Being Prepared
Continuous Compliance Scheme
Version1.0
November 2026

Scheme Rules

This document contains the detailed rules of the Being Prepared Continuous Compliance Scheme. The co-owner Being Prepared handbook and supporting communications explain these rules in a shorter, more accessible form. If there is any inconsistency, these Scheme Rules take precedence.

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1 Purpose and status of the Scheme

Being Prepared is a discretionary, non-contractual scheme designed to recognise co-owners who maintain the compliance requirements necessary to work safely, professionally and effectively at BrisDoc.

The Scheme supports continuous compliance throughout the year. It replaces the previous approach under which statutory and mandatory training was principally assessed against a single 31 October deadline.

Being Prepared rewards compliance; it does not create the underlying obligation to remain compliant. Statutory and mandatory training and any other mandatory role requirements remain requirements of working for BrisDoc whether or not a Being Prepared payment is available.

The Board will determine annually whether a Being Prepared payment will be made and the value or calculation basis of that payment. Nothing in these rules creates a contractual entitlement to a payment in any year or at any particular level.

Being Prepared is separate from BrisDoc's Employee Owner Bonus Scheme.

2 Effective date and transitional arrangements

2.1 Existing 2026 Scheme

The existing Being Prepared Scheme and its 31 October 2026 compliance deadline will determine eligibility for the Being Prepared payment made in December 2026.

2.2 Soft launch: 1 November to 31 December 2026

From 1 November 2026, BrisDoc will operate the continuous compliance approach in shadow form. Individual due dates, management expectations, Grace and Recovery decisions, reporting and recording arrangements will be tested and embedded during this period.

A compliance lapse occurring during the soft-launch period will not reduce a co-owner's payment under the new continuous compliance Scheme.

The soft launch does not suspend the underlying obligation to remain compliant. Non-compliance may still trigger management action and any operational action necessary to ensure the co-owner is appropriately compliant for their work.

2.3 Live operation: from 1 January 2027

The payment consequences and formal lapse rules in this Scheme take effect from 1 January 2027. The first live scheme period runs from 1 January 2027 to 31 October 2027. From 1 November 2027, the normal Scheme Year runs from 1 November to 31 October.

3 Scope

The Scheme applies to BrisDoc employees who meet the eligibility requirements, including:

- permanent employees;
- fixed-term employees;
- bank employees; and
- zero-hours employees.

The Scheme does not apply to individuals who are not BrisDoc employees, including:

- self-employed clinicians or contractors;
- agency workers;
- locums who are not BrisDoc employees;
- consultants who are not BrisDoc employees;
- honorary contract holders;
- volunteers; and
- Non-Executive Directors.

4 Requirements included in Being Prepared

4.1 Core requirements from 1 January 2027

From 1 January 2027, the Scheme will include the following core requirements:

- completion of all statutory and mandatory training assigned to the co-owner's role; and
- completion of the annual Policy Compliance Declaration within the communicated timescale.

4.2 Additional requirements

The Scheme is designed so that additional role-specific compliance requirements may be added in future. These may include DBS requirements, occupational health or immunisation requirements, driving licence checks, professional registration or licence to practise, and other formally designated regulatory or organisational compliance requirements.

An additional requirement will not affect Being Prepared eligibility until BrisDoc has formally brought it into the Scheme and communicated the effective date in advance. BrisDoc will provide reasonable advance notice before a new category of requirement begins to affect payment eligibility.

Before a new category is introduced, BrisDoc will need to be satisfied that the requirement, responsibility, data, notification, exception, reporting and audit arrangements are sufficiently robust to support fair application of the Scheme.

A requirement may remain mandatory for a role even where it has not yet been brought into Being Prepared eligibility.

5 Scheme Year and determination dates

The first live scheme period is 1 January 2027 to 31 October 2027.

From 1 November 2027, each normal Scheme Year runs from 1 November to 31 October.

31 October is the end of the Scheme Year. It is not an annual training completion deadline.

Compliance is assessed across the Scheme Year against each requirement's individual due or expiry date.

6 Statutory and mandatory training

Each statutory and mandatory training component assigned to a co-owner has its own renewal or expiry date.

The Development Hub provides co-owners with visibility of their statutory and mandatory training requirements and due dates. Managers have corresponding visibility of the statutory and mandatory training position for members of their teams.

Three months before an individual requirement is due to expire, the Development Hub will normally trigger a notification to the co-owner. The notification is a reminder and support mechanism; it does not transfer responsibility for compliance from the co-owner.

Co-owners are responsible for knowing which requirements apply to them, checking their compliance position and due dates regularly, and completing each requirement by its due date.

