



# PROBATIONARY PERIOD POLICY

JULY 2020

## ABSTRACT

Peterlee Town Council provides this Probationary Period Policy for employees as a guide for the first 6 months of employment.

**Janet Hugill**

CORPORATE SERVICES MANAGER

Please think before printing this document.

Where printing is necessary, please ensure that it is printed double sided and in greyscale.

## Contents

Introduction .....	3
Aims of the Policy.....	3
Principles.....	3
Internal Appointments.....	4
External Appointments .....	4
Probationary Period Procedure .....	4
Commencement of Probationary Period.....	4
Probationary Review Meeting .....	4
Absence during Probationary Period.....	5
Completion of Probationary Period.....	6
<b>Satisfactory Performance</b> (employee confirmation in post).....	6
<b>Unsatisfactory Performance</b> (extension of probationary period).....	6
Probationary Period Hearing .....	6
Appeal Procedure .....	8
Early Termination of Probationary Period .....	8
APPENDIX 1 .....	10

## Introduction

It is the Council's policy that all new appointed employees are subject to a probationary period of six months.

This policy will allow both the employee and their manager to assess whether or not the employee is suitable for the role. The Council believes that probationary periods increase the likelihood that new employees will perform effectively in their employment.

The manager is responsible, under this policy, for ensuring that all new employees, are properly monitored during their probationary period, addressing any issues promptly.

This policy applies to all employees of the Council.

## Aims of the Policy

To provide a clear framework for managers and new employees in assessing capability, reliability and suitability for a post as well as informing them of what is expected of them during this time.

## Principles

A probationary period will apply to all new employees of the Council. Reference to the length of the probationary period will be included in the letter of appointment and this will normally be for a period 6 months.

The probationary period is complementary to the induction process. During this period, line managers will be responsible for assessing the employee's performance, liaising with and supporting the employee to ensure that they are reaching, or are capable of reaching, the required performance standard to undertake the job.

Employees must be made aware of the purpose of a probationary period, have a clear understanding of what is expected of them and receive constructive feedback on their performance.

Full support, feedback, training and instruction as necessary must be given to the new employee to give them a complete opportunity to achieve their maximum performance.

Managers should ensure employees are aware of any concerns as soon as possible and action is taken to improve or correct the employee's performance promptly. Where improvement is required, an action plan with objectives, specific time limits and development solutions will be agreed. It is important that objectives are Specific, Measurable, Agreed, Realistic and Timely.

Where performance issues cannot be resolved within a reasonable period of time, this process will ensure that employment is terminated through a fair and transparent process.

Employees should be made aware of the expectations of the role and that failure to reach the required standard within the probationary period may result in the termination of their

employment. No employee should be dismissed without attending a Probationary Period Hearing, where they will have the right to be accompanied by a work colleague or trade union representative.

The Council is an equal opportunities employer and as such managers will ensure that application of the probation procedure is fair and consistent, making sure that decisions are objectively taken and are non-discriminatory.

## Internal Appointments

Internal candidates who move to a new post within the Council will not be subject to a probationary period. This includes those employees transferring from a temporary to permanent contract in a post for which they have already completed a probationary period.

It is expected that internal candidates in a new post will be monitored and supported in line with the guidance set out in the Council's Capability Section of the Disciplinary Policy to successfully manage any development issues which arise. Managers should refer to the Disciplinary Policy for specific guidance during this transitional period.

## External Appointments

External candidates who move from another local authority to a new post within the Council will not be subject to a probationary period if there is continuous service as they will have already completed a probationary period.

## Probationary Period Procedure

### Commencement of Probationary Period

Managers should meet with the new employee to welcome them and discuss the employee's role as part of their induction process. The manager must set out clear objectives and standards which are required and ensure the employee understands them.

### Probationary Review Meeting

During the probationary period, the manager should schedule a Probationary Review meeting with the employee on a monthly basis to discuss their performance against the objectives set. This will include targets, development needs and general comments about attendance and conduct, together with any specific action points. Probationary Review meetings can be combined with established supervision meetings. As the review meetings are informal meetings between the employee and manager, the employee does not have the right to be accompanied by a trade union representative or a work colleague.

