability
<b>Sexual Orientation</b>	65.96% of staff described themselves as heterosexual 32.98% did not wish to respond /undefined 1.06% described themselves as bisexual
<b>Religion, faith and belief</b>	Christianity is the largest religious group declared by staff in the CCG (55.32%) 34.05% were undefined or did not wish to declare 10.63% of staff declared other faith or religious beliefs
<b>Marriage and civil partnership</b>	62.77% of employees are married. 1.06% of employees are in a civil partnership
<b>Pregnancy and maternity</b>	No information yet as the CCG has not been established long enough to build meaningful data

## 2. Equality Impact Analysis: Equality Data Available

<p><b>Is any Equality Data available relating to the use or implementation of this policy, project or function?</b></p> <p>Equality data is internal or external information that may indicate how the activity being analysed can affect different groups of people who share the nine <i>Protected Characteristics</i> – referred to hereafter as '<i>Equality Groups</i>'.</p> <p>Examples of <i>Equality Data</i> include: (this list is not definitive)</p> <ol style="list-style-type: none"> <li>1. Application success rates <i>Equality Groups</i></li> <li>2. Complaints by <i>Equality Groups</i></li> <li>3. Service usage and withdrawal of services by <i>Equality Groups</i></li> <li>4. Grievances or decisions upheld and dismissed by <i>Equality Groups</i></li> <li>5. <i>Previous EIAs</i></li> </ol>	<p>Yes <input checked="" type="checkbox"/></p> <p>No <input type="checkbox"/></p> <p>Where you have answered yes, please incorporate this data when performing the <i>Equality Impact Assessment Test</i> (the next section of this document).</p>
<p><b>List any Consultation e.g. with employees, service users, Unions or members of the public that has taken place in the development or implementation of this policy, project or function</b></p>	<p>Consultation has taken place nationally and locally with Trade Union representatives</p>
<p><b>Promoting Inclusivity</b>  <b>How does the project, service or function contribute towards our aims of eliminating discrimination and promoting equality and diversity within our organisation</b></p>	<p>The policy does not promote inclusivity but provides a framework for the induction and probation period for a new employee.</p>

### 3. Equality Impact Analysis: Assessment Test

What impact will the implementation of this policy, project or function have on employees, service users or other people who share characteristics protected by *The Equality Act 2010* ?

Protected Characteristic:	No Impact:	Positive Impact:	Negative Impact:	Evidence of impact and if applicable, justification where a <i>Genuine Determining Reason</i> exists
<b>Gender</b> (Men and Women)	✓			There is no assessed positive or adverse impact on the grounds of gender within the policy, but it should be monitored to ensure it is implemented consistently
<b>Race</b> (All Racial Groups)	✓			There is no assessed positive or adverse impact on the grounds of race within the policy, but it should be monitored to ensure it is implemented consistently
<b>Disability</b> (Mental and Physical)			✓	<p>An employee with a disability as defined under the Equality Act may not be able to attain the standards required during the first 6 months of employment. A Manager has a duty to recognise that an employee's poor performance during the probation period may be because they have a disability. Staff with disabilities may require extra support (<i>reasonable adjustments</i>) to enable them to effectively carry out their role and successfully complete the probation period. Whilst there are currently no employees recorded with disabilities, 17.02% chose not to make a declaration. In addition, the CCG recognises it should prepare its policies on the basis that employees with disabilities may be recruited or become disabled, either permanently or temporarily, in the future (see action plan).</p> <p>In Yorkshire and Humber the population statistics are:</p> <p>Day-to-Day Activities Limited a Lot 8.43%                      Day-to-Day Activities Limited a Little 9.92%                      Day-to-Day Activities Not Limited 81.65%</p>
<b>Religion or Belief</b>	✓			There is no assessed positive or adverse impact on the grounds of

