

INDUCTION AND PROBATIONARY PERIOD POLICY

October 2015

Authorship :	YHCS Workforce Policy Lead
Committee Approved :	Hard CCG SMT in conjunction with Joint Trade Union Partnership Forum
Approved Date :	28 October 2015
Review Date :	October 2018 - three years after approval date
Equality Impact Assessment :	Completed – Full
Sustainability Impact Assessment :	Completed
Target Audience:	All new employees and recruiting managers
Policy Reference No. :	HaRD 060
Version Number :	1.0

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.

New Version Number	Issued by	Nature of Amendment	Approved by and Date	Date on Intranet
1.0	Harrogate and Rural District Clinical Commissioning Group	New Policy	JTUPF 28.10.2015 and CCG SMT 14.09.2015	04 March 2016

CONTENTS

	Page
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 and Aims	5
6 Definitions	6
7 Roles / Responsibilities / Duties	6
8 Implementation	7
9 Training and Awareness	7
10 Monitoring and Audit	7
11 Policy Review	8
12 References	8
Part Two	
1 Induction Process	9
2 Contract of Employment and Related Policies and Procedures	9
3 Record Keeping	10
4 Right to Representation	10
5 Extension to Probationary Periods	10
6 Outcome of Probationary Period	10
Appendices	
Appendix 1 Local Induction Checklist	12
Appendix 2 Standard Letter for Review Meeting	15
Appendix 3 Probation Periods –Review Documentation	16
Appendix 4 Standard Letter – Successful outcome	17
Appendix 5 Standard Letter – Extension of Probationary Period	18
Appendix 6 Standard Letter – Unsuccessful Outcome	19
Appendix 7 Equality Impact Analysis	20
Appendix 8 Sustainability Impact Assessment	31

1 INTRODUCTION

- 1.1 This policy describes the approach of Harrogate and Rural District 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

This policy has been developed by the workforce team in partnership with employees, managers and trade unions and approved at the Joint Trade Union Partnership Forum.

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 7. 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.

3.2 Sustainability

A Sustainability Impact Assessment has been completed for this policy and is attached at Appendix 8.

3.3 Bribery Act 2010

The CCG follows good NHS business practice as outlined in the Business Conduct Policy and has robust controls in place to prevent bribery.

Under the Bribery Act 2010, 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.

Incorrect and false information disclosed in order to obtain leave will be viewed as fraud and will be referred to the CCG's local Counter Fraud Specialist, which may leave the claimant liable for disciplinary, prosecution and civil recovery proceedings.

Due consideration has been given to the Bribery Act 2010 in the development of this policy document. Consistent application and monitoring of this policy will mitigate bribery in relation to the types of leave within this policy.

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. This policy will not apply to staff working with the CCG on a secondment basis where the termination terms of the secondment agreement will apply.
- 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 AND AIMS

- 5.1 The organisation recognises the importance of providing each of its new employees with a suitable structured Induction programme. This policy ensures all staff are clear about the requirements of their role and have an overall understanding of the organisation.
- 5.2 A well inducted, trained and educated workforce will enable the CCG to achieve its organisational objectives and provides the staff with information, knowledge and tools to carry out their job safely and well.
- 5.3 The organisation has legal obligations to provide compliance/mandatory training and to deliver a suitable induction programme for new staff. The CCG takes these obligations seriously and seeks to ensure all staff comply with the procedure outlined in part 2 of this policy.
- 5.4 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.

- 5.5 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 2 and 3).

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

Senior Management Team

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

Managers

- 7.2 To create and implement an induction plan for the employee including regular supervision arrangements (please refer to the CCG Induction Handbook for further information).
- 7.3 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.

- 7.4 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.
- 7.5 To seek advice from a Workforce Representative should the employee not be performing to the required standard.
- 7.6 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.
- 7.7 To ensure that copies of all related correspondence and records are kept and are accessible.
- 7.8 Where necessary, to carry out a workplace assessment and ensure that any reasonable adjustments required at work are implemented in a timely manner.