Failure to receive or read a reminder, failure to access the Development Hub, or the absence of a personal reminder from a manager will not normally constitute a valid reason for an overdue requirement or qualify for Grace and Recovery.

Managers are responsible for monitoring team compliance, intervening before requirements expire and providing reasonable opportunities for completion, including operational release where required.

7 Annual Policy Compliance Declaration

All eligible co-owners must complete the annual Policy Compliance Declaration within the timescale communicated by BrisDoc.

By completing the declaration, the co-owner confirms that they have reviewed the policies identified in the declaration, understand the provisions relevant to their role and agree to comply with them in their work for BrisDoc.

Co-owners are not expected to memorise policies in full. Where a significant policy change creates an important new requirement, BrisDoc may require targeted confirmation or other assurance before the next annual declaration.

Failure to complete the annual declaration by its due date, without an approved exception, will be treated as an unapproved compliance lapse under these Scheme Rules.

8 Responsibilities

8.1 Co-owner responsibilities

- know which Being Prepared requirements apply to their role;
- check compliance status and due dates regularly;
- complete requirements by their due dates;
- act on reminders provided, without relying on reminders as the only means of managing compliance;
- raise any difficulty or barrier as early as reasonably possible;
- attend booked training or complete e-learning as required; and
- provide information or evidence reasonably required to confirm compliance.

8.2 Manager responsibilities

- monitor team compliance and approaching due dates;
- act before requirements expire;
- provide reasonable access to training and operational release where required;
- establish the circumstances of any lapse;
- identify potential Grace and Recovery cases and make recommendations where appropriate;
- ensure prompt action is taken to restore compliance; and
- escalate organisational barriers that cannot be resolved locally.

8.3 BrisDoc responsibilities

BrisDoc will provide co-owners with a reasonable opportunity to remain compliant. A co-owner will not be disadvantaged under Being Prepared where they have taken reasonable and timely steps to comply but completion has been prevented by circumstances within BrisDoc's control.

Examples may include training not being available, cancellation without a reasonable alternative, inability to release a co-owner despite reasonable notice, delay in an organisational process, or a system/data error that prevents completion or accurate recording.

9 Grace and Recovery

9.1 Purpose

Grace and Recovery provides a controlled exception where timely completion has genuinely been prevented by circumstances outside the co-owner's reasonable control.

Relevant circumstances may include sickness or other authorised absence, statutory family leave, disability or a health condition, an organisational barrier, verified system failure, or another exceptional circumstance outside the co-owner's reasonable control.

The existence of one of these circumstances does not automatically create an approved exception. The decision must consider whether the circumstance materially affected the co-owner's reasonable opportunity to comply, taking account of the notice provided, opportunities available beforehand and the steps already taken by the co-owner.

9.2 Approval

The line manager will establish the circumstances and make a recommendation where appropriate. A Grace and Recovery arrangement must be approved by the relevant Head of Service or Director.

The People Team should be consulted where the circumstances are complex or exceptional, or where disability, pregnancy, family leave or another protected circumstance may require a reasonable adjustment.

The approval, reason and applicable recovery date must be recorded in the agreed Being Prepared compliance record.

9.3 Recovery period

The normal recovery period is 30 calendar days.

Where completion requires attendance at scheduled face-to-face training and no suitable course is available within 30 calendar days, the recovery period extends to the next suitable available course. Where a suitable course is available within the 30-day period, the co-owner will normally be expected to attend that course, provided they can reasonably be released to do so.

Where Grace and Recovery follows a period of absence, the recovery period will normally begin when the co-owner returns to work, unless the requirement must be completed before particular work can resume.

Where disability or another protected circumstance requires a different arrangement, an appropriate reasonable adjustment may include a longer or otherwise different recovery period.

An approved Grace and Recovery arrangement does not count as an unapproved lapse provided the requirement is completed within the approved recovery arrangements.

Where a co-owner does not complete a requirement within an approved Grace and Recovery arrangement, the requirement will become an unapproved lapse. The applicable recovery period will not restart. Failure to complete within the approved recovery arrangement will therefore result in 0% Being Prepared payment for that Scheme Year.

9.4 Circumstances that will not normally qualify

The following will not normally qualify for Grace and Recovery on their own:

- failure to receive or notice an automated reminder;
- failure to check the Development Hub;
- a manager not personally reminding the co-owner;
- general workload pressure where reasonable opportunities to complete the requirement were available;
- leaving completion until the end of the available period where earlier reasonable opportunities existed; or
- general time-management or prioritisation issues.

