

# **Probation and Induction Policy**

**NHS West Essex Clinical Commissioning Group Policy Reference:  
WECCG99**

## DOCUMENT CONTROL SHEET

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### Change History:

Version	Date	Reviewer(s)	Revision Description
V1.0	April 2017	Louise Thomas	Adapted for use as the Shared Service Policy.
V2.0	February 2018	Natashia Smith	“Superannuation” changed to “pension” in induction checklist and clarification of use of principles of attendance policy, capability policy and disciplinary policy

### Implementation Plan:

<b>Development and Consultation</b>	Developed in conjunction with the joint forum, and ratified by, the relevant committees of the Hertfordshire, Bedfordshire, West Essex and Luton CCGs.
<b>Dissemination</b>	This policy will communicate to staff representatives. It will be communicated electronically to all staff and managers and will be published on the CCG’s intranet.
<b>Training</b>	There are no specific training requirements in order to implement this policy. However, managers will be able to access advice from the HR Department on the implementation and interpretation of this policy.
<b>Monitoring</b>	Periodic quality audits of agency/interim use to ensure compliance with this policy. The data identified from monitoring will be used to update the policy and ensure best practice as necessary.

<b>Review</b>	Every 2 years
<b>Equality and Diversity</b>	17/05/2017 - Equality Impact Assessment
<b>Associated Documents</b>	<ul style="list-style-type: none"><li>▪</li><li>▪</li><li>▪</li></ul>
<b>References</b>	<ul style="list-style-type: none"><li>▪</li><li>▪</li><li>▪</li></ul>

### Document Status:

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## 1.0 Introduction

NHS Bedfordshire, NHS East and North Hertfordshire, NHS Herts Valleys, NHS West Essex and NHS Luton Clinical Commissioning Groups (respectively referred to as 'the CCG'), offers employment subject to the satisfactory completion of a probationary period. This policy sets out the procedure to be followed in order to support the successful completion of the probationary period and how to induct new starters, ensuring a consistent approach is followed.

The purpose of this policy is to provide guidance and to promote best practice.

## 2.0 Scope

- 2.1 This policy applies to all CCG staff members, including Governing Body Members and Practice Representatives, whether permanent, temporary or contracted-in (either as an individual or through a third party supplier). This policy applies to all new employees of the CCG (regardless of whether they have previously been employed and are returning after a break in CCG employment), except for medical staff, who are subject to separate terms and conditions of employment.

## 3.0 Definitions

For the purpose of applying the provisions contained in this document, the following definitions shall have the following meanings:

**A probation period** provides time to clarify the duties and responsibilities of the job and the standards required of new members of staff, identify development needs and provide learning and development opportunities to assist the individual in attaining the required standards of performance, conduct and attendance.

**Corporate induction** refers to the standard elements of induction that apply to all employees, for example, the CCG induction run by the HR and ODL team on behalf of the CCG and mandatory training.

**Local induction** refers to elements of induction that are specific to the role, team or department of the new employee.

## 4.0 Policy Statement

- 4.1 The purpose of the probation and induction period is to ensure that each new employee receives appropriate support and development opportunities to enable

them to quickly settle into their new role, and to facilitate them in carrying out their duties and responsibilities to the required standards. It is in all parties' interests for new staff to meet the required standards and realise the investment made in the recruitment, induction and training of new staff.

- 4.2. The probation period is a two-way process, which provides new employees with the opportunity to receive constructive feedback, allows them to identify any training and development needs and encourages the proactive involvement of staff in the induction process. If problems are identified, new employees should be given the opportunity to improve their performance/conduct/attendance and be provided with any additional support or training that can be identified to assist in this, where appropriate.
- 4.3 Where issues of concern arise with existing members of staff appointed to new posts and they are not still in their probation period, this policy will not apply. Such issues will be managed in line with the Disciplinary Policy, Capability Policy and the Attendance Management and Wellbeing Policy.

## 5.0 Responsibilities

### 5.1 **Managers** are responsible for:

- a) Ensuring they are familiar with this policy and applying it fairly and consistently.
- b) Ensure all new starters understand their role and performance standards.
- c) Identifying development needs and providing appropriate support to new staff.
- d) Setting objectives and carrying out reviews in accordance with this policy.
- e) Ensuring new staff undertake corporate induction and an appropriate local induction.
- f) Consider whether any reasonable adjustments are necessary for those new starters who may be considered "disabled" under the Equality Act 2010.
- g) Seek HR advice and/or the advice of a more senior manager if there are any concerns with any members of staff in probation at the earliest opportunity.
- h) Staff employed as part of a 'hosted' or 'shared service' and who work within CCG must attend the CCG corporate induction.

### 5.2 **Employees** are responsible for:

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- a) Discussing with their manager at an early stage if they require any support of development or are experiencing difficulty in attaining the standard of performance required.
- b) Familiarising themselves with this policy and participating fully at all stages of their probation and induction period.

### 5.3 The **HR and ODL Shared Service** are responsible for:

- a) Overseeing the implementation of this policy, ensuring legal and procedural updates are incorporated in a timely manner.
- b) Supporting employees and managers to understand this policy and receive training as required.
- c) Working with managers to advise on the fair and consistent implementation of this policy.
- d) Sending new starters an employment contract that states that their employment is subject to satisfactory completion of a probation period, in accordance with this policy.
- e) Ensuring an appropriate corporate induction is available to all new CCG staff and monitoring and reporting on attendance.

