

Performance Management Policy and Procedure

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Document Manager (job title)	Group HR Manager
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Version Tracking

Version	Date Ratified	Brief Summary of Changes	Owner
1	21December 2018	Amended to reflect updated ISO 9001 2015 controlled document register	AC
2	20 th December 2019	Annual review, minor amends to some wording; no material changes	AC
16v1	April 2020	Annual issue update	AC
2	January 2021	Scheduled review, no material changes	AC
17v1	April 2021	Annual issue update	AC

Scope:

This policy and procedure coers the system for dealing with Performance issues:

Aims and Values:

The purpose of the following Performance Management policy and procedure is to enable those employees of Agincare (the Company) who are falling below the standards expected of them and to have any shortcomings drawn to their attention to assist them in improving their working practices.

Rules set out below have been drawn up for the guidance and safety of all employees. In establishing reasonable standards of conduct they are intended to contribute towards the safe and effective and effective working of the Company. It is not an exhaustive list but the following will be seen to conform to common sense and to fully illustrate the kind of behaviour expected by the Company:

- To ensure fairness in the treatment of individuals and assist the Company to operate efficiently
- To ensure compliance with existing employment legislation.

Responsible People

The Manager and senior staff, all staff within the Company.

Principles

The company accepts that there may be situations where an employee cannot achieve the standards required from them in their job. Every effort will be made to understand the causes for this and find remedies which will enable them to achieve the required standards.

A fair procedure will be followed to ensure they are given feedback on their performance and an opportunity to improve. At each stage of the procedure, the employee may choose to be accompanied by a work colleague or Trade Union representative.

A supportive and positive approach will be adopted throughout this procedure and, as far as is reasonably practicable, every attempt will be made by the employee's supervisor/manager to provide appropriate training, knowledge and supervision to achieve the accepted standards of performance.

This procedure applies where either the skills or abilities of an employee are not sufficient to fulfil their job to the required standard as detailed in their job description.

In cases where it is considered that an employee's performance, conduct or behaviour is unacceptable and falls outside of the scope of this procedure it may be appropriate to consider the Disciplinary Policy and Procedure as an alternative. If this is the case, this will be made clear to the employee concerned.

Depending on the nature, cause and seriousness of the situation, this procedure can be commenced at any stage. The timescale allowed for improvement may vary and will be determined taking into account the reason for the incapability and the impact of this on business operations.

Procedure

Informal Coaching – Stage 1

Where there are minor issues, such as small but repeated errors in work, an informal discussion about the causes and what can be done to provide support will often result in an improvement. The discussion should normally bring to the employee's attention the aspects of the job in which they are not performing satisfactorily and it is hoped that in the majority of cases this will be sufficient action. Appropriate arrangements will be put in place to train, support and assist the employee, and to supervise and monitor their performance.

Formal Procedure – Stage 2

1. Formal performance management meeting

Where there are major issues, or there is no improvement following informal coaching, a formal meeting will be held. The employee will be advised in advance of the date, time and reason for the meeting including any evidence or examples of unsatisfactory performance that will be discussed.

At the meeting to discuss performance, the areas of concern will be clearly stated, with examples, and the employee given the opportunity to express their point of view. If no satisfactory explanation is given by the employee then the following action will be taken: **2. A formal written warning will be issued.**

3. A performance development plan will be drawn up and agreed. With a timescale for improvement and a date set for review. The employee's performance will be closely monitored during the review period.

The meeting will be documented and a formal record placed on file.

Formal Procedure – Stage 3

At the end of the review period a further formal meeting will be held to confirm either that improvement has been achieved and sustained, or that there is insufficient progress. If progress has been made and the required standard has been achieved the matter is then considered closed.

If there is insufficient improvement a further discussion will take place to agree a further performance improvement plan and the employee will be given a further period to improve. The previous warning may be reiterated or a final warning issued. The final warning should inform the employee that their continued employment may be at risk if satisfactory performance is not achieved or sustained. The meeting will be documented and a record placed on file.

Formal Procedure – Stage 4

Right of Appeal

The employee may appeal against any action taken under this procedure (save the informal coaching) and such an appeal should be submitted (clearly stating the grounds of appeal) in writing within 5 days to the manager nominated by the person who has taken the action. The person nominated will hold an appeal hearing. The employee may be accompanied at the appeal by a work colleague or Trade Union representative.

