

IMPROVING PERFORMANCE POLICY (H17)

If you require a copy of this policy in an alternative format (for example large print, easy read) or would like any assistance in relation to the content of this policy, please contact the Equality and Diversity team on 01803 656680.

H17 – Improving Performance Policy

This is a controlled document. It should not be altered in any way without the express permission of the author or their representative. On receipt of a new version, please destroy all previous versions.

Date of Issue:	April 2018	Next Review Date:	July 2023
Version:	1.3	Last Review Date:	July 2021
Author:	People Hub		
Directorate:	People Directorate		
Approval Route			
Approved By:		Date Approved:	
JCNC		23 November 2015	
Cost Imps Meeting		10 December 2015	
Staff Side Chair		April 2018	
Links or overlaps with other policies:			
Disciplinary Policy (H1)			
Acceptable Behaviour Policy (H4)			
Performance Development Review Policy (H6)			
Attendance Policy (H33)			

Amendment History

Issue	Status	Date	Reason for Change	Authorised
1.1	Approved	December 2015	Amendment to panel members for appeals (appendix 6) - reduction from three with Exec chair to a minimum of two.	Yes
1.2	Approved	April 2018	General Review – change to new EIA template	
1.3	Approved	July 2021	Updated wording around People Hub Team & People Directorate / contact details / logo / Version / date	People Hub

Rapid Equality Impact Assessment

Policy Title (and number)	Improving Performance	Version and Date	April 2018 1.2
Policy Author	HR Manager		
An (e)quality impact assessment is a process designed to ensure that policies do not discriminate or disadvantage people whilst advancing equality. Consider the nature and extent of the impact, not the number of people affected.			
Who may be affected by this document?			
Patients/ Service Users <input type="checkbox"/>	Staff <input type="checkbox"/>	Other, please state... <input type="checkbox"/>	
Could the policy treat people from protected groups less favorably than the general population? <i>PLEASE NOTE: Any 'Yes' answers may trigger a full EIA and must be referred to the equality leads below</i>			
Age	No <input type="checkbox"/>	Gender Reassignment	No <input type="checkbox"/>
Race	No <input type="checkbox"/>	Disability	No <input type="checkbox"/>
Gender	No <input type="checkbox"/>	Pregnancy/Maternity	No <input type="checkbox"/>
		Sexual Orientation	No <input type="checkbox"/>
		Religion/Belief (non)	No <input type="checkbox"/>
		Marriage/ Civil Partnership	No <input type="checkbox"/>
Is it likely that the policy could affect particular 'Inclusion Health' groups less favorably than the general population? (substance misuse; teenage mums; carers ¹ ; travellers ² ; homeless ³ ; convictions; social isolation ⁴ ; refugees)			No <input type="checkbox"/>
Please provide details for each protected group where you have indicated 'Yes'.			
VISION AND VALUES: Policies must aim to remove unintentional barriers and promote inclusion			
Is inclusive language ⁵ used throughout?			NA <input type="checkbox"/>
Are the services outlined in the policy fully accessible ⁶ ?			NA <input type="checkbox"/>
Does the policy encourage individualised and person-centered care?			NA <input type="checkbox"/>
Could there be an adverse impact on an individual's independence or autonomy ⁷ ?			NA <input type="checkbox"/>
EXTERNAL FACTORS			
Is the policy a result of national legislation which cannot be modified in any way?			No <input type="checkbox"/>
What is the reason for writing this policy? (Is it a result in a change of legislation/ national research?)			
Set's out Torbay and South Devon NHS Foundation Trust's, policy and procedure where an employee's performance falls short of the expectations of the role.			
Who was consulted when drafting this policy?			
Patients/ Service Users <input type="checkbox"/>	Trade Unions <input type="checkbox"/>	Protected Groups (including Trust Equality Groups) <input type="checkbox"/>	
Staff <input type="checkbox"/>	General Public <input type="checkbox"/>	Other, please state... <input type="checkbox"/>	
What were the recommendations/suggestions?			
Does this document require a service redesign or substantial amendments to an existing process? <i>PLEASE NOTE: 'Yes' may trigger a full EIA, please refer to the equality leads below</i>			No <input type="checkbox"/>
ACTION PLAN: Please list all actions identified to address any impacts			
Action	Person responsible	Completion date	
AUTHORISATION:			
By signing below, I confirm that the named person responsible above is aware of the actions assigned to them			
Name of person completing the form	HR Manager		

Please contact the Equalities team for guidance: For Torbay and South Devon NHS Trusts, please call 01803 656676 or email pdf.sdht@nhs.net. **This form should be published with the policy and a signed copy sent to your relevant organisation.**

¹ Consider any additional needs of carers/ parents/ advocates etc, in addition to the service user

² Travelers may not be registered with a GP - consider how they may access/ be aware of services available to them

³ Consider any provisions for those with no fixed abode, particularly relating to impact on discharge

⁴ Consider how someone will be aware of (or access) a service if socially or geographically isolated

⁵ Language must be relevant and appropriate, for example referring to partners, not husbands or wives

⁶ Consider both physical access to services and how information/ communication is available in an accessible format

