

Assessed and Supported Year in Employment

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Overarching policy: Preceptorship Policy

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1 Purpose

Following this procedure will help the Trust to:-

- Provide a supportive framework in order to develop confident and competent social workers to support the recovery and wellbeing of individuals and their carers, which is the core aim of the services we provide. The Assessed and Supported Year in Employment ASYE is assessed against the Professional Capability Framework (PCF) for Newly Qualified Social Workers (NQSWS) and the Knowledge and Skills statement (KSS) for social workers in adult's services. In addition, the ASYE aids the development of national consistency in what a social worker should know and be able to do by the end of their first year in employment. Participation in the ASYE supports newly qualified social workers to consolidate their degree learning, develop capability and strengthen their professional confidence in an employment environment.

2 Related documents

- Preceptorship Policy

3 ASYE programme

Welcome to the Tees, Esk and Wear Valleys NHS Foundation Trust Assessed and Supported Year in employment that is run in partnership with Tees Valley Social Work Partnership. This handbook provides information and guidance that will support both NQSWs and their assessors through the ASYE year.

3.1 The aim of TEWV ASYE programme

Since 2012, the social work reform board advised that all NQSW'S are required to complete an assessed year in employment (ASYE). The Department of Health and Social Care have not made it mandatory for ASYE to be completed but they have made it an expectation, as has the Chief Social Worker, that all NQSW's should undertake the ASYE. The ASYE is a twelve month, employer-led programme of support and assessment against the [KSS for social workers in adult services and the PCF\), end of ASYE level](#). There is an expectation that the ASYE should be completed within 12-months for full-time employees and pro rata for part time employees which will usually be within 2 years.

The aim of the TEWV programme is to provide a supportive framework in order to develop confident and competent workers to support the recovery and wellbeing of individuals and their carers, which is the core aim of the services we provide. Participation in the ASYE supports newly qualified social workers to consolidate their degree learning, develop capability and strengthen their professional confidence in an employment environment.

3.2 Process and expectations of NQSWs

TEWV expect NQSWs to start the ASYE as soon as they are employed and registered as social workers. Throughout the year, there are regular reviews, which take place at 3-month, 6-months, and 9-months before the final review. There is also a programme of reflective and peer support workshops during the year. NQSW must be in post and a registered social worker to start.

Any social worker who completed their degree after 2012 is expected to have completed their ASYE within two years of qualifying and they then have two years to complete if part time / if they require a break for sickness, maternity or other absence. There are circumstances when a social worker can start their ASYE after two years of qualification if TEWV as an employer are satisfied that the social worker still meets the standards of a qualifying worker and their knowledge is current.

Every NQSW will have a line manager who provides case management and accountability for the NQSWs work. They will also be assigned an assessor who is a registered social worker, provides reflective supervision and learning, and makes the progressive assessment decision to support them through their year. In addition, an ASYE co-ordinator is responsible for the delivery of the ASYE scheme and is available to provide advice, support and co-ordination of the programme. Within the Trust the ASYE co-ordinator is the Professional Head of Social Work.

During employment, all employees should follow all relevant Trust policies, procedures, policy and local guidance in addition to the requirements detailed within their contract of employment.

3.3 Support for NQSWs

Support for Newly Qualified Social Workers (NQSW)

Support is provided in a variety of ways and will vary according to the needs of individual but at a minimum will include:

1. **Induction:** All new starters will be expected to undertake a corporate and local induction
2. **Training:** Mandatory and non-mandatory training relevant to their post
3. **Reduced workload:** 10% reduction in workload set aside for learning and development opportunities.
4. **Supervision:** Regular structured and reflective supervision: Skills for Care guidance states that supervision should take place weekly for the first six weeks of employment and from week 7 fortnightly until the 6-month review. Supervision will take place on at least a monthly basis for the next six months. This is the minimum requirement and may vary according to needs, but these standards must be adhered to and reflected in the ASYE documentation.
If the ASYE supervisor is not the team manager and the team manager / clinical lead also provides supervision, then the differences and frequency between the two sets of supervision need to be clearly stated in the record of support and progressive assessment document.