### 5.4 The **Accountable Officer/Chief Executive** has ultimate responsibility for ensuring that mechanisms are in place for the overall implementation, monitoring and revision of policy

## 6.0 Procedure

### 6.1 Newly Qualified Nurses

For newly qualified nurses who commence employment with the CCG without their NMC registration, their probation period will start from the day their NMC pin is received and when they start to work as a registered nurse. It is expected that newly qualified nurses provide details of their registration to their line manager and the HR department as soon as they receive this.

## 6.2 The Care Certificate

All employees joining the NHS in clinical roles at bands 1 to 4 will be required to complete the Care Certificate in the first 12 weeks of their employment. Employees who do not successfully complete the Care Certificate within the first 12 weeks will have a further opportunity to complete this over a further 12 week period. Care Certificates which have been issued by other health and social care provider organisation will be accepted by the CCG. Successful completion of the Care Certificate will contribute to the satisfactory completion of the CCG's six month probationary period. Further information on the Care Certificate is available on <http://www.nhsemployers.org/your-workforce/plan/education-and-training/care-certificate>.

## 6.3 Local Induction

The manager should ensure that during local induction, the new employee is introduced to the team in which they are working and that they receive all pertinent information required to undertake their role, plus any role specific training. As a minimum, local induction should encompass all elements listed in the CCG Induction Checklist attached in Appendix 1. This should be completed within the first 3 months of employment. A copy of the completed checklist should be signed and retained by both manager and individuals.

## 6.4 Corporate Induction:

Corporate induction should take place within the first 3 months of employment. The organisational development team will review the content of the corporate induction programme annually, in September, making recommendations for changes to be implemented by the following January. The Head of Workforce is authorised to make changes to insure information and training materials are kept up to date or to meet an immediate requirement of the CCG. Areas that should be covered include:

- The overview of the CCG governance and specific divisional roles and responsibilities.
- The CCG strategy, values and priorities
- Some mandatory training
- Mandatory Training subjects as appropriate.

On the employees' first day, they will be required to undertake Information Governance Training via eLearning.

## 6.5 Objective Setting

Within the first month of employment, the manager and new employee should agree a number of objectives to be met during the probation period. Objectives should be specific, measurable, achievable, realistic and with a specific timescale.

## 6.6 Probation Review Meetings

There will normally be at least two probation review meetings. The probation review meetings will take place as follows:

- **Step One** – First Review Meeting (around 3 months into appointment)
- **Step Two** – Final Review Meeting (around two weeks before the end of the probationary period)

An overview of the process is set out at Appendix 2. The aim of each of the meetings is to review how the new starter is performing against expected and/or required standards and objectives; highlight where the new starter is doing well, establish if any support and development is necessary e.g. training, reasonable adjustments, discuss any unsatisfactory standards and expected improvements in performance/conduct; and document and record what has been discussed and agreed at the meetings.

As well as the scheduled probation review meetings, if it is felt necessary, managers should also arrange for further one to one meetings to take place before and/or after the first review.

The dates for each review meeting should be scheduled from the start of the probationary period and the new starter should be invited to attend the first (Appendix 3) and final review meeting in writing (Appendix 4).

## 6.7 Early Termination of Employment

Although the probation period is normally for 6 months the appointment can be terminated at any time if:

- Following appropriate investigation, a probationer is found to have committed an act of misconduct/gross misconduct; or

- Despite appropriate support and a reasonable opportunity to improve, the probationer fails to meet the required standards; or
- There is a serious performance/capability issue, for example, that could put at risk CCG property/resources, clients, service quality, other staff or the probationer.

In such cases the line manager should consult their HR representative and establish the facts of the situation and arrange a review meeting at which their contract may be terminated.

## 6.8 Step One: First Review Meeting (around three months into appointment)

The line manager will invite a new starter to a first review meeting to discuss the employee's progress. This will take place about 3 months after the employee commences employment however this meeting may be brought forward if there are concerns which should be addressed with the employee. The new starter will be given five working days' notice of the meeting and, if the meeting may result in the termination of their contract, the individual will have the opportunity to be accompanied by an accredited trade union representative or workplace colleague.

The meeting should allow the manager and new starter to review the new starter's performance during their time in post to date. A balanced approach to feedback is encouraged, supporting new starters with both positive and constructive feedback. Time should be taken to identify areas of improvement and support required. At this stage the manager should make a decision whether they feel the new starter is performing to required and expected standards.

At the meeting a two-way discussion will take place between the employee and the line manager which will cover the following areas:

- Performance against the requirements of the role
- Conduct (including conduct with others, such as clients, team, manager, internal/external parties)
- Absence/attendance and time keeping
- The individual's understanding of the required standards
- Behaviour & performance against the CCG's values
- Additional learning and development opportunities/other support required
- Any other issues that may effect the individual's employment

After the meeting the manager will complete the probation review report (Appendix 4) taking into account any comments made by the employee. The report should contain a summary of the individual's achievements and any areas that need to be

focused on in particular or improved upon in the remainder of the probation period. The manager should circle either “Yes” or “No” to indicate whether the employee is meeting the required standards at this stage.