⁷ Example: a telephone-based service may discriminate against people who are d/Deaf. Whilst someone may be able to act on their behalf, this does not promote independence or autonomy

Contents

1	Policy Statement	5
2	Scope	5
3	Equality and Diversity Statement	5
4	Introduction	5
5	Job Expectations	6
6	Roles and Responsibilities	7
7	Informal Improving Performance Process	7
8	Implementing the Formal Improving Performance Process	8
9	Formal Improving Performance Process – Initial Meeting	9
10	Formal Improving Performance Process - Stages 1 – 3	9
11.	Sanctions	10
12	Improvement in Performance	12
13	Appeals	12
14	Stage at which the improving performance process is entered	13
15	Implications on pay	13
16	Training and Awareness	14
17	Contact Details	14
19	Monitoring, Audit and Review Procedures	14
20.	Appendix 1 – Flow chart for Improving Performance Process	15
21.	Appendix 2 – Action Plan for Improvements (Example)	17
22.	Appendix 3 – Record of Meetings Performance Management	19
23.	Appendix 4 – Invite to Performance Review Meeting	21
24.	Appendix 5 – Framework for an appeal meeting	22
25.	Appendix 6 – Posts authorised to issue Formal Warnings, Dismiss and hear Appeals	25

1 Policy Statement

- 1.1 This policy is designed to set out Torbay and South Devon NHS Foundation Trust's, (hereinafter referred to as the Trust), policy and procedure where an employee's performance falls short of the expectations of the role
- 1.2 The purpose of this policy is to ensure that all employees (regardless of their level of performance) are subject to fair and consistent treatment.
- 1.3 The fundamental consideration for both explicit and implied expectations and standards is that if an individual is not aware of them, then they cannot be measured by them.

2 Scope

- 2.1 This policy applies to all staff employed by the Trust, except Medical and Dental staff for whom separate provisions apply, together with those on a joint contract with the Trust and another employer.

3 Equality and Diversity Statement

- 3.1 The Trust is committed to preventing discrimination, valuing diversity and achieving equality of opportunity. No person (staff, patient or public) will receive less favourable treatment on the grounds of the nine protected characteristics (as governed by the Equality Act 2010): sexual orientation; gender; age; gender re-assignment; pregnancy and maternity; disability; religion or belief; race; marriage and civil partnership. In addition to these nine, the Trusts will not discriminate on the grounds of domestic circumstances, social-economic status, political affiliation or trade union membership.
- 3.2 The Trust is committed to ensuring all services, policies, projects and strategies undergo equality analysis.

4 Introduction

- 4.1 The Trust aims to provide high quality services to its patients and service users by recruiting high calibre staff and training them to carry out their work to the appropriate standard of performance. However there may be occasions where an employee is unable to meet the required performance standards and this is referred to interchangeably as an employee having capability or performance issues. For the purposes of this policy, an employee is felt to have performance issues when their ability, skills or experience are insufficient as to allow them to carry out the role to the expected standards.
- 4.2 For the purposes of this policy, a performance issue may be, but not exclusively, characterised by:
 - An employee failing to meet expected and communicated performance quality and/or quantity standards in respect of their day to day work
 - An employee working too slowly
 - An employee failing to meet required communicated standards in respect of attitude

H17 – Improving Performance Policy

- An employee requiring continual close supervision (more than would otherwise be expected at their pay band) from the manager in order to maintain performance levels
 - An employee failing to self-manage their emotions appropriately
 - An employee failing to meet appraisal objectives set for 'development' or for 'performance'
 - An employee's inability to meet developmental objectives, in order to cope with the changes taking place in the environment
 - An employee demonstrating less than acceptable interpersonal style (although separate procedures exist for matters of unacceptable behaviour) where an employee's behaviour impacts negatively on another individual or a complaint is raised.
- 4.3 Nothing in this procedure is intended to prevent normal line manager conversations (in one-to-one or supervision meetings) from taking place; meetings whereby line managers allocate work, monitor performance, highlight work well done and draw attention to errors or poor quality. Normal management meetings should include assistance in achieving improvements in performance.
- 4.4 A manager managing a performance issue may experience difficulties in the on-going working relationship with the employee and the Trust is committed to supporting both manager and employee in their professional relationship.
- 4.5 Separate procedures apply where poor performance is related to conduct (Disciplinary Policy H1) or is due to ill-health (Attendance Policy H33).

5 Job Expectations

- 5.1 Generic expectations of a role are documented in job descriptions, person specifications, and local procedures.
- 5.2 During induction, a new starter should have the expectations of the job explained to them. The line manager must ensure that the employee understands the standards of performance expected. These standards should be realistic and reasonable in relation to the length of time the employee has been in the role.
- 5.3 The Trust recognises that there are times during an individual's career where personal issues may affect an individual's ability to perform to the required standard at work. Individuals whether in the improving performance process or not, may from time to time need additional levels of support because of difficulties in their personal lives. A line manager investigating concerns over performance will consider the impact of the employee's personal circumstances as well as lifestyle issues (for example whether there is any evidence of potential misuse of alcohol or drugs).
- 5.4 It is recognised that cultural differences or language difficulties may also present as performance issues which the line manager will bear in mind when speaking with the employee about the improvements required.

