



## Employee Performance Review Policy

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## DOCUMENT HISTORY

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January 2022	Michele Cleland	Review of version 1	2
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Please note that the only valid version of the policy is the most recent one. Whilst this document may be printed, the electronic version posted on the main drive is the controlled copy. Any printed copies of this document are not controlled

## CONSULTATION AND RATIFICATION SCHEDULE

Name of Consultative Body	Date of Approval
SMT	January 2019
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## CROSS REFERENCE TO OTHER POLICIES / STRATEGIES

This policy should be read in conjunction with:	Detail
Policy 17	Competency Framework
Policy 18	Disciplinary Policy
Policy 20	Learning and Development Policy

**KEYWORDS:** competency framework, performance management, supervision, appraisal, objectives, performance

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## ASSOCIATED DOCUMENTS:

Annual Performance Review Document final  
Obtaining and Providing Guidance and Feedback  
Personal Reflection and Self-Assessment  
Primecare Health Ltd Competency Framework  
Supervision Form  
Supervision Guidance and Process  
Supervision Monitoring Form

## **1. PURPOSE**

The purpose of this policy and procedure is to ensure that the work performance and learning needs of every employee of Primecare Health Ltd are managed and appraised effectively and fairly through the performance review process.

## **2. SCOPE**

This Policy applies to all employees working for Primecare Health Ltd.

It is the responsibility of each employee to familiarise themselves with and adhere to this policy.

## **3. POLICY**

Performance management is a process which contributes to the effective management of individuals and teams in order to achieve high levels of organisational performance. It is about establishing a culture in which individuals and groups take responsibility for the continuous improvement of business processes and of their own skills, behaviour and contributions as appropriate.

Effective performance management involves sharing expectations of employees and managers. It enables both parties to set and agree targets, measure and review performance and repeat this cycle to support the achievement of organisational, team and individual goals.

Primecare Health Ltd aims to establish and embed a culture of performance management via competency-based performance development reviews in line with the organisation's competency framework, learning and development processes, succession planning and business planning.

Primecare Health Ltd recognises that employees perform most effectively when they have clear expectations of their job role and purpose, their own targets or objectives, and understanding of the wider aims of the service/department and the organisation.

Effective employee performance management will also support improvement, innovation and change within Primecare Health Ltd.

The Employee Performance Review Policy outlines the processes that will help managers identify gaps between current and future levels of performance. This policy will enable them to take positive appropriate action to support employees to improve their knowledge, skills and competence within their role in order to ensure that we successfully deliver our services. These are designed to be positive experiences and are not to be used as a form of disciplinary action or to deal with capability issues.

Employee performance that fails to meet corporate standards of behaviour and competence will be addressed through the 'Managing Poor Performance Policy' or 'Disciplinary Policy' if applicable.

## 4. ROLES AND RESPONSIBILITIES

Performance management is the responsibility of everyone within Primecare Health Ltd. As such, it establishes shared understanding about what is to be achieved and an approach to leading and developing people which will ensure that it is achieved. In practice, performance management requires a robust and inclusive process to ensure that managers and employees:

- Know and understand what is expected of them
- Have the skills and ability to deliver on these expectations
- Are supported by the organisation in developing the capacity and capability to meet these expectations
- Are given feedback on their performance
- Have the opportunity to discuss and contribute to individual and team aims and objectives.

The **HR /Business Manager** is responsible for maintaining and reviewing this policy in line with changing legislation.

The **Director of Adult Services** is responsible for ensuring that the overall Employee Performance Management process and its implementation is carried out by all employees according to the policy and procedure.

**Managers** are responsible for:

- Managing the performance of their employees;
- Ensuring that employees have SMART work targets and objectives set;
- Appraising the performance of employees once per year;
- Ensuring that appropriate learning and development activities are planned and available to employees to address learning needs identified during the process and that these activities are achievable through service budget;
- Meeting employees on a regular basis as part of the supervision process;
- Raising awareness/informing employees of this policy document and other relevant policies and procedures.

**Employees** are responsible for:

- Taking an active role in reviewing their own performance and target setting;
- Taking up appropriate/relevant learning and development opportunities;
- Managing their own continuous professional development as appropriate;
- Reflecting on practice and application of knowledge;
- Familiarising themselves with and adhering to this policy.

