

# Performance Management Procedure



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## **1.0 INTRODUCTION**

- 1.1 From the recruitment stage through to exit, we at DPHA strive to ensure that all employees have clear performance expectations, receive regular feedback in line with job descriptions, and are supported in their professional development.
- 1.2 The purpose of this procedure is to provide a clear framework for setting out these expectations and evaluating performance. It further details what process will be followed by management in the event that performance concerns are identified and outlines how improvements may be sought.
- 1.3 Accompanying this procedure is our 'performance management policy', an annual appraisal template, quarterly one-to-one form and a performance improvement plan template.

## **2.0 SETTING OBJECTIVES**

- 2.1 We utilise a performance management framework to provide us with better strategic alignment and to serve as a benchmark for tracking our progress, enabling us to set the organisation and our people with annual objectives to work towards.
- 2.2 Our annual objectives cascade down from the business plan to the strategic delivery plan. The Head of each team then shares the plan with their team, which in turn will initiate the process of setting individual objectives.
- 2.3 Managers will schedule dedicated time with employees each year to finalise objectives for each team member. Prior to the annual objective setting meeting being held, we encourage our people to think about what they would like to achieve and how they might align to the organisation's strategic priorities. At the meeting itself, both parties will complete the 'Objective Setting' form, as found in Appendix 1 of this policy.

## **3.0 PERFORMANCE MONITORING AND EVALUATION**

- 3.1 We operate within a culture of openness and transparency where we seek to provide our people with various opportunities to obtain feedback regarding their individual output. It is hoped that our culture is an enabler for enhancing communication between colleagues and as such, neither managers nor employees are expected to wait for one-to-one meetings to provide and receive feedback from each other.

- 3.2 Managers and their team members are encouraged to hold frequent informal check-in meetings to discuss employee wellbeing and provide our people with dedicated time to discuss any matters, whether work-related, personal or otherwise. The structure, environment and dynamic of such meetings are agreed between manager and employee and our managers seek to adopt a coaching style of management during discussions.
- 3.3 On a more formal note, each employee will receive a quarterly performance one-to-one meeting throughout each year. The form found in Appendix 2 provides the format for this meeting and is split into various sections including a review of objectives, individual KPIs and learning and development. Both managers and employees are encouraged to attend the meeting fully prepared for the discussion.
- 3.4 During the quarterly performance one-to-one meeting, managers will provide their team members with feedback on their performance in line with their job description, objectives and individual KPIs, if applicable. Such feedback is generally expected to be a balance of largely positive and some constructive feedback with managers adopting a coaching style approach.

#### **4.0 MANAGING PERFORMANCE**

- 4.1 It should be noted that one of our aims at DPHA is to promote a culture of support and encouragement for all employees in line with our organisational values. That is why you can be assured that our managers will spend time and resources to enable you to deliver a consistent, high level of performance.
- 4.2 **Regular Check-ins**  
The purpose of having regular one-to-one check-ins, whether formal or informal, is to ensure you are coping with your workload and to identify whether any support is required. They are also in place to discuss your strengths and areas of development.
- 4.3 Should there be any gaps in your skillset, aptitude or knowledge, your manager will be forthcoming during your check-ins and discuss the level in which you need to get to. Such conversations, however, require openness and honesty with input from both you and your manager in order to get to the root of any potential gaps or issues. This may lead to initiatives such as training, coaching or shadowing being put in place.
- 4.4 **Performance Improvement Plan**  
Your capability and performance will be regularly assessed whilst employed in your role at DPHA. Subsequently, there may be occasions when you are unable to make the necessary improvements required to achieve the high standard in which we require. Any skill gaps and performance issues will be discussed with you at regular check-ins however, a Performance Improvement Plan (PIP) may be introduced where there is little to no

improvement being made, or where objectives are not achieved within the desired timeframe.

- 4.5 In this instance, your manager will look to meet with you privately to discuss the concern. For the purposes of this procedure, there will be an informal meeting scheduled to consider your level of performance delivered against the level which we require.
- 4.6 During the meeting, your manager will present evidence to you as to why your performance is falling short of expectations and discuss what steps have been taken thus far to support you. This meeting will also provide you with the opportunity to explain your point of view and enable you to present your own evidence of improvement and express opinions on how we can move forward.
- 4.7 In order to capture the agreed actions from this meeting, a PIP will be completed to help monitor and track progress. The purpose behind the PIP is to define measurable goals for you. This creates an action plan, set against timescales, to help determine how and when these goals will be achieved.
- 4.8 Once the goals and timescales have been agreed with your manager, a target date will be set to hold a review meeting. This will provide you with achievable targets to work towards, which we hope can be achieved by the time the review meeting is held. If so, and your manager is satisfied with your performance levels, the PIP will come to an end and your performance and capability will be monitored and reviewed moving forward, as like any other employee. Failure to achieve the targets set within the timescale will most likely lead to the formal stage of the performance process being invoked. Otherwise, one PIP extension period may be granted at the discretion of the manager depending on the circumstances.
- 4.9 It may be the case that an underlying issue is identified, or you feel that there are mitigating circumstances preventing you from producing your best work. If so, each case will be considered on its individual merits and any decision to move forward with this procedure lies at the discretion of your manager. Similarly, if the performance or capability issue is considered more serious, your manager may look to bypass the informal stage and go formal, as set out in the section below.