6 Roles and Responsibilities

6.1 Each employee has a responsibility to:

- Comply with Trust policies and procedures
- Undertake their role as described in the job description and perform those duties to an acceptable standard
- Work towards achieving any objectives as agreed with their line manager
- Identify to their line manager at the earliest opportunity, any issues that may impede their ability to perform to the required standards
- Treat their colleagues with respect
- Comply with common law principles relevant to employment (eg to follow reasonable instructions, to be trustworthy and honest, safeguard the employer's property)

6.2 Managers have a responsibility to:

- Communicate effectively with employees, including listening and receiving feedback through supervision
- Actively support, guide and train employees to enable them to effectively fulfil the duties required of them, as defined by the job description
- Review employees regularly and ensure that objectives are realistic and relevant to the individual's role
- Discuss and agree any changes to the job role and job description with the individual
- Communicate realistic and measurable standards of performance and ensure that each individual understands what is required of them
- Comply with common law principles relevant to employment and to the role of a manager (eg. to ensure a safe working environment, free from discrimination, harassment and bullying)
- Ensure they have the understanding and tools to follow Trust policies and procedures
- Follow good practice in terms of ensuring equality of opportunity and management of diversity in relation to all policies and procedures (including in relation to this policy, the introduction of appropriate reasonable adjustments for any employee protected under the Equality Act 2010)

7 Informal Improving Performance Process

7.1 Before consideration is given to entering the formal stages of this process, shortfalls in performance should be discussed informally between the line manager and the employee. It may also be appropriate to have a conversation with the employee about why shortfalls have occurred and the line manager will be mindful of any personal problems an employee may currently have, and offer or sign post support.

7.2 The line manager may wish to speak with the People Hub team to discuss any possible solutions to the individual's performance issue, prior to the formal stages.

7.3 The informal improving performance process will be tailored to meet the performance needs of the individual employee. Meetings and other support will be determined in frequency and nature by the needs of the employee. However it is not anticipated that the informal process will exceed 3 months.

H17 – Improving Performance Policy

- 7.4 Supervision or one-to-one meetings should be scheduled at regular and frequent intervals in order to best support the employee whilst they attempt to address the performance shortfalls. Conversations at such meetings should be noted and kept on file.
- 7.5 The purpose of meetings held under the informal improving performance process is to help the employee understand the full remit of the role they are carrying out. The expectations of any role are defined with reference to one or more of the following:
- The job description
 - The person specification
 - The Personal Development Review (PDR) documentation
 - Change (consultation) documentation
 - Local Policies & Procedures
 - National Guidance
 - Standard Operating Procedures
- 7.6 In addition, this broad information may be supplemented by the department/ward/directorate's specific needs, commensurate with the employee's pay band, skills and ability.
- 7.7 As an informal supportive measure, the manager may need to offer closer supervision to the employee, address training needs, resolve problems in the organisation of work or address communication issues. These micro-management techniques are designed to be implemented in the short term, in order that the employee's work can improve. Where micro-management techniques are required permanently (except where the pay band of the role prescribes it) this in itself is an indication of a performance shortfall.
- 7.8 At the informal meetings, goals and short-term objectives should be agreed and minuted to help determine whether the support is working. An action plan may be a helpful way of recording the objectives (template at appendix 2).
- 7.9 It is essential that a line manager provides a clear explanation to the employee of the expectations of the role and that they explain where the employee is not meeting such expectations. It may be helpful to use the job description and focus on the job purpose and key duties and responsibilities, whilst ensuring the individual understands the key objectives of the service.
- 7.10 An appropriate time-frame for making the required improvements will be agreed between the line manager and employee so that the employee is made aware of the date by which the improvements must be instilled in their practice. When it is clear that an employee is not reaching expectations, they should be informed that the consequence of this will be to enter the formal improving performance process. (Record of meetings template at Appendix 3)

8 Implementing the Formal Improving Performance Process

- 8.1 If the line manager engages with the employee in the informal process to improve performance, and the improvements are not achieved and/or deadlines for objectives are not met, it may be necessary for the line manager to consider implementing the formal improving performance process.
- 8.2 The formalisation of the process is helpful to the employee, the line manager and the Trust because:

H17 – Improving Performance Policy

- The employee has the right of representation at each Performance Review Meeting from Stages 1 – 3
- The line manager has the option of issuing formal warnings to ensure the employee understands the gravity of the continuing under-performance
- The Trust identifies the organisational risk of an employee in a post who is unable to fully deliver its objectives.

8.3 It may be that during the improving performance process, the manager wishes to change the policy under which they are reviewing the employee's standard of work. What initially presented as a capability issue may reveal itself to be a conduct issue which would require a different process (Disciplinary Policy H1). Decisions about any change in policy and at what stage of the process it may be appropriate to enter will be taken with proper consideration of the facts as they appear at the time.

9 Formal Improving Performance Process – Initial Meeting

9.1 The employee should initially be met with by the line manager to agree objectives for the coming Performance Review period. A review period should not be less than a month, but may be as long as three months, depending on the duties of the post and/or the improvements required.

