

MANAGING EMPLOYEE PERFORMANCE

The benefits of managing performance effectively

Companies often put a great deal of effort into specifying, measuring and monitoring the expected output from plant, software or vehicles. This is to be expected since purchase and maintenance of such equipment is a major investment. However, many companies fail to ensure that they take a similarly rigorous approach to the management and development of their staff.

Management of employee performance is critical to business success and effective performance is a combination of motivation and ability. People need to have or develop the skills required for the job, to know what they should be doing, what they are good at, what they need to do better and what support they will have to help them improve. Companies often think of the annual appraisal as the best way to manage performance but annual appraisals are more about monitoring performance after the fact than managing it when it counts. To be effective, performance management should consist of informal, day to day management, reinforced by a more formal system for reviewing and improving performance of both individuals, teams and ultimately the organisation.

Performance Management should be a holistic process, linking to training and development and succession planning. It really begins with having the right people in the right roles. It is therefore worth investing the time and effort from the start to recruit people who have the skills, capability and motivation to do an effective job in your organisation. If you get the right people, they don't need to be tightly managed. The right people are self motivated to produce the best results and to be part of something great. They should then be managed in such a way as not to de-motivate them.

Leaders of companies should strive to create an environment where people who are interested in doing a good job thrive and people who are not motivated move on. This means being rigorous but not ruthless. It means setting clear expectations and holding people accountable, encouraging all employees to contribute their thinking and experience, avoiding blame and cultivating freedom and responsibility. Any systems for managing performance should be simple and focused on providing regular and helpful feedback rather than completing forms. They should also be regularly evaluated and changed to reflect feedback and changing circumstances.

Successful implementation will depend on the commitment and example demonstrated by senior management. One way of reinforcing the importance of the process is to assess managers on how well they manage the performance of their direct reports.

Line managers have a critical role to play in effectively managing performance. They need to have the skills and the motivation to do this effectively and any systems should make their jobs easier rather than being a meaningless form filling exercise. It is helpful to involve managers in deciding how the organisation as a whole will handle the process and to allow them the freedom to decide how and when feedback will be provided. It is also helpful to provide training for line managers on listening and giving feedback and to include management of performance in their objectives. It is important to sustain the effort to keep managers actively involved in both the informal and the more formal side of performance management.

Any system for managing performance should include the elements outlined below. These are summarised in Appendix 14E.

Elements of performance management

1. Determine the company strategy and communicate it to all employees.

All employees need to be highly aware of and focused on company goals.

2. Establish clear roles and responsibilities

Every employee should have an up to date job description and should be clear on who they are accountable to and what they are responsible for. Employees who are clear about their role and responsibilities and have meaningful and varied work will be more motivated to deliver.

3. Set departmental and functional objectives based on company goals.

Each functional area should have defined objectives which link to the company strategy.

The Balanced Business Scorecard can provide a useful framework for companies to measure all important elements of the business, not just the financials which have traditionally been the focus for measurement. See www.nibusinessinfo.co.uk for further guidance.

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4. Set individual objectives which are linked to departmental and company goals

It is vital that the company's employees are focused on doing the things that matter for the business. Each individual should understand the company strategy and how their role contributes to it. They should be capable of using their own initiative to make decisions which are to the long term benefit of the company.

It is very important to ensure that the right things are being measured and managed. Each person should agree a limited number of individual objectives and Key Performance Indicators (KPIs) for a particular period which are explicitly linked to the business objectives and which are important for business success. Try to avoid the tendency to choose objectives which are easy to measure but have little impact on company goals. (See sample performance agreement at Appendix 14A to 14D.)

Objectives should be SMART (Specific, Measureable, Achievable, Realistic, Time bound). They should be fair and relevant, focusing on the things that really matter for the business. They should be agreed with individuals and people should also have the freedom to decide how they accomplish desired results – within guidelines of course. Where people have some involvement in deciding how to go about achieving their objectives, they are more motivated to achieve them.

At this stage it is also useful to agree the resources required, including information, how progress will be monitored, assessed and reported and the consequences of any actions taken.

5. Regular monitoring and feedback

Managers should have frequent, ongoing conversations with their teams and the individuals within the team, rather than saving up issues for a once a year "appraisal" which everyone dreads. In this way, employees receive feedback immediately, it has more meaning and there is the opportunity to make adjustments in time to get back on track. This may also mean adjusting unrealistic objectives or standards. These conversations are more important than completing forms.

Regular reviews of progress against objectives should also be carried out with the team. Feedback should be provided regularly on how the company, the team and the individuals are doing and employee views should be sought. When performance is good, timely positive feedback should help to reinforce it. If there are performance issues, the problem should be explained in an objective, constructive, non-threatening way.

The manager should listen to the individual, explain what improved performance should look like and how it can be achieved. The focus should be on solutions rather than problems.