				religion or belief within the policy, but it should be monitored to ensure it is implemented consistently
<b>Sexual Orientation (Heterosexual, Homosexual and Bisexual)</b>	✓			There is no assessed positive or adverse impact on the grounds of sexual orientation within the policy, but it should be monitored to ensure it is implemented consistently
<b>What impact will the implementation of this policy, project or function have on employees, service users or other people who share characteristics protected by <i>The Equality Act 2010</i> ?</b>				
<b>Protected Characteristic:</b>	<b>No Impact:</b>	<b>Positive Impact:</b>	<b>Negative Impact:</b>	<b>Evidence of impact and if applicable, justification where a <i>Genuine Determining Reason</i> exists</b>
<b>Pregnancy and Maternity</b>	✓			There is no assessed positive or adverse impact on the grounds of pregnancy or maternity within the policy, but it should be monitored to ensure it is implemented consistently
<b>Transgender</b>	✓			There is no assessed positive or adverse impact on the Transgender people within the policy, but it should be monitored to ensure it is implemented consistently
<b>Marital Status</b>	✓			There is no assessed positive or adverse impact on the grounds of marital status within the policy, but it should be monitored to ensure it is implemented consistently
<b>Age</b>	✓			There is no assessed positive or adverse impact on the grounds of age within the policy, but it should be monitored to ensure it is implemented consistently

#### 4. Action Planning

**As a result of performing this analysis, what actions are proposed to remove or reduce any risks of adverse outcomes identified on employees, service users or other people who share characteristics protected by *The Equality Act 2010* ?**

Identified Risk:	Recommended Actions:	Responsible Lead:	Completion Date:	Review Date:
Staff with disabilities may require extra support ( <i>reasonable adjustments</i> ) to enable them to effectively carry out their role and successfully complete the probation period.	Managers and Workforce staff should take account of such circumstances in discussion with the employee	Manager/Workforce lead	ongoing	ongoing
Effective monitoring to ensure the policy is implemented fairly	Annual review of use of policy by protected group	Workforce	One year from implementation	

## 5. Equality Impact Analysis Findings

<b>Analysis Rating:</b>	<input type="checkbox"/> Red	<input type="checkbox"/> Red/Amber	<input checked="" type="checkbox"/> Amber	Green
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		Actions	Wording for Policy / Project / Function
<p><b>Red</b></p> <p><b>Stop and remove the policy</b></p>	<p><b>Red:</b> As a result of performing the analysis, it is evident that a risk of discrimination exists (direct, indirect, unintentional or otherwise) to one or more of the nine groups of people who share <i>Protected Characteristics</i>. It is recommended that the use of the policy be suspended until further work or analysis is performed.</p>	<p><b>Remove the policy</b></p> <p>Complete the action plan above to identify the areas of discrimination and the work or actions which needs to be carried out to minimise the risk of discrimination.</p>	<p>No wording needed as policy is being removed</p>
<p><b>Red Amber</b></p> <p><b>Continue the policy</b></p>	<p>As a result of performing the analysis, it is evident that a risk of discrimination exists (direct, indirect, unintentional or otherwise) to one or more of the nine groups of people who share <i>Protected Characteristics</i>. However, a genuine determining reason may exist that could legitimise or justify the use of this policy and further professional advice should be taken.</p>	<p><b>The policy can be published with the EIA</b></p> <p>List the justification of the discrimination and source the evidence (i.e. clinical need as advised by NICE).</p> <p>Consider if there are any potential actions which would reduce the risk of discrimination.</p> <p>Another EIA must be completed if the policy is changed, reviewed or if further discrimination is identified at a later date.</p>	<p>As a result of performing the analysis, it is evident that a risk of discrimination exists (direct, indirect, unintentional or otherwise) to one or more of the nine groups of people who share <i>Protected Characteristics</i>. However, a genuine determining reason exists which justifies the use of this policy and further professional advice.</p> <p><b><i>[Insert what the discrimination is and the justification of the discrimination plus any actions which could help what reduce the risk]</i></b></p>