## 5.0 **FORMAL PERFORMANCE MANAGEMENT**

- 5.1 DPHA is committed to providing our employees with opportunities to learn, grow and develop even through processes such as performance management. However, should your manager determine that you have been provided with ample opportunity, have been offered additional support through a Performance Improvement Plan, and little improvement can be identified, they will look to move to the formal stage of this process.

5.2 All performance cases at DPHA are intended to be handled promptly, sensitively, fairly and consistently in line with the Association's values and this performance management

process. Therefore, should the informal stage of this procedure be exhausted or the performance issue is deemed to be of a more serious nature, employees can expect to be subject to the following:

- **Stage 1** – Failure to achieve the desired level of performance following the informal stage of the process will result in a Stage 1 Performance Management Meeting being held. This meeting will be held with your manager and you will be presented with the evidence gathered concerning your performance or capability issue. Based on the information you provide, you may be issued with a First Written Warning, which would remain on your employee file for 6 months. A new or revised PIP will also be agreed at this meeting.
- **Stage 2** – If you have been issued with a First Written Warning and you then continue to produce an unsatisfactory level of performance in the following 6 months, you will again be invited by your manager to discuss your performance or capability in the role. This meeting will be pitched as a Stage 2 Performance Management Meeting and depending on the information provided, you may be issued with a Final Written Warning. This would remain on your employee file for 12 months. A new or revised PIP will again be agreed at this meeting.
- **Stage 3** – If there has been no improvement in your performance levels in the 12 months following the Final Written Warning, a further meeting will be pitched as a Stage 3 Performance Management Meeting. You will again have the opportunity to justify the reasons for your poor performance or capability at this meeting. The meeting will be held by the Chief Executive and an outcome of this meeting may result in the termination of your employment with the organisation if no alternative options are available.

5.3 Please note that live warnings may be extended at any stage of those listed above in Section 5.2. This also applies where the employee has been absent from work for a period of more than 4 weeks, during the period where a warning is in place. In this case, the warning will be extended by the same amount of time in which the employee was absent to allow for adequate assessment of progress.

5.4 As each Performance Management Meeting is considered part of a formal process, you have the right to be accompanied by a trade union representative or colleague to all meetings held under the Performance Management Procedure. You will be given at least 5 working days' written notice to attend any meeting and if your companion is unable to attend within this timescale, you should notify your manager of this, and another date will be made within the following 5 working day period.

## 6.0 FORMAL MEETING OUTCOMES

- 6.1 During each stage of the formal performance management process, your manager or the appointed meeting chairperson will consider the evidence regarding your performance, the level of support, resources and training that has been implemented so far. At Stage 3 of the process, the meeting chairperson may obtain such evidence from your manager in order to present the case.
- 6.2 Upon consideration of all the information presented, your manager or appointed meeting chairperson will adjourn the meeting and make a decision upon whether a formal sanction is issued. Where possible the decision will be given verbally to you, and all decisions will be confirmed in writing upon conclusion of the meeting. You will also be notified of any right to appeal.
- 6.3 If a formal sanction is issued, it will be done in accordance with the timescales below, and as mentioned in Section 5.2:
- Written Warning – 6 Months
  - Final Written Warning – 12 Months
  - Dismissal
- 6.4 If a warning is issued it shall remain live on your file for the duration of the warning. At the point of expiry, provided the performance concerns have been resolved satisfactorily, the warning shall then be considered exhausted.

## 7.0 APPEAL

- 7.1 In the event that a warning is issued for performance management reasons, you can appeal against the outcome of any Stage by submitting the grounds of your appeal in writing, in line with the following:
- **First Written Warning** - You have a right to one internal appeal against the first written warning. You should make your appeal within 5 working days of our notice of the decision. All internal appeal hearings will be held within 10 working days of the appeal being lodged.
  - **Final Written Warning** - There is one right of appeal against the final written warning and after this it will be made to the JNC Appeal Chair. The JNC is a committee of EVH, acting as a forum for resolving disputes and grievances related to employment.

Your appeal should be made within 5 working days of our notice of the decision. All internal appeal hearings will be held within 10 working days of the appeal being lodged.

Appeal hearings to the JNC Appeal Chair should be made within 5 working days and will be held within 20 working days where possible.

- **Dismissal** - If you are appealing against dismissal, you must do so direct to the JNC Appeal Chair. The JNC Appeal Chairs are independent people appointed by the Joint Negotiating Committee.

You should notify the secretary of the JNC of your intention to make an appeal in writing within 5 working days of receiving notice of the decision. Appeal hearings to the JNC Appeal Chair should be held within 20 working days (where possible).

- 7.2 The JNC Appeal Chair is the final stage of the internal disciplinary and grievance procedure available. The Secretary to the JNC Appeal will send you a copy of the guidance notes following your appeal request. The JNC's Chair's decision is followed by a written report and sent to you and us.