**External Human Resources (Citation)** are responsible for:

- Providing advice and guidance to managers on implementing the Employee Performance Review Policy;
- Ensuring that appropriate corporate learning and development opportunities are available to support managers and employees;
- Monitoring and reporting on the implementation of the process and of appraisals;

## 5. COMPETENCY BASED PERFORMANCE MANAGEMENT

The Competency Framework Standards set out the behaviours which all employees are expected to demonstrate and are linked directly to the job description of each employee.

Understanding the competencies required of a specific role allows employees and managers to have straightforward conversations about the expected levels of performance and behaviour, in order to ensure that required tasks are completed to satisfactory standards. They also enable conversations to be had in relation to any variations between actual performance and behaviour from the standards required.

There are five levels in total against each competency; these relate to the following suggested job grades:

Competency Level	Suggested Job Grade
1	Trainee Social Care Workers (subject to probation)
2	Qualified Social Care Workers
3	Care Coordinators / Admin Staff
4	Senior Management Team
5	Executive Level

Although most levels are appropriate to suggested job grades, some positions may not necessarily appropriately match with our suggested job grade. These are indicators which are fairly generic to encompass all jobs and are not intended to be used as a fixed checklist. Where external professional frameworks exist, these should be mapped across to link with Primecare Health's competency framework.

Even though an indicator may not be immediately relevant to an employee's current role, it is likely that this will be valuable for other roles at that level within Primecare Health Ltd and to be aware of for long term development opportunities.

The indicators build as the levels increase. So, although the major focus will be on the relevant level column, employees should also review the indicators at the earlier levels as the expectations will still apply in relation to the job role.

Managers will discuss with employees how best to apply the framework to their role.

The review of competencies can be used to support setting performance objectives and to identify areas for development.

Each team will have its own requirements and managers will need to interpret the competencies in the context of the individual job, the team and the service/ team they work in.

## 6. CORPORATE AND SERVICE PRIORITIES AND OPERATING PLANS

- Primecare Health Ltd's corporate priorities and improvement plans provide the strategic framework for corporate and service objectives outlined in the business plan. Managers are responsible for interpreting these for their staff by setting appropriate targets and

objectives during supervision and annual performance review meetings. It is the employee's responsibility to deliver on those objectives with appropriate support from their manager.

## **7. CONTINUOUS REVIEW OF PERFORMANCE**

Performance management is an ongoing process and should go beyond the formal employee annual performance review. Supervisions must take place to support the employee performance management process.

## **8. JOB DESCRIPTIONS**

During supervisions or annual performance review meetings, it can be a good opportunity to discuss relevance of the current job description. If they are not reviewed through these they could be looked at during service planning events or team development days.

## **9. NEW EMPLOYEES**

New employees should be set objectives as part of their induction and will have performance monitored under the probationary period. Please refer to the probation policy for further information.

Where probation is successful, it is recommended that the employee and manager continue to set clear targets/objectives which will be assessed throughout supervisions and at the performance annual review meeting.

## **10. SUPERVISION MEETINGS**

Supervision generally refers to the process 'which aims to support, assure and develop the knowledge, skills and values of the person being supervised' (Scottish Social Services Council, SSSC). Supervision is aimed at promoting learning, reflective practice and improving service provision and quality. Evidence suggests that good supervision is associated with job satisfaction, organisational commitment and retention of staff (SCIE, 2013). Reflective practice in supervisions is essential in order to have a beneficial and effective supervision. Employees should use the Personal Reflection and Self Assessment form to reflect on their practice and discuss at supervision. Employees must then apply their knowledge into practice.

Managers should hold supervision meetings on a regular basis. It is recommended that meetings are held at least once per quarter, so a minimum of 4 supervisions per year.

Managers should make the appropriate practical arrangements before meeting e.g. provide adequate notice to the member of staff; arrange a private meeting space and set aside sufficient time for a proper discussion. The supervision monitoring form should be used to schedule supervision dates in for the year. Due to service demands it is appreciated that supervisions may on occasions need to be rescheduled, however this should be monitored and the appropriate amount of supervisions should still take place within each performance review year.