10 Applying Grace and Recovery to absence and other circumstances

10.1 Planned or authorised absence

Authorised absence does not automatically remove responsibility for meeting a due date. Where the co-owner had reasonable notice and a reasonable opportunity to complete the requirement before the absence, the absence would not normally justify an exception.

Grace and Recovery may be appropriate where the timing or length of the absence genuinely removed a reasonable opportunity to comply, or where the only suitable training opportunity fell during the absence.

10.2 Short-term sickness

A short period of sickness does not automatically qualify for Grace and Recovery. It may do so where the sickness materially prevented completion, for example where the co-owner was unable to attend a booked face-to-face course or sickness removed the final reasonable opportunity to comply before the due date.

Where a face-to-face course is missed because of sickness and Grace and Recovery is approved, the co-owner should normally attend the next suitable available course.

10.3 Long-term sickness and statutory family leave

Where a requirement falls due during long-term sickness absence or statutory family leave, the co-owner will not normally be treated as having incurred an unapproved lapse while absent. The recovery period will normally begin on return to work.

Completion will normally be expected within 30 calendar days of return or, where face-to-face training is required and no suitable course is available within that period, at the next suitable available course.

10.4 Disability or health condition

Where disability or a health condition affects the co-owner's ability to complete a requirement within the usual timescale or in the usual format, the circumstances will be considered individually and reasonable adjustments made where appropriate.

10.5 Organisational or system barriers

Where a co-owner has taken reasonable and timely steps to comply but BrisDoc has prevented completion, this will not count as an unapproved lapse. The co-owner must still cooperate with reasonable alternative arrangements and complete the requirement at the earliest suitable opportunity.

11 Unapproved compliance lapses

An unapproved compliance lapse occurs where an individual Being Prepared requirement passes its due date without having been completed and without an approved Grace and Recovery arrangement or other approved exception being in place.

Each overdue requirement will normally count as a separate lapse.

An unapproved lapse triggers both a Being Prepared payment consequence and management action. The manager will establish why the requirement became overdue, agree the action required to restore compliance and consider whether any further management action is necessary.

11.1 Recovery following an unapproved lapse

A co-owner who has an unapproved lapse must restore compliance as soon as possible.

For the purposes of the payment levels in section 12, the applicable recovery period is 30 calendar days from the original due date. Where completion requires scheduled face-to-face training and no suitable course is available within that period, the applicable recovery period extends to the next suitable available course.

The recovery period does not mean the co-owner remains compliant during that period. The requirement is overdue and normal management action will continue until compliance is restored.

12 Being Prepared payment levels

Subject to the Board approving a Being Prepared payment for the relevant year, the percentage payable will be determined by the co-owner's compliance record across the Scheme Year as follows:

Compliance during the Scheme Year	Being Prepared payment
No unapproved compliance lapses	**100%**
One unapproved lapse, restored within the applicable recovery period	**75%**
Two unapproved lapses, with both restored within the applicable recovery period	**50%**
Three or more unapproved lapses during the Scheme Year	**0%**
Any unapproved lapse not restored within the applicable recovery period	**0%**

An approved Grace and Recovery arrangement does not count as an unapproved lapse.

Once a co-owner has become ineligible for a Being Prepared payment for that Scheme Year, the underlying requirement to remain compliant continues. Outstanding compliance must still be restored and will be managed through normal management processes.

The payment percentage applies to the Being Prepared amount approved by the Board for that year.

13 Management action following non-compliance

Being Prepared is an incentive scheme and does not replace normal management accountability for mandatory compliance.

Where a co-owner becomes non-compliant without an approved exception, the manager must take action to restore compliance irrespective of the co-owner's Being Prepared payment position.

Management action may include agreeing immediate completion arrangements, closer monitoring, additional support, restrictions on particular duties where necessary, and/or use of the appropriate formal management process where non-compliance is repeated, deliberate, serious or not promptly addressed.

Loss of some or all of a Being Prepared payment is not, in itself, a disciplinary sanction.

14 Bank, zero-hours and infrequent workers

Eligible bank and zero-hours co-owners are subject to the same continuous compliance requirements as other co-owners.

Periods in which a co-owner does not work a shift do not automatically suspend or extend the due date of a requirement. Co-owners remain responsible for monitoring their requirements and completing them by the relevant due date.

BrisDoc will provide reasonable access to required training. Where a circumstance outside the co-owner's reasonable control genuinely prevents timely completion, the normal Grace and Recovery arrangements may apply.

15 Evidence, system and administrative errors

A co-owner will not be disadvantaged where a requirement was completed on time but was not recorded correctly because of a system, administration or data-transfer error.