It is worth acknowledging the obstacles to providing fair, open and constructive feedback and making plans to deal with them. Managers are often reluctant to give negative feedback since they can fear a negative reaction from the employee. They may avoid tackling performance problems because they know that these will take time and they have other pressing problems to deal with. Senior managers can help to address these issues by reinforcing and demonstrating the importance of managing performance, providing appropriate training and providing support as necessary. Any performance problems should be dealt with promptly and constructively. Further detail on managing poor performance is provided at point 9 below.

6. One to one reviews

It is also worthwhile taking time out at specific periods (once a year as a minimum) for a more formal conversation with each individual in the team to review objectives, progress made and determine development needs. Relevant dates should be agreed and scheduled and the review should be given priority. Enough time should be allocated and an appropriate venue should be organised which allows privacy and prevents interruptions.

At these discussions, objectives, achievements, concerns and difficulties should all be discussed. Individuals should be fully involved in reviewing their own performance, analysing how they have performed and how they can improve for the future. They should be encouraged to contribute their views at each stage. Questioning and listening are very important.

People should be held to account for their performance and praised when they do a good job. The manager should take into account both what is achieved and how it is achieved. If the company has defined values, these should also be reflected in feedback. Thus their impact on the rest of their team, on customer satisfaction and the respect shown to others are equally important as the results achieved. The person receiving the feedback should have a full opportunity to respond.

The role of the manager in this process is to provide support and assistance. Feedback should be based on facts, not subjective opinion and should always be backed up with evidence and examples.

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The aim of feedback should be to help the individual understand the impact of their actions and behaviour, to learn how to perform better. Emotive comments about personality should be avoided. Where the feedback indicates that something has gone wrong corrective action may be required. People should be encouraged to come to their own conclusions about what happened and why. Wherever possible, feedback should be used positively to reinforce the good and identify opportunities for further positive action and the emphasis should be on resolving problems and planning how to prevent them in future rather than censuring past behaviour. The intention is to keep the individual responsible and accountable for results. (See sample Performance Review Record at Appendix 14M and 14N).

7. Action planning

All employees should have the opportunity to suggest changes to company systems and procedures in order to remove barriers to doing an effective job. This may involve a change of role, new equipment or a change in process.

Performance reviews and discussions may also identify gaps in an individual's knowledge or skills, highlighting a training and development need. If this is the case a development plan should be agreed to address this.

The discussions may also identify particular aptitudes and potential to take on additional responsibilities or a new role, and time should be given to discussing opportunities to progress within the company, if this is appropriate. See section 16 for more information on succession planning.

Any paperwork should be kept to a minimum and should be simple and straightforward. While the emphasis should be on the monitoring of performance and feedback rather than on paperwork, it may be useful to keep notes of any agreed actions particularly if there are performance issues. If there is any possibility of disciplinary action, the proper procedure should be followed (see below).

8. Recognise good performance

The most effective reward for good performance is often a simple thank you. Organisations may also choose to reward effective performance with gift vouchers, meals out, certificates etc. However, take care to keep the focus on facilitating effective performance rather than using the process to drive pay decisions.

9. Address poor performance

If the company is serious about creating an environment where effective performance is encouraged, it is important to deal with poor performance effectively and promptly. Too often poor performance is tolerated or ignored because managers are unsure how to address the issue or worry about creating an unpleasant atmosphere.

However, addressing performance issues promptly can help to bring about an improvement before performance deteriorates to an unacceptable level. It also means that colleagues do not have to carry a poor performer.

How to manage poor performance

When an employee's performance is not meeting requirements, it is important to deal with the issue promptly and constructively. Employers need to carefully consider the circumstances and reasons for any under performance and when carrying out reviews should not penalise employees e.g. by giving lower scores, for absences during the period under review such as pregnancy related leave or maternity leave.

All employees should have the opportunity to do their jobs effectively. Any employee whose performance is not meeting expectations should receive the appropriate warnings, support and opportunity to improve before dismissal is considered. Any feedback should be based on evidence and fact.

It is worth considering whether the performance problem is caused by a lack of motivation or a lack of ability. If ability is the issue, the need for further training or resources should be considered and discussed. Alternatively, the job may be re-designed or the employee may be moved to another position at the same level. If the problem is due to lack of motivation, it may be helpful to set performance goals and provide support and feedback.

Where the company concludes that unsatisfactory performance is due to a disability, account should be taken of the Disability Discrimination Act 1995 and if it is feasible for the business to make any reasonable adjustments to assist the employee to do their job more effectively these should be discussed and fully considered. A disabled employee should not be penalised where the problem of poor performance stems from the employer's failure to comply with the reasonable adjustment duty e.g. failure to provide special equipment or other support at an earlier date.

It is also important to distinguish poor performance as a result of lack of ability from misconduct which should be dealt with under a disciplinary procedure.

Below is a formal procedure for managing poor performance should that become necessary but minor performance issues should also be dealt with at the time they arise with a view to addressing the causes of the problems.