Supervision should follow the TEWV guidance – using the Record of Clinical Supervision Social Workers, Associate Practitioners and HCA's template link needed. Details about the frequency of supervision, including provision for group supervision should be recorded in the 'Record of support and progressive assessment document'. A TEWV clinical supervision contract also needs to be completed.

5. **Variety of Developmental Opportunities:** In order to meet identified learning needs, NQSWs should be given the opportunity to meet their developmental needs in a variety of different learning experiences. This includes attending appropriate in-house training courses, online courses and additional activities such as shadowing opportunity (including in another team if appropriate), and attendance at the TEWV trust wide social work network group that takes place twice a year [\Social Work Network Meeting Dates\Trust-wide Network Meeting dates](#) and locality based sessions that take place twice a year [\Social Work Network Locality Meeting Dates](#).
- 6.
7. **Peer Workshops:** All NQSW will be required to attend reflective peer workshops. The purpose of the workshops, which take place on a monthly basis, is to provide additional support to NQSWs/ social work students and to give them the opportunity to critically reflect on their practice in a peer group environment. [\Social Work Pods for ASYE, Social Work Students, Think Ahead Participants](#).
8. **Study days:** NQSWs are entitled to three study days during the 12-month period. This can be used for activities such as writing the critical reflection log or developing portfolios or spending time with another team/ service. This is in addition to the 10% workload reduction. It is expected that a NQSW would have a workload equivalent of 90% of what is expected of a clinician in the same role in their second and third year of employment, weighted over the course of the year by aspects such as case complexity, risk and growing proficiency. There may be other arrangements required for different routes and these will be written into the agreement at the start of the placement.

In addition, the 10% workload reduction ensures that the NQSW has time to attend agreed learning and developmental activities and the reflective peer support workshops. This can be provided in a variety of ways e.g. half day a week, one day a fortnight or two days per month and

whatever is agreed should be recorded in the record of support and progressive assessment at the start of the ASYE.

In some teams, the manager/ clinical lead will be able to reduce the NQSWs workload by reducing the number of cases by 10% and this is a straightforward way of managing the allocation of caseload. If this does not possible in certain teams, it is the responsibility of Team manager/ lead clinician to manage the allocation of cases so that the NQSW has a reduction that equates to 10%.

3.3.1 Additional support

NQSWs should inform their line manager if they require any support due to a medical condition, disability or long-term condition. This should be done prior to commencing ASYE to allow time for consideration of an occupational health referral and any associated reasonable adjustments to be put in place. The plan for support should be clearly documented in the support and progressive assessment agreement (From Skills for Care website). Support and advice may be required from the Human Resources department.

3.3.2 Support for line managers/ clinical leads

1. Invite to question and answers session on ASYE in August
2. To arrange regular meetings between ASYE mentor and line manager and/ or clinical leads.
3. Access to support from ASYE coordinator.

3.3.3 Assessors

Assessors support and assess the progressive development of NQSW. They may or may not be the same person who provides line or case management and supervision. They will be offered the opportunity to meet with the ASYE co-ordinator, **Assessors must be Registered Social Worker and should be a qualified Practice Educator Level 2 or completed the Practice development Educator Standards for Social Work portfolio.** Support for assessors is provided as follows:

1. Invite to question and answers session on ASYE to be arranged to meet managers needs.
2. Bi-monthly sessions to introduce and explore key concepts in the ASYE, and provide guidance on what is expected from both the NQSWs and assessors.
3. Regular feedback and support as required from the ASYE coordinator
4. Access to informal peer mentoring if required or 1:1 sessions with the ASYE co-ordinator

Skills for Care provide advice and support for assessors <https://www.skillsforcare.org.uk/Learning-development/social-work/asye-adults/The-Assessed-and-Supported-Year-in-Employment-Adults.aspx>

