

## **Your Performance Matters Policy**

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Name of originator / author:	Rachael Potter, Workforce Business Partner
Name of responsible committee / Individual	Employment Policy Group
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# Lincolnshire Community Health Services NHS Trust

## Your Performance Matters Policy and Procedure

### Version Control Sheet

Version	Section / Para / Appendix	Version / Description of Amendments	Date	Author / Amended by
1	New policy	Merging P_HR_49 (Managing Employee Performance and Capability), P_HR_59 (Appraisal) and P_HR_62 (Incremental Pay Progression)	June 2017	Rachael Potter
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# Lincolnshire Community Health Services NHS Trust

## Your Performance Matters Policy Statement

<b>Statement</b>	The purpose of this policy is to enable matters relating to performance and capability to be dealt with objectively and equitably. Informal communications and regular management supervision between our employees and their managers' are essential in addition to assessing progress against objectives and identifying development needs.
<b>Responsibilities</b>	For a breakdown of manager, employee, Workforce and Staff Side/Trade Union representative responsibilities, please see the Your Performance Matters Toolkit
<b>Training</b>	Workshops are available for managers on the Your Performance Matters policy.
<b>Dissemination</b>	Website
<b>Equality &amp; Diversity</b>	This policy aims to meet the requirements of the Equality Act 2010 and ensure that no employee receives less favourable treatment on the grounds of gender, sexual orientation, transgender, civil partnership/marital status, appearance, race, nationality, ethnic or national origins, religion/belief or no religion/belief, disability, age, carer, pregnancy or maternity, social status or trade union membership.

## Your Performance Matters

### 1.0 Introduction

We cannot succeed without providing you with a working environment that makes it clear what your contribution is and helps you to achieve that contribution.

If we are to succeed as an organisation, it is vital that we focus on doing the 'right' things in the 'right' way. This performance management framework focuses all our efforts on these objectives whilst at the same time giving you the satisfaction of knowing what we expect, receiving regular feedback and discussion on how you are doing, recognising your successes and supporting your development.

Our philosophy on performance management is summarised as:

- a spirit of *improvement* rather than *blame*
- giving feedback based on *specifics* rather than *generalisations*
- securing *commitment* rather than forcing *compliance*
- continuous *development* rather than occasional *formal learning*
- a management approach that is *supportive* rather than *directive*
- assessment that is *centred on performance* rather than *focused on paperwork*
- a process that is owned by *everyone* rather than *administered by Workforce*

We all have a responsibility to achieve and maintain the standards that have been outlined to us and in order to this we must, have a clear knowledge of the expected standards required of us to perform our duties and in addition we must work with our managers to identify development needs and to act on them. In addition, we are required to attend mandatory and other relevant training identified as required through the appraisal process.

### 2.0 One to Ones

One to Ones are a way in which you can have on-going and regular discussions with your manager about how you are performing. Your manager will provide you with feedback so that you can receive recognition for what is going well and also be made aware of any areas that need improving.

Feedback should be always constructive, for example to help you maintain or improve your performance, with feedback focused on specific, observable areas.

You will complete a One to One record as way of recording what was discussed during your one to one.

### 3.0 Managing Performance

You can expect that your performance will be discussed on an on-going basis with your manager and that feedback is provided in a timely manner. In addition to informal discussions you and your manager will review your performance at your one to one meetings.

Performance discussions will focus on you evaluating your own performance and consider what you and your manager could do to develop or improve your performance.

As part of your one to one you and your manager will look at how well you have performed since your last one to one and will discuss objectives and targets for the next period and the expected behaviours in line with the LCHS Way. You will receive feedback from your manager on your performance, which will be supported by evidence and examples. Your achievements will be recognised and reinforced and if there are any areas for improvement then you will discuss what went wrong and how it can be put right. Your manager will consider all factors which contributed to your performance, including influences that have been within or outside of your control.

You will have access to your performance reviews and progression through your documented one to ones.

In addition to your one to ones and informal discussions you and your manager will assess your performance once a year through your annual appraisal.

#### **4.0 Poor Performance**

Poor performance is when someone has consistently not met objectives or targets, or has not demonstrated the required behaviours.

In the event your performance is not meeting the required standards, you will be provided with the specific areas where your performance levels need to be improved. In the first instance this will usually be managed through informal meetings and your one to ones. You will have the opportunity to offer an explanation as to why your performance is below the expected levels for your role.