Where satisfactory evidence shows that the requirement was completed by the due date, the actual completion date will be used.

Where a BrisDoc system or administrative failure prevented timely completion despite reasonable and timely action by the co-owner, this will be treated as an organisational barrier rather than an unapproved lapse.

16 Eligibility for a Being Prepared payment

16.1 General eligibility

To receive a Being Prepared payment, a co-owner must:

- be within the scope of the Scheme;
- have at least six months' continuous employment with BrisDoc by 31 October of the relevant Scheme Year;
- have successfully completed probation by 31 October of the relevant Scheme Year;
- meet the applicable Being Prepared compliance/payment level under these Scheme Rules; and
- remain employed by BrisDoc on the date the Being Prepared payment is made.

16.2 First live scheme period

For the December 2027 payment, the co-owner must have started continuous employment with BrisDoc on or before 30 April 2027 and have successfully completed probation by 31 October 2027.

16.3 Continuous service and probation

Service preserved through a TUPE transfer will count as continuous service where applicable.

Where probation has been extended solely because of absence or another circumstance where applying the normal rule would be unreasonable or discriminatory, the circumstances will be considered individually with People Team advice.

17 Employment on the payment date

The co-owner must remain employed by BrisDoc on the date the Being Prepared payment is made.

If employment ends before the payment date, no Being Prepared payment will normally be due even where the co-owner met the other Scheme requirements before leaving.

This reflects the purpose of Being Prepared as a payment linked to readiness for the period ahead rather than a retrospective reward for past service or contribution.

18 Year-end assessment and payment

31 October is the end of the Scheme Year.

During November, BrisDoc will complete the year-end assessment, resolve outstanding data or approved exception queries and confirm individual payment outcomes.

Payment calculations must be finalised by 30 November to enable payment in December payroll.

The period from 1 to 30 November is an assessment and payroll-processing period. It is not a general additional opportunity to remedy compliance failures from the Scheme Year.

18.1 Recovery periods that cross 31 October

Where an applicable 30-day recovery period or an approved Grace and Recovery arrangement began before 31 October, it may continue beyond the end of the Scheme Year to its normal end date.

Where the normal recovery end date falls on or before 30 November, the final payment outcome will be determined once the recovery period ends.

Where approved face-to-face training cannot take place before 30 November because no suitable course is available, the requirement will not be treated as an unapproved lapse for payment calculation purposes provided the co-owner has booked or accepted the next suitable available course and continues to cooperate with the agreed recovery arrangement. Failure to attend or complete without an approved reason may be managed as non-compliance in the following Scheme Year and through normal management processes.

19 Other employment processes

Being Prepared is a compliance scheme. Eligibility will not be reduced solely because a co-owner has sickness absence, is being supported through an attendance process, is subject to a performance or capability process, has received a disciplinary warning, or is involved in a grievance or another formal process.

Where the underlying issue itself concerns a Being Prepared compliance requirement, the normal rules in this Scheme apply.

20 Review of a Being Prepared decision

A co-owner who believes their Being Prepared outcome has been calculated incorrectly may request a review.

The request should normally be made to the People Team within 10 working days of the co-owner being informed of the outcome and should explain what is believed to be incorrect and provide any relevant evidence.

The People Team will review the position, involving Learning & OD or the relevant operational/professional lead where required. Where the original decision involved the People Team, an appropriately independent senior manager will undertake or oversee the review.

The Director of People & OD will make the final internal determination where agreement cannot otherwise be reached.

21 Records, reporting and assurance

BrisDoc will maintain an auditable Being Prepared compliance record sufficient to determine each co-owner's annual Scheme outcome. This record may draw information from more than one organisational system.

The record will capture, as applicable, statutory and mandatory training compliance, Policy Compliance Declaration status, any additional live Scheme requirements, unapproved lapses, approved Grace and Recovery arrangements, organisationally caused delays, recovery/completion dates and the resulting payment level.

The People Team and Learning & OD will use compliance information to support year-end assessment, monitor consistency, identify organisational barriers and improve the operation of the Scheme.

22 Scheme discretion, amendment and review

Being Prepared is discretionary and non-contractual. BrisDoc may amend, suspend or withdraw the Scheme where necessary, subject to appropriate organisational governance.

The Scheme may be amended to reflect changes in legal or regulatory requirements, statutory and mandatory training, professional requirements, organisational systems or operational experience.

Material changes affecting eligibility will be communicated in advance and will not normally be applied retrospectively.

The Scheme will be reviewed following the first live scheme period and thereafter as required.