Workforce Team

- 7.9 To provide guidance and advice to managers and probationers about implementation of this policy and procedure as appropriate.
- 7.10 To provide support to line managers in monitoring the completion of probationary periods.
- 7.11 To ensure that all recruitment/contractual documentation reflects the requirement for probationary periods, with particular emphasis on correct notice periods.

The Employee

- 7.12 To perform to the best of their ability.
- 7.13 To undertake any agreed induction, training and development activities and to implement learning from these activities.
- 7.14 To raise training and development needs with the manager as early as possible.
- 7.15 To identify whether they have a protected characteristic and whether additional support, training, equipment or adjustments are required.

8 IMPLEMENTATION

The CCG's Senior Management Team is responsible for formal approval of, and monitoring compliance with this policy. Following ratification the policy will be disseminated to staff via the organisation's intranet.

9 TRAINING AND AWARENESS

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 AND AUDIT

The implementation of this policy will be audited on an annual basis by the CCG and reported to CCG Senior Management Team .

11 POLICY REVIEW

The policy and procedure will be reviewed every three years by the CCG in conjunction with operational managers and Trade Union representatives. Where review is necessary due to legislative change, this will happen immediately.

12 REFERENCES and ASSOCIATED DOCUMENTATION

This policy should be read in conjunction with the following CCG policies:

- Recruitment and Selection policy
- Disciplinary policy
- Objective Setting and Review Policy
- Absence Management Policy

PART 2

INDUCTION PROCEDURE

- 1.1 The CCG will ensure that the induction programme will normally be completed within the first three months of an individual's employment with them.
- 1.2 The length and nature of the induction process can be tailored to the individual depending on the complexity of their role, nature of the department and if they are a new or existing employee.
- 1.3 Attendance at corporate induction and completion of a local induction will be monitored and recorded in line with the CCG's policy and procedure. This will include :
 - Stage 1 Local Induction:

Introduces the employee to the Division or Department and should be completed within the first four weeks of employment. It may be completed either in groups or on a one to one basis and should encompass all elements listed in the Local Induction Checklist attached in Appendix 1. A copy of the completed checklist should be signed and retained by both manager and individual.
 - Stage 2 Corporate Induction:
- 1.4 Should be completed within the first three months of employment. Areas that should be covered include:
 - The CCGs – vision, value and strategic overview
 - Organisation structure – specific divisional roles and responsibilities
 - The Objective Setting and Review Policy
 - The role of the YHCS Workforce Team
 - Compliance / Mandatory Training
- 1.5 If it is not practical to run formal corporate induction training due to the small number of new recruits to the CCG each month, then it will be the responsibility of line managers to arrange 1-1 sessions for the new employee to meet with the appropriate people to cover the areas outlined above.
- 1.6 Induction may also include visits to other departments as appropriate.
- 1.7 It is the responsibility of the line manager to determine whether a bank, agency, temporary worker or contractor is required to attend the corporate induction training.

2 CONTRACT OF EMPLOYMENT AND RELATED POLICIES AND PROCEDURES

- 2.1 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.
- 2.2 Details of the probationary period will be clearly set out in offer letters, and the contract of employment.

- 2.3 During the probationary period the employee will be subject to a notice period of one month.
- 2.4 Following successful completion of the probationary period the employee will also be covered by the Performance Appraisal Policy.

3. RECORD KEEPING

- 3.1 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 Workforce Team.
- 3.2 Records will include the Probationary Period Assessment Form (Appendix 3) 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.

4. RIGHT TO REPRESENTATION

- 4.1 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 CCG colleague not acting in a legal capacity.
- 4.2 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.
- 4.3 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.

5. EXTENSION TO PROBATIONARY PERIODS

- 5.1 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.
- 5.2 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 Workforce Team.
- 5.3 Any extension to the probationary period should be confirmed to the employee, see Appendix 5, including the reason/s for the extension together with the required standards / objectives and the support available to achieve the required performance standards.