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The formal performance improvement process

This process is summarised in Appendix 14F. Note that for serious performance issues, such as failure to comply with key responsibilities of the role which result in major damage to the company, it is possible to go straight to the final warning stage.

1. Verbal warning

1.1 Initial meeting to discuss the issues

- The employee will be informed of the reason for the meeting and any information to be relied upon, in advance and in writing. (See Appendix 14G).
- At the meeting the employee will have the opportunity to respond to the points made.

1.2 Verbal warning

Following the meeting, provided there are no extenuating circumstances the employee will be given a formal verbal warning.

The verbal warning will:

- state the areas for improvement and the date for review (e.g. after one month); and
- be copied to the employee and be entered on the employee's personnel file. (See Appendix 14H).

1.3 Verbal warning review meeting

During the relevant period performance should be monitored and any feedback provided promptly. Performance will be formally reviewed after any verbal warning at the specified date at a Verbal Warning Review Meeting.

- The employee will be informed of the reason for the meeting and any information to be relied upon, in advance and in writing.
- The employee will be advised of the right to be accompanied.
- At the meeting the employee will have the opportunity to respond to the points made.

1.4 Performance improved after verbal warning

Where performance has improved after the verbal warning, a further review meeting will be arranged at a specified date (e.g. two months after the Verbal Warning Review Meeting) to review progress.

- The employee will be informed of the reason for the meeting and any information to be relied upon, in advance and in writing.
- The employee will be advised of the right to be accompanied.
- At the meeting the employee will have the opportunity to respond to the points made.

If performance has remained acceptable for three months from the Verbal Warning, the verbal warning will remain on the employee's personnel file but normally will not be considered for disciplinary purposes after the stated period.

2. First written warning

If there has been no improvement and provided there are no extenuating circumstances (e.g. the employee is new to the role and still learning) a First Written Warning will be given following the meeting, by the employee's manager.

2.1 Content of the First Written Warning

The following issues are likely to be covered:

- Summarise previous communications and the discussion on the first written warning review meeting;
- State the performance problem and how it has continued since the prior communication;
- State the specific steps that must be taken by the employee to improve and the timescale for improvement;
- State what the company will do to help the employee improve (if appropriate);
- Provide a statement of the consequences should the employee fail to satisfactorily improve performance;
- State what the employee's expectations should be regarding the First Written Warning;
- State a date for review (e.g. in one month's time).

A copy of the completed First Written Warning will be provided to the employee and his/her manager (see Appendix 14I).

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2.2 First written warning review meeting

Performance will be reviewed in the specified timescale after the First Written Warning at a First Written Warning Review Meeting.

- The employee will be informed of the reason for the meeting and any information to be relied upon, in advance and in writing.
- The employee will be advised of the right to be accompanied.
- At the meeting the employee will have the opportunity to respond to the points made.

If there has been no improvement in performance and there are no extenuating circumstances, the employee's manager will give a Final Written Warning, following the First Written Warning review meeting, and the next stage of the procedure should be followed.

Where performance has improved after the First Written Warning, the warning will remain on file but will normally not be considered for disciplinary purposes after a specified time (e.g. 6 months). A further review meeting will be arranged two months after the First Written Warning Review Meeting. The employee will be informed of the reason for the meeting and any information to be relied upon, in advance and in writing. At the meeting the employee will have the opportunity to respond to the points made.

Any further performance problems during the following three months shall mean a further meeting will be arranged. This may mean that the first written warning will still stand. If performance has remained acceptable for six months from the First Written Warning the First Written Warning will no longer be active. The warning will remain on the employee's personnel file but will normally not be considered for disciplinary purposes after the stated period.

If there have been further performance problems and there are no extenuating circumstances the first written warning will still stand.

3. Final written warning

3.1 Final written warning

The Final Written Warning will be in substantially the same form as the First Written Warning. The Final Written Warning will state that failure to improve performance by a specified date is likely to lead to dismissal and will state the date for the Final Written Warning Review Meeting.

A copy of the completed Final Written Warning will be provided to the employee and retained on the employee's file. (See Appendix 14J).

3.2 Final warning review meeting

Performance will be reviewed after about one month against the goals specified in the Final Written Warning at a Final Written Warning Review Meeting. The employee will be informed of the reason for the meeting and any information to be relied upon, in advance and in writing.

Where performance has improved after the Final Written Warning, review meetings will be arranged at two monthly intervals from the date of the Final Written Warning Review Meeting for a period of approximately one year.

If performance has remained acceptable for one year from the Final Written Warning, the Final Written Warning will remain on the employee's personnel file but will normally not be considered for disciplinary purposes after the stated period.

If performance has not improved and there are no extenuating circumstances it is likely that dismissal will result.

4. Dismissal

The decision to dismiss is likely unless the company determines with the employee's agreement that another action, such as a transfer, is appropriate in all of the circumstances. Where the employee is dismissed, he/she will be provided, as soon as reasonably practicable, with written confirmation of the dismissal and the date on which employment terminated, or will terminate. (See Appendix 14K).

