

Probationary Policy and Procedure

Reference/Number	POL/COR/0315		
Version:	1.0		
Ratified by:	Trust Management Group		
Ratification Date:	17 March 2015		
Approval Committee	Partnership Group		
Date Approved:	12 March 2015		
Date Issued:	01 April 2015		
Executive Owner:	Chris Goulding, Deputy Director HR		
Name of Author(s) and Job Title(s):	Jo Bronte, HR Manager		
Target Audience:	All staff		
Review date:	(Interim review at 9 months from policy launch) 01 April 2018		
Procedural document linked to/Tagged:	Tick as appropriate	√	
	Regulatory Compliance		
	Organisation-wide	√	
	Directorate		
	Service		
	Shared document		

Dissemination and Implementation

Responsible person for coordinating dissemination and implementation		Jo Bronte	
Methods of dissemination (Delete as appropriate)	Intranet	Other	Email to key Stakeholders
	Yes	Whittington Health noticeboard	Yes

Consultation

List of those consulted	HR policy sub-group Staff-side policy sub-group Trust Management Group
Period of consultation	August 2014 – October 2014

Version Control Summary

Version No	Description of change	Author	Date
<i>One</i>	<i>First Probationary Policy for Whittington Health</i>	Jo Bronte, HR Manager	<i>Nov 2014</i>

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1.0 INTRODUCTION

- 1.1 The initial period of service is a time in which new employees settle into their roles by learning about specific duties of the post and using their skills and competencies to learn to undertake those duties satisfactorily. This Probationary policy and procedure is designed to facilitate this process in order to enable new employees to meet the standards required for successful completion of the six month probationary period in terms of performance, conduct and attendance.

2.0 PURPOSE

- 2.1 The main objectives of the probationary period are:
- 2.1.1 To give assistance and encouragement in adapting to the new job (e.g. duties, responsibilities, working environment, targets, standards required);
 - 2.1.2 To take necessary supportive action at the earliest opportunity if required standards of performance, conduct and attendance are not being achieved and to give a clear indication to the employee as to what support and guidance will be provided to enable the employee to meet the standards;
 - 2.1.3 To identify employees who do not meet the required standards after managers have exhausted all reasonable and practicable remedial action (e.g. closer supervision, training, making reasonable adjustments etc), by applying fair and consistent procedures (please see Probationary Report pro-forma at Appendix One).
- 2.2 By the end of the probationary period, the employee must demonstrate they have met the required standard, as set out in their job description and agreed objectives.
- 2.3 Whittington Health 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 notice with the exception of gross misconduct in which case dismissal may be summary.
- 2.4 During the probationary period, the notice period for either the Trust or the employee will be one week. On successful completion of the probationary period, the notice period outlined in an individual's contract of employment will apply.
- 2.5 The principles of the Trust's: Sickness Absence Policy and Procedure, Disciplinary Policy and Capability Policy apply to all employees. However, this Probationary Policy and Procedure will override the relevant elements of those policies during the probationary period.

3.0 SCOPE

3.1 This procedure applies to all new members of staff with exception of doctors within their probationary period. Existing staff who are promoted within the Trust will not be subject to a probationary period. The length of probation periods for both permanent and fixed term posts will be six months. Details of the probation period will be outlined in Job descriptions, the offer letters of appointment and the contract of employment.

4.0 DEFINITIONS

4.1 Probationary Period: A period of time to allow the employee to settle into the organisation. To learn the new job and to receive any support and training over six months in order to evaluate whether the employee is competent to perform the role they have been appointed to.

5.0 DUTIES (Roles and Responsibilities)

5.1 All managers – responsible for:

- 5.1.1 Ensuring that all new employees are aware of their probationary period and guidance is provided to enable new employees to understand what is expected of them.
- 5.1.2 Ensuring that all new employees are aware of the policies and procedures applicable to their role.
- 5.1.3 Ensuring that adequate and appropriate support, supervision and training and development is provided for the employee during their probationary period.
- 5.1.4 Meeting regularly with the new employee to ensure that standards are being set and reviewed effectively in a timely manner
- 5.1.5 Adherence to the procedure as set out within this document.
- 5.1.6 Ensuring that all new employees receive set and agreed objectives within their first 6 months of employment.
- 5.1.7 Ensuring that all new employees attend the required statutory and mandatory training related to their job role.