3.4 Assessment process

The assessment process is not a competence or 'tick box' exercise but rather a holistic assessment process used to meet the requirements of the Knowledge and Skills Statement for social workers (KSS) in adult services and Professional Capability Framework (PCF). To facilitate assessment, Skills for Care have mapped the PCF and the KSS statement together as holistic assessment outcomes and guidance on this and on the ASYE can be found at:

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/411957/KSS.pdf and [professional capabilities framework \(PCF\)](https://www.basw.co.uk/professional-development/professional-capabilities-framework-pcf)
<https://www.basw.co.uk/professional-development/professional-capabilities-framework-pcf>

TEWV is using the documentation developed by Skills for Care. These include:

- A critical reflection Log or CRL – completed by the NQSW.
- A record of support and progressive assessment of ROSPA – completed by the assessor.

The NQSW can expect to be provided with feedback on their progress through the year, as well as getting a pass or fail assessment at the end. In particular, feedback should be given at both the formal three and 6-month review regarding whether an NQSW is on course to pass. Assessment is made against the holistic assessment outcomes using the following evidence:

- Critical reflection log
- Direction observations (minimum of 3 and TEWV state that one must be a mental capacity assessment under the Mental Capacity Act 2005)
- Feedback from service users and carers minimum (minimum of three over the 12-month period)
- Feedback from other professionals (minimum of three)
- Sampling of professional documentation
- Supervision notes
- Casework evidence anonymised

3.4.1 Submission

All work should be submitted at regular intervals to both the assessor and the ASYE coordinator by the NQSW.

3.4.2 Change of assessor

Wherever possible, a NQSW should have the same assessor throughout the ASYE. However, there may be times when an assessor is not available to provide support and assessment. It is therefore important to ensure that a contingency plan is in place from the beginning of the ASYE and an alternative assessor is identified for this eventuality. This contingency plan should be discussed and agreed with the line manager and NQSW at the beginning of the ASYE and clearly recorded in the ROSPA with information shared with the ASYE coordinator.

Under some circumstance, e.g. a change of team, a NQSW may change to another assessor. In this case, the following protocols apply:

- The assessor should ensure that they have reviewed the progress of the NQSW has made against the assessment criteria until the point of handover and record this in the ROSPA.
- If an observation has taken place then the observer should ensure that they complete the observation form before transfer to a new assessor.
- All paperwork should be complete to date of transfer prior to transfer to a new assessor.
- The new assessor should meet with the NQSW as soon as possible after taking over the assessor role, review, and update the support and progressive assessment agreement.

3.5 Moderation

TEWV ASYE is required to meet the internal, regional and national moderation requirements that are specified by Skills for Care. In order to meet these requirements it is the responsibility of both the NQSW and their supervisors to adhere to the timescales set out in appendix 1.

As information will be shared, it is also important to ensure that all work is anonymised including the names of providers and organisations.

3.5.1 Internal moderation panel

The aim of the internal moderation panel is to ensure that there is consistency in decision making across the organisation as well as confirming the assessment decision. The panel will be chaired by the Professional Head of Social Work and will take place, three monthly periods and on completion. Delegates on the panel will usually be:

1. Professional Head of Social Work
2. Recovery College Manager
3. ASYE representative from LA

3.5.2 External moderation panel

External moderation is carried out in partnership with Tees Valley Social Work Partnership.

The partnership is required to ensure there is consistency in assessment decisions and that all NQSWs are being provided with the support they are entitled to throughout the ASYE. To achieve this, there will be a process of internal moderation to ensure consistency within each local authority and external moderation to ensure consistency across organisations.

Throughout the ASYE programme, moderation will examine whether support and assessment processes are robust and that all of the mandatory elements of the ASYE are being implemented.

Prior to moderations taking place, NQSWs will be informed via e-mail of the date, to ensure they submit their portfolio on time. The internal moderation process confirms the assessment outcome on behalf of the employer through reviewing and scrutinising the assessment decision of individuals. Responsibility for the final ASYE assessment judgement does not lie with any individual employee of the organisation alone.

