



Performance Management Policy

AIMS OF THE PERFORMANCE MANAGEMENT POLICY

In order to achieve Better Lives Partnership (BLP) strategic aims and business objectives the organisation needs to:

- align the contributions made by individual members of staff to Organisational Strategy and core service objectives
- ensure that staff are fully equipped to carry out their roles
- assess and recognise individual contribution
- gain a better understanding of each individual's capability and assist staff to develop to their full potential.

In addressing these points, it is important to ensure a consistent approach while recognising the different roles and responsibilities within the organisation. BLP's Performance Management Policy is designed to do just that, through a Performance and Development Review (PDR) process which:

- Engages staff in objective setting to ensure that staff have a clear understanding of what is expected of them and how they contribute to the success of the organisation
- Identifies the necessary resources, training, development and support that staff need to carry out their role and achieve their objectives
- Evaluates contribution in respect of how well objectives have been met and in respect of other skills which maximise effectiveness
- Facilitates the achievement of personal career objectives by providing an opportunity to take stock, consider future direction, assess progress and identify further needs for development.

BENEFITS OF PERFORMANCE AND DEVELOPMENT REVIEW (PDR)

BLP recognises employees as its most important resource and the PDR process is one of the ways in which individuals can be made aware of their value to the organisation through being able to highlight their own contribution, receive feedback on that contribution and understand how it links to organisational/team/individual objectives and the organisational Strategic and Operational Plans. The process also enables opportunities for individual development to be identified and addressed and provides a formal opportunity for Reviewees to discuss and address a range of other work related issues.

The PDR process encourages good staff management practice within the organisation and improved communication between management and staff. For the line managers, the process will assist them in gaining a better understanding of their staff (e.g. abilities, skills, development needs, and issues) with the aim of helping individuals fulfil their potential and to contribute as effectively as possible in a structured manner.

In applying the PDR process, the line manager is able to agree, with individuals, objectives that are critical to the success of the organisation/core service and to help ensure that individuals are managing resources effectively. Crucially, PDR has a key role to play in the retention of appropriately

skilled and motivated staff.

PRINCIPLES OF PERFORMANCE AND DEVELOPMENT REVIEW (PDR)

The PDR process is based on openness and staff are entitled to see all sections of their completed PDR form. BLP is also fully committed to equality of opportunity in the workplace and the PDR process will be applied in accordance with the organisation's Equal Opportunity & Diversity Policy contained within the Staff Handbook.

STAFF INCLUDED IN PERFORMANCE AND DEVELOPMENT REVIEW (PDR)

All staff are required to take part in the Performance and Development Review scheme.

RESPONSIBILITY FOR IMPLEMENTATION

The responsibility for implementation of the PDR process rests with the Chief Executive Officer cascaded down through the line management. This includes ensuring that all reviews are planned and carried out within agreed timescales and in accordance with the procedures.

ALLOCATION OF REVIEWERS & COUNTERSIGNATORIES

The person being reviewed is the Reviewee. The Reviewer is the person responsible for carrying out the review (normally the post line manager). The Countersignatory is normally someone more senior in the Reviewee's Line Management chain and is responsible for encouraging the Reviewer to fulfil their role and for noting outcomes of the review process.

THE PERFORMANCE AND DEVELOPMENT REVIEW (PDR) PROCESS

BLP PDR process is based on an annual cycle of:

- **Planning:** looking ahead and planning individual objectives in order to achieve the organisation's objectives in-line with the Strategic Plan, and planning how best to address individual development needs.
- **Monitoring:** reviewing progress against the plan on a regular and ongoing basis.
- **Evaluating:** looking back to review how well objectives were achieved and assessing overall performance.

The Performance and Development Review Year runs from 1 April to 31 March.

Planning: The Individual Work Plan (IWP)

The IWP provides the framework for the PDR process. It is:

- a record of the individual's main responsibilities and objectives which have been agreed for the coming year in-line with the organisational Strategic Plan/Operational Plan
- updated during the year, if necessary, to take account of changes to responsibilities or objectives in-line with the 6 monthly Operational Plan update
- used to record progress made against those objectives during the year.