### Equality Impact Findings (continued):

		Actions	Wording for Policy / Project / Function
<p><b>Amber</b></p> <p><b>Adjust the Policy</b></p>	<p>As a result of performing the analysis, it is evident that a risk of discrimination (as described above) exists and this risk may be removed or reduced by implementing the actions detailed within the <i>Action Planning</i> section of this document.</p>	<p><b>The policy can be published with the EIA</b></p> <p>The policy can still be published but the Action Plan must be monitored to ensure that work is being carried out to remove or reduce the discrimination.</p> <p>Any changes identified and made to the service/policy/ strategy etc. should be included in the policy.</p> <p>Another EIA must be completed if the policy is changed, reviewed or if further discrimination is identified at a later date.</p>	<p>As a result of performing the analysis, it is evident that a risk of discrimination (as described above) exists and this risk may be removed or reduced by implementing the actions detailed within the <i>Action Planning</i> section of this document.</p> <p><b><i>[Insert what the discrimination is and what work will be carried out to reduce/eliminate the risk]</i></b></p>
<p><b>Green</b></p> <p><b>No major change</b></p>	<p>As a result of performing the analysis, the policy, project or function does not appear to have any adverse effects on people who share <i>Protected Characteristics</i> and no further actions are recommended at this stage.</p>	<p><b>The policy can be published with the EIA</b></p> <p>Another EIA must be completed if the policy is changed, reviewed or if any discrimination is identified at a later date</p>	<p>As a result of performing the analysis, the policy, project or function does not appear to have any adverse effects on people who share <i>Protected Characteristics</i> and no further actions are recommended at this stage.</p>

<b>Brief Summary/Further comments</b>	As a result of performing the analysis, it is evident that a risk of discrimination (as described above) exists and this risk may be removed or reduced by implementing the actions detailed within the <i>Action Planning</i> section of this document.
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<b>Approved By</b>		
Job Title:	Name:	Date:
Chief Officer	Simon Cox	29.07.14

## Appendix 2: Sustainability Impact Assessment

### SUSTAINABILITY IMPACT ASSESSMENT

Staff preparing a policy, Governing Body (or Sub-Committee) report, service development or project are required to complete a Sustainability Impact Assessment (SIA). The purpose of this SIA is to record any positive or negative impacts that this is likely to have on sustainability.

<b>Title of the document</b>	Induction and Probation Policy
<b>What is the main purpose of the document</b>	The purpose of a probationary period, together with other measures such as induction, is to provide a consistent means by which new employees can be supported to become effective as quickly as possible and to enable a manager to objectively assess the capability, attitude and potential of the new employee.
<b>Date completed</b>	25/04/14
<b>Completed by</b>	CSU Workforce

<b>Domain</b>	<b>Objectives</b>	<b>Impact of activity</b>	<b>Brief description of impact</b>	<b>If negative, how can it be mitigated?</b>  <b>If positive, how can it be enhanced?</b>
		Negative = -1 Neutral = 0 Positive = 1 Unknown = ? Not applicable = n/a		
<b>Travel</b>	Will it provide / improve / promote alternatives to car based transport?	n/a		

	<p>Will it support more efficient use of cars (car sharing, low emission vehicles, environmentally friendly fuels and technologies)?</p> <p>Will it reduce 'care miles' (telecare, care closer) to home?</p> <p>Will it promote active travel (cycling, walking)?</p> <p>Will it improve access to opportunities and facilities for all groups?</p>			
<b>Procurement</b>	<p>Will it specify social, economic and environmental outcomes to be accounted for in procurement and delivery?</p> <p>Will it stimulate innovation among providers of services related to the delivery of the organisations' social, economic and environmental objectives?</p> <p>Will it promote ethical purchasing of goods or services?</p> <p>Will it promote greater efficiency of resource use?</p> <p>Will it obtain maximum value from pharmaceuticals and technologies (medicines management, prescribing, and supply chain)?</p> <p>Will it support local or regional supply chains?</p> <p>Will it promote access to local services (care closer to home)?</p> <p>Will it make current activities more efficient or</p>	n/a		

	alter service delivery models			
<b>Facilities Management</b>	Will it reduce the amount of waste produced or increase the amount of waste recycled?  Will it reduce water consumption?	n/a		
<b>Workforce</b>	Will it provide employment opportunities for local people?  <u>Will it promote or support equal employment opportunities?</u>  Will it promote healthy working lives (including health and safety at work, work-life/home-life balance and family friendly policies)?  Will it offer employment opportunities to disadvantaged groups?	?	Staff with disabilities may require extra support (reasonable adjustments) to enable them to effectively carry out their role and successfully complete the probation period.	Managers and Workforce staff should take account of such circumstances in discussion with the employee. Whilst there are currently no employees recorded with disabilities, the CCG recognises it should prepare its policies on the basis that employees with disabilities may be recruited or become disabled in the future.
<b>Community Engagement</b>	Will it promote health and sustainable development?  Have you sought the views of our communities in relation to the impact on sustainable development for this activity?	n/a		
<b>Buildings</b>	Will it improve the resource efficiency of new or refurbished buildings (water, energy, density, use of existing buildings, designing for a longer lifespan)?  Will it increase safety and security in new	n/a		