Local Authority partners from across the Tees Valley will also meet to externally moderate portfolios every six months, using a random sampling process. Presently evidence is sampled at different stages of the ASYE portfolio. The predicted volume of evidence to be moderated in a year is reviewed in the ASYE business meetings.

To maintain confidentiality and data protection, there should not be any service-user identifiable information or work products, including supervision records within any of the documents submitted in the portfolio.

The external moderation panel will feed back themes and learning from moderation sessions to Assessor, Team Managers and Service Managers within the partnership.

The venue for all external moderations and business meetings is currently Inspire2 Learn, Normanby Road, South Bank, Middlesbrough. TS6 9AE.

3.5.3 National Moderation Panel

The national moderation panel also reviews a sample of work from each area to ensure consistency and to quality assure nationally. Feedback is given to each organisation on the quality of individual work and on the ASYE programme to ensure consistency of assessment and quality assures the moderation process.

3.6 Failing ASYE performance

Failing ASYE Performance Trust Capability procedure HR Procedures

At the beginning of the ASYE, every NQSW is registered with Skills for Care. Each full-time NQSW employed with TEWV will be expected to complete their ASYE within one year and part-time NQSW pro rata e.g. a social worker on 18.5 hours would take two year to complete, in order to be able to practice as a registered social worker and to receive a nationally recognised certificate.

The ASYE may be put on hold for the following circumstance with the agreement of the assessor and the Professional Head of Social Work:

- Where the NQSW has had an extended period of sickness of more than four weeks or a combination of short and longer term sickness which results in more than 4 weeks absence over the 12 month period
- Where the NQSW takes maternity / adoption / shared parental leave
- Where the NQSW take special leave, which equates to 4 weeks or more absence from work. Please refer to the Trusts Special Leave procedure.

In addition to the circumstances detailed above the Trust may consider other exceptional circumstances. Once agreed, the ASYE will be recorded as 'on hold' and will be recommenced on the NQSWs return.

The support and assessment mechanisms embedded in the ASYE programme ensure that NQSWs who are on a failing profile will be identified early on in the year by their assessor or through the moderation process this should be at either the three or six month review. However, both the NQSW and or the assessor should contact the ASYE coordinator as soon as concerns are raised and should not wait until the review meeting. This will then be discussed with the relevant HR Manager. The Director of Therapies will also be made aware of the situation to ensure that appropriate support is offered to the individual.

Depending on the nature of the concerns, consideration will be given to invoking the Trust Capability Procedure or the Trust Probationary Procedure if within the first 6 months of employment. Any issues of misconduct will be dealt with via the Trust Disciplinary Procedure.

If a candidate fails the ASYE, this will be recorded on the skills for care portal and if concerns are raised about practice, they could be reported to Social Work England, which could affect professional registration.

Advice will be taken from the Trust HR department as failure to complete the ASYE may have implications for employment and will be considered in line with trust policies and procedures as well as in line with the Social Work England regulatory body.

The work an NQSW submits for the ASYE should be a true representation of the practice they have undertaken and of their own professional development. Plagiarism therefore is unacceptable. It is also contrary to the Social Work England 'standards of conduct performance and ethics and Domain 1 of the Professional Capabilities Framework.

3.6.1 Appeal process

Since this is an assessment of competence concerns about the NQSWs practice are managed under the TEWV policies regarding capability, the NQSW has the right to appeal.. Should the NQSW have a concern governing the way in which TEWV is meeting the employer standards this would be initially raised with their line manager (unless the concern relates directly to the line manager) and if this is the case, concerns should be raised with the manager at the next level or HR or Professional Head of Social Work. If attempts to informally resolve the concerns are not possible individuals should raise their concerns via the Trust Grievance Procedure.