As part of the process managers, in conjunction with the employee, will be required to complete a Probationary Period Review Form on a monthly basis. This will summarise the key points of

discussion from the Probationary Review meetings, and will be signed by the manager and employee; the employee should be provided with a copy of the completed form.

If a manager determines that an employee's performance is not meeting the required standards, they must discuss their concerns with the employee during the Probationary Review meeting. The following points should be covered during the meeting:

Determine with the employee whether they are aware of their performance and what is expected of them

- Advise the employee of the areas of concerns (provide specific examples)
- Discuss and explain the required standard of performance and how underperformance has an effect on the team / Service Area
- Ask the employee whether there is any explanation/s for their underperformance
- Discuss and offer appropriate support mechanisms; this could include increased supervision, coaching, mentoring, internal or external training and job shadowing
- Determine whether any reasonable adjustments should be considered where the issue of performance is due to the employee having a medical condition that may fall under the parameters of / be covered by the Equality Act 2010
- Explain the potential consequences should an improvement not be achieved including termination of contract
- Agree timescales and deadlines for targets in relation to the areas of concern
- Record the discussion and details of the support provided on the Probationary Period Review Form.

Whilst a Probationary Period Review Meeting is an opportunity to review progress, it is important that managers discuss issues as they arise, before agreed review meetings and take appropriate corrective action at that time to address the employee's performance.

### Absence during Probationary Period

If at any stage of the procedure, an employee is absent due to sickness, advice must be sought from the Council's Occupational Health Adviser to ensure that the probationary period is not unduly delayed. Employees must be aware that the probationary period will not cease due to their absence on sickness grounds. Management of the employee's sickness absence should be dealt with in accordance with the Attendance Management Policy.

The length of the probationary period must not exceed six months in total, or eight months if extended following a Probationary Period Hearing. Therefore, should an employee commence a period of long-term sickness absence, their probation period will not be held in abeyance. Where the employee remains absent due to sickness when approaching the six-month review,

the Manager will call a review meeting at which point the decision may be taken to proceed to a Probationary Period Hearing.

## Completion of Probationary Period

### Satisfactory Performance (employee confirmation in post)

Where the performance of the new employee is satisfactory, confirmation should be given to the employee in writing that a successful probationary period has been completed. Completion of a successful probationary period will not normally be confirmed prior to the third and final review.

The Probationary Period Review Forms and letter of confirmation should be forwarded to Corporate Services.

### Unsatisfactory Performance (extension of probationary period)

Upon the completion of five months service, if the manager is concerned the employee is not reaching a satisfactory level of performance this should be confirmed to the employee. The manager should explain that if performance does not improve by the completion of sixth months service, a Probationary Period Hearing will be arranged when consideration will be given to the employee's performance over the Probationary Period and potential termination of their employment.

Where the performance of the new employee remains unsatisfactory by the sixth month, the manager must advise the employee of this, and that they have no alternative but to proceed to the Probationary Period Hearing. Written confirmation of this decision should be given to the employee inviting them to a formal Probationary Period Hearing.

## Probationary Period Hearing

The formal Probationary Period Hearing will be heard by the Town Clerk, who will Chair the Hearing.

The employee should be notified of the date and arrangements for the Hearing in writing with a minimum of seven calendar days' notice. The manager must forward a copy of the Probationary Period Hearing Report and all supporting documentation to the employee and the Chair of Probationary Period Hearing a minimum of seven calendar days prior to the date of the Hearing.

This should include:

- Copy of the employee's job description
- Copies of the Probationary Period Review Forms
- Details of informal and formal training provided (together with any other support provided for the employee)
- Departmental performance levels

Should the employee wish to submit any documentation in support of their case, this must be provided to the Chair of the Probationary Period Hearing (with a copy to the manager) no less than 48 hours prior to the date of the Hearing.

The employee must attend the Probationary Period Hearing and has the right to be accompanied at the Hearing by a Trade Union representative or work colleague. If the employee fails to attend the meeting without prior notification and/or reasonable explanation, the hearing will proceed in their absence and a decision will be made based on all the information available at the time of the meeting. Where an employee's representative is unavailable to attend the hearing, one alternative date within seven calendar days of the original date should be arranged. Should the employee or their representative be unable to attend the re-arranged date, the hearing will be held in their absence; in this situation, written representations will be accepted.