Whilst the IWP has to be agreed by both the Reviewee and the Reviewer, the Reviewee would normally draft it, initially. However, there are times when it is more appropriate for the Reviewer to

draft the IWP, for example when someone is new to the job.

When a new member of staff joins, the IWP should be created within the first month of taking up appointment.

Monitoring: Interim Review Meetings (Review & Plan)

The setting and reviewing of objectives and performance, and providing feedback on a regular basis, are aspects of good management. The PDR process is the formal mechanism for this and is intended to complement good management practice, not to be a substitute for it.

It is for the Reviewer to agree with the Reviewee how to monitor progress against the Individual Work Plan (IWP) through the course of the year. As part of the PDR procedure, Reviewers will meet with their Reviewees during the year to formally review progress and to take account of any changes to objectives and priorities. These Interim Review Meetings or Review & Plan sessions will usually be brief but are nonetheless important.

It is the responsibility of the Reviewer to agree appropriate intervals for further review meetings but, as a minimum, it is recommended that at least one Interim Review Meeting is held every twelve weeks. However, there may be circumstances where it is necessary to review progress on a more frequent basis, for example with a new employee, or where performance issues have been identified.

Evaluating: The Performance and Development Review (PDR) Meeting

The PDR (sometimes known as Annual Review) meeting is the most important part of the PDR process and it takes place at the beginning of the PDR year i.e. April. Its purpose is to allow the Reviewee and Reviewer to:

- discuss the Reviewee's performance over the past year
- agree objectives for the next year
- discuss training and development needs
- address any other work related issues
- discuss future career plans.

The meeting should take the form of a discussion between Reviewee and Reviewer. A PDR Form is completed at the PDR meeting to record a summary of the discussion.

Preparation by Reviewee and Reviewer

An important factor in achieving a productive and helpful review meeting is good preparation on the parts of both the Reviewer and the Reviewee and the normal expectation is that this would be undertaken in work time. This is covered in more detail within the PDR Guidance Notes and it is important that staff read these before undertaking a review meeting.

PDR Documentation

In addition to this policy, there are three documents supporting the PDR process:

1. The PDR Guidance Notes for the different role holders in the process
2. The Individual Work Plan (IWP) which is a record of the main responsibilities and objectives which have been agreed for the coming year
3. The PDR Form which provides a formal record of what has been agreed between Reviewee and Reviewer at the PDR Meeting.

The PDR Guidance Notes provide full details of the PDR procedures and how to complete the PDR Form.

FOLLOW UP

Follow up at Individual level

Both Reviewee and Reviewer are jointly responsible to follow through on any actions agreed at PDR or Interim meetings. If a Reviewee is concerned that a commitment made via the PDR process is not being met then they should raise this with their Reviewer in the first instance. If the matter is not resolved they should then refer it to their Countersignatory with a view to resolving things informally. If the Reviewee is not satisfied with the outcome of that referral, then they have the option of pursuing it through the organisational Grievance procedure.

CONFIDENTIALITY AND DATA PROTECTION

The organisation's Confidentiality Policy is contained within the Staff Handbook and should be observed by all staff at all times. All employment records held within BLP offices must be held in secure cabinets and should only be seen by staff who have a legitimate reason to do so. In the case of PDR records this would normally be those in the line management chain e.g. the Reviewer/Line Manager, the Countersignatory, the Chief Executive Officer and the Chair of the Board of Directors.

The PDR Form is a confidential document and should be treated/handled with due care and attention. Staff should also ensure that any PDR records whether hard copy or electronic, are held and processed in accordance with Data Protection (GDPR) guidelines. PDR records should be retained for three years.

The organisation reserves the right to amend this policy from time to time. Such amendments may be notified to employees through e-mail. The policy will be maintained within the Staff Handbook.

PERFORMANCE MANAGEMENT POLICY AND PROCEDURE

APPENDIX A: DEALING WITH UNDERPERFORMANCE

Employees have a contractual responsibility to perform to a satisfactory level. Where less than satisfactory performance is found to be due to misconduct (e.g. negligence or lack of application) on the part of the employee, then the Disciplinary Procedure will normally be appropriate. However, issues of an employee's capability may arise from time to time where underperformance relates to a lack of the required knowledge, skills or ability rather than misconduct. In this case, the employee should be given support and reasonable time to achieve the required standard.