4 Roles and responsibilities

ASYE Programme Co-ordinator

- Provide the link between NQSW's, assessors, line managers, TEWV workforce development, Tees Valley Social work partnership and Teesside University.
- Co-ordinate the process of allocating assessors to NQSW's.
- Organise and oversee the Reflective Workshops
- Coordinate internal moderation process
- Engage with HR and the Director of Therapies as and when required.
- Provide support to NQSW's, assessors and line managers.
- Ensure that TEWV ASYE meets the requirements set out by Skills for Care.
- Provide coaching and mentoring to ASYE assessors.

Assessor

The assessor is responsible for the support and progressive assessment of the NQSW, and the recommendation of outcome at the end of the ASYE. This includes:

- Ensure the support and assessment arrangements identified in the record of support and progressive assessment are in place for the NQSW. Failure to do so could jeopardise the position of the employer in the event of a complaint by the NQSW.
- Undertake a professional assessment of the NQSW's capability against the [KSS](#) and the [PCF](#).
- Record the assessment of the NQSW's progress using the record of support and progressive assessment.
- Provide a professional recommendation, which can be used for internal moderation and the final assessment decision.
- Take account of their own continuing professional development and address their practice in these areas.
- Ensure the 'support and assessment agreement' and the 3, 6 and, 9 month reviews take place in a timely fashion.
- Ensure that the support and assessment agreement takes into account learning needs identified by the previous placement report and support reason adjustments recommended.
- Ensure that a contingency plan is in place to supervise/ assess NQSW progress in the absence/ change of assessor.
- Be familiar with the Skills for Care assessment documentation and complete the 'record of support and progressive assessment' to the required standard.
- Complete the final review and assessment including the pass/ fail recommendation

- Carry out at least two observations. The third must be carried out by an alternative observer who is a registered social worker
- Provide weekly supervision for the first three months using the TEWV template
- Provide individual supervision on a fortnightly basis for the next three months
- Provide monthly supervision for the remainder of the ASYE

Where applicable ensure completion of any outstanding work on the 'record of support and progressive assessment' before transferring to another assessor.

Operational Line Manager

- Familiarise self with ASYE process
- Where possible attend the Question and Answers session on ASYE in August.
- To ensure that the NQSW has a 10% reduction in caseload throughout the ASYE process
- To ensure that the NQSW is engaging with the ASYE process including attending the supervision sessions with the assessor
- To ensure that the NQSW has the opportunity to attend the reflective workshops, social work network meetings and offered 3 study days during the ASYE
- To agree with the assessor and NQSW if the team manager / clinical lead also provide supervision, what the differences and frequency between the two sets of supervision need to be and ensure that this is clearly stated in the record of 'Support and progressive assessment' document.
- To take advice from the HR department and or Director of Therapies if concerns arise that the NQSW is not presenting as a capable and competent professional.
- To communicate with assessor on a regular basis

Newly Qualified Social Worker (NQSW)

To successfully complete the ASYE, NQSW's must ensure that they:

- Must be responsible for their professional development. Participation in the ASYE enables the NQSW to demonstrate this commitment from the start of their career in line with Social Work England requirements.
- Regardless of their level of experience at the start of the ASYE, the NQSW needs to provide evidence of progressive development throughout their first year in practice. The basis of this is active participation in supervision and development opportunities.
- Must evidence their developing professionalism through the critical reflection log, and present this to the assessor at the agreed review points.
- Demonstrate they understand that critically reflective practice is central to completing the critical reflection log. To achieve this, the NQSW must gather and make use of feedback from colleagues and people in need of care and support.
- Develop professional knowledge and practice within a theoretical and evidence based framework
- Familiarise themselves with TEWV policies and procedures that relate their role including the Human Resources – during employment policy
- Attend the Trust-wide Social Work network meetings and locality meetings.