6. OUTCOME OF PROBATIONARY PERIOD

- 6.1 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.

- 6.2 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 4 and 6).
- 6.3 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 Y&HCS 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.

7. RIGHT OF APPEAL

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

Local Induction Checklist**Name:****Start Date:****Department:****Submission Date:**

(no later than 1 month after commencement)

Line Manager:

Induction Subject Area	Completed (Initials)	
	Employee	Manager
1. Introductions		
Introduction to colleagues/team and manager		
Introductions to key contacts specific to role (including partner organisations including YHCS):		
1-1 with CCG Director – Overview of CCG		
2. Health & Safety		
Tour of building e.g. toilets, meeting rooms, kitchen		
2.1 Fire Safety:		
Introduction to Fire Warden		
Fire escapes, fire assembly points, fire alarm weekly test time, actions to take in the event of a fire		
2.2 Security:		
Issue ID Badge		
Issue Door Fob/access card		
2.3 Safe Working Practice:		
Identify if ergonomic assessment of workplace needs to be undertaken YES/NO		
Discuss safe working practices (e.g. Risks associated with Display Screen Use, not bringing electrical items in from home, personal safety, lone working)		
Incident / Accident / Significant Event Reporting		
Location of First Aid Box/Bag		
No Smoking Building		
3. Car Parking & Travel		
Car Parking Arrangements		
Travel Expenses		

4. Management/Corporate		
Contract of Employment – Signed and returned to Workforce Services		
All new starter paperwork completed and returned to Workforce Services <ul style="list-style-type: none"> • HR2 payroll form • Declaration of Interest form 		
4.2 Attendance		
Time and Attendance Process		
Booking Annual Leave		
Reporting Sickness Absence		
Procedures regarding Special Leave		
Flexitime/time off in lieu		
4.3 Job Specific		
Understanding of Job Description and how role fits into CCG structure (copy of structure chart)		
Booked 1-1 to set objectives and personal development plan		
Attendance at team meetings and any other identified meetings/groups		
Monitoring of performance & Performance Review process		
Information and support available – mentoring / coaching		
4.4 Development		
The Statutory and Mandatory Training Framework (see section 9)		
Authorisation of Training/Courses Process		
4.5 Health & Wellbeing		
Occupational Health Services and Contact Details		
5. Confidentiality		
Discussed Confidentiality in Work Setting (locking PC screen, filing paperwork, shredding etc.)		
6. IT		
Access to PC, email, phone on site, internet		
Issue of any mobile equipment required		
Issue of Smart Card (if relevant)		
Add contact details to CCG directory/distribution list		
Discuss appropriate use of email/internet/telephone/mobile phone		

Discuss use of encrypted memory stick only and not using personal laptops for work (if relevant)		
Ensure understanding of process for reporting issues through IT helpdesk		
7. Finance		
Sign post to Finance and Corporate Governance Policies and Procedures (This must include the Counter Fraud Policy and the Whistleblowing Policy)		
All new starter paperwork completed and returned to Workforce Services		
1-1 with Management Accountant (if Budget Holder)		
8. Environment & Resources		
Car Sharing, Reduced use of paper and printing, recycling		
System for Stationery and Equipment Orders		
9. Mandatory/Compliance Training		
The following training must be completed within 1 month of start date:		
<ul style="list-style-type: none"> Information Governance 		
The following training must be completed within 3 month of start date:		
<ul style="list-style-type: none"> Equality & Diversity Fire Safety Health & Safety Infection Prevention & Control Manual Handling Mental Health Legislation Safeguarding Adults Safeguarding Children 		
Comments:		
<p>Managers Signature</p> <p>Name Print</p>		

I confirm that I have received the above Induction

Name:

Date:

To be returned by the Manager one month after commencement to Workforce Services at YHCS.WorkforceInformation@nhs.net where completion of this will be recorded on the employees training record.