If the employee is not meeting the required standards within the first 3 months of their employment, an agreed action plan should be drawn up (see example at Appendix 7) for the remainder of the probation period, with specific, measurable objectives for both the manager (e.g. in relation to support and learning opportunities) and the employee (e.g. in relation to targets/standards to achieve).

Normally, if the employee is not meeting the required standards within the first three months, they will have the opportunity to demonstrate that they can meet the required standards with appropriate support during the remainder of their six month probation period. However, please see above for details of circumstances in which a probation period can be terminated early.

The action plan may also be used if specific actions are agreed as a result of a probation review meeting where the individual has been meeting the expected standards.

The employee is required to sign the report and return a copy to their manager. If the employee wishes, they can submit written comments to be attached to the report.

During the remainder of the probation period, the employee will continue to meet with their manager to discuss their ongoing developmental needs. These meetings should involve two-way discussions regarding the progress and performance of the employee. The performance, attendance and conduct of the employee will continue to be monitored throughout the probationary period, as will progress against the agreed action plan.

## **6.9 Step Two: Final Review Meeting** (around two weeks before the end of the probationary period)

The meeting should follow the same format as the first review meeting.

Any objectives and action plans that were set at the first review meeting will be evaluated and discussed together with the new starter’s overall performance; and an assessment made as to whether the new starter has met the required standards.

This meeting will have one of three outcomes:

### **6.9.1 Outcome One – Confirm probationary period has been successfully completed**

The new starter should be told that they have now successfully completed their probationary period and be given a copy of the probation meeting report. The manager should also inform the new starter of the CCG's appraisal process.

### **6.9.2 Outcome Two – Extend probationary period**

Extensions to the probationary period may be considered only in exceptional circumstances such as:

- Where a manager has been unable to make a fair assessment of the new starter's performance e.g. due to a period of absence from work by the manager or new starter, for valid reasons the manager has not been able to arrange probation review meetings.
- The new starter has demonstrated a degree of improvement in their performance which indicates that the required standards of performance could be achieved by an extension to the probationary period.

Extension periods can be for a maximum of three months only. A shorter period can be set at the manager's discretion. A letter plus the probation report should be sent to the new starter (Appendix 6) no later than five working days after the meeting and a copy of the letter sent to the HR department informing the new starter that his/her probationary period will be extended.

Where applicable, an action plan should be drawn up between the manager and the new starter as soon as possible following the final review meeting (Appendix 8).

Advice should be sought from the HR Department prior to making any decision to extend the probationary period. This is to ensure a consistent approach is taken across the CCG to managing extensions.

Before the expiry of the extension period another final review meeting should be arranged. This should follow the process for the final review meeting.

### **6.9.3 Outcome Three – Confirm that the new starter's employment will be terminated**

If the new starter has performed/behaved unsatisfactorily since the first review meeting, taking into account any action plans and performance targets set after the first review meeting and at any one to ones, the decision to terminate the new starter's employment can be made.

The manager may not have sufficient authority to terminate the new starter's employment. If this is the case, and the manager is contemplating dismissal as a possible outcome they must ensure that a manager who has the authority to dismiss

(ideally their line manager) is present at the meeting. An HR representative will be present at any meeting that could result in dismissal under this policy.

The employee will be notified of the meeting five working days in advance and will be given the opportunity to be accompanied by an accredited trade union representative or work place colleague. The employee will be given copies of relevant documents that the manager intends to refer to during the meeting.

At the final review meeting, the manager will ensure that the employee is given a full opportunity to put forward their reasons for not completing the agreed action plan or their explanations in relation to the misconduct/performance issues.

If the decision is to dismiss the employee, they will be issued with contractual notice or pay in lieu of notice, except in cases of gross misconduct, when the employee may be summarily dismissed.

A letter should be sent to the employee no later than five working days after the meeting confirming the outcome and setting out their right of appeal against the decision.

## **6.10 Appeal**

Employees who are dismissed under this procedure will have the right to appeal against the decision. The individual should set out in detail their grounds for appeal and submit this to the Assistant Director of HR and ODL within 14 calendar days of the written confirmation of the outcome of the probation review meeting. Failure to do this without good reason may mean that the appeal is not allowed to proceed.

Upon receipt of the individual's grounds of appeal, the HR Department will arrange an appeal meeting with the individual, the manager who made the decision to dismiss the individual, a neutral senior manager Assistant Director or Director, who will chair the meeting and an HR representative. The individual may be accompanied by an accredited trade union representative or workplace colleague.

The procedure to be followed at an appeal meeting is as set out in the CCG's Disciplinary Policy.

The outcome of the appeal meeting should be confirmed in writing to the employee within 5 working days of the meeting.

## **6.11 Interaction with Other Policies**

For all new staff under the remit of the Probation and Induction Policy, performance/capability, attendance and misconduct will be dealt with under this policy rather than the CCG's Disciplinary Policy, Management Work Performance Policy or Managing Attendance Policy.

If an act of possible misconduct/gross misconduct occurs, the manager will be able to consider a period of suspension, which will follow the requirements of the Disciplinary Policy. Such incidents should be appropriately investigated and HR advice should be sought.