Supervisions are an essential part of the process to ensure that operational objectives are achieved, development needs have been addressed and to provide feedback and support to the individual.

Supervisions are an opportunity to discuss positive and negative issues, however, should not be reserved for dealing with problems or always discussing negative issues. Problems and issues should be discussed with the employee as soon as possible after the event and follow this up by documenting in the following supervision notes. Feedback should be constructive, factually correct and given in a supportive manner. Recognising improvement and achievement is arguably more important, as it can have a positive impact on both morale and motivation.

Issues which have not been discussed with employees during supervisions should not be included in the final performance review meeting at the end of the year. There should be no surprises and employees must be given a fair opportunity to improve and be given adequate support where required. Supervisions are a good opportunity to discuss development needs in a positive way.

It is essential that employees advise their manager if they are unable to meet the objectives if they feel they are not appropriately trained or if they feel they are having difficulties which they feel have impacted on their attitude and behaviour.

## **11. GROUP SUPERVISIONS**

Group supervision is facilitator led via a formal, pre-arranged process that is agreed by the manager and employees. The make-up of the group depends on the goals of the supervision. Group supervision is a complement to one to one supervision, rather than a substitute

### *Goals of Group Supervision*

Group supervisions involve the use of a group setting to enable employees to reflect on their work. By pooling skills, experience and knowledge the aim of the session is to improve the skills and capability of both individuals and the group. The goal of the session may be to solve problems, plan work and set priorities within the team and learn from others or make decisions.

### *Benefits of Effective Group Supervision*

Effective group supervision can result in faster, more effective problem solving by drawing on the expertise of a group of people. It allows for learning from the diverse backgrounds and experiences of different job roles, who may provide different perspectives on situations.

Group supervision presents an opportunity to address the concerns and issues of individuals and also an opportunity to develop teams.

Sharing in a group setting:

- Can give supervisees an increased sense of support by realising others have similar concerns;
- Allows supervisees to find new and better ways of dealing with their own situations by listening to others;



- Can allow supervisees to explore different ideas how they will solve problems by obtaining a range of feedback from other about issues or concerns;
- Provides a safe environment where individuals can discuss their limitations and problems without criticism – some individuals may find they are more confident about opening up in a group situation than in a one to one supervision.

## 12. DIRECT OBSERVATIONS

Direct observations are beneficial for both employee and manager to assess work performance and identify appropriate guidance and support which may be required. Observations can be either planned or unannounced. These can both be used within the organisation with many benefits been seen.

## 13. EMPLOYEE PERFORMANCE REVIEW MEETING

Every Primecare Health Ltd employee must meet his/her manager once a year for an annual review meeting.

The purpose of the annual review meeting is to;

- Review performance over the previous 12 months against competency framework and work objectives;
- Assess overall performance and allocate a performance level;

The appraiser will give the appraisee an overall performance level grade. This grade should take account of how far the employee has met or exceeded his/her objectives for the past year but should also take account of other aspects of performance, including demonstration of the expected competencies and learning and development. For each grade the manager can add comments and should also evidence whether their source was from (D)ocumentary evidence, (O)bserved practice or (V)erbal discussion.

Performance Level grades will be allocated as follows;

Performance Level			
Not yet developed	Developing	Established	Exemplary
Does not display the behaviours that would support this competency further development required.	Employee new to job role and does not yet meet competency requirements.	Employee meets competency requirements in relation to job role.	Employee exceeds competency requirements in relation to job role.

Outcomes of the annual performance review meeting must be recorded in writing on the Employee Annual Review Form (appendix1) and signed by the manager and the employee.

Each section of the form should be completed in full and sent to HR Change for processing.

## **14. SETTING OBJECTIVES**

Objectives set should be SMART – Specific, Measurable, Achievable, Relevant and Time-bound.

When setting objectives;

- For managers, these should include objectives related to the achievement of relevant Key Performance Indicators for the service area/ team (KPIs);
- For all employees, consider the principles and priorities set out in the organisational business plan;
- New objectives may be added throughout the year at supervisions.

Objectives are more likely to be achieved if they are clear. The manager should discuss with the jobholder:

- Exactly what they need to achieve;
- A measure, so that you both know if the objective has been achieved;
- A realistic time limit or deadline;
- The quality standards expected, where appropriate

This is an opportunity to ask the employee how they will go about achieving the objectives and outputs agreed. By having that discussion, you can confirm that you both fully understand what is expected.