	<p>buildings and developments?</p> <p>Will it reduce greenhouse gas emissions from transport (choice of mode of transport, reducing need to travel)?</p> <p>Will it provide sympathetic and appropriate landscaping around new development?</p> <p>Will it improve access to the built environment?</p>			
<b>Adaptation to Climate Change</b>	<p>Will it support the plan for the likely effects of climate change (e.g. identifying vulnerable groups; contingency planning for flood, heat wave and other weather extremes)?</p>	n/a		
<b>Models of Care</b>	<p>Will it minimising 'care miles' making better use of new technologies such as telecare and telehealth, delivering care in settings closer to people's homes?</p> <p>Will it promote prevention and self-management?</p> <p>Will it provide evidence-based, personalised care that achieves the best possible outcomes with the resources available?</p> <p>Will it deliver integrated care, that co-ordinate different elements of care more effectively and remove duplication and redundancy from care pathways?</p>	n/a		

**Appendix 3: Standard Letter for Review Meeting**

Dear .....

**Induction and Probationary period**

Further to our discussion I write to confirm the agreed dates for your review meetings:-

<b>Week</b>	<b>Date</b>	<b>Time</b>

All meetings will be held in (complete venue) and if you are unable to attend any of these meetings please let me know as soon as possible.

Yours sincerely

**Name**  
Job Title

#### Appendix 4: Probationary Periods – Review Documentation

Name of employee ..... Post ..... Department .....

Date commenced in post ..... Name of Line Manager .....

Review period (specify week) .....

KEY RESULT AREAS (breakdown further if necessary)	Satisfactory	Unsatisfactory (specify in more detail)	Details of further experience, learning, coaching required	Comments from employee
Induction				
Performance of duties				
Customer service				
Integration into department				
Relationships with co-workers and manager				
Attendance/Timekeeping				
		Sign off	Manager:	Date:
			Employee:	Date:

## Appendix 5: Standard Letter – Successful Outcome

Dear .....

### **Probationary period**

I write to confirm that you have successfully completed your probationary period in the following areas:-

- performance of the duties in accordance with the job description
  - customer service
  - integration into the workplace
  - relationships with co-workers and managers
  - attendance and timekeeping
- or as relevant to post.

I have pleasure in confirming your appointment with effect from your original date of commencement with NHS Scarborough and Ryedale CCG.

Please attach this letter to your contract of employment.

I am looking to you to maintain the high standard of work you showed during your probationary period.

Thank you for your hard work and contribution to the CCG.

Yours sincerely

**Name**  
Job Title

**Appendix 6: Standard letter – Extension of Probationary Period**

Dear .....

**Extension of probationary period**

Following our review meetings I can confirm that it will be necessary to extend your probationary period for a period of (up to 8 weeks), effective from ..... and ending on.....

This is necessary for the following reasons:-

By the end of this extension I expect you to have achieved the following objectives/standards:-

To help you to do this, I will support you as follows:-

If you are unable to meet the required standards for this post, it will be necessary to terminate your employment with NHS Scarborough and Ryedale CCG.

Yours sincerely

**Name**  
Job Title

**Appendix 7: Standard letter – Unsuccessful Outcome**

Dear .....

**Probationary period**

Further to our meeting on ..... I write to confirm the outcome.

Present with me was ..... You were accompanied by.....

Prior to the meeting we met on a number of occasions to discuss progress on your probationary period and I offered you additional help and support to help you to meet the required standards of your post.

Specifically, this additional help and support was as follows:-

I regret to inform you however that despite the CCG's best efforts you have not completed your probationary period to the required standards in the following areas:-

Documentary evidence in support of this is attached.

I have no option other than to terminate your employment on the grounds of capability with effect from ..... You are entitled to one month's notice and this will be paid in lieu to you. You have a right of appeal to ..... There is no further right of appeal beyond this.

Yours sincerely

**Name**  
Job Title