The decision reached at an appeal will be notified to the employee in writing will be final.

Referenced Documents (examples only) which should be kept in the staff personnel file:

- **Notification of Performance Review Letter**
- **Performance Warning Letter**
- **Notification of Potential Dismissal Meeting on Grounds of Poor Performance Letter**
- **Letter of Dismissal on Grounds of Poor Performance.**

Performance Management Procedure Flowchart

Informal Coaching – Stage 1

Managers often consider that the purpose of informal coaching is to improve performance, but the purpose of coaching is to support the staff member through additional learning and help managers identify different situations. Managers can use the below guide in their day-to-day approach – Manager to take notes of coaching discussion to include:

- Key issue(s) of required learning and development;
- Any comments received from other managers/colleagues regarding work performed;
- Seeks employee input and mitigation;
- Confirms and clarifies the expectations of the role and the standards required,
- Identifies support and training required to meet said standards;
- Agree action plan and SMART performance targets;
- Informal Coaching Form
- Agree review date (4-6 weeks)

Manager invites employee to an informal meeting detailing the agenda and purpose of the coaching.

Manager invites employee to an informal review meeting to assess performance against the agreed action plan.

If the action plan has been met in part and an extension is agreed, this will be documented and a further informal review will be arranged.

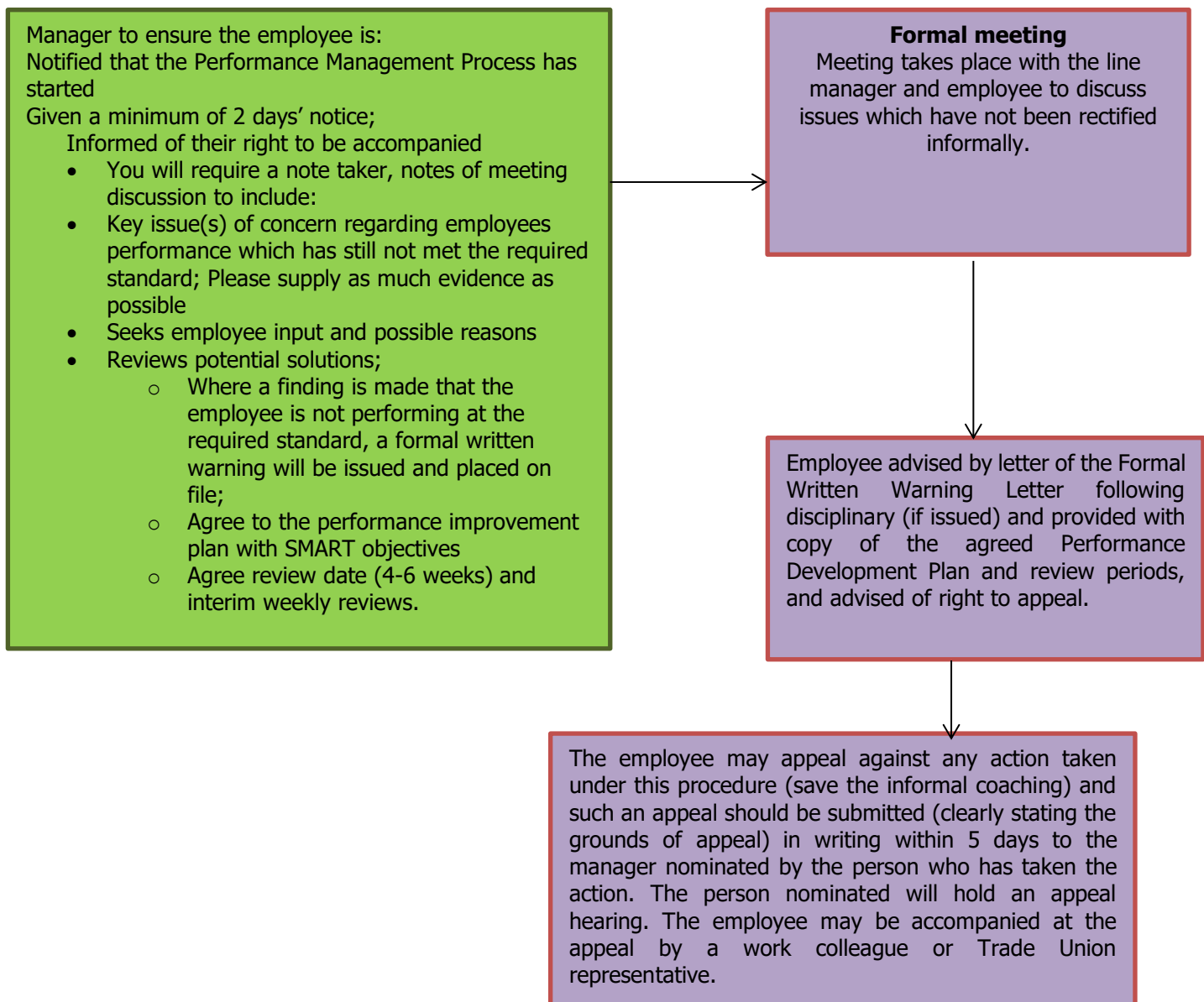
Where the employee fails to meet the action plan, and the explanation for this is not reasonable and/or acceptable, then the employee will be advised that the formal procedure will be invoked.