9.2 An initial meeting may also take place within the normal line manager and employee supervision (or one-to-one) meeting.

9.3 The employee should be made aware of the nature of the improvements required within the review period. The employee should be advised of these in the meeting and it should be documented and given to the employee. (appendices 2 and 3)

9.4 Although part of the overall improving performance process, the initial meeting is **informal** in nature and as such takes place between the line manager and employee.

9.5 The employee should be informed of the consequences of failure to make the improvements within the review period. These should be clearly stated at the meeting and documented for the employee.

9.6 Documented informal review meetings may also take place in between formal performance review meetings to provide support to the employee. The manager will always make it clear to the employee where a meeting is a formal Performance Review Meeting and where it is a mid-stage review conversation, or a one-to-one. The date and time of every formal Performance Review meeting will be written down and communicated to the employee.

10 Formal Improving Performance Process - Stages 1 – 3

10.1 The purpose of the formal Performance Review meetings is to review whether the employee has met the targets set at the previous meeting and what action will be taken where these have not been achieved.

10.2 Following the initial meeting above a Stage 1 Performance Review meeting should be arranged to review the targets and expectations discussed.

H17 – Improving Performance Policy

10.3 An employee will be written to inviting them to the Performance Review meeting. (Appendix 4) The information will:

- Say what stage from 1 to 3 the process is at
- Clearly lay out the purpose of the Review Meeting, stating the targets and expectations the employee's performance will be reviewed against
- Clearly state the date, time and venue of the Review Meeting
- Inform the employee of their entitlement to be accompanied at the Review Meeting by a work based colleague or Trade Union representative / Professional Body representative
- State the potential outcome of the meeting where the employee is not being able to demonstrate having met the targets or expectations agreed during the review period.

10.4 The manager may be supported by a member of the People Hub team at the Performance Review meeting to provide advice and guidance on the policy

10.5 The line manager should have a conversation with the employee to gather all the facts to show whether the employee has achieved the necessary improvements/objectives.

10.6 It may be appropriate to adjourn the Review Meeting after the conversation with the employee, to enable the line manager to decide whether the employee has met their objectives to the required standard.

11. Sanctions

11.1 Line managers convening the Performance Review process will be able to review performance with the following sanctions open to them:

Stage 1 Performance Review Meeting

- Consideration of a first written warning which would remain on the employees file for 12 months, or
- No warning given and refer the employee back to repeat the stage.

Stage 2 Performance Review Meeting

- Consideration of a final written warning which would remain on the employee's file for 24 months, reducing to a first written warning after 12 months, or
- Extension of the pre-existing first written warning, or
- No further warning given and refer the employee back to repeat the stage.

Following stage 1 and stage 2 a further review period should be set this should not exceed 3 months.

Stage 3 Performance Review Meeting

The stage 3 Performance Review Meeting will be chaired by an independent manager who has the authority to dismiss. The independent manager will review the overall performance process and the support and development that the individual has been given to improve. Both the manager and individual will have an opportunity to comment and provide any information in support of their position. A stage 3 meeting will have the following sanctions open to it:

- Consideration of dismissal from the Trust on the grounds of capability (performance), or
- Extension of the existing final written warning, or
- Take action short of dismissal (refer to section 11.2), or
- Give the employee no further sanction and refer them back to repeat the stage.

11.2 **Action Short of Dismissal** - where an alternative role (including down banding) is considered an option as an alternative to dismissal on the grounds of capability, an appropriate position **must** be available and identified as being a role where the employee will be able to perform effectively.

11.3 Where the employee refuses the alternative role, or if an appropriate post is not available the Chair will have no alternative other than to dismiss the employee with notice.

11.4 Where an employee accepts an alternative role in line with this policy, the changes to terms and conditions will be a permanent change. There is no entitlement to any pay protection and the employee will be placed on the appropriate pay point in the band of the new post as per Agenda for Change terms and conditions. This may not necessarily be at top of the band. Normal incremental rules will apply and increments will be awarded in line with Trust policy.

11.5 Where the employee is informed that a warning is being issued they will be written to and the letter will include confirmation of the following information:

- The date the warning is issued and its duration
- A description of the reason for the warning and the policy it was issued under

H17 – Improving Performance Policy

- The level of the warning issued
- Failure to improve (or sustain improvements) may ultimately result in dismissal
- Details of the right of appeal

11.6 If any employee is dismissed at a stage 3 Performance Review Final meeting, the notice period will start to run from the day following the stage 3 meeting.

12 Improvement in Performance

12.1 Where an individual achieves their objectives at a Performance Review Meeting, and no (further) warning is issued, the Improving Performance process may however continue because of ongoing management concerns or because a warning for capability is still in force.

12.2 Where the manager feels that there is no longer any need for formal Performance Review Meetings, the process will be ended by letter to the individual acknowledging the improvements made, and encouraging them to sustain their achievements.

12.3 In order for an employee to exit the formal improving performance process, they must have completed all the objectives agreed, and made every improvement required. An individual will also need to demonstrate a normal level of autonomy and speed of work, as well as the expected quality and quantity of work.