A copy of the completed checklist must also be placed on the employees personnel file held in the CCG

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 :

Week	Date	Time

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

Yours sincerely

Manager

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:

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 Harrogate and Rural District Clinical Commissioning Group (the 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

Manager

Enc :

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 Harrogate and Rural District Clinical Commissioning Group.

Yours sincerely

Manager

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

Manager

1. Equality Impact Analysis									
Policy / Project / Function:	Induction and Probationary Periods Policy								
Date of Analysis:	17 February 2015								
This Equality Impact Analysis was completed by: (Name and Department)	Workforce Service YHCS								
What are the aims and intended effects of this policy, project or function ?	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								
Please list any other policies that are related to or referred to as part of this analysis?	<ul style="list-style-type: none"> • Recruitment and Selection • Disciplinary • Absence Management Policy • Objective Setting and Review Policy 								
Who does the policy, project or function affect ? Please Tick ✓	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="padding: 2px;">Employees</td> <td style="text-align: right; padding: 2px;">✓</td> </tr> <tr> <td style="padding: 2px;">Service Users</td> <td style="text-align: right; padding: 2px;"><input type="checkbox"/></td> </tr> <tr> <td style="padding: 2px;">Members of the Public</td> <td style="text-align: right; padding: 2px;"><input type="checkbox"/></td> </tr> <tr> <td style="padding: 2px;">Other (List Below)</td> <td style="text-align: right; padding: 2px;"><input type="checkbox"/></td> </tr> </table>	Employees	✓	Service Users	<input type="checkbox"/>	Members of the Public	<input type="checkbox"/>	Other (List Below)	<input type="checkbox"/>
Employees	✓								
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	
Race	<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
Age	<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
Sexual Orientation	<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
Disabled People		✓	✓		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.
Gender	<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
Transgender People	<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
Pregnancy and Maternity	<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

Marital Status	<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
Religion and Belief	<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
Reasoning	It is important to ensure consistency in approach, e.g., 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.				
If there is no positive or negative impact on any of the Nine Protected Characteristics go to Section 7					

1. Equality Impact Analysis: Local Profile Data

Local Profile / Demography of the Groups affected as at October 2014	
General	Total number of employees in the CCG is 29
Age	79.3% are aged 30-55 20.7% of staff are over 55 0% of staff are under 30
Race	89.8% staff employed in the CCG are White 3.4% staff are Black 3.4% staff are Asian 3.4% of staff have not stated/undefined their ethnicity
Sex	41.4% staff employed are male 58.6% staff employed are female
Gender reassignment	No information at this stage
Disability	89.7% of staff employed declared themselves as having no disability 6.9% did not declare / undefined 3.4% declared they had a disability
Sexual Orientation	86.2% of staff described themselves as heterosexual 13.8% did not wish to respond / undefined
Religion, faith and belief	Christianity is the largest religious group declared by staff in the CCG (51.8%) 24.1% declared themselves Atheist 20.7% were undefined or did not wish to declare 3.4% of staff declared themselves Buddhist
Marriage and civil partnership	75.9% of employees are married. No employees are in a civil partnership. 3.4% of staff did not wish to declare. The remainder (20.7%) are single / divorced / legally separated or widowed
Pregnancy and maternity	No information yet as the CCG has not been established long enough to build meaningful data

2. Equality Impact Analysis: Equality Data Available

<p>Is any Equality Data available relating to the use or implementation of this policy, project or function?</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"> 1. Application success rates <i>Equality Groups</i> 2. Complaints by <i>Equality Groups</i> 3. Service usage and withdrawal of services by <i>Equality Groups</i> 4. Grievances or decisions upheld and dismissed by <i>Equality Groups</i> 5. <i>Previous EIAs</i> 	<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>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</p>	<p>Consultation has taken place nationally and locally with Trade Union representatives</p>
<p>Promoting Inclusivity How does the project, service or function contribute towards our aims of eliminating discrimination and promoting equality and diversity within our organisation</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
Gender (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
Race (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
Disability (Mental and Physical)			✓	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. In addition, the CCG recognises it should prepare its policies on the basis that employees with disabilities may be recruited or become disabled, permanently or temporarily, in the future (see action plan). In Yorkshire and Humber the population statistics are : 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%
Religion or Belief	✓			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
Sexual Orientation (Heterosexual, Homosexual and Bisexual)	✓			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