#### **5.0 Informal Process for Managing Poor Performance**

A Development Plan will be used in the event you are not meeting the minimum standards of performance for your role and action taken through the informal meetings and your one to ones has failed to improve your performance levels.

An 8 week period will be set for you to show improvements as part of your development plan. You and your manager will have regular review meetings including a review period after 4 weeks and a review meeting at the end of the 8 week period.

The meetings will be held in a positive and supportive environment with the intention of providing clear aims and objectives for you to meet the required standard and will include a plan of how success will be measured and indicate timescales for completion using the development plan.

Consideration must always be given in relation to any reasonable adjustments that may need to be made to enable you to perform your duties. This is a legal requirement where there is a disability, as defined by the Equality Act 2010. In these circumstances the manager must seek advice via the Workforce Team.

At this stage if your performance has improved and the required standard has been achieved then your manager will inform you that this level of performance must be

maintained. Your performance will then be reviewed through informal meetings and one to ones.

At the end of the first review period if the required performance levels have not been achieved your manager will make you aware that if performance does not improve then formal action will be taken.

At the end of the eight week period of improvement if your performance has improved and the required standard has been achieved then your manager will inform you that this level of performance must be maintained. Your performance will then be reviewed through informal meetings and one to ones.

At the end of the eight week period of improvement if the required performance levels have not been achieved then a formal performance meeting will be convened. Please refer to section 6.0 for further information about the formal process.

In cases where similar issues of poor performance have been addressed previously but performance levels fall below the expected standard in the future, then you will be informed of this through informal meetings and one to ones. The manager should contact their Workforce Adviser/ Business Partner to discuss the options available to address these performance issues.

Please note extensions to these timeframes can be given in exceptional circumstances and any extensions will be discussed with you and your manager.

For ease of reference a flow chart has been provided on the process for managing performance.

## 6.0 Formal Process for Managing Poor Performance

Where the required performance levels have not been achieved then you will be invited to a formal performance meeting. A formal performance meeting can result in a formal warning being issued when it is considered that your performance levels are at an unsatisfactory level following the action and support provided in the development plan.

The formal stages and possible outcomes are detailed in Table 1.

Table 1.

Formal Stage	Possible Outcomes	Attendance Warning Duration
Stage 1	No further action A further four week development plan First Written Warning Issued	12 months
Stage 2	No further action	24 months

	A further four week development plan Final Written Warning	
Stage 3	Dismissal	N/A

## Appeals

You will have the right to appeal against a formal written warning or a dismissal. You must submit your appeal in writing, stating the reasons for appealing against the decision within 7 working days from the date you are informed of the outcome, either verbally or in writing.

### 7.0 General Principles at Formal Meetings;

**Notice of Meeting** – you will be given 5 working days written notice of the meeting.

**Details of Poor Performance** - you will be provided with the specific areas where your performance levels needed to be improved and any documents of relevance to be discussed during the formal meeting

**Right to Representation** - you will be notified of your right to be accompanied by a trade union, professional organisation representative or fellow employee.

**Decision in Writing & Right of Appeal** - Confirmation of any decision made at a formal meeting, the reasons for it, and of the right of appeal in the case where formal sanctions are issued will be given to you in writing following the meeting.

**Attendance at Meetings** - you must take all reasonable steps to attend formal meetings. If you or your representative is unable to attend, you should seek to agree an alternative date. If you decline the second date without good reason, the meeting will be heard in your absence and/or the absence of your representative.

### 8.0 Appraisal

The Appraisal process plays a critical part in achieving the Trust's objectives and helps each of you to understand your contribution and the importance of your role in the Trust. It is important that you have the opportunity to develop the knowledge and skills to do your job, to consistently put these into practice and be a part of a process to ensure that personal development needs are identified and supported. The Your Performance Matters Toolkit provides a variety of tools to enable you to develop in your role and consistently perform to the best of your ability.

The whole focus of this process is on the conversations that occur between you and your manager rather than the paperwork. However, it is appropriate that there is a record of the review process and the paperwork can be found under Your Performance Matters – Key Documents on [www.lincolnshirecommunityhealthservices.nhs.uk](http://www.lincolnshirecommunityhealthservices.nhs.uk)

Your appraisal conversation with your manager will consist of the following;

1. Reviewing Performance
2. Setting Objectives

### 3. Personal Development

Further information can be found in the Your Performance Matters Guidance document.

#### **Reviewing Performance**

In relation to your performance during the year you and your manager will have communicated regularly, given and received feedback and had one to ones. The purpose of the appraisal discussion is to:

- discuss your performance against your objectives
- provide you with an overall performance rating for the year
- think about your future development.