The procedure to be followed in a Probationary Period Hearing is set out in the Probationary Period Hearing and Appeal Hearing process, following which the Town Clerk will determine one of the following outcomes:

i. The employee's performance is satisfactory and confirmation of successful probationary period will be given to the employee in writing. Where applicable, this should include details of any appropriate further training.

ii. To extend the probationary period. In exceptional circumstances where the line manager has been unable to make a reasonable assessment of performance the probationary period may be extended. The length of the probationary period, including any extension, must not exceed 8 months in total. During the period of extension managers in conjunction with the employee will be required to complete a Probationary Period Review Form on a monthly basis. At the end of the extended review period should the manager determine that the employee has failed to achieve a satisfactory standard of performance, the Probationary Period Hearing will be reconvened and a final decision made in relation to the employee's probationary period.

iii. The employee's performance is unsatisfactory and confirmation is given to the employee that they have failed the probationary period resulting in termination of the contract of employment. The employee will not normally be asked to work a notice period and a payment in lieu of notice will be given, except in the case of gross misconduct, is one month.

## Appeal Procedure

An employee has the right of appeal against the decision to terminate their employment to the Appeals Panel, who will chair the Probationary Period Appeal Hearing. Notification of intent to appeal must be made in writing within seven calendar days of the date of the dismissal decision letter, and must state the employee's grounds for appeal.

The procedure to be followed in a Probationary Period Appeal Hearing is set out in the Probationary Period Hearing and Appeal Hearing process. The Appeal Hearing is a re-hearing of the case and the employee will have a right to be accompanied by a Trade Union representative or work colleague.

At the conclusion of the Hearing, the Town Clerk and Appeals Panel will determine one of the following outcomes:

- To uphold the employee's appeal
- Not to uphold the employee's appeal.

Following the appeal hearing the employee will be notified of the outcome in writing. The Appeal Hearing decision is final and there is no further right of appeal.

## Early Termination of Probationary Period

It is anticipated that no employee's contract will be terminated prior to their three month review. However, there may be occasions when an employee's performance causes such concern that immediate action needs to be taken. Examples include:

- New performance shortfalls are occurring in addition to those already identified and discussed with the employee
- Clear evidence of worsening performance
- No reasonable prospect of achieving the required standards
- Serious conduct issues have occurred

In these circumstances the manager should contact the Corporate Services Manager and arrange for a formal Probationary Period Hearing as soon as possible using the procedure outlined above.

During an employee’s Probationary Period where serious conduct issues have occurred, following an initial fact find these matters will be dealt with under the Probationary Policy. The employee should be notified of the allegations and that a formal Probationary Period Hearing will be arranged immediately at which they will be given the opportunity to respond to the allegations raised against them and present their case. The employee should be notified of the arrangements for the Hearing, as per the Probationary Period Hearing procedure. Should the decision be made to termination the employee’s employment, they will have the right of appeal against this decision as per the Probationary Period Hearing Appeals procedure.

<b>Author of Policy;</b>	<b>Corporate Services Manager</b>
<b>Date effective from;</b>	<b>July 2020</b>
<b>Policy review;</b>	<b>July 2023</b>
<b>Version Control;</b>	<b>V2</b>

## APPENDIX 1

### **PROBATION REVIEW FORM FOR SUPPORT STAFF**

Before completing this form you are advised to read Peterlee Town Council's Probationary Period Policy.

**PLEASE NOTE:**

You are **NOT** required to submit a copy of this form to Corporate Services where the employee's performance during probation is satisfactory. However, you **MUST** submit a copy to Corporate Services and seek the advice of your HR Manager as soon as possible if difficulties arise during the probationary period which mean that extending the probationary period and/or non-confirming the employee in post are possible outcomes. Non-reporting will result in the assumption that the employee's probation period is progressing satisfactorily.