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
Pregnancy and Maternity	✓			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
Transgender	✓			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
Marital Status	✓			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
Age	✓			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:

5. Equality Impact Analysis Findings

Analysis Rating:	Red	Red/Amber	✓ Amber	Green
		Actions	Wording for Policy / Project / Function	
Red Stop and remove the policy	Red: 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.	Remove the policy 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.	No wording needed as policy is being removed	
Red Amber Continue the policy	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.	The policy can be published with the EIA List the justification of the discrimination and source the evidence (i.e. clinical need as advised by NICE). Consider if there are any potential actions which would reduce the risk of discrimination. Another EIA must be completed if the policy is changed, reviewed or if further discrimination is identified at a later date.	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. <i>[Insert what the discrimination is and the justification of the discrimination plus any actions which could help what reduce the risk]</i>	

Equality Impact Findings (continued):

		Actions	Wording for Policy / Project / Function
<p>Amber</p> <p>Adjust the Policy</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>The policy can be published with the EIA</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><i>[Insert what the discrimination is and what work will be carried out to reduce/eliminate the risk]</i></p>
<p>Green</p> <p>No major change</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>The policy can be published with the EIA</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>

Brief Summary / Further comments	
---	--

Approved By		
Job Title:	Name:	Date:

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.

Title of the document	Induction and Probationary Period Policy
What is the main purpose of the document	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.
Date completed	17 February 2015
Completed by	YHCS Workforce Team

Domain	Objectives	Impact of activity Negative = -1 Neutral = 0 Positive = 1 Unknown = ? Not applicable = n/a	Brief description of impact	If negative, how can it be mitigated? If positive, how can it be enhanced?
Travel	Will it provide / improve / promote alternatives to car based transport? Will it support more efficient use of cars (car sharing, low emission vehicles, environmentally friendly fuels and technologies)? Will it reduce 'care miles' (telecare, care closer) to home? Will it promote active travel (cycling, walking)? Will it improve access to opportunities and facilities for all groups?	n/a		
Procurement	Will it specify social, economic and environmental outcomes to be accounted for in procurement and delivery? Will it stimulate innovation among providers of services related to the delivery of the organisations' social, economic and environmental objectives? Will it promote ethical purchasing of goods or services? Will it promote greater efficiency of resource use?	n/a		

	<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 alter service delivery models</p>			
Facilities Management	<p>Will it reduce the amount of waste produced or increase the amount of waste recycled?</p> <p>Will it reduce water consumption?</p>	n/a		
Workforce	<p>Will it provide employment opportunities for local people?</p> <p>Will it promote or support equal employment opportunities?</p> <p>Will it promote healthy working lives (including health and safety at work, work-life/home-life balance and family friendly policies)?</p> <p>Will it offer employment opportunities to disadvantaged groups?</p>	?	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.
Community Engagement	<p>Will it promote health and sustainable development?</p> <p>Have you sought the views of our communities in relation to the impact on sustainable development for this activity?</p>	n/a		
Buildings	<p>Will it improve the resource efficiency of new or refurbished buildings (water, energy, density, use of existing buildings, designing for a longer lifespan)?</p> <p>Will it increase safety and security in new 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</p>	n/a		

	around new development? Will it improve access to the built environment?			
Adaptation to Climate Change	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)?	n/a		
Models of Care	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? Will it promote prevention and self-management? Will it provide evidence-based, personalised care that achieves the best possible outcomes with the resources available? Will it deliver integrated care, that co-ordinate different elements of care more effectively and remove duplication and redundancy from care pathways?	n/a		