Performance will be assessed once a year and this will include a review of your objectives, how well you have done against them and if you have demonstrated the required behaviours, to the required standard. A range of assessment methods should be used to assess performance to provide a holistic approach to assessing your performance.

At the end of the performance year you will receive an overall performance rating for the year. For more details on the appraisal scoring system please refer to the guidance document.

#### **Setting Objectives**

Objective setting is at the heart of the Performance Management process. The objective setting process provides focus and helps you to understand what is expected of you and how you will achieve the required standards. Objective setting takes place at the beginning of the performance year and will be detailed in your appraisal.

Objectives should be agreed at your appraisal meeting and revised throughout the year. Your objectives should link to the main activities and responsibilities of your role. Your appraisal is an opportunity to discuss priorities so that you have a clear idea of what you are expected to achieve, how your objectives link to your service objectives and how they link to organisational objectives.

#### **Personal Development**

Your Personal Development Plan (**PM-FM4**) is a way of you and your manager identifying and agreeing your development needs so you can achieve your objectives and improve your performance. Your development needs should be identified at the start of the year and then reviewed throughout the year.

Your development needs could include one or more of the following:

- increasing your knowledge and/ or skills
- learning new, or improving existing, skills
- being given opportunities to gain further experience
- developing an area of the competencies

You will also need to think about the most suitable way of meeting your development requirements and the support or resources you will need to do this.

## **9.0 Incremental Pay Progression**

Incremental pay progression for all points within each pay band will be based on you demonstrating that you have the required knowledge, skills/competencies and behaviours for your role and that you have demonstrated the required level of performance and delivery during the year.

Your appraisal will be used to determine whether the increment should be awarded or not.

Incremental pay progression will not be awarded if;

- Your performance is not satisfactory;
- You have not completed your mandatory and professional training
- If you are in a managerial role and your teams' appraisals have not been completed and recorded within the required timeframe;
- If you have a live formal warning in place.

### **Appeal**

You will have the opportunity to appeal a decision to not award an increment, if you consider that the evidence you have provided demonstrated the required level of performance. Your appeal should be submitted to the next level of management within 5 working days of your appraisal. Upon receipt, an Appeals Panel will be set up with an independent manager and Human Resources representative. The decision of the Appeal Panel will be final.

Further information can be found in the Your Performance Matters Toolkit document.

## **10.0 Probationary Periods**

Where new employees have a probationary period included within their contract of employment they are not subject to the Your Performance Matters Policy until they have been confirmed in post, as they will be managed through the Probationary Policy and Procedure.

## NHSLA Monitoring

Minimum requirement to be monitored	Process for monitoring e.g. audit	Responsible individuals/ group/ committee	Frequency of monitoring/audit	Responsible individuals/ group/ committee (multidisciplinary) for review of results	Responsible individuals/ group/ committee for development of action plan	Responsible individuals/ group/ committee for monitoring of action plan
Number of grievances raised	ER spreadsheet	Operational Managers	Weekly	ER spreadsheet	Operational Managers/ SHRBP	Operational Managers
	BU reporting	Practitioner Performance Review Meetings  HR and OD Board	Monthly	Practitioner Performance Review Meetings	Practitioner Performance Review Meetings  HR and OD Board	Practitioner Performance Review Meetings  HR and OD Board

## Equality Analysis

A.	Briefly give an outline of the key objectives of the policy; what it's intended outcome is and who the intended beneficiaries are expected to be	To provide clear guidance and process through the grievance process.		
B.	Does the policy have an impact on patients, carers or staff, or the wider community that we have links with? <b>Please give details</b>	STAFF		
C.	Is there is any evidence that the policy\service relates to an area with known inequalities? <b>Please give details</b>	NO		
D.	Will/Does the implementation of the policy\service result in different impacts for protected?	NO		
		Yes	No	
	Disability		√	
	Sexual Orientation		√	
	Sex		√	
	Gender Reassignment		√	
	Race		√	
	Marriage/Civil Partnership		√	
	Maternity/Pregnancy		√	
	Age		√	
	Religion or Belief		√	
	Carers		√	
	<b>If you have answered 'Yes' to any of the questions then you are required to carry out a full Equality Analysis – please go to section 2</b>			
The above named policy has been considered and does not require a full equality analysis				
<b>Equality Analysis Carried out by:</b>		Alex Williamson		
<b>Date:</b>		18 <sup>th</sup> May 2015		