13 Appeals

13.1 An individual may wish to exercise their entitlement to appeal against the formal outcome at stages 1 – 3 of the Performance Review process.

13.2 An employee who wishes to lodge an appeal must do so in writing to the designated manager within 14 calendar days' of the date of the letter confirming the outcome and clearly state the grounds for the appeal.

13.3 The employee must provide details under the grounds for their appeal as follows:

- **New evidence comes to light**
The grounds of the appeal must detail the nature of new evidence.
- **They believe the procedure was not followed correctly**
Summary of why the process was not followed correctly.
- **They believe the manager was incorrect in reaching their findings**
Details concerning the reason why there is a belief the finding was incorrect.

13.4 Failure to provide details of the grounds for appeal as described above may lead the Trust to decline the appeal. The decision of the appeal panel is final.

13.5 The Appeal Process will be conducted as described in appendix 5.

13.6 Where a warning is overturned by the appeal, the employee will re-enter the process at the previous stage, with the normal review period to run following the appeal date.

H17 – Improving Performance Policy

- 13.7 At a stage 3 appeal hearing, the appeal Chair will have the authority to withdraw the previous manager's discretionary offer of action short of dismissal.
- 13.8 Unless agreed otherwise, a request for an appeal hearing which is received later than the 14 calendar days' timeframe allowed will not be arranged, and the employee written to explaining that this is because they were out of time with their request. This will include circumstances where, following a Review Meeting where a sanction or warning was issued, the employee takes leave from the Trust. For clarity this will include annual leave, sick leave, maternity or a career break/sabbatical, for example.

14 Stage at which the improving performance process is entered

- 14.1 Under normal circumstances, the process will be entered at Stage 1. The stages will be undertaken in order until the employee is able to either exit the process through improved performance, or where a stage 3 meeting is held.
- 14.2 If an individual has been on leave from the organization for an extended period, they will re-join the Improving Performance process at the stage where they left it. This will include leave such as maternity leave and sickness absence (although the Improving Performance process will not re-commence until after any phased return is completed). By way of example, this may result in an individual with a lapsed warning rejoining the process at stage 2 because of a period of sickness absence following a stage 1 warning.
- 14.3 Where it is identified there is potentially a performance matter that could be described as either **significant** or **dangerous** the process may be started at stage 2 or 3. This may occur in restricted circumstances for example where:
- An external investigation has taken place and a potential critical performance shortfall has been brought to light; one where the issues are significant and where a service (or services) has seriously or dangerously underperformed as a result;
 - A risk assessment indicates that it is dangerous for an employee to continue in the role, and where reasonable risk controls and/or reasonable adjustments are unable to safely mitigate the risk;
 - A grievance investigation has resulted in there appearing to be a significant case to answer on the part of an employee for their performance or leadership.
 - An investigation under the Disciplinary Policy (H1) has taken place and it is determined that the most appropriate policy under which to hear the case is Improving Performance.
 - A 'tipping point' has been reached in terms of an employee's deteriorating ability to perform the job, even despite reasonable adjustments having been made to the role.

15 Implications on pay

- 15.1 An individual in the formal stages of the Improving Performance Review process may have their annual increment deferred if a formal warning has been issued this provision will be in accordance with the Performance Development Review Policy (H6).
- 15.2 Where an employee accepts an alternative role in line with this policy, the changes to terms and conditions will be a permanent change. There is no entitlement to any pay

H17 – Improving Performance Policy

protection and the employee will be placed on the appropriate pay point in the band of the new post that is fair and equitable. This may not necessarily be at top of the band. Normal incremental rules will apply and increments will be awarded in line with Trust policy.

15.3 Cost of living rises will be unaffected by this policy.

16 Training and Awareness

16.1 Advice and support will be provided by the People Hub team to support staff and managers in adhering to this policy and their understanding of dealing with the performance of an individual when it falls short of the expectations of the role.

16.2 The People Hub team will raise awareness of this policy through the publication of information on iCon and to advise staff of changes to the policy through the staff bulletin and ratification processes.