5.2 Member of staff – responsible for:

- 5.2.1 Consistently meeting the requirements of their employment contract (e.g. being punctual, fulfilling their contracted hours and role)
- 5.2.2 Consistently performing effectively in their role, as set out in the agreed objectives
- 5.2.3 Adherence to Trust policies and procedures applicable to their role
- 5.2.4 Their own health, wellbeing and attendance at work
- 5.2.5 Their own conduct as an employee of the Trust
- 5.2.6 Raising any concerns as early as possible about work issues that impact on their health, wellbeing or ability to effectively perform their role.
- 5.2.7 Attending all required statutory and mandatory training related to their job role.

6.0 Equality Statement

- 6.1 In accordance with Whittington Health's Equality and Diversity Policy this policy will not discriminate, either directly or indirectly, on the grounds of any of the protected characteristics. Managers will also need to ensure in discussion with the staff member and HR where required, reasonable adjustments at work are implemented in a timely manner.

7.0 The Procedure

Regular reviews

- 7.1 Regular reviews between the employee and the line manager should take place throughout the probationary period. One to one reviews should be held at least three times in the first five months. The first should be scheduled for the end of the employee's first month. The purpose of these meetings is to monitor progress, identify any concerns or issues, and identify relevant support mechanisms which should be put into place. Meetings will be recorded along with any supportive action taken.
- 7.2 If any problems or issues are identified, or if the employee is not meeting the expected standards required of them by the Trust, managers should meet with the employee more regularly. The purpose of these meetings is to identify and put into place any training or support to support the employee in reaching the required standards. At this stage the manager should be accompanied by HR and the employee should be given the opportunity to be accompanied by a trade union representative or work colleague.

8.0 Completion of Probationary Period

Confirm Employee in Established Post

- 8.1 If at the end of the probationary period the employee's performance is satisfactory, the probationary period will be concluded and managers should confirm this to the employee.

Terminate the Contract

- 8.2 Where the manager feels that, even with support in place, the employee cannot meet the standards required for the role the employee's continued employment will be duly considered. This should normally be after the first review. This means that the decision to terminate the contract of employment during the probationary period can be made at any time in these circumstances (refer to 2.4 for required notice periods).

- 8.3 The formal hearing will take place at which a Senior Manager, which will normally be the manager of the employees line manager and HR Representative will comprise the panel. The employee will be entitled to be accompanied by a trade union representative or work colleague.
- 8.4 The manager responsible for managing the probationary period will present their account of the employee's progress during the probationary period to the hearing panel. The relevant concerns will be outlined, and the staff member will have the opportunity to respond to those concerns before a decision is made.
- 8.5 Where the employee has failed to meet the required performance standards and management have exhausted all reasonable and practical remedial action, e.g. additional training, setting objectives, mentorship, Occupational Health support etc) the contract of employment will be terminated.
- 8.6 Employees wishing to appeal against a decision to dismiss should do so in line with the Trust's Appeal procedure.

<http://whittnet/document.ashxxid=626>

Extend the Probationary Period

- 8.7 It may be appropriate to consider extension to the probationary period to allow every opportunity for the employee to reach the required job performance. If this option is being considered, it should be discussed with your Human Resources Adviser prior to the employee being informed. The probationary period would not be extended by more than 3 months and in line with the appraisal process.

9.0 MONITORING COMPLIANCE and EFFECTIVENESS: -

- 9.1 The Probationary Policy will be monitored by the Human Resources department and reports provided to the Trust's Partnership Group as appropriate.

10.0 ASSOCIATED DOCUMENTS:

Title	Intranet hyperlink
Appeals Policy	http://whittnet/document.ashxxid=626
Disciplinary Procedure	http://whitnet/document.ashx?id=1517
Capability Policy and Procedure	http://whitnet/document.ash?xid=896

Sickness Absence Policy and Procedure	http://whitnet/document.ash?xid=6172
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11.0 EQUALITY IMPACT ANALYSIS:

Whittington Health – Equality Impact Analysis Form

1. Name of Policy or Service

Probationary Policy and Procedure

2. Assessment Officer

Partnership Subgroup

3. Officer responsible for policy implementation

All trust managers – policy is trust-wide

4. Completion Date of Equality Analysis (*October 2014*)

5. Description and aims of policy/service

It is recognised that the initial period of service is a time in which new employees settle into their roles by learning about specific duties of the post and using their skills and competencies to learn to undertake those duties satisfactorily. This Probationary policy and procedure is designed to facilitate this process in order to enable new employees to meet the standards required for successful completion of the six month probationary period in terms of performance, conduct and attendance.