DEALING EFFECTIVELY WITH INSTANCES OF UNDERPERFORMANCE

If a Reviewee's performance becomes a matter of concern, Reviewers must take action promptly to manage that performance issue using the PDR process and following the stages laid out below. In managing underperformance, Reviewers are encouraged to seek guidance from senior management at each stage of the process.

The first step is for the Reviewer to investigate the underlying cause of the Reviewee's unsatisfactory performance through discussion with the Reviewee by holding an Interim Review meeting. At any Interim Review meeting where unsatisfactory performance is being discussed, the Reviewer will:

- Clearly state the nature of the problem and explain why it is a problem, for example the consequences for the School/Institute/Section when the Reviewee makes mistakes or misses deadlines
- Give the Reviewee specific examples of instances where performance has fallen below the required standard or where tasks have not been completed on time or satisfactorily
- Consider what might be done to improve the situation and help the Reviewee
- Agree, with the Reviewee, clear performance targets and a realistic timescale for improvement
- Set a date for a further Interim Review meeting to be held at the end of the agreed timescale to review progress
- Keep a record of the meeting and what has been agreed
- Ensure the IWP is updated to take account of revised objectives.

Where someone other than the Line Manager is carrying out the role of Reviewer, the Line Manager and the Reviewer must liaise closely during this process.

STAGES TO BE FOLLOWED IN MANAGING UNDERPERFORMANCE

STAGE 1 REVIEW MEETING

The Reviewer must hold an Interim Review meeting with the Reviewee to explain how their performance falls short of the standard expected of someone in their position or grade. Specific examples of the ways in which the performance has fallen below acceptable standards must be provided including the occasions on which this was noticed.

The Reviewer will consider whether training or staff development opportunities may enable the Reviewee to meet the required standard of performance. A plan for improvement will be drawn up which will clarify the areas and level of improvement needed. Clear performance targets will be set together with a realistic timescale for improvement. A date will be set to hold a second Interim Review meeting at the end of the agreed timescale to review progress. A note should be made of the main points discussed and actions agreed and this should be signed by both the Reviewee and Reviewer as an agreed record of that meeting. The IWP should also be updated to take account of revised objectives.

STAGE 2 REVIEW MEETING

The Reviewer will meet with the Reviewee to review progress and evaluate any improvement in performance.

If performance has reached the required level and no further action is required, then this will be acknowledged and noted in writing by the Reviewer and a copy given to the Reviewee.

If adequate improvement has not been made, the Reviewer will re-examine the cause of the problem and consider what else can be done to support and assist the Reviewee to improve. This could include, for example, further training/coaching/development or changes in the Reviewee's duties. The meeting should follow the same format as in Stage 1.

If there has been an improvement but the Reviewee's performance has still not quite reached the required level, then the period for improvement should be extended by a reasonable period of time and support given to facilitate that improvement.

At this stage, if performance is still less than satisfactory, the Reviewer should make the Reviewee aware of the Capability Policy and explain that, should the necessary improvements not be achieved,

the Capability Policy will apply and continued employment may, in due course, be at risk.

STAGE 3 REVIEW MEETING

As in Stage 2, the Reviewer will meet with the Reviewee to review progress and evaluate any improvement in performance.

If performance has reached the required level and no further action is required, then this will be acknowledged and noted in writing by the Reviewer and a copy given to the Reviewee.

If adequate improvement has not been made, the Reviewer will advise the Reviewee that further action will be now be taken under the terms of the Capability policy.

If, at Stage 3, there has been an improvement, but the Reviewee's performance has still not quite reached the required level then the period for improvement should be extended for a reasonable, final, period and a date set for a further, final Review meeting. If, at that meeting, performance has still not reached the required standard, then the Reviewer will advise the Reviewee that further action will be taken under the terms of the Capability policy.

NB If at any of the above stages it becomes clear that the underperformance is due to misconduct, rather than capability, then the Disciplinary procedures should be followed.

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Author	Robert D Walters FCMI, FIoL
Date	April 2025/July 2025 (re-draft)
Version Number	1
Approved by	
Date of Review	August 2026

Appendix 1

BLP PDR Guidance Notes

Stage	Detail	Date
1		
2		
3		
4		
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