SECTION 14

Appeals Procedure

Where an employee believes that the action (in any stage of the procedure) is unjustified they may request an appeal by an Appeal Manager, preferably someone who has not been involved in the earlier decision.

The request for an appeal should be in writing and lodged with the specified person within five working days of receipt of the written confirmation of the action. The written Notice of Appeal should state whether the employee is appealing against the finding that his/her performance has been unsatisfactory and/or against the form of action.

The Appeal Manager should try to arrange to interview the employee concerned within eight working days of receipt of the Notice of Appeal. The employee should be advised of the right to be accompanied.

Following these meetings, the Appeal Manager will review all the facts and after full consideration either:

- revoke the decision; or
- vary the action with regard to the stage of the procedure to be applied; or
- endorse the action taken.

This decision will be communicated in writing to the employee. The employee is not entitled to any further right of appeal (see appendix 14L).

Where the decision at Stage 4 of the procedure is dismissal, the exercise of the right to appeal does not prevent the dismissal from being effective from its stated date. If it is subsequently decided to revoke the decision to dismiss, the employee will be reinstated and will be treated in all respects as if they had not been dismissed.

As an alternative to dismissal, the company may take any of the following action with the employee's agreement:

- reduction in salary; or
- demotion; or
- job transfer.

The Right to Accompaniment

Employees may choose to be accompanied at all meetings which are conducted at any stage of the Performance Improvement Procedure (and any appeal) by a work colleague or appropriately qualified trade union representative.

The companion should be allowed to address the hearing in order to:

- put the employee's case;
- sum up the employee's case;
- respond on the employee's behalf to any view expressed at the hearing.

The companion can also confer with the employee during the hearing and may participate as fully as possible in the hearing, including being given the opportunity to raise points about any information provided by witnesses. The companion has no right to answer questions on the employee's behalf, or to address the hearing if the employee does not wish it. Additionally, a companion must not act in a manner which would prevent either an employer from explaining his/her case or any other person at the hearing from making his/her contribution to it.

APPENDIX 14A

PERFORMANCE AGREEMENT TEMPLATE

Company objective	Employee linked objective	Next review date	Due date	Comments/status

SAMPLE PERFORMANCE AGREEMENT – OPERATIVE

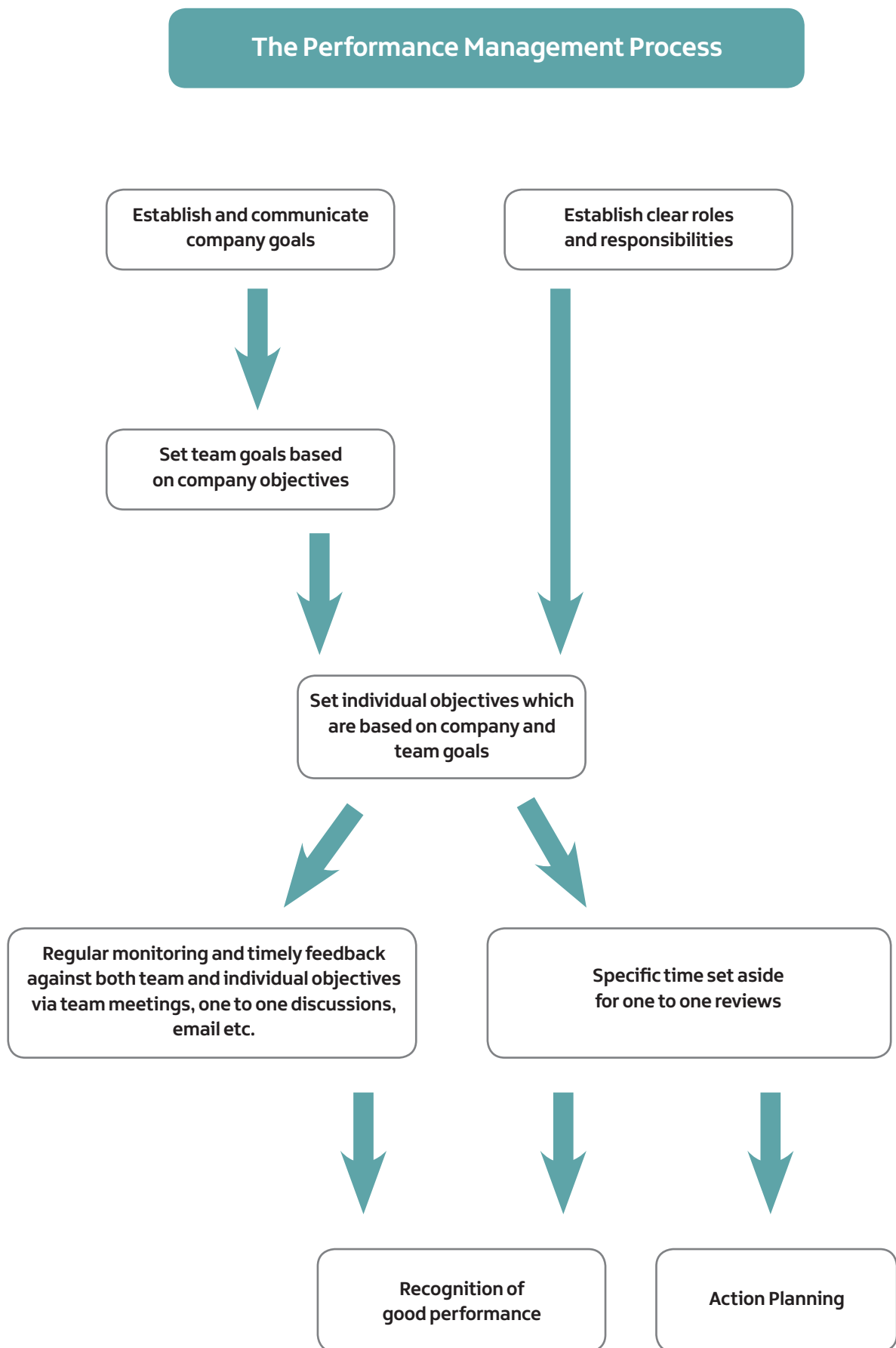
Company objective	Employee linked objective	Next review date	Due date	Comments/status
To produce excellent quality products	All work completed meets company quality standards as specified			
	Support provided to team members as required			
	Time keeping and attendance meet company requirements			
To ensure customers receive products on time	All work completed within agreed timescales as specified			
To provide excellent customer service	All customer requests dealt with promptly and effectively			
To provide a safe and healthy work environment	Adherence to health and safety policies			