Where staff on probation raise a grievance either under the Grievance Policy or the Bullying & Harassment Policy, consideration will be given as to whether the matter is related to their probation period and therefore whether it would be appropriate to deal with both matters under this Policy and whether a neutral manager should be appointed to deal with the issues, or, alternatively, whether the matter should be dealt with separately prior to or at the same time as any probation reviews.

For staff who come under the scope of the Equality Act 2010, managers will be required to ensure they act lawfully, including making reasonable adjustments to remove barriers to employment caused by a person's disability, in accordance with

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legal duties and the CCG's Equality and Diversity Policy. HR advice should be sought.

All other terms and conditions of employment and policies and procedures will be applicable to probationary staff, unless otherwise stated.

## Appendix 1: Local Induction Checklist

### GENERAL INDUCTION CHECKLIST FOR ALL NEW STAFF

**(Managers Please Note:** It is the CCG's requirement that this induction is completed within three months of the employee's commencement of employment)

<b>Name:</b>	
<b>Post:</b>	
<b>Base:</b>	
<b>Start Date:</b>	

Please tick boxes opposite when completed	Yes/No N/A	Date Completed	Initials
<b>Before the employee starts:</b> Managers should be organising:			
Desk space			
IT set up			
Equipment e.g. laptop, mobile phone, smartcard, etc.			
ID Badge			
<b>On the first day:</b>			
Complete new starter forms if not already completed			
Collect P45 or issue P46			
Photocopy Birth Certificate/Passport, Insurance Certificate, Driving Licence, Insurance Declaration PIN confirmation – <i>if not already provided</i>			
Payroll induction			
Expenses claims induction			
Annual leave form			
Pension scheme			
Issue name badge and ID badge			
Information Security Management: NHS Code of Practice			
IT access			
Issue equipment ( <i>as required</i> )			
Tour of working area and facilities e.g. toilets, kitchens, etc.			
Access to workplace			
Car Parking Facilities			
Confidentiality / Data Protection			
Fire/ Health and Safety Procedures			
<b>In the first week</b>			

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Who's who in the department and how to contact people			
Work of department			
Relationships with other departments			

Please tick boxes opposite when completed	Yes/No N/A	Date Completed	Initials
Specific responsibilities of member of staff			
Familiarise with Probation and Induction Policy			
Specific objectives for the individual			
Use of any specific equipment			
Procedures and skills to be learned/training requirements/development needs			
Notice boards and communication methods			
Mandatory training requirements and accessing elearning			
Corporate Induction			
CCG Website			
Book regular 1:1's			
<b>In the first month</b>			
CCG structure			
CCG business			
CCG management arrangements – who are the senior management team			
Local management arrangements			
Grievance/consultation/discipline procedures			
Good housekeeping			
Accident report procedure/forms			
Book 3 month and 6 month probation reviews			
<b>Policies:</b>			
Show how to access CCG policy and procedures – Health & Safety, Human Resources, Information Governance, (Nursing, Control of Infection - <i>if applicable</i> ) and ensure the employee reads and understands the content			
<b>Mandatory Training:</b>			
Show the mandatory training matrix for courses to be undertaken and set date for complete of mandatory training			