17 Contact Details

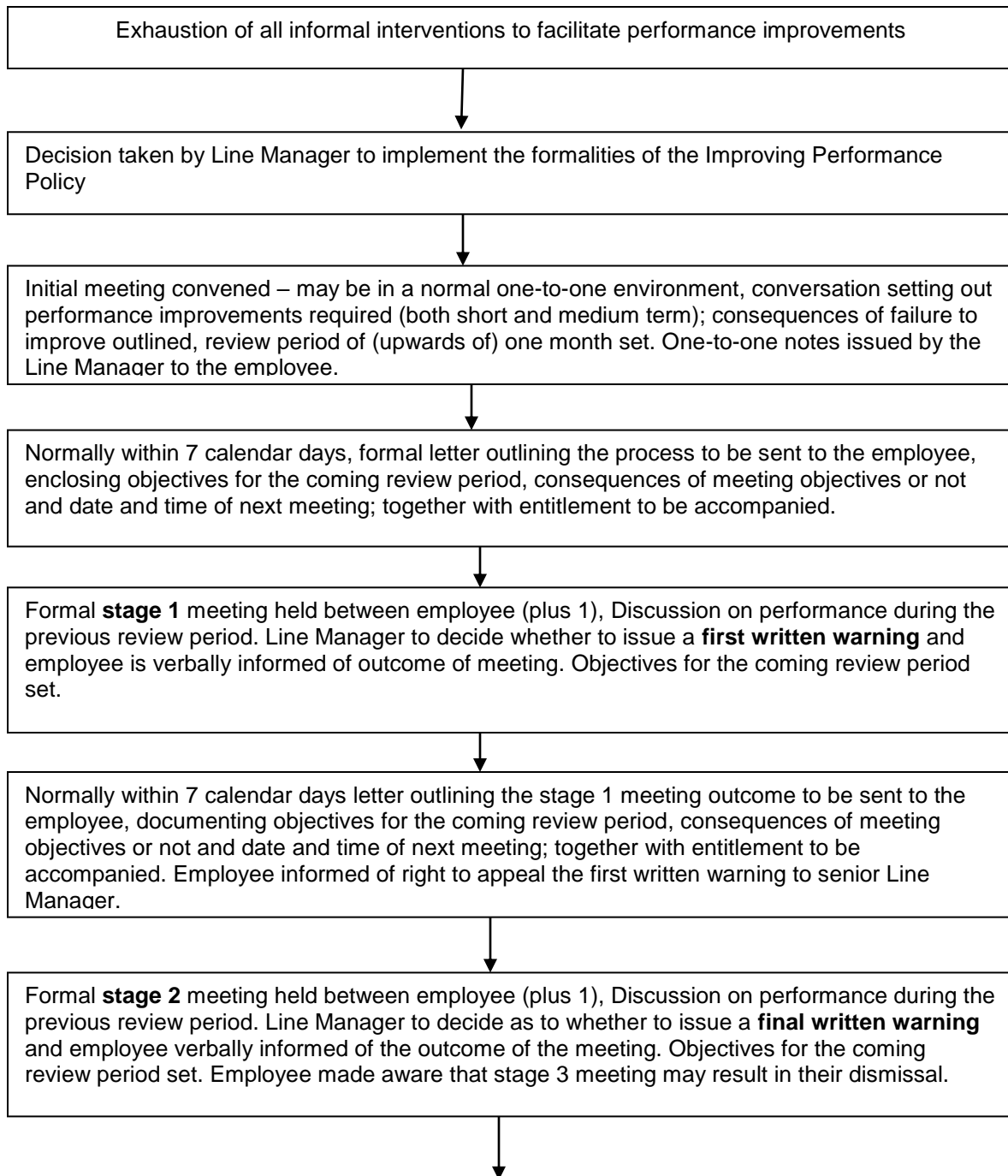
18.1 Any queries regarding this policy should be directed to the People Hub team in the People Directorate.

- People Hub Advice Line – 01803 655754 (ext. 55754) or tsdft.humanresources@nhs.net

19 Monitoring, Audit and Review Procedures

19.1 This policy will be monitored and audited on a regular basis. A full review will take place every two years by the Directorate of Workforce and Organisational Development unless legislative changes determine otherwise.

20. Appendix 1 – Flow chart for Improving Performance Process



H

Normally within 7 calendar days, formal letter outlining the Stage 2 meeting outcome to be sent to the employee, documenting objectives for the coming review period, consequences of meeting objectives or not and date and time of next meeting; together with entitlement to be accompanied. Employee informed of right to appeal final written warning to senior Line Manager.



Formal **stage 3** meeting convened between employee (plus 1) and Line Manager to discuss performance during the previous review period, plus the overall process. Stage 3 meeting will be chaired by independent senior manager with authority to dismiss. Chair may also be advised by a Professional Advisor. Decision taken by the Chair as to whether a **dismissal on the grounds of capability (performance)** is appropriate and employee verbally informed of the outcome of meeting.



Normally within 7 calendar days, formal letter outlining the Stage 3 meeting outcome to be sent to the employee. Employee informed of their right to appeal.

21. Appendix 2 – Action Plan for Improvements (Example)

Name of Employee: A. N Other

Name of Manager: A.N Other 2

Date: 1 April 2016

Improvement/s Needed and objectives	Action	Date to be achieved	Notes at Review Date 1 May 2013
<i>This can either be a broad description of the improvement that the employee needs to make OR a specific requirement for the employee to undertake a task</i>	<i>This column should have at least one action that the employee needs to undertake, in order to help them learn how to do better. The aim is to provide a supportive environment for the employee to gain skills and use them to begin to use them to good effect .</i>	<i>This should be a reasonable timeframe in which an individual may carry out their actions from column 2</i>	<i>This column is for notes of the conversation about the actions, and to record whether the line manager is happy the actions have been completed. Alternatively if the actions have not been completed, this should be recorded, and a new date to be achieved agreed.</i>
To be able to handle informal complaints in a professional manner	<ul style="list-style-type: none"> • To book onto Complaints Training • To spend time with the department administrator talking about the department’s way of informally handling complaints 	<ul style="list-style-type: none"> • By the end of April 2016 • By 21 April 2016 	
To write a policy on Annual Leave for the organisation	<ul style="list-style-type: none"> • To research the policies neighbouring Trusts use • To draft a document for use with this Trust • To present a draft document to the line manager 	<ul style="list-style-type: none"> • By 14 April 2016 • By end of April 2016 • By end of April 2016 	
To speak with all team members in a professional, polite and courteous manner, particularly when under	<ul style="list-style-type: none"> • To book onto Acceptable Behaviour Training • To book onto Assertiveness Training 	<ul style="list-style-type: none"> • By end of April 2016 • By end of May 2016 	