5 Key contacts

- Paula Swift Professional Head of Social Work and ASYE Co-ordinator
paulaswift@nhs.net
- Claire Chapman Recovery College Manager and member of the internal moderation panel
claire.chapman8@nhs.net
- Judith Hurst Head of Workforce Development
judith.hurst@nhs.net

6 Terms and Definitions

Term	Definition
ASYE	<ul style="list-style-type: none"> • Assessed and supported year in employment
PCF	<ul style="list-style-type: none"> • Professional Capabilities Framework
KSS	<ul style="list-style-type: none"> • Knowledge and skills statement for adult social workers
SWE	<ul style="list-style-type: none"> • Social Work England

7 How this procedure will be implemented

- This procedure will be published on the Trust's intranet and external website.
- Line managers will disseminate this procedure to all Trust employees through a line management briefing.

7.1 Training needs analysis

Staff/Professional Group	Type of Training	Duration	Frequency of Training
Social Worker	To read up on process	Ongoing	As and when required

8 How the implementation of this procedure will be monitored

Auditable Standard/Key Performance Indicators		Frequency/Method/Person Responsible	Where results and any Associate Action Plan will be reported to, implemented and monitored; (this will usually be via the relevant Governance Group).
1	Twice yearly	Teesside Partnership	Governance group

9 References

Department of Health (2015) Knowledge and skills statement for social workers in adult services. Retrieved

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/411957/KSS.pdf

BASW <https://www.basw.co.uk/professional-development/professional-capabilities-framework-pcf>
 Skills for Care <https://www.skillsforcare.org.uk/Learning-development/social-work/asye-adults/The-Assessed-and-Supported-Year-in-Employment-Adults.aspx>

<https://www.skillsforcare.org.uk/Learning-development/social-work/asye-adults/The-Assessed-and-Supported-Year-in-Employment-Adults.aspx>

10 Document control

Date of approval:	03 September 2020	
Next review date:	03 September 2023	
This document replaces:	N/A	
Lead:	Name	Title
	Paula Swift	Professional Head of Social Work
Members of working party:	Name	Title
This document has been agreed and accepted by: (Director)	Name	Title
	Sarah Dexter-Smith	Director of Therapies
This document has been approved by:	Group	Date
	AHP Professional Group	03 September 2020
An equality analysis was completed on this document on:	28 May 2020	

Change record

Version	Date	Amendment details	Status
1	03 Sep 2020	New procedure	Published

Appendix 1 - Equality Analysis Screening Form

Please note; The Equality Analysis Policy and Equality Analysis Guidance can be found on InTouch on the policies page

Name of Service area, Directorate/Department i.e. substance misuse, corporate, finance etc.	Trustwide		
Name of responsible person and job title	Paula Swift Professional Head of Social Work		
Name of working party, to include any other individuals, agencies or groups involved in this analysis	Peter Northropp,		
Policy (document/service) name	Assessed and supported year in employment (ASYE) procedure		
Is the area being assessed a...	Policy/Strategy	<input type="checkbox"/>	Service/Business plan
	Procedure/Guidance	<input checked="" type="checkbox"/>	Code of practice
	Other – Please state		
Geographical area covered	All TEWV areas		
Aims and objectives	<p>Participation in the ASYE supports newly qualified social workers (NQSWS) to consolidate their degree learning, develop capability and strengthen their professional confidence in an employment environment.</p> <p>The aim of the ASYE is to develop national consistency in what a social worker should know and be able to do by the end of their first year in employment.</p>		
Start date of Equality Analysis Screening	13.12.2019		
End date of Equality Analysis Screening	20.01.2020		

You must contact the EDHR team if you identify a negative impact. Please ring Sarah Jay on 0191 3336267/3046