**When completed please return a copy to the Learning and Development Team and retain a copy for your personal records**

**Employees Signature:**

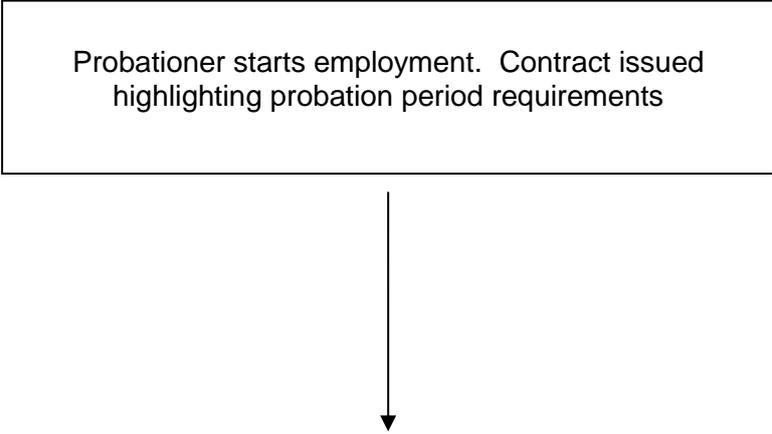
**Date:**

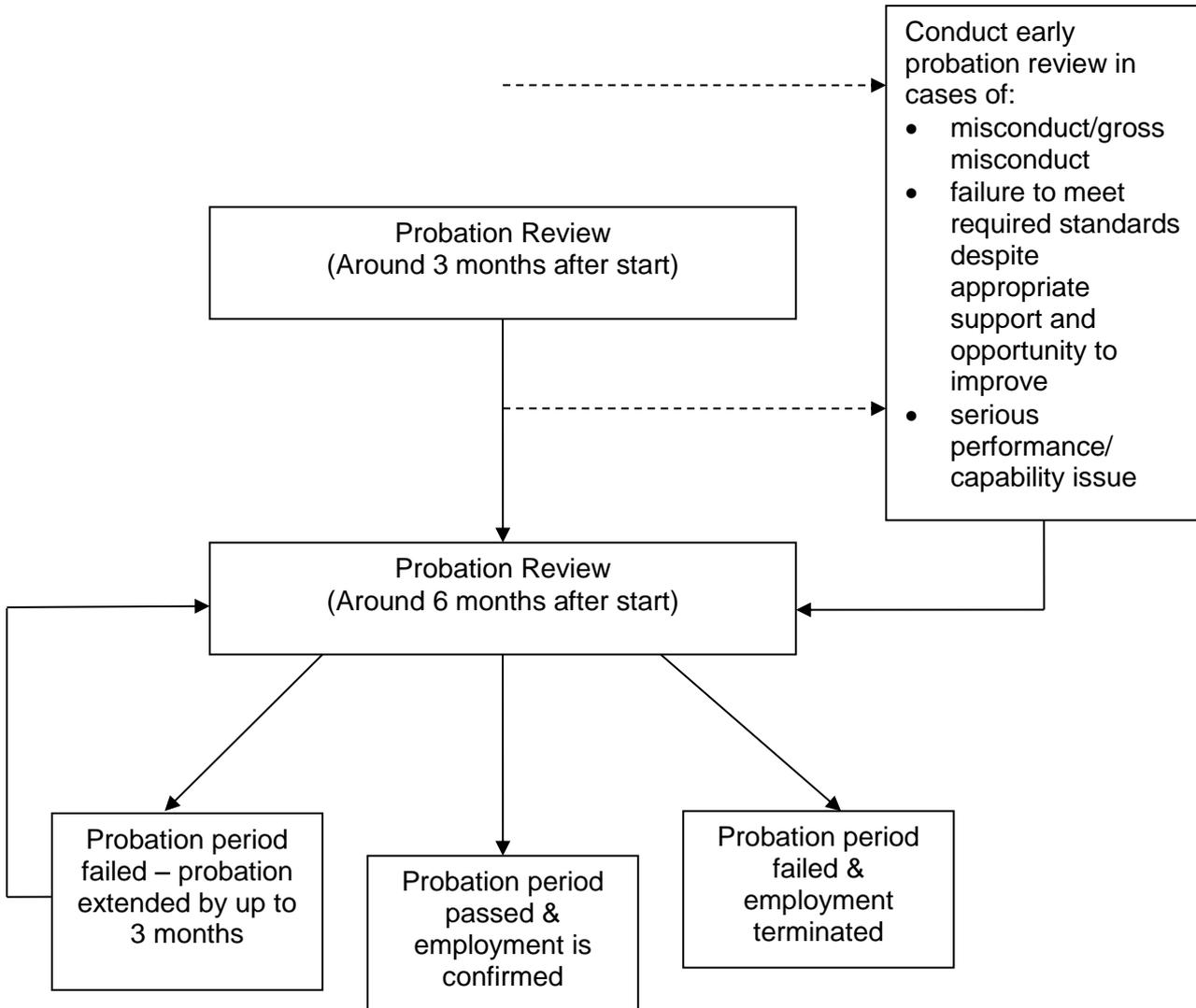
**Managers Signature:**

**Date:**

## Appendix 2: Probation Process

Probationer starts employment. Contract issued highlighting probation period requirements





**Appendix 3: Example Invite to First Review Meeting**

Manager name  
Address  
Address

Tel:  
Email:

Date

Private & Confidential

Employee name  
Address

Dear Name

Re: Purpose of letter

I am writing to invite you to the first probation review meeting in line with the CCG's Probation Policy  
The meeting has been arranged for:

Date:  
Time:  
Location:

At the meeting we will be reviewing your performance against the required and expected standards of the role.

Please prepare for this meeting by reviewing your performance against the required and expected standards as outlined in [*please indicate occasions or reference documents that outline standards e.g. Job description, Person Specification, action plan, professional standards, one to ones, induction or first review meeting*]; and identify any training or development opportunities that you feel you maybe outstanding.

Please feel free to contact me if you have any queries or wish to discuss the contents of this letter further.

Yours sincerely,

Manager name  
Job title

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Cc. Names

#### Appendix 4: Example Invite to Final Probationary Meeting

Manager name  
Address  
Address

Tel:  
Email:

Date

#### Private & Confidential

Employee name  
Address

Dear Name

I am writing to invite you to the Final Review Meeting in line with the CCGs Probation Policy.

The meeting has been arranged for

Date:  
Time:  
Location:

***\*[Based on first review meeting performance and expected outcome of final review meeting please select either paragraph 1 or 2 as applicable]***

***\*[1]*** At the first review meeting I provided you with a report on your performance and at that stage I confirmed that you were performing to a satisfactory standard. We will be reviewing and assessing your performance over the whole probationary period and at the end of the meeting a decision will be made as to whether you have met the required standards of the role and therefore whether you have successfully or unsuccessfully completed your probationary period.

***\*[2]*** At the first review meeting I provided you with a report on your performance at which stage I confirmed that **[your performance was generally satisfactory but there are some areas requiring improvement] OR [I confirmed that your performance was not satisfactory]** (*delete as appropriate*). Following the first review meeting we drafted an action plan in which I outlined the expected improvements in your performance. We will be reviewing and assessing your performance against both the action plan and over the whole probationary period. At the end of the meeting a decision will be made as to whether you

have met the required standards of the role and therefore whether you have successfully or unsuccessfully completed your probationary period.