It is required that the skills and competencies required to achieve the objectives is confirmed with the job holder and if they don't, a plan needs to be agreed on how the needs can be identified.

Managers should consider how they will measure performance in the coming year. The criteria for measuring performance should be discussed and, if possible, agreed with the employee at the Employee Performance Review meeting.

## **15. LEARNING DEVELOPMENT PLANS**

Managers and employees should discuss learning and development needs throughout supervisions to ensure employees have the appropriate tools to enable them to successfully meet the objectives set for the role.

Employees working within a role where certain qualifications are required must ensure these are gained within the timescales set by the line manager. These should be set as targets through supervision which will be in line with organisational requirements. Failure for an employee to gain these qualifications in the relevant timescales may result in disciplinary action being taken.

Not all learning and development activities will attract a cost. However, services have learning and development budgets which they can manage appropriately and determine whether the training will be of beneficial value to the individual and the services.

Learning and Development should be fundamental, not an additional activity. Where

possible learning and work should be integrated with development and training, taking place mainly on the job.

It can be tempting for both managers and employees to look for training courses to fill in gaps in learning and development needs. While this will sometimes be appropriate, in most cases there will be quicker, more relevant and effective alternatives available. Please liaise with your Learning and Development Partner for further information.

## **16. SUCCESSION PLANNING AND CAREER MANAGEMENT**

The Employee Annual Performance review meetings and regular supervision meetings present an opportunity to discuss wider development aspirations with an employee. It will also offer an opportunity for employees who are nearing the age where they may take their retirement pension to discuss plans for retirement or pre-retirement, changes to work patterns (flexible retirement or part time working). Employees should not be compelled to discuss career/retirement aspirations with their manager if they choose not to, information must be offered voluntarily. Any discussions which take place should be of a supportive nature and implications for both the service and the individual should be considered.

A minimum level of Continuous Professional Development (CPD) is a mandatory requirement for professional registration within some job roles. Services should address these requirements as part of the Employee Annual Performance Review Process.

## **17. TIMING OF ANNUAL EMPLOYEE PERFORMANCE REVIEW MEETING**

Primecare Health Ltd will ensure that every employee with a minimum of 12 months' service has a performance review meeting once in every 12 months, at which previous performance and learning and development will be reviewed and targets for the future will be set or reinforced. This should take place prior to the 12-month period in order to assess whether any progression, if applicable should be awarded. Annual review meetings should take place by the anniversary date of the start date of any new post, which also includes promoted posts. If progression is awarded, the payment will be effective from the 1<sup>st</sup> of the month after the anniversary date.

Primecare Health Ltd will ensure that managers meet employees on a regular basis through supervision meetings to discuss progress towards targets set at the annual performance review meeting and to raise any other work-related issues including development needs.

Primecare Health Ltd will ensure that managers and employees have access to appropriate learning and development to enable them to carry out their roles effectively with respect to their performance reviews.

## **18. FAILURE TO COMPLY WITH THE EMPLOYEE PERFORMANCE REVIEW POLICY**

Failure to comply with this policy may lead to a lack of clarity over job role, learning needs or expected standards of performance, resulting in reduced effectiveness or efficiency, underperformance and putting service delivery at risk.

Compliance with the annual performance review process is measured by the HR department.

## **19. TRAINING**

All managers and employees must attend training on supervision and employee performance review process as part of the Induction process.

Internal refresher training should be undertaken every three years. This should normally be by e-learning.

## **20. SELF-ASSESSMENT**

Employees who are appraised should take time to reflect on their performance over the previous year. Employees should consider which objectives have been met and why; which objectives have not been met and why; how they have demonstrated the expected competencies; and evaluate the learning undertaken during the previous year.

The Performance Review Form has areas for comments at each stage. Employees may find it useful to complete these sections in draft before the appraisal meeting as part of their self-assessment. They may also find it helpful to provide a copy to their manager before the meeting to help facilitate discussion. However, this is not obligatory.

## **21. POLICY REVIEW STATEMENT**

This policy will be reviewed every three years or earlier if appropriate.