*The line manager should ensure that the employee is given a copy of this document at each stage of their probation and should retain the original to monitor progress against set objectives at follow-up meetings.*

#### **Probation Record**

<b>Employee name:</b>		
<b>Job Title:</b>		
<b>Grade:</b>		
<b>Department / Section:</b>		
<b>Post Start Date:</b>		
<b>Line Manager:</b>		
	<b>Date Due</b>	<b>Please tick when completed</b>
<b>Initial Meeting</b>		
<b>3-month review:</b>		
<b>6-month review:</b>		
<b>9-month review:</b>		

**PART 1: Initial meeting**

This section should be completed by the line manager within a week of the employee commencing their employment.

<b>SECTION A: Objectives</b> The line manager should identify specific objectives for the employee (for 3, 6 and 9 months, as appropriate) These will be statements of what should be achieved during the probationary period, including indicators of success and timescales for achievement.	
<b>SECTION B: Development Plan</b> To support the employee in achieving these objectives, the line manager should identify any training and development needs and specify how and when these needs will be addressed during the probationary period.	
<b>Employee's Signature:</b>	
<b>Manager's Signature:</b>	
<b>Date:</b>	

**PART 2 – First review (3 months)** - a second copy of PART 2 of this form may also be used to conduct a 6-month review with an employee whose probationary period is 9 months)

To be completed by the Line Manager in discussion with the employee.

<i>(please tick)</i>	<b>Improvement required</b>	<b>Satisfactory</b>	<b>Good</b>	<b>Excellent</b>
<b>Quality and accuracy of work</b>				
<b>Efficiency</b>				
<b>Attendance</b>				
<b>Time Keeping</b>				
<b>Work relationships (team work and interpersonal communication skills)</b>				
<b>Competency in the role</b>				

**If any areas of performance, conduct or attendance require improvement please provide details below.**

**Where concerns have been identified, please summarise how these will be addressed during the remaining period of probation.**

<b>Summarise the employee's performance and progress over the period</b>			
<b>Have the objectives identified for this period of the probation been met?</b>	<b>YES / NO</b>	<b>If NO, what further action is required?</b>	<b>Review Date</b>
<b>Have the training / development needs identified for this period of the probation been addressed?</b>	<b>YES / NO</b>		
<b>Employee's Signature:</b>			
<b>Manager's Signature:</b>			
<b>Date:</b>			

**PART 3 – Final Review (6 or 9 months depending on Grade of employee)**

To be completed by Line Manager in discussion with the employee.

<i>(please tick)</i>	<b>Improvement required</b>	<b>Satisfactory</b>	<b>Good</b>	<b>Excellent</b>
<b>Quality and accuracy of work</b>				
<b>Efficiency</b>				
<b>Attendance</b>				
<b>Time Keeping</b>				
<b>Work relationships (team work and interpersonal communication skills)</b>				
<b>Competency in the role</b>				
<b>Have the objectives identified for the probationary period been met?</b>	<b>YES / NO</b>	<b>If NO, please provide details</b>		
<b>Have the training / development needs identified for the probationary period been addressed?</b>	<b>YES / NO</b>			
<b>Summarise the employee's performance and progress over the period</b>				
<b>Is the employee's appointment to be confirmed?</b>				<b>YES / NO</b>
<b>If NO, please provide reasons below and summarise what action has been taken to address any difficulties which have arisen during the probationary period.</b>				

<p>The employee may provide any comments about their experience of the probationary process here.</p>	
<p>Should the employee's probationary period be extended?</p>	<p>YES / NO</p>
<p>If YES, please provide reasons and, where appropriate, specify any areas of improvement required and how these will be monitored.</p>	
<p>Length of the extension (max 3 months):</p>	
<p>New Probation Period completion date:</p>	
<p>Employee's signature:</p>	
<p>Manager's signature:</p>	
<p>Date:</p>	

**PLEASE NOTE:** At the final review meeting, the line manager should confirm verbally whether or not the employee has successfully completed their probationary period. Corporate Services will **ONLY** issue a letter to confirm the outcome of a probationary period where this follows an extension of the probationary period or where significant difficulties have arisen during the probationary period. **In such cases, a copy of the completed probationary review form should be sent to Corporate Services) to trigger issuing of the confirmation letter.**