**[You are entitled to be accompanied to the meeting by an accredited Trade Union representative or a workplace colleague].** *(insert if termination is being considered)*

Please prepare for this meeting by reviewing your performance against the required and expected standards as outlined in [*please indicate occasions or reference documents that outline standards e.g. Job description, Person Specification, action plan, professional standards, one to ones, induction or first review meeting*]; and evaluating the induction, training and development attended throughout the probationary period.

If a decision is made that you have been unsuccessful in completing your probationary period an outcome may be to terminate your employment with the CCG.

Yours sincerely

**Manager name**  
**Job title**

Enc. Documents  
Cc. Names

**Appendix 5: Example confirmation of unsuccessful probationary period**

**Manager name  
Address  
Address**

**Tel:  
Email:**

Date

**Private & Confidential**

Employee name

Address

Dear Name

**Re: Purpose of letter**

I am writing to confirm the outcome of our Final Review Meeting on [Insert date] held in line with the CCGs Probation and Induction Policy.

At the meeting we discussed your levels of performance and I outlined my concern that you have not demonstrated your ability to meet the required and expected standards of the post.

After careful consideration the decision was made that you had not successfully completed your probation period and therefore with effect from [Insert date of final review meeting] your employment with the CCG [has been terminated] [will terminate on [insert date]]. You will be paid for \_\_\_\_\_ weeks in lieu of notice and for any outstanding annual leave owed to you. Please find attached your probation review report.

Should you disagree with my decision to fail your probation period you have the right to appeal the decision. If you would like to appeal the decision you should submit all information that you would like considered as part of the review to \_\_\_\_\_, Assistant Director of HR & ODL by 5pm on *insert date*. A meeting will then be arranged at which \_\_\_\_\_ will review my decision. Please note that you may wish to be accompanied by a union representative or colleague at this meeting.

Please feel free to contact me should you have any queries regarding the content of this letter.

Yours sincerely

**Manager name**

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**Appendix 6: Example confirmation letter for extended probationary period**

**Manager name**  
**Address**  
**Address**  
**Tel:**  
**Email:**

Date

**Private & Confidential**

Employee name  
Address

Dear Name

**Re: Purpose of letter**

I am writing to confirm the outcome of our Final Review Meeting on [Insert date] held in line with the CCGs Probation Policy.

At the meeting we discussed your levels of performance and I outlined my concern that you have not demonstrated your ability to meet the required and expected standards of the post.

We concluded that you have been unable to meet the required and expected standards of the post due to:

*(Outline the justification that led to an extension e.g. have been absent from work for a period of time; an issue has arisen concerning the individual's performance late into the probationary period and sufficient time hasn't passed to demonstrate improvement; the CCG has been unable to make required reasonable adjustments to accommodate an employee's disability)*

As a result the decision has been made to extend your probationary period for [insert duration of extension e.g. 3 months]. We have agreed an action plan which outlined the expected improvements in your level of performance.

I will arrange for a Final Review Meeting to take place towards the end of your extension period. At this final meeting your performance will be reviewed again and at that time a decision will be made as to whether you have successfully or unsuccessfully completed your probationary period.

Yours sincerely

**Manager name**

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**Appendix 7: Probation Review Meeting Report**

**PROBATION REVIEW REPORT**

**Employee's Name:**

**Grade and Job Title:**

**Location:**

**Date employment commenced:** ...../...../.....

**Date of Probation Review:** ...../...../.....

**Type of Review:** First / Final \*

*(\*delete as appropriate)*

**Please summarise your assessment of the employee/your discussions in each of the following areas:-**

**1 Performance against the requirements of the role and specific objectives set.**

**2 Conduct (including conduct with others, such as clients, team, manager, internal/external parties).**

**3 Absence/attendance and time keeping**

**4 The individual's understanding of the required standards**

**5 Behaviour & performance against CCG Values**

**6 Additional learning and development opportunities/other support required**

**7 Any other issues that may affect the individual's employment**

**Do you consider that this member of staff meets the required standard?**

- Yes, conduct/attendance/performance is satisfactory at this stage
- Conduct/Performance/attendance is generally satisfactory but there are some areas requiring improvement \*
- No, conduct/performance/attendance is unsatisfactory at this stage\*

\*If unsatisfactory or generally unsatisfactory at first review meeting stage please follow up the report by completing an action plan for improvement, where appropriate, as outlined in the CCG's Probation Policy and send a copy of this report to HR

**Is an action plan attached to this report?**

**YES / NO\***

(\*Delete as appropriate)

**Signature by Manager:** .....

<b>Probation and Induction Policy V1.0</b> Hertfordshire, Bedfordshire, West Essex and Luton Clinical Commissioning Groups	Page 28 of 36
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# HR and ODL Shared Service

Hertfordshire, West Essex,  
Bedfordshire & Luton  
CCGs

**Name:** ..... **Date:**.....

**Signed by Employee:** .....

**Name:** ..... **Date:**.....

**Appendix 8: Example Action Plan**

<b>Target Area</b>	<b>Expected Standard/level of Proficiency</b>	<b>Gap</b>	<b>Agreed Actions</b>	<b>Who Will Provide Support?</b>	<b>Timescale</b>	<b>Review Date</b>	<b>Date to Achieve Expected Standard/Level of Proficiency</b>
Completion of details on computer system	Record detailed updates of all contact on the system within 24 hours, including details of X Y and Z	Some records currently incomplete	Further training on computer system	ODL team	Within 1 month	1 month	Within 1 month
		Some records not updated	Protected time each day to complete records and familiarise self with the new system	Line Manager to arrange	Ongoing for one month	1 month	
		No consistent record for other team members to refer to regarding open issues	Support from designated system lead	System Lead	Ongoing	1 month	