6. Initial Screening

An initial analysis has been carried out to explore whether the Probationary Policy is likely to have a detrimental impact in terms of people included in one or more of the following equality categories:

- Race
- Disability
- Gender
- Age
- Sexual orientation
- Religion and belief
- Gender Reassignment
- Marriage and civil partnership
- Pregnancy and maternity

7. Outcome of initial screening

No direct adverse impact could be seen in terms of the protected groups.

Managers do need to be aware when applying the policy that people whose first language is not English may require additional support.

The policy applies to all staff but it is recognised that there may be unfair application of the policy and therefore this needs to be monitored and kept under review

The current monitoring system will continue and will be reviewed at partnership group. Remedial action will be taken if necessary following discussion at this group.

8. Monitoring and review/evaluation

The policy will be reviewed in three years' time with the outcomes of probationary periods reviewed more frequently.

9. Publication of document; *Intranet*

12.0 Appendix 1

Probationary Report



CONFIDENTIAL

PROBATIONARY REPORT

Employee Name:

Section/Department:

Date Appointed:

The employee must be made aware that he/she is on probation and the implications of this for continuing employment with Whittington Health. Basic departmental induction procedures must have been carried out. Employees during their six month probationary period are not subject to the Trust's Disciplinary Procedure and thus employees failing to reach standards required in any area of work or conduct following the first review can be dismissed with notice without the department having to follow the full disciplinary procedure. Dismissals for offences of gross misconduct will also be dealt with under the probationary procedure but may be without notice. You must contact your Human Resources department **BEFORE** taking such action. Full notes of any such action should be made on this form.

The assessment necessary to complete this form should be made during one to one reviews with the employee who should sign the form at the appropriate place to indicate understanding of the comments and any action plan and targets and the possible consequences of failure to meet these. A copy of the form should be given to the employee after each review.

Please rate items 1-7 as appropriate:

A = Very Good; B = Good; C = Satisfactory; D = Poor

Date	1 st Review	2 nd Review	3 rd Review
1. Timekeeping			
2. Meeting job requirements			
3. Standard of work			
4. Initiative			
5. Relationship with colleagues			
6. Relationship with superiors			
7. Sickness Record: No. of <u>working days</u> absence during period			
No. of <u>periods</u> absence during period Please add extra information on sickness record if required			

Please answer "yes" or "no" to the following questions.

If the answer to any question is "yes", please give appropriate information in the relevant section below:-

	1 st Review	2 nd review	3 rd Review
8. Has it been necessary to discuss with the employee: a) any recurring deficiency in the performance of his/her duties? b) Any misconduct, and if so does it breach the disciplinary rules at Appendix One of the Disciplinary Procedure and therefore constitute gross misconduct?			
9. Has it been necessary to give: a) any additional training? b) more than normal supervision?			

Employees who are not meeting the required standards of work or conduct at any stage during their probationary period should be set aims and objectives with reasonable target dates which will enable them to overcome any of these difficulties. These must be discussed with the employee to ensure that they understand the aims and objectives, the reasons for setting them, as well as the consequences of failing to achieve them. These may be set at any time but details of them must be entered on the probationary form as well as the employee's personal file. Appendix 2 can be used to record these details.

1st Review

Manager's Comments:

Action Plan and Targets Set (Where appropriate, use Appendix 2 for details)

.....

Manager's signature

.....

Date

I understand the above comments, action, plan and targets which have been discussed with me. I understand that failure to achieve these targets to the agreed standards will jeopardise my continuing employment with the Trust.

.....

Employee's signature

.....

Date

2nd Review

Manager's Comments:

Action Plan and Targets Set (Where appropriate, use Appendix 2 for details)

.....

Manager's signature

.....

Date

I understand the above comments, action, plan and targets which have been discussed with me. I understand that failure to achieve these targets to the agreed standards will jeopardise my continuing employment with the Trust.

.....

Employee's signature

.....

Date

3rd Review

Manager's Comments:

Action Plan and Targets Set (Where appropriate, use Appendix 2 for details)

.....

Manager's signature

.....

Date

I understand the above comments and that my employment with the Trust remains on probation until (manager to insert appropriate date). I understand that failure to achieve targets set before this date may jeopardise my employment which will continue to be monitored after that date.

.....

Employee's signature

.....

Date

Appendix 2

Probationary Report Action Plan

Date Action Agreed	What is required?	Date for completion	How will you know the objective has been achieved?	Outcome	Any further action required