1. Who does the Policy, Service, Function, Strategy, Code of practice, Guidance, Project or Business plan benefit?					
Trust social workers, colleagues, service users and carers					
2. Will the Policy, Service, Function, Strategy, Code of practice, Guidance, Project or Business plan impact negatively on any of the protected characteristic groups below?					
Race (including Gypsy and Traveller)	No	Disability (includes physical, learning, mental health, sensory and medical disabilities)	No	Sex (Men, women and gender neutral etc.)	No
Gender reassignment (Transgender and gender identity)	No	Sexual Orientation (Lesbian, Gay, Bisexual and Heterosexual etc.)	No	Age (includes, young people, older people – people of all ages)	No
Religion or Belief (includes faith groups, atheism and philosophical belief's)	No	Pregnancy and Maternity (includes pregnancy, women who are breastfeeding and women on maternity leave)	No	Marriage and Civil Partnership (includes opposite and same sex couples who are married or civil partners)	No
<p>Yes – Please describe anticipated negative impact/s</p> <p>As there is a prescriptive timescale for the completion of the ASYE, considering would need to be given on an individual basis regarding social workers undertaking longer term planned or unplanned leave in relation to Disability, pregnancy and maternity protected characteristics groups.</p>					

3. Have you considered other sources of information such as; legislation, codes of practice, best practice, nice guidelines, CQC reports or feedback etc.? If 'No', why not?	Yes	X	No	
Sources of Information may include: <ul style="list-style-type: none"> National Guidance/Reports NICE guidance Social Work England CPD guidance Trust policy on preceptorship 	<ul style="list-style-type: none"> Research Other (Please state below) 			
4. Have you engaged or consulted with service users, carers, staff and other stakeholders including people from the following protected groups?: Race, Disability, Sex, Gender reassignment (Trans), Sexual Orientation (LGB), Religion or Belief, Age, Pregnancy and Maternity or Marriage and Civil Partnership				
Yes – Please describe the engagement and involvement that has taken place				
Feedback has been gained from Skills from Care ASYE Lead, trust social workers, and newly qualified social workers undertaking their ASYE across the trust.				
No – Please describe future plans that you may have to engage and involve people from different groups				

5. As part of this equality analysis, have any training needs/service needs been identified?					
No	Please describe the identified training needs/service needs below:				
A training need has been identified for;					
Trust staff	No	Service users	No	Contractors or other outside agencies	No
Make sure that you have checked the information and that you are comfortable that additional evidence can provided if you are required to do so					
The completed EA has been signed off by: You the Policy owner/manager: Type name: Paula Swift					Date: 28 May 2020
Your reporting (line) manager: Type name: Sarah Dexter-Smith					Date: 28 May 2020
If you need further advice or information on equality analysis, the EDHR team host surgeries to support you in this process, to book on and find out more please call: 0191 3336267/3046					

Appendix 2 – Approval checklist

To be completed by lead and attached to any document which guides practice when submitted to the appropriate committee/group for consideration and approval.

	Title of document being reviewed:	Yes/No/ Unsure	Comments
1.	Title		
	Is the title clear and unambiguous?	Y	
	Is it clear whether the document is a guideline, policy, protocol or standard?	Y	
2.	Rationale		
	Are reasons for development of the document stated?	Y	
3.	Development Process		
	Are people involved in the development identified?	Y	
	Has relevant expertise has been sought/used?	Y	
	Is there evidence of consultation with stakeholders and users?	Y	
	Have any related documents or documents that are impacted by this change been identified and updated?	Y	
4.	Content		
	Is the objective of the document clear?	Y	
	Is the target population clear and unambiguous?	Y	
	Are the intended outcomes described?	Y	
	Are the statements clear and unambiguous?	Y	
5.	Evidence Base		
	Is the type of evidence to support the document identified explicitly?	Y	
	Are key references cited?	Y	
	Are supporting documents referenced?	Y	
6.	Training		
	Have training needs been considered?	Y	
	Are training needs included in the document?	Y	
7.	Implementation and monitoring		
	Does the document identify how it will be	Y	

	Title of document being reviewed:	Yes/No/ Unsure	Comments
	implemented and monitored?		
8.	Equality analysis		
	Has an equality analysis been completed for the document?	Y	
	Have Equality and Diversity reviewed and approved the equality analysis?	Y	
9.	Approval		
	Does the document identify which committee/group will approve it?	Y	
Signature:			