SAMPLE PERFORMANCE AGREEMENT - ADMINISTRATOR

Company objective	Employee linked objective	Next review date	Due date	Comments/status
Provide excellent customer service	Deal with telephone enquiries within four working hours and written enquiries within two working days Post – allocate mail within two hours of receipt			
Ensure effective company cash flow	Issue invoices within four days of work being completed			
Ensure effective supplier relationships	Process supplier invoices within 15 days			
Promote a culture of continually upgrading internal skills and knowledge to produce high quality service and results	Undertake formal courses of academic/vocational study and/or participation in relevant Learning & Development courses			

SAMPLE PERFORMANCE AGREEMENT - MANAGER

Company objective	Employee linked objective	Next review date	Due date	Comments/status
To develop and maintain a sustainable and profitable organisation	Costs contained within budget and agreed profit margins are maintained for each quarter			
To produce excellent quality products	Quality standards met and external accreditation retained for the current year			
To ensure customers receive products on time	Delivery times met for all standard orders within the reporting period			
To provide excellent customer service	Customer complaints during the reporting period not exceeding x% and all complaints resolved to customer satisfaction within x days of receipt			
To provide a safe and healthy work environment	All existing employees trained and aware of health and safety obligations by x date. All new employees to receive health and safety training within x weeks of starting.			
To provide a rewarding and enjoyable working environment	Employee turnover for the reporting period not to exceed x%.			
	All team member annual and interim reviews completed by x date.			



FORMAL PERFORMANCE IMPROVEMENT PROCEDURE

The Right to Accompaniment
 Employees may choose to be accompanied at all meetings which are conducted at any stage of the Performance Improvement Procedure (and any appeal) by a work colleague or appropriately qualified trade union representative. The companion should be allowed to address the hearing in order to:

- put the employee's case;
- sum up the employee's case;
- respond on the employee's behalf to any view expressed at the hearing.

Performance problem identified
 (After reasonable investigation)