**This action plan has been agreed by:**

**Name of Manager:** \_\_\_\_\_ **Signed:** \_\_\_\_\_ **Dated:** \_\_\_\_\_

**Name of Employee:** \_\_\_\_\_ **Signed:** \_\_\_\_\_ **Dated:** \_\_\_\_\_

## Equality Analysis – Full Equality Impact Assessment

<b>Title of policy, service, proposal etc being assessed:</b>
Probation and Induction Policy

<p><b>What are the intended outcomes of this work?</b> Include outline of objectives and function aims          NHS Bedfordshire, NHS East and North Hertfordshire, NHS Herts Valleys, NHS West Essex and NHS Luton Clinical Commissioning Groups (respectively referred to as ‘the CCG’), offers employment subject to the satisfactory completion of a probationary period. This policy sets out the procedure to be followed in order to support the successful completion of the probationary period and how to induct new starters, ensuring a consistent approach is followed.</p>
<p><b>How will these outcomes be achieved?</b> What is it that will actually be done?          The purpose of this policy is to provide guidance and to promote best practice.</p>
<p><b>Who will be affected by this work?</b> e.g. staff, patients, service users, partner organisations etc. If you believe that there is no likely impact on people explain how you’ve reached that decision and send the form to the equality and diversity manager for agreement and sign off          Staff</p>

<p><b>Evidence</b></p> <p><b>What evidence have you considered?</b> Against each of the protected characteristics categories below list the main sources of data, research and other sources of evidence (including full references) reviewed to determine impact on each equality group (protected characteristic).</p> <p>This can include national research, surveys, reports, research interviews, focus groups, pilot activity evaluations or other Equality Analyses. If there are gaps in evidence, state what you will do to mitigate them in the Evidence based decision making section on page 9 of this template.</p> <p>If you are submitting no evidence against a protected characteristic, please explain why.</p>
<p><b>Age</b> Consider and detail age related evidence. This can include safeguarding, consent and welfare issues.          No local assessment. Developed in conjunction with the joint forum, and ratified by, the relevant committees of the Hertfordshire, Bedfordshire, West Essex and Luton CCGs.</p>
<p><b>Disability</b> Detail and consider disability related evidence. This can include attitudinal, physical and social barriers as well as mental health/ learning disabilities.          No local assessment. Developed in conjunction with the joint forum, and ratified by, the relevant committees of the Hertfordshire, Bedfordshire, West Essex and Luton CCGs.</p>

<p><b>Gender reassignment (including transgender)</b> Detail and consider evidence on transgender people. This can include issues such as privacy of data and harassment.</p> <p>No local assessment. Developed in conjunction with the joint forum, and ratified by, the relevant committees of the Hertfordshire, Bedfordshire, West Essex and Luton CCGs.</p>
<p><b>Marriage and civil partnership</b> Detail and consider evidence on marriage and civil partnership. This can include working arrangements, part-time working, caring responsibilities.</p> <p>No local assessment. Developed in conjunction with the joint forum, and ratified by, the relevant committees of the Hertfordshire, Bedfordshire, West Essex and Luton CCGs.</p>
<p><b>Pregnancy and maternity</b> Detail and consider evidence on pregnancy and maternity. This can include working arrangements, part-time working, caring responsibilities.</p> <p>No local assessment. Developed in conjunction with the joint forum, and ratified by, the relevant committees of the Hertfordshire, Bedfordshire, West Essex and Luton CCGs.</p>
<p><b>Race</b> Detail and consider race related evidence. This can include information on difference ethnic groups, Roma gypsies, Irish travellers, nationalities, cultures, and language barriers.</p> <p>No local assessment. Developed in conjunction with the joint forum, and ratified by, the relevant committees of the Hertfordshire, Bedfordshire, West Essex and Luton CCGs.</p>
<p><b>Religion or belief</b> Detail and consider evidence on people with different religions, beliefs or no belief. This can include consent and end of life issues.</p> <p>No local assessment. Developed in conjunction with the joint forum, and ratified by, the relevant committees of the Hertfordshire, Bedfordshire, West Essex and Luton CCGs.</p>
<p><b>Sex</b> Detail and consider evidence on men and women. This could include access to services and employment.</p> <p>No local assessment. Developed in conjunction with the joint forum, and ratified by, the relevant committees of the Hertfordshire, Bedfordshire, West Essex and Luton CCGs.</p>
<p><b>Sexual orientation</b> Detail and consider evidence on heterosexual people as well as lesbian, gay and bisexual people. This could include access to services and employment, attitudinal and social barriers.</p> <p>No local assessment. Developed in conjunction with the joint forum, and ratified by, the relevant committees of the Hertfordshire, Bedfordshire, West Essex and Luton CCGs.</p>
<p><b>Carers</b> Detail and consider evidence on part-time working, shift-patterns, general caring responsibilities.</p> <p>No local assessment. Developed in conjunction with the joint forum, and ratified by,</p>

the relevant committees of the Hertfordshire, Bedfordshire, West Essex and Luton CCGs.