If the agreed action plan has been achieved to a satisfactory standard, **no further** action will be required. Nothing will be placed on the employee file.

Refer to **Stage 2** of the Formal Procedure

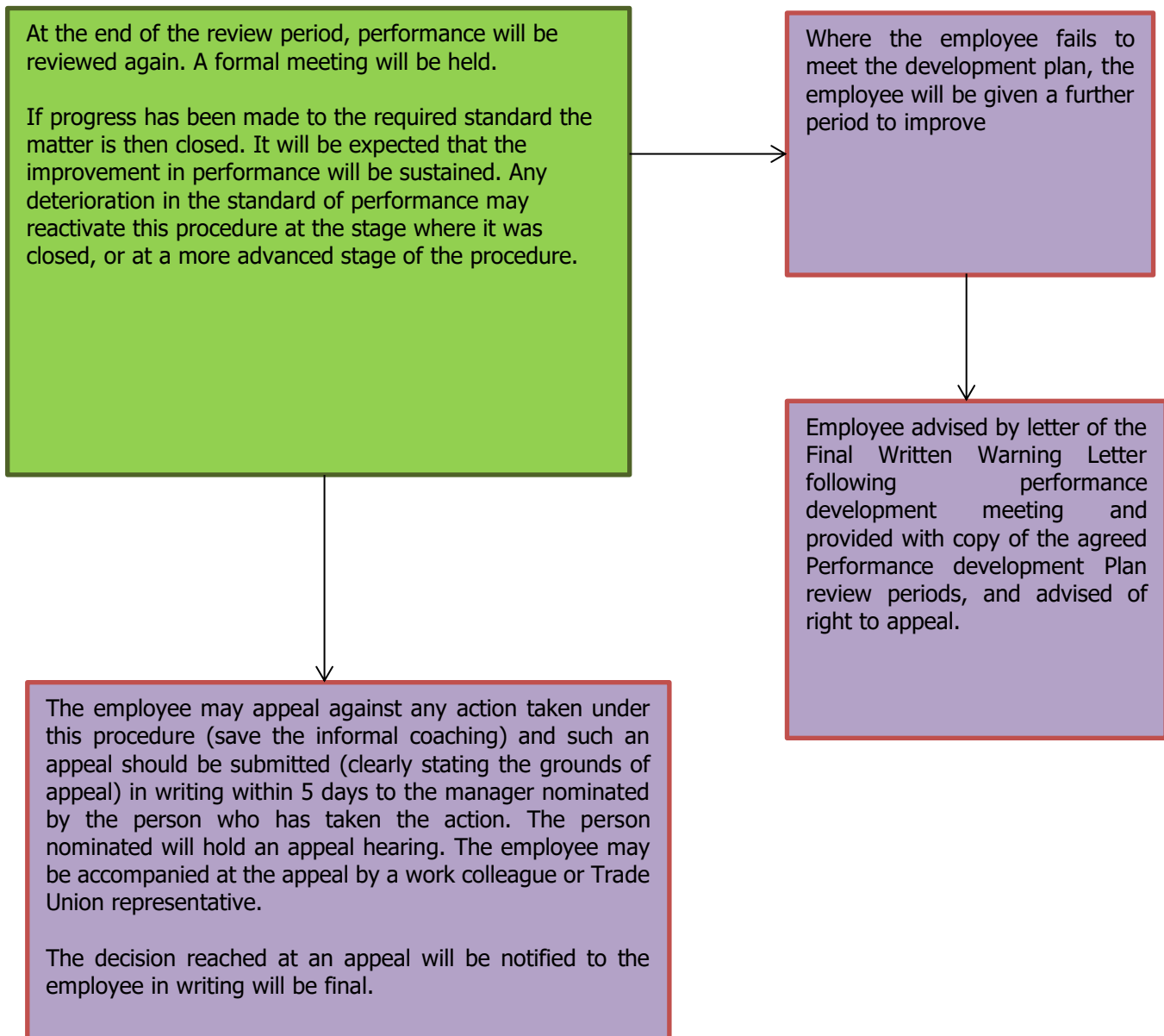
Performance Management Procedure Flowchart