Initial meeting to discuss the issues

Prior to meeting

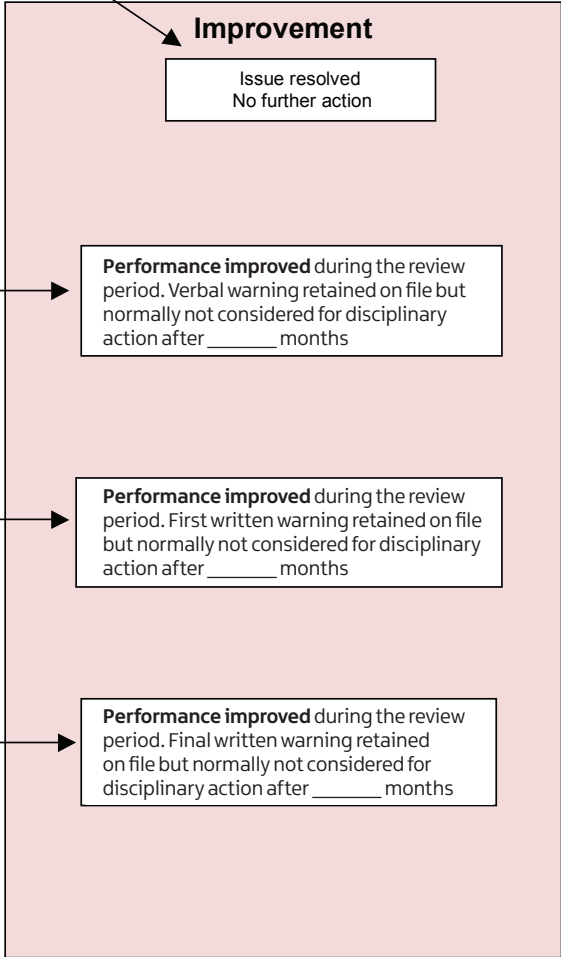
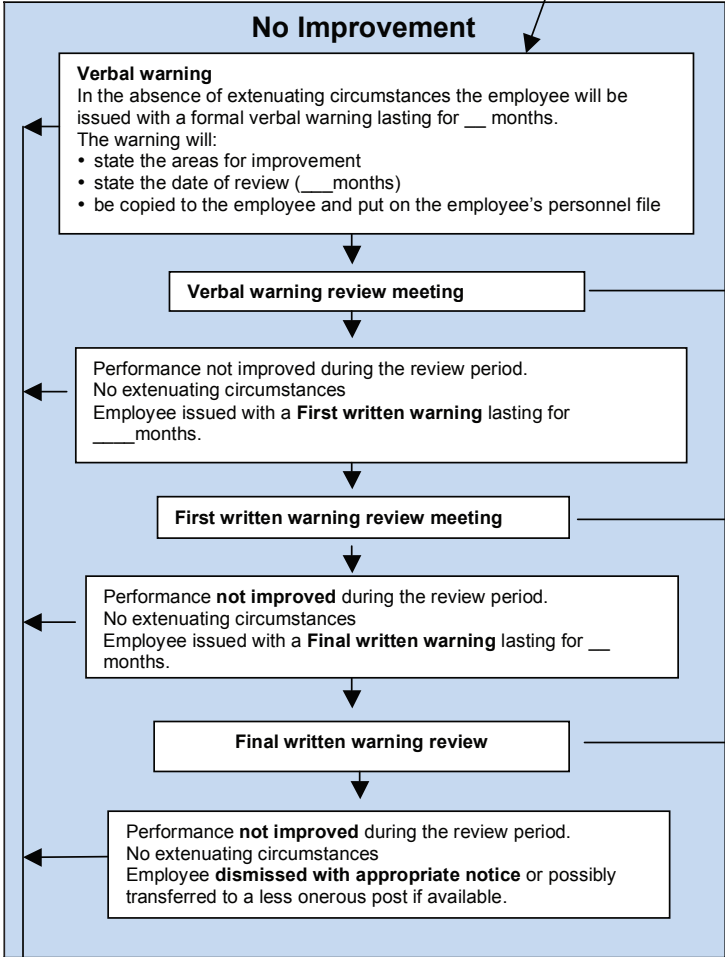
- employee informed of the reason for meeting
- given copies of any information to be relied upon

At the meeting

- the employee will be given the opportunity to respond to points made

After the meeting

- Issue a written note setting out
 - the improvement needed
 - reasonable time scale for improving
 - a review date
 - any support that will be provided to help employee meet required standards



Appeal: Where an employee believes that the action is unjustified they may request an appeal by an Appeal Manager, preferably someone who has not been involved in the earlier decision. The Appeal Manager will review all the facts and after full consideration either:

- revoke the decision; or
- vary the action with regard to the stage of the procedure to be applied; or
- endorse the action taken.

This decision will be communicated in writing to the employee. There is no further right of appeal.

APPENDIX 14G

NOTICE OF PERFORMANCE IMPROVEMENT MEETING

Date _____

Dear _____

I am writing to tell you that you are required to attend a performance improvement meeting on ____/____/____ at _____ am/pm which is to be held in _____.

At this meeting the question of disciplinary action against you, in accordance with the organisation's poor performance procedure will be considered with regard to

(Specify)

I enclose the following documents* (Evidence of poor performance)

The possible consequences arising from this meeting might be: *a recorded verbal warning/*a first written warning/*a final written warning/*dismissal or some other disciplinary penalty (e.g. disciplinary transfer).

You are entitled, if you wish, to be accompanied by another work colleague or a trade union representative.

Yours sincerely

Signed Manager

*Delete if not applicable

APPENDIX 14H

POOR PERFORMANCE - RECORDED VERBAL WARNING

Date _____

Dear _____

I refer to our meeting on (date) which was held under stage 1 of the Company's Performance Improvement Procedure, a copy of which has been supplied to you. You were accompanied at the meeting by (insert name), your union representative/work colleague*. The following areas of under-performance were discussed:

(Specify the performance problem/problems identified)

This letter is a formal, recorded, verbal warning that your performance does not reach the required standard, as defined in the attached action plan.

(Detail the improvement needed, a reasonable time scale for improving, a review date and any support that you will provide to help the employee to meet required standard/s)

This recorded verbal warning will be placed on your personal file for a period of six months during which your performance will be monitored. If your performance reaches the required standard, this warning will be retained on file but normally not considered for disciplinary purposes after this period.