pressure	<ul style="list-style-type: none"> To speak with the Ward Manager to gain feedback 	<ul style="list-style-type: none"> By 7 April 2016 	
To be more visible to the team and provide leadership, guidance and help in a timely manner	<ul style="list-style-type: none"> To base yourself in the main office with immediate effect, rather than working in different bases- except when you have meetings To limit working from home to times when agreed with line manager that he/she will provide cover for you in the team To ensure 1-2-1 meetings with the team members are booked in the diary for next 12 months To diarise the team’s appraisals (contacting Workforce Planning for a list of appraisal expiry dates, if unsure) To book team meetings to take place once a month over the next 12 months, and communicate with the team that you would like them to prioritise these dates 	<ul style="list-style-type: none"> 1 April 2016 1 May 2016 1 May 2016 1 May 2016 1 May 2016 	
To urgently make sure your mandatory training is up to date	<ul style="list-style-type: none"> To book onto the mandatory courses you have not done To email line manager with the dates of the courses you are booked onto 	<ul style="list-style-type: none"> By 7 April 2016 By 7 April 2016 	

Agreed and received by A N Other _____ Dated _____

Copies: A N Other, File

22. Appendix 3 – Record of Meetings Performance Management

Date of meeting:
Persons present:
Purpose of meeting: <i>eg to discuss poor performance in relation to:</i> (it is recommended that the Action Plan for Improvement Appendix 2 is used as a basis for the meeting)
Evidence of performance presented and discussed against objectives identified in Action Plan for Improvement:
Supervision and support that will be provided during the agreed time period:
Timescale for achievement: (Maximum of 3 months but could be significantly less, for example if patient safety may be compromised by continued poor performance).
Review date:

Comments:

If performance does not improve by the review date, the process will move to the next stage of the procedure. This could include entering into the formal process with formal sanctions.

Where necessary please document the rationale for moving from the informal to formal process under the Improving Performance Policy.

Manager Name:

Signature:

Employee Name:

Signature:

H17 – Improving Performance Policy

23. Appendix 4 – Invite to Performance Review Meeting

Dear

Re: Invite to Stage XXX Formal Review Meeting

I write further to our previous meetings regarding your work performance. You will recall at these meetings that I expressed my concern regarding your work performance and key skills in areas such as:

-
-
-

Having reviewed your progress with you there remains on-going performance concerns and therefore I am writing to invite you to attend a Stage XX review meeting under the Improving Performance Policy H17 (enclosed) on:

Date xxxx
Time xxxx
Venue xxxx

You have previously been informed that should your levels of performance have not improved within the agreed timescales then formal action may be taken in accordance with the above policy. At this meeting your performance will be considered in the context of the action plan agreed at our last meeting on xx. We will discuss and agree any amendments, if additional support can be identified and set a further review date.

The meeting will be adjourned to give due consideration to all the facts and I am obliged to advise you that an outcome of this meeting could be a decision to issue you a formal warning.

Present at the meeting will be XX, People Hub team advisor and myself. You have the right to be accompanied at the meeting by either a trade union representative or work colleague, should you so wish.

It is an expectation that you make yourself available for this meeting, if in exceptional circumstances you are unable to attend, the meeting may be held in your absence and a decision reached regarding an outcome.

Please let me know in writing, if due to a disability, you require any reasonable adjustments to be made that can support your attendance and understanding of this meeting. It would be helpful to know the nature of your disability, the disadvantage that a particular aspect of the process causes you and what adjustments would be helpful.

If you have any queries regarding the content of this letter please do not hesitate to contact me.

Yours sincerely

24. Appendix 5 – Framework for an appeal meeting

1. Prior to an appeal panel meeting

- 1.1 Where possible the employee will be given a minimum 14 calendar days written notice of the date, time and venue of the appeal meeting.
- 1.2 The employee has the right to appear personally before the panel, either alone or accompanied by a trade union representative or workplace colleague.
- 1.3 Both parties will be required to submit written statements of the case, together with any supporting evidence a minimum of 7 calendar days before the appeal meeting is due to take place, unless otherwise agreed.
- 1.4 The management statement should set out the reasons for the action taken/conclusion reached. It should be sufficiently detailed to enable the employee to understand on what basis the decision was reached, and to prepare their own case.
- 1.5 The employee's statement should set out clearly the grounds on which they are contesting the outcome. It should be sufficiently detailed to enable the manager and panel to understand on what basis the appeal was lodged.