Stage 2 - Formal Procedure (to be completed only after informal process)



Performance Management Procedure Flowchart

Stage 3 – 3rd Formal Procedure



Performance Management Procedure Flowchart

Stage 4 – 4th Formal Procedure

At the end of the further review period, performance will be reviewed again. A formal meeting will be held.

If progress has been made to the required standard the matter is then closed. It will be expected that the improvement in performance will be sustained. Any deterioration in the standard of performance may reactivate this procedure at the stage where it was closed, or at a more advanced stage of the procedure.

In circumstances where the Performance Management procedure has been exhausted and the employee has failed to achieve the desired standards of performance, it may be appropriate to consider alternatives to dismissal which could involve: demotion, transfer to another department or location on a temporary or permanent basis, with any consequent reduction in pay, status or benefits. If, however, this is not appropriate, the employee will be dismissed.

If the Company is considering dismissal or the above alternatives to dismissal, the employee will be given a written statement prior to the formal meeting setting out the reasons for the proposed course of action. The issues will be fully discussed at the meeting and the employee will be informed in writing of the outcome.

Manager invites employee to a **Final formal meeting** to discuss the issues of concern

Meeting takes place with the line manager and employee to discuss the performance against the development plan and objectives which have been set.

Employee advised in writing of outcome and next steps. Where offered alternative employment the employee has 10 working days to consider the offer and respond in writing with a decision. Where a Disciplinary & Dismissals Procedure Hearing is convened, all formal paperwork will be saved on the personnel file. At the review a decision will be taken as to whether dismissal is an appropriate sanction.

Stage 4.

- Reviews potential solutions alternative to dismissal, these may include:
- Revising current job description and grade;
- Suitable alternative employment; Redeployment to another vacant post which may be on a lower grade;
- Referring the employee for suspension;
- Arranging a disciplinary & dismissals Hearing if there is no alternative.

Hold **disciplinary** meeting and decide on the outcome.

If an alternative role is agreed allow a new probationary period and manage.

If Dismissal please ensure HR see all relevant paper work prior to letter being sent

The employee may appeal against any action taken under this procedure (save the informal coaching) and such an appeal should be submitted (clearly stating the grounds of appeal) in writing within 5 days to the manager nominated by the person who has taken the action. The person nominated will hold an appeal hearing. The employee may be accompanied at the appeal by a work colleague or Trade Union representative.

Training

The management team of Agincare believe that, in order to provide a quality service, Agincare requires high quality staff who are suitably trained, supervised and supported.

Agincare policies and procedures are referenced in the induction programme and are available for staff in their work place (Care Home or Branch office). Staff will be informed of how to access all policies, procedures and related documentation and of how to seek further advice regarding Agincare's agreed ways of working. Staff should be provided with regular updates to encourage continuous improvement and include latest good practice.

Agincare is committed to provide an ongoing programme of support for all staff. This includes supervisions, appraisals and training which will be in line with company policy, contractual obligations and current best practice.

REVIEW OF THIS POLICY

Review of this document is recorded on the controlled index and reviewed annually as part of the management review process.

Name: Policy Review Group

Date: January 2021