Should there be no improvement, I will have no alternative but to proceed to stage 2 of the Procedure, which may result in a first written warning being issued.

If you wish to appeal against this decision you should inform me within 5 working days. I will invite you to a further hearing to discuss the appeal. You have the right to be accompanied at the hearing by (insert name), your union representative/work colleague*. The final decision will be communicated to you in writing within 5 working days of the hearing.

Yours sincerely

* (delete as necessary)

APPENDIX 14I

POOR PERFORMANCE - FIRST WRITTEN WARNING

Date _____

Dear _____

I refer to our meeting on (date) which was held under stage 2 of the Company's Performance Improvement Procedure, a copy of which has been supplied to you. You were accompanied at the meeting by (insert name), your union representative/work colleague*. The following areas of under-performance, which were originally brought to your attention on (date of first formal meeting), were discussed:

(Specify the performance problem/problems identified)

This letter is a formal first written warning that your performance does not reach the required standard, as defined in the attached action plan.

(Detail the improvement needed, a reasonable time scale for improving, a review date and any support that you will provide to help the employee to meet required standard/s)

This first written warning will be placed on your personal file for a period of twelve months during which your performance will be monitored. If your performance reaches the required standard, this warning will be retained on file but normally not considered for disciplinary purposes after this period.

Should there be no improvement, I will have no alternative but to proceed to stage 3 of the Procedure, which may result in a final written warning being issued.

If you wish to appeal against this decision you should inform me within 5 working days. I will invite you to a further hearing to discuss the appeal. You have the right to be accompanied at the meeting by (insert name), your union representative/work colleague*. The final decision will be communicated to you in writing within 5 working days of the hearing.

Yours sincerely

* (delete as necessary)

APPENDIX 14J

POOR PERFORMANCE - FINAL WRITTEN WARNING

Date _____

Dear _____

I refer to our meeting on (date) which was held under stage 3 of the Company's Performance Improvement Procedure, a copy of which has been supplied to you. You were accompanied at the meeting by (insert name), your union representative/work colleague*. The following areas of under-performance, which were originally brought to your attention on (date of first formal meeting), were discussed:

(Specify the performance problem/problems identified)

This letter is a formal final written warning that your performance does not reach the required standard, as defined in the attached action plan.

(Detail the improvement needed, a reasonable time scale for improving, a review date and any support that you will provide to help the employee to meet required standard/s)

This final written warning will be placed on your personal file for a period of twelve months during which your performance will be monitored. If your performance reaches the required standard, this warning will be retained on file but normally not considered for disciplinary purposes after this period.

Should there be no improvement, I will have no alternative but to proceed to stage 4 of the Procedure, which may result in your dismissal from your employment with the Company.

If you wish to appeal against this decision you should inform me within 5 working days. I will invite you to a further hearing to discuss the appeal. You have the right to be accompanied at the meeting by (insert name), your union representative/work colleague*. The final decision will be communicated to you in writing within 5 working days of the hearing.

Yours sincerely

* (delete as necessary)

APPENDIX 14K

POOR PERFORMANCE - DISMISSAL OR SOME OTHER DISCIPLINARY PENALTY (e.g. DISCIPLINARY TRANSFER)

Date _____

Dear _____

I refer to our meeting on (date) which was held under stage 4 of the Company's Performance Improvement Procedure, a copy of which has been supplied to you. You were accompanied at the meeting by (insert name), your union representative/work colleague*.

You were informed at that meeting that your performance was still not satisfactory and that you will *be dismissed/*have the following disciplinary action taken against you. (Specify)

*I am therefore writing to you to confirm the decision that you will be dismissed and that your last day of employment with the Company will be _____. The reasons for your dismissal are

(Specify)

*I am therefore writing to you to confirm the decision that disciplinary action will be taken against you. (Specify).

The reasons for the disciplinary action are

(Specify)

If you wish to appeal against this decision you should inform me within 5 working days. I will invite you to a further hearing to discuss the appeal. You have the right to be accompanied at the meeting by (insert name), your union representative/work colleague*. The final decision will be communicated to you in writing within 5 working days of the hearing.

Yours sincerely

* (delete as necessary)

APPENDIX 14L

PERFORMANCE IMPROVEMENT PROCEDURE - OUTCOME OF APPEAL

Date _____

Dear _____

I refer to our meeting on (date) which was held under appeal stage of the Company's Performance Improvement Procedure, a copy of which has been supplied to you. You were accompanied at the meeting by (insert name), your union representative/work colleague*.

You appealed against the decision of the Performance Improvement hearing that you should

- be given a recorded verbal warning
- be given a first written warning
- be given a final written warning
- be dismissed or subject to **other disciplinary action

I am now writing to inform you of the decision taken by _____ [Insert the name of the person] who conducted the appeal meeting, namely that the decision to be give you *a recorded verbal warning * a first written warning *a final written warning or *be dismissed or subject to other disciplinary action

*still applies

*will be revoked

You have now exercised your right of appeal under the organisation's Performance Improvement Procedure and this decision is final.