The employee must provide details under the grounds for their appeal as follows:

- **New evidence comes to light**
The grounds of the appeal must detail the nature of new evidence.
 - **They believe the procedure was not followed correctly**
Summary of why the process was not followed correctly.
 - **They believe the panel was unjust in reaching its conclusion**
Details concerning the reason why there is a belief the conclusion was incorrect.
- 1.6 Both parties should provide details of any witnesses they intend to call. It will be the responsibility of management and staff side to call and brief their own witnesses.
 - 1.7 Witnesses will not normally be required to be in attendance for the whole of the appeal meeting. Each witness will be called to give evidence and will then leave the room. Wherever possible the witness will be told at this point whether they are free to leave or are likely to be recalled.
 - 1.8 As soon as both statements have been received they should be simultaneously circulated to:
 - Panel members hearing the appeal
 - Manager representing the case
 - Employee
 - Employee's representative

2. Composition of the panel for appeal meetings

2.1 Manager/Chairperson

The person chairing the appeal meeting should be of a higher level than the manager who made the original decision.

2.2 Servicing Officer

The servicing officer will be a People Hub team representative.

The servicing officer will be responsible for; advising the panel on the procedure to be followed and reviewing the decision with the panel; ensuring that both parties are advised in writing of the panel's decision.

2.3 Professional Advisor

In cases which concern a professional matter, at least one panel member should have specialist knowledge of the employee's field of work. Where this is not so, a professional advisor acceptable to both parties should be appointed. The professional advisor should advise the panel only on matters relating to the employee's professional conduct or competence.

Any objections to the professional advisor proposed must be based on reasonable grounds.

2.4 Observers

Observers may be present only with the permission of the Chairperson and both parties. They must withdraw immediately at the direction of the Chairperson.

3. CONDUCTING AN APPEAL MEETING

3.1 The Chair of the panel will:

- Introduce those present.
- Explain the purpose of the meeting.
- Advise all present of the order of the procedure, which will be followed at the meeting, and to ensure that it is understood by the employee and where appropriate their representative:

3.2 The following procedure should be adopted:

The employee or their representative will present their case.

The employee or their representative will call any witnesses during the presentation of their case.

The manager may ask questions of the employee and any witnesses, as may the panel.

The employee or their representative will have a final opportunity to question the witnesses.

The manager will present their case and call any witnesses.

The employee or their representative may ask questions of the manager and any witnesses, as may the panel.

The manager will have a final opportunity to question the witnesses.

The employee or their representative will sum up their case. The summing up shall not introduce any new matter.

The manager will sum up their case. The summing up shall not introduce any new matter.

Following summing up both parties, the employee and the presenting manager, will leave the room.

3.3 It should be noted that the panel members may:

- Ask for clarification of any statements made during the course of the proceedings.
- Decide to adjourn at any stage, or at the request of either party. The duration of the adjournment will be made clear and a decision reached on the time the meeting is to be reconvened.

3.4 When all the evidence has been presented the meeting should be adjourned for the panel, with People Hub team support in attendance, to reach a decision on the case. Both parties may be recalled if points of uncertainty need to be clarified.

3.5 Once a decision has been reached the employee, their representative and the manager should be recalled and informed of the manager's/Chairperson's decision.

3.6 One of three decisions will be made:

- To not uphold the appeal and endorse the action taken.
- To uphold the appeal and remove the sanction from the employee's file and reinstate the employee if they were dismissed.
- To uphold the appeal but provide other recommendation(s) and/or in disciplinary cases substitute a less serious sanction.

3.7 The decision will be confirmed in writing within 7 calendar days.

4.0 Salary arrangements following a successful appeal against dismissal

4.1 Where an employee is reinstated or re-engaged following a successful appeal against dismissal, reimbursement shall be based on the normal rate of pay the employee would have received if they had been working. Employment will be viewed as unbroken from the date of the original effective date of dismissal for purposes of calculating continuous employment.

25. Appendix 6 – Posts authorised to issue Formal Warnings, Dismiss and hear Appeals

Action	Taken By	Appeal
<p>First Written Warning</p> <p>12 months from issue</p>	<p>Manager not previously involved in the case</p>	<ul style="list-style-type: none"> • Higher level of management • Professional Advisor (if applicable) • People Hub representative support to the panel
<p>Final Written Warning</p> <p>24 months from issue reducing to First written after 12 months.</p>	<p>Manager not previously involved in the case</p>	<ul style="list-style-type: none"> • Higher level of management • Professional Advisor (if applicable) • People Hub support to the panel
<p>Dismissal</p>	<ul style="list-style-type: none"> • Chief Executive • Executive Directors • Other Directors • Clinical Directors • Chief Operating Officer • Senior General Managers • Heads of Service • Associate & Assistant Directors • Deputy Directors • Chief Pharmacist • Matrons • Operational Managers (Band 8a and above) 	<p>Appeal panels may be drawn from the list opposite (excluding Matrons & Operational Managers.)</p> <p>The appeal panel will comprise of:</p> <p>Minimum of two senior managers from the list opposite.</p> <p>Professional Advisor (if applicable)</p> <p>People Hub representative providing professional advice to the panel</p>