**Other identified groups** Detail and consider evidence on groups experiencing disadvantage and barriers to access and outcomes. This can include different socio-economic groups, geographical area inequality, income, resident status (migrants, asylum seekers).

No local assessment. Developed in conjunction with the joint forum, and ratified by, the relevant committees of the Hertfordshire, Bedfordshire, West Essex and Luton CCGs.

**Engagement and involvement**

How have you engaged stakeholders with an interest in protected characteristics in gathering evidence or testing the evidence available?

Policy Forum established. Members include representatives of CCGs and Trade Unions

How have you engaged stakeholders in testing the policy or programme proposals?

Policy Forum established. Members include representatives of CCGs and Trade Unions

For each engagement activity, please state who was involved, how and when they were engaged, and the key outputs:

Policy Forum established. Members include representatives of CCGs and Trade Unions

**Summary of Analysis**

Considering the evidence and engagement activity you listed above, please summarise the impact of your work. Consider whether the evidence shows potential for differential impacts, if so state whether adverse or positive and for which groups and/or individuals. How you will mitigate any negative impacts? How you will include certain protected groups in services or expand their participation in public life?

No local assessment. Developed in conjunction with the joint forum, and ratified by, the relevant committees of the Hertfordshire, Bedfordshire, West Essex and Luton CCGs.

Now consider and detail below how the proposals could support the elimination of discrimination, harassment and victimisation, advance the equality of opportunity and promote good relations between groups (the General Duty of the Public Sector Equality Duty).

**Eliminate discrimination, harassment and victimisation**

Developed in conjunction with the joint forum, and ratified by, the relevant committees of the Hertfordshire, Bedfordshire, West Essex and Luton CCGs.

**Advance equality of opportunity**

Developed in conjunction with the joint forum, and ratified by, the relevant committees of the Hertfordshire, Bedfordshire, West Essex and Luton CCGs.
<p><b>Promote good relations between groups</b></p> Developed in conjunction with the joint forum, and ratified by, the relevant committees of the Hertfordshire, Bedfordshire, West Essex and Luton CCGs.

<b>Next Steps</b>
<p>Please give an outline of what you are going to do, based on the gaps, challenges and opportunities you have identified in the summary of analysis section. This might include action(s) to eliminate discrimination issues, partnership working with stakeholders and data gaps that need to be addressed through further consultation or research. This is your action plan and should be SMART.</p> <p><b>New HR monitoring system being developed</b></p>
<p>How will you share the findings of the Equality analysis? This can include sharing through corporate governance or sharing with, for example, other directorates, partner organisations or the public.</p> <p>Publication alongside the policy</p>

## Health Inequalities Analysis

<p><b>Evidence</b></p> <p><b>1. What evidence have you considered to determine what health inequalities exist in relation to your work?</b> List the main sources of data, research and other sources of evidence (including full references) reviewed to determine impact on each equality group (protected characteristic). This can include national research, surveys, reports, research interviews, focus groups, pilot activity evaluations or other Equality Analyses. If there are gaps in evidence, state what you will do to mitigate them in the Evidence based decision making section on the last page of this template.</p> <p>No local assessment. Developed in conjunction with the joint forum, and ratified by, the relevant committees of the Hertfordshire, Bedfordshire, West Essex and Luton CCGs.</p>
<p><b>Impact</b></p> <p><b>2. What is the potential impact of your work on health inequalities?</b> Can you demonstrate through evidenced based consideration how the health outcomes, experience and access to health care services differ across the population group and in different geographical locations that your work applies to?</p> <p>No local assessment. Developed in conjunction with the joint forum, and ratified by, the relevant committees of the Hertfordshire, Bedfordshire, West Essex and Luton CCGs.</p>

**3. How can you make sure that your work has the best chance of reducing health inequalities?**

No local assessment. Developed in conjunction with the joint forum, and ratified by, the relevant committees of the Hertfordshire, Bedfordshire, West Essex and Luton CCGs.

**Monitor and Evaluation**

**4. How will you monitor and evaluate the effect of your work on health inequalities?**

New HR monitoring system being developed

**Quality Impact Initial Assessment.**

Quality can be defined as embracing three key components:

- Patient Safety – there will be no avoidable harm to patients from the healthcare they receive. This means ensuring that the environment is clean and safe at all times and that harmful events never happen.
- Effectiveness of care – the most appropriate treatments, interventions, support and services will be provided at the right time to those patients who will benefit.
- Patient Experience – the patient’s experience will be at the centre of the organisation’s approach to quality.

What is the impact on:

<b>Patient Safety?</b>	Positive <input type="checkbox"/>	Negative <input type="checkbox"/>	Neutral <input checked="" type="checkbox"/>
<b>Patient Experience?</b>	Positive <input type="checkbox"/>	Negative <input type="checkbox"/>	Neutral <input checked="" type="checkbox"/>
<b>Clinical Effectiveness?</b>	Positive <input type="checkbox"/>	Negative <input type="checkbox"/>	Neutral <input checked="" type="checkbox"/>

If any there is any negative impact please complete seek advice from the Nursing and Quality Team and a full Quality impact assessment will need to be completed.

**Name of person(s) who carried out these analyses: Paul Curry**

**Date analyses were completed: 17 May 2017**