Yours sincerely

*[delete as appropriate]

Note

**Action other than a warning such as transfer or demotion (if allowed for in the employee's contract or with the employee's agreement).

APPENDIX 14M

SAMPLE TYPE 1 PERFORMANCE REVIEW FORM

NAME:

JOB TITLE:

REPORTING PERIOD:

SECTION 1 - OBJECTIVES (as agreed between Manager and Employee)

Objective 1 - Summary of achievement against objective 1

Interim Review

Final Review

Objective 2 - Summary of achievement against objective 2

Interim Review

Final Review

SAMPLE TYPE 1 PERFORMANCE REVIEW FORM CONTINUED

Objective 3 - Summary of achievement against objective 3

Interim Review

Final Review

Objective 4 - Summary of achievement against objective 4

Interim Review

Final Review

Objective 5 - Summary of achievement against objective 5

Interim Review

Final Review

SAMPLE TYPE 1 PERFORMANCE REVIEW FORM CONTINUED

SECTION 2 - COMPETENCIES

Comment briefly on your achievement against the competencies for your job

Competency	Enter level required for your job (1/2/3)	Comments
Focusing on customers		
Developing skills and knowledge		
Achieving results		
Teamwork		
Communicating effectively		
Solving problems		
Being flexible and embracing change		
Using initiative		
Knowing the business		
Being creative and innovative		
Leading others		
Planning and organising		
Making effective decisions		

SAMPLE TYPE 1 PERFORMANCE REVIEW FORM CONTINUED

SECTION 3 - PERSONAL DEVELOPMENT (to be completed by Line Manager)

This section enables people to reflect on what they are good at and what areas they would like to develop

Current strengths

Future career plans and aspirations

Summarise what you would like to be doing in the short, medium and longer term

Personal Development Plan (PDP)

This is an opportunity to maintain a focus on personal development and can form a basis for discussion between the employee and line manager

Area of development	How will this be developed	By when

SAMPLE TYPE 1 PERFORMANCE REVIEW FORM CONTINUED

SECTION 4 - INTERIM REVIEW

This section is for brief overall summary comments for the half year by the employee and line manager, together with assessment level agreed after discussion at the interim review. If agreement is not reached, a comment to this effect should be recorded by both the employee and manager in the summary section.

Employee summary comments for half year

Manager summary comments for half year

Indicative interim assessment level. This is based on performance to date against objectives and competencies and can change in line with full year performance.

Indicative interim assessment level
Satisfactory Performance
Unsatisfactory Performance

SAMPLE TYPE 1 PERFORMANCE REVIEW FORM CONTINUED

SECTION 5 - FINAL REVIEW

This section is for brief overall summary comments for the full year by the employee and line manager, together with assessment level agreed after discussion at the final review. If agreement is not reached, a comment to this effect should be recorded by both the employee and line manager in the summary section.

Date of end of year review

Employee summary comments for full year

Manager summary comments for full year

SAMPLE TYPE 1 PERFORMANCE REVIEW FORM CONTINUED

FINAL ASSESSMENT LEVEL

This is based on performance over the year against objectives and competencies

Assessment	Description
Satisfactory performance	Objectives met and competencies fully demonstrated at required levels
Unsatisfactory performance	Performance unacceptable; objectives not met and competencies not demonstrated. Corrective action underway.

SIGNATURES

Employee: _____

Line Manager: _____

Countersigning Manager: _____

Countersigning Manager's comments:

APPENDIX 14N

SAMPLE TYPE 2 PERFORMANCE REVIEW FORM

Personal Details			
Name:		Start Date:	
Job Title:		Last Review	

PAST How would you rate yourself in the following on a scale of 1 to 4?	Below Average 1	Average 2	Competent 3	Good 4
Timekeeping				
Attitude				
Team Worker				
External Customer Service				
Internal Customer Awareness				
Attention to Detail				
Meeting deadlines				

To what extent do you feel you have achieved your agreed objectives?				
--	--	--	--	--

List three aspects of your job that you have enjoyed over the last three months: _____

What has not worked for you over the last three months? _____

How have you contributed to the success of the company and the team? _____

How effective has your training, development and support been? _____

How has this improved your performance/the team/the company? _____

SAMPLE TYPE 2 PERFORMANCE REVIEW FORM CONTINUED

FUTURE

What would you like to achieve over the next three months?

How will this help you to meet the team and organisation vision and objectives?

What are your suggested areas for improvement
for you?
for the team?
for the organisation?
for me as your Manager?

What support do you need from me as your Manager?

Do you have any experience, skills or interest areas that we are not aware of?

What do you feel are your training and development needs over the next three months?

Agreed Objectives	Measure of Success
1	
2	
3	

Summary Comments: