

Performance Excellence Guide For Leaders

Version 2

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Performance Excellence

What is it?

'Performance Excellence For All' is the term used to describe the process we use to support the **development of all our team members**, thus underpinning the success of our business. Performance Excellence aims to help us achieve our best potential and recognises the role we play in contributing to the goals of the organisation.

Performance Excellence is a **continuous process** aimed at enabling every team member to achieve his or her very best during their Nuffield Health career by ensuring everyone knows what is expected of them in support of our business-wide and personal objectives. It is about **two-way communication** between a manager and their team, so that everyone is working towards shared, individual and organisational goals.

Performance Excellence can be defined as having the right people, in the right jobs, at the right time, with the right skills and behaviours too. If a team member were not excelling in one position it does not mean they would not excel in another position more suited to their skill set or behaviours.

Performance Excellence is designed to provide support to team members to **deliver their best**, however there will be occasions when, for a variety of reasons team members do not attain the required standards to successfully fulfil their role.

Performance Excellence is about having regular two-way adult to adult conversations about expectations, performance, development & career aspirations.

Why have it?

The prime reason for Performance Excellence is to enable managers (and the Company) to identify our **strong performers** as well as supporting those with **development needs**. Performance Excellence as a process highlights such situations and provides a **sensitive approach** to resolving matters.

This leads to improved retention and increased team member motivation, where an honest and open approach becomes embedded in our everyday culture.

As an Employer, we must be fair, reasonable and consistent with our teams and ensure we give everyone the opportunity through time and assistance to resolve any issues that may arise regarding performance. It is neither fair nor reasonable for both the team member and the Company to allow poor performance issues to run indefinitely without resolution. Performance Excellence is the tool we should use to ensure this is not the case.

Principals & Aims

At Nuffield Health our aspiration is to **lead** a culture of **wellbeing** and as a leader you have a critical role in **embedding** this through regular conversations with your team. Performance Excellence provides you with the tools and the framework to deliver your responsibilities as a leader.

Performance Excellence Principles

- Encouraging regular quality performance conversations is our priority.
- Setting expectations and the final review is a formal, mandatory process.
- Performance coaching conversations will be informal and not governed.
- Senior line managers will be engaged and involved in their direct report's performance management of their teams.
- Clinical/professional assessment sit outside this process, but is a feed into it.
- The 'what' and 'how' are equally important.
- Individually owned, manager supported.
- No surprises!
- Linked directly to reward (please note that individuals who receive an overall rating of under/Inconsistent Performer will not be eligible for a bonus payment or salary review).

Your Performance Excellence Commitments

- Set expectations and agree objectives at the start of the year with all your team.
- Discuss performance, development & career aspirations with each team member.
- Hold regular 121's.
- Provide feedback and coaching to improve performance.
- Deal with the tough stuff.
- Celebrate success.

What's the aim of the review?

- To help the individual achieve success in Nuffield Health.
- To collectively agree what is required in the year ahead in terms of role, objectives and brand behaviours.
- To put in place SMART business objectives for the forthcoming year.
- To identify training & development needs in order to maximise performance and put in a personal development plan.
- To review achievement of performance in role on an on-going basis, providing feedback, encouragement & support.
- To encourage a quality discussion based on evidence of past performance to provide a final performance excellence rating which will impact on the individuals ability to earn a bonus or salary review.

Performance Excellence in Practice

Our business strategy will be delivered through the talent and capability of our people, so we need every individual to understand what is expected of them, how they are performing, what development they need and deal with any performance issues in a timely manner.

We do this by providing on-going reviews & support, real time feedback and coaching.

Performance Excellence is **90%** great conversations;
10% tools, processes and forms.



The only formal part of this process is the agreeing expectations conversation at the start of the year and the review conversation at the end of the year – these should be documented. Make sure you are encouraging your team members to see it as an opportunity rather than a task. We don't want people to invest hours in completing the documentation, when it is the quality of the conversation that really matters.

*However great performance management is about the **informal** conversations that take place between **you and your team** each and every day.*

Which Form Should my Team Member use?

We have introduced new and simple form options. We explain how you should complete each section from page 7 to 18 .

Non-clinical

Our non-clinical Leaders should use the **Leader Form** which includes 'Our Leader Behaviours'. For guidance a leader is anyone who manages someone.



If they are a colleague and don't manage people they can either use a similar form to the Leaders form, the **Colleague Form**, or a simpler version for roles where there are lots of people performing the same job. Both include our Team Behaviours. Please refer to pages 7 to 11 for how to complete

The **My Performance** form enables the manager and colleague to identify key expectations or tasks rather than individual objectives, though these can be included if required. For some roles these forms have been pre-populated* for your ease. Please refer to pages 12 and 13 for how to complete



Clinical

Our clinical teams (usually this is anyone in a role which requires a professional registration to be maintained in order to be able to carry out their job) in Hospitals should use the **Hospital Clinical Form**. If you are part of the Occupational Health Team you should use the **Occupational Health Clinical Form**. These include 'Our Leader or Team Behaviours' but also covers the professional codes of conduct relevant to the role and allows the opportunity to review compliance against this. Please refer to pages 14 to 18 for how to complete .



There isn't a specific **Clinical My Performance** form option.

Use the form that best fits you and your team member's needs and remember it's the conversation which is the most important part of the process.



"Just measuring your job performance..."

Remember performance is not measured by the amount of paperwork you complete!

If you have any queries please contact your HR Representative

* All Wellbeing Advisors, Life Guard, Reception in Corporate and Consumer. Sales, F&B, H&B and Nursery in Consumer.

Leader & Colleague Form

(Non-clinical)

Conversation Framework



At the start of the year, have a conversation with your team member in which you agree expectations for the coming year. This is your opportunity to ensure you know what they need to focus on - both in terms of the 'what' (e.g. KPI's/objectives) and the 'how' (e.g. behaviours/competencies).

Its also an opportunity for you and your team member to discuss development needs, career aspirations and how you are going to work together during the year.



Conversation Framework

- Looking forward (Expectations)

We recommend you ask your team member to prepare for the conversation – this will encourage them to take ownership for their performance. A [draft note](#) outlining the recommended preparation the team member should do in advance can be found on page 29. Feel free to adapt this or use it as the basis for a conversation.

The recommended conversation is presented here in a linear format, natural conversations don't follow a linear format. Use this as a framework and bring your natural style and personality to the conversation.

An optional form is included to record the conversation, however you can record the conversation in any format that works for you and your direct report. It's all about having a great conversation, not on filling out a form.

Agree with your team member who will record the conversation. We recommend they own this but its up to you and your personal preferences.



1. Business Priorities

Discuss the requirements of the role for the forthcoming year, what are the key areas of focus (i.e. focus on costs, growth, people, embedding new processes, delivering X project, etc.)

Set the context of the conversation, explain how Performance Excellence is going to work this year. Initiate conversation around the key priorities for your team member and how this fits into the broader Nuffield Health strategy.

For clinical colleagues this may also include clinical excellence, safety & governance priorities

2. Objectives/KPI's/Financial Targets

Discuss the key deliverables for the year ahead,

- Deliver budgeted EBITDA of £4.5m and Revenue of £15.3m by Dec 2014
- Reduce indirect staff costs from 18.2% to 16% by August 2014
- Maintain indirect costs for the year at £3.1m
- Sickness absence no greater than 3% by July 2014
- Improve H&S score by 10% by April 2014



Discuss individual objectives & KPIs for the year ahead. They should be [SMART](#) and future focused. Focus on a maximum of 6 really key objectives - the areas that are going to make the biggest difference e.g.

- Gain x new clients in London by increasing conversion rates from 15% to 20% by December 2014
- Design & Implement a new performance management process across the organisation by the end of the year
- Grow market share 5% by developing links with the corporate division and a local marketing campaign with local business by June 2014
- Increase active membership by 100 new members by March 2014
- Increase self-pay revenue by 2% by June 2014 through attracting consultants from our competitors and a marketing campaign targeting cosmetics and bariatrics.
- Introduce and embed during 2014, a 'Wellbeing Initiative' in my part of the business which supports the overall Wellbeing strategy and delivers a measurable improvement.



3. Behaviours

Discuss the behaviours, explain that these behaviours will be embedded across Nuffield in order to deliver our brand promise to colleagues and our customers.

Ask what they see as their strengths and limitations and provide your own observations. Agree and record areas of strength and the development focus areas for the year.

Leaders (anyone who manages) are measured against the Leader Behaviours, Colleagues against the Team Behaviours.

See page 31 for further detail on the Nuffield Health [Brand Behaviours](#)

4. Development/Training/CPD



Development is 20% coaching, 70% on the job and 10% formal courses.

Discuss any [development needs](#) and actions required to improve performance. Any activities should be relevant to the individual's current or appropriate future role and be of business benefit e.g:

- Undertake 360 degree feedback and/or client feedback prior to mid year review meeting
- Act on feedback from Leadership MOT
- Enrol on Finance course
- Attachment to a colleague with specific experience or skills
- Coaching from line manager or HR Representative

It could also include any development needed in relation to the leadership brand or to build on areas of strength an individual wishes to utilise further.

5. Career Aspirations



Discuss your team member's career aspirations in the short/medium/long-term. Agree any skills/experience they need to build in order to achieve their aspirations.

6. Support Required



Discuss what will work best for you both in discussing progress against expectations over the coming year. It could cover such things as what support does the individual need, how often they want to meet, the format of the meetings, e.g.:

- Quarterly face to face meetings
- Monthly update – by phone
- Mid year detailed review of progress
- Individual will take responsibility to ensure updates are planned in and happen as agreed
- Individual will seek support & guidance as needed
- What worked well over the last year, what got in the way and what could we do better?
- What learning has come out of it and what do we want to do differently this year?

Conversation Framework

- Looking back (Review)

Whilst a half year review is not part of the formal process we would actively encourage you to have a formal review with your team member at least part way through the year to ensure all objectives are on track and are still appropriate. A summary of any reviews, formal or informal can be recorded on the second page of the form.

At the end of year you will then need to sit down and have a conversation about how they have performed against each area and to provide them with a final performance rating. See page 19 for further information about [ratings](#).

1. Objectives/KPIs/Financial Targets

How have they performed against what was agreed? Were they achieved or not? Did they exceed expectations? How did they achieve the results? Has each individual objective been achieved/exceeded/not met? What were the specific challenges in meeting these objectives?

2. Behaviours

Was the delivery of KPI's and objectives in line with the behaviours? How has the individual developed in this area over the year? What are their strengths and what areas do they need to focus on improving next year?

3. Development

How did the team member perform against their development plan?

4. Overall

Look back on the performance year and lead a discussion around how they performed overall in the role against agreed expectation. Performance ratings should not be discussed at this stage – the focus should be on having a powerful conversation about performance and contribution against expectations.

My Performance

Conversation Framework- Looking Forward (Expectations)

This form is for team members where there are lots of people performing the same role.

Again we recommend you ask the team member to prepare for the conversation – this will encourage them to take ownership for their performance. The conversation is again the most important aspect of the meeting, so we have made the form simple and easy to complete.

Agree with your team member who will record the conversation, we recommend they own this but it's up to you and your personal preferences.



1. Expectations

Here the discussed and agreed key tasks & expectations for the year should be recorded. For some roles we have prepopulated standard expectations which you can add to if required.

The job description is a good source of information and could form part of the discussion.

2. Team Behaviours

Discuss the behaviours, explain that these behaviours will be embedded across Nuffield in order to deliver our brand promise to colleagues and our customers.

Ask what they see as their strengths and limitations and provide your own observations. Agree and record areas of strength and the development focus areas for the year.

See page 31 for further detail on the [Nuffield Health Team Behaviours](#)

3. Learning & Development Needs

Record what they need to develop to help them grow and do their current role better and any mandatory training required.



Conversation Framework

- Looking Forward (Expectations)

4. Focus Areas/Career Aspirations

What are their career aspirations?

It's recognised that not everyone will have the ambition for more responsibility or a larger role, so it's ok if there is nothing written here.

For those that do aspire and have the potential what additional objectives or special projects should the individual be involved in/responsible for in order to help them grow and potentially reach their career aspirations.

End of Year Review Conversation

- Looking Back

End of Year Review

At the end of the performance year you should sit down with your team member and review how they have performed over the year against each expectation and behaviour and tick the relevant box.

Exceeds	Has performed above expectations in most or all areas
Meets Expectations	Has performed at the required level in all areas
Developing	Has performed at the required level in most areas, development plan in place to help develop those areas where under performing
Below Expectations	Has not performed at the required level, action needed

You then need to consider a [final rating](#) using the ratings on page 19. Final ratings should not be discussed at this stage – the focus should be on having a powerful conversation about performance and contribution against expectations.

A summary of the final conversation can be recorded on page 2 of the form.

Clinical Form Conversation Framework



At the start of the year, have a conversation with your team member in which you agree expectations for the coming year. This is your opportunity to ensure you know what they need to focus on – both in terms of the hospital priorities and clinical excellence – the ‘what’ (e.g. objectives) and the ‘how’ (e.g. behaviours/compliance with their professional code of conduct). It’s important to review the mandatory training required in the role and to incorporate CPD as a key part of this discussion.

Its also an opportunity for you and your team member to discuss development needs, career aspirations and how you are going to work together during the year.



Conversation Framework (Clinical)

- Looking forward (Expectations)

We recommend you ask your team member to prepare for the conversation – this will encourage them to take ownership for their performance. A [draft note](#) outlining the recommended preparation the team member should do in advance can be found on page 29. Feel free to adapt this or use it as the basis for a conversation.

Use the clinical form as a framework for your discussion but try and bring your natural style and personality to the conversation. The clinical form should be used to record the conversation and agreed expectations.

Agree with your team member who will record the conversation. We recommend they own this but its up to you and your personal preferences.

1. Hospital Priorities

Discuss the key hospital priorities and requirements of the role for the forthcoming year, what are the key areas of focus.

Set the context of the conversation, explain how Performance Excellence is going to work this year. Initiate conversation around the key priorities for your team member and how this fits into the broader Hospital priorities and Nuffield Health strategy. For hospital clinical colleagues these priorities are likely to be Matron led and focussed on delivering clinical excellence, strong governance, safety and the best in patient care.

2. Clinical Excellence

Discuss the key deliverables for the year ahead,

Discuss individual objectives & targets for the year ahead which will support clinical excellence. They should be strategic and future focused. Focus on a maximum of 6 really key strategic objectives - the areas that are going to make the biggest difference.

3. Behaviours & Code of Conduct

Discuss the behaviours, explain that these behaviours will be embedded across Nuffield in order to deliver our brand promise to colleagues and our customers.

Ask what they see as their strengths and limitations and provide your own observations. Agree and record areas of strength and the development focus areas for the year. Leaders are measured against the Leader Behaviours, Colleagues against the Team Behaviours.

Review the professional code of conduct applicable to the individual's role and ask them to consider how they measure up against this. Discuss and record strengths and any development required to ensure compliance and how they can demonstrate this in their role. Record the name of the professional body/code of conduct here.

See page 31 for further detail on the Nuffield Health [Leadership & Team Behaviours](#)

4. Other CPD/Development

Development is 20% coaching, 70% on the job and 10% formal courses.

Discuss any [development needs](#) and actions required to improve performance. Any activities should be relevant to the individual's current or appropriate future role and ideally support CPD e.g:

- Undertake 360 degree feedback and/or client feedback prior to mid year review meeting
- Act on feedback from Leadership MOT
- Attachment to a colleague with specific experience or skills
- Coaching from line manager or HR Representative

Record any other CPD or development needs. It could also include any development needed in relation to the brand behaviours or to build on areas of strength an individual wishes to utilise further.

5. Career Aspirations

Discuss your team member's career aspirations in the short/medium/long-term. Agree any skills/experience they need to build in order to achieve their aspirations.

6. General Support Required

Discuss what will work best for you both in discussing progress against expectations over the coming year. It could cover such things as what support does the individual need, how often they want to meet, the format of the meetings, e.g:

- Quarterly face to face meetings
- Monthly update - by phone
- Mid year detailed review of progress
- Individual will take responsibility to ensure updates are planned in and happen as agreed
- Individual will seek support & guidance as needed
- What worked well over the last year, what got in the way and what could we do better?
- What learning has come out of it and what do we want to do differently this year?

7. Record of Achievement

All mandatory training and CPD undertaken should be recorded in this section. This should be continually added to and updated throughout the year and should reflect an accurate personal log of all relevant training activities.

Mandatory Training

This includes all role specific mandatory items which are relevant to a person's role. An example:

Mandatory Training	Due Date	Result	Date Achieved	Notes /follow up?
Health & Safety Level 1	1/9/13	75% Pass	1/9/13	Next due Sep 2016.

CPD Undertaken

Use this section to record all CPD undertaken which is relevant to the role/professional registration body. A brief description of the CPD, the date achieved and any comments should be recorded in the appropriate boxes. Guidance should be taken from professional regulatory bodies and senior clinical staff to ensure that appropriate CPD requirements are adhered to. An example:

CPD	Due Achieved	Comments
Communication skills training one day course. This focussed on identifying patient need in palliative care - Sage & Thyme model	14/9/13	Certificate of attendance received.

Conversation Framework

- Looking back (Review)

Whilst a half year review is not part of the formal process we would actively encourage you to have a formal review with your team member at least part way through the year to ensure all objectives are on track and are still appropriate. A summary of any reviews, formal or informal can be recorded on the last page of the form.

At the end of year you will then need to sit down and have a conversation about how they have performed against each area and to provide them with a final performance rating. See page 19 for further information about [ratings](#).

1. Hospital Priorities & Clinical Excellence

How have they performed against the clinical expectations which were agreed? Were they achieved or not? Did they exceed expectations? How did they achieve the results? Has each individual objective been achieved/exceeded/not met? What were the specific challenges in meeting these objectives?

2. Brand Behaviours & Code of Conduct

Was the delivery of expectations and objectives in line with the behaviours? How has the individual developed in this area over the year? What are their strengths and what areas do they need to focus on improving next year?

How was the compliance against the professional code of conduct? How has this been demonstrated?

3. Development

How did the team member perform against their development plan? Has all mandatory training been completed within expected timescales? Has appropriate CPD been undertaken? What other training have they completed?

4. Overall

Look back on the performance year and lead a discussion around how they performed overall in the role against agreed expectation. Performance ratings should not be discussed at this stage – the focus should be on having a powerful conversation about performance and contribution against expectations.

Performance Ratings

On Completing performance reviews with each of your team, you will need to consider the relative performance of each individual which is why we ask you not to confirm their final rating until you have had the opportunity to do this.

- Who consistently demonstrates **superior performance**? How can you motivate them to continue to exceed expectations? How will you motivate them to stay?
- Who performs **consistently at an acceptable level**? What do you need to do to enable them to increase their performance and contribution?
- Whose performance is **inconsistent and/or below expectations**? How can you support them to deliver an acceptable standard? What plans are in place to address underperformance through adult-to-adult conversations?

Once you have considered each team member’s performance, you need to consider the rating to be applied. The rating will help them to understand how their performance is reviewed relative to peers and will be used as an input to salary review.

Top Performer	OUTSTANDING OVERALL performance in all areas relative to peers, making a significant impact to Nuffield Health. Individual has gone way above what is required in everything they do.
Strong Performer	STRONG OVERALL performance by an individual relative to peers who makes a valuable contribution to Nuffield Health. The individual has delivered everything that is required of them to a high standard, outperforming in some areas.
Good Performer	An overall performance by the individual which is GOOD relative to peers. They have done everything that is expected of them and made considerable efforts to achieve what is required.
Under/Inconsistent Performer	UNACCEPTABLE overall performance relative to peers, struggling to perform in current role and there are significant gaps in their ability to achieve satisfactory performance at this level. Performance can be inconsistent.

Whilst our strategy is not to introduce forced distribution of performance ratings as many leading organisations do, it is critical that we identify and recognise performance levels of individuals relative to peers.

As a guideline only, we recommend considering a distribution curve of:

Top Performer	Top 10% of individuals
Strong Performer	35% of Individuals
Good Performer	50% of individuals
Under/Inconsistent Performer	Bottom 5% of individuals

Applying the Ratings

Overall Rating for KPIs/Objectives	Top Performer	Under/ Inconsistent Performer or Good Performer	Good or Strong Performer	Strong or Top Performer	Top Performer
	Strong Performer	Under/ Inconsistent Performer or Good Performer	Good or Strong Performer	Strong Performer	Strong or Top Performer
	Good Performer	Under/ Inconsistent Performer or Good Performer	Good Performer	Good or Strong Performer	Good or Strong Performer
	Under/ Inconsistent Performer	Under/ Inconsistent Performer	Under/ Inconsistent Performer or Good Performer	Under/ Inconsistent Performer or Good Performer	Under/ Inconsistent Performer or Good Performer
		Under/ Inconsistent Performer	Good Performer	Strong Performer	Top Performer
Overall Rating for Behaviours					

 KEY:
Line Manager
to decide

10 Top Tips for Performance Excellence

1. No Surprises, it's about regular interaction and having adult to adult conversations
2. Find out what works for you, but keep it professional
3. If you have a lot of direct reports make sure the employee is doing the work by writing up the form if applicable.
4. Keep good records, its important to keep notes, even brief ones
5. Consider bite-sized objectives
6. One size does not fit all, we are motivated in different ways
7. Be prepared and remember the goal
8. Don't do all of the talking
9. Balance positive and negative
10. Feedback should be as specific as possible and don't avoid the tricky stuff



Improving Performance

When a team member's performance is inconsistent or below expectations we recommend you undertake the following three steps:

Stage 1 - Continuous Development.

This is about understanding how you may be able to support your team member in delivering an acceptable standard of performance. It is essential that you engage in regular communication through 1:1's, business reviews, progression meetings, etc. This is to ensure that your team member is clear about their role and responsibilities, the targets that they are expected to meet. In addition they must be given a clear understanding of their areas for improvement. This stage should also be used to encourage and grow your team, enabling progress and development in their current as well as future roles.

Stage 2 - Improving Performance

If the necessary improvement hasn't occurred the next stage involves [Improving Performance](#). This should only be used if your team member is still not meeting the required targets to successfully fulfil their role.

Stage 3 - Formal Disciplinary Action

The final stage is performance management through [Formal Disciplinary Action](#). This stage is reached when you feel that a team member's continued failure to achieve the targets set/appropriate behaviours or their lack of attempts at improvement, are sufficient to warrant formal action via the disciplinary procedure.

1. Continuous Development

This is the first and most important stage in Improving Performance as it is at this point that you will identify and document any potential issues or developmental needs for the team member's current role as well as their subsequent career progression.

If you are a new or existing line manager who is taking on a new team, do consider how the team has been managed previously. Agreeing criteria that helps develop the team member, along with improving business requirements, should always be your starting point.

To reiterate, your communication with your team members may take the form of 1:1 meetings, performance excellence meetings, business reviews etc, and will not therefore involve anything additional to normal working practises.

It is essential that all communication you have with your team is documented, including but not limited to:

- When the meetings are held;
- Who is present;
- What is discussed;
- What, if any actions or key tasks need to be completed by the next meeting and assistance required, you can record these using the [performance review sheet](#));
- Timescales to be adhered to.

Remember all actions should be [SMART](#) i.e. **S**pecific, **M**easurable, **A**chievable, **R**ealistic, and **T**ime-based.

Should you find that upon review, targets have not been met and there is no acceptable reason for this, you will need to progress to the next stage i.e. Improving Performance

If you are unsure whether it is appropriate to proceed to this stage please liaise with your Regional HR Contact for support and advice.

2. Improving Performance

You should only use this stage of the Improving Performance Process if your team member still fails to meet the required standard of performance or behaviours.

You must give consideration to the reasons for under performance, for example if the team member has failed to meet a deadline because they have been covering for a colleague who has been off ill, you may feel this is an acceptable reason for their underperformance and the team member would remain at the first stage of the process, as defined above.

At the Improving Performance meeting, you will need to discuss with the team member the reasons why their targets have not been met or why the behaviours exhibited remain unacceptable.

It is important to remember that the aim of this stage is to **improve performance** and not to de-motivate the employee. You must talk to the team member about the issues that are causing concern.

Thereafter you will need to **assess and agree between yourselves** the improvements that the team member is expected to deliver and also what assistance you will provide in order to support them in achieving their targets.

You must set further targets, again making sure they are [SMART](#). Agree at the meeting the date of the next review. Remember to offer support via coaching, additional resource, arranging a mentor, organising formal training etc.

It is also important that you inform the team member of what may happen should they continue to fail to improve i.e. if unacceptable performance continues then you will have to consider formal action via the disciplinary procedure. Such a course of action may include the issuance of warnings, transfer to an alternative role/demotion (where available) or dismissal.

As in the Continuous Development stage, it is important that these meetings are **documented**. Thereafter it is crucial that the outcome of the meeting and the **potential consequences** that were discussed are confirmed to the employee **in writing**. A [template letter](#) is attached for this purpose. This letter must be customised to reflect the individual circumstances. You may therefore want to liaise with your Regional HR Contact about the appropriateness of the content prior to sending it.

If at the next review the team member has **successfully achieved** their targets then this stage of the process is completed and the team member will revert back to the [first stage](#). However, if this is not the case then you will need to decide whether to remain at this stage and set further targets for review or whether you want to progress to the next stage and consider **formal action** via the disciplinary procedure.

Remember: There is no set number of reviews that you should hold prior to progressing to formal action. However you must strike a balance between having given the employee sufficient time and support to improve, while not prolonging the process to a point it becomes counterproductive.

3. Formal Disciplinary Action

This stage is reached when you feel that your team member's **continued failure** to achieve their targets /appropriate behaviours or lack of attempts at improvement, are sufficient to warrant **formal action** via the disciplinary procedure.

As you will have been reviewing the employee's performance for some time, progression to this stage should not come as a surprise to them, as they will already have received correspondence outlining your concerns.

As this stage is a disciplinary meeting you should use the standard disciplinary letters to invite the team member to a hearing. Remember to include the reasons for the hearing i.e. stating what the **poor performance** is and including their right to representation. The Disciplinary and Grievance Policy contains a set of standard letter templates to be used in this regard.

If you believe that the team member is capable of undertaking the roles and responsibilities of their current job then you should proceed down the warning route. The seriousness of the failure to achieve the agreed targets will determine the level of warning issued.

Following the conclusion of the disciplinary process you will then need to revert to the [Improving Performance](#) stage of the procedure and set a time to review the revised targets.

Upon subsequent review, if the targets have been reached the team member returns to the Continuous Development stage. If not you may again want to consider taking formal action via the disciplinary procedure.

If further disciplinary action is warranted it may be appropriate for you to consider whether a transfer to a suitable alternative role (which may include demotion) would be more appropriate than the issuance of a further warning. As before you should liaise with your Regional HR Contact for support and advice.

Dismissing a team member following a series of written warnings may also be a consideration. Remember, this is very much **a last resort** and will only follow extensive support and coaching via the Continuous Development and Improving Performance Stages.

Developing My Team

Identifying the 'gap'

Here are some questions to ask yourself, before entering into the conversation with your team member. It will assist you in determining where training and development may be useful in providing solutions:

- What needs to be different?
- What more would an individual need to show to demonstrate they have developed in that area?
- Is it about knowledge/experience - what knowledge/experience?
- Is it about skill - what skill?
- Is it about behaviour - what behaviour?
- Is the individual motivated to change?
- Would any compromises need to be made for the individual to achieve their goal(s)?



Identifying solutions and development opportunities

It is important that you consider alternative sources of development activities. Remember development is considered to be:

- 70% from on-the-job experiences, tasks, and problem solving
- 20% from feedback and coaching
- 10% from courses and / or reading

You should therefore consider how else you might enhance the performance of an individual before jumping straight to a training initiative. Would job shadowing, coaching or mentoring be a suitable alternative, for example?

For current training programmes please refer to the L&D brochure of The Academy (LMS)

Training

Q. What training is available?

A. As a manager you can attend the Performance Excellence: A Great Conversation 1 day course, details can be found on the Academy (LMS)

Family/Long Term Leave

Q. How should someone be reviewed if they have been on family leave for all or part of the review period?

A. The overriding principle must be that a team member is not disadvantaged by taking family leave (i.e. adoption/maternity/ leave/additional paternity). Depending on when the leave period falls the following procedures should be used:

- 1. The team member is at work when the performance review takes place, but has advised their line manager the date of commencement of family leave is known.**
Ensure future objectives are set only for the period prior to the commencement of family leave. If applicable take account of any pregnancy related absences which may occur (e.g. antenatal appointments that are higher than the norm) or restrictions (e.g. changes to working practices required for health and safety reasons).
- 2. The next performance review date will fall during a period of family leave.**
As soon as the line manager is advised of the likely dates, he/she should hold an interim meeting with the team member to revise objectives within the adjusted timeframe (as above). The formal performance review should take place prior to the commencement of leave in order that the record is complete for that review year.
- 3. The family leave covers the whole of the review year.**
The team member should not be disadvantaged by this, therefore the default overall rating should be the same as their previous years rating.
- 4. The team member returns to work part way through the review period.**
An interim review should take place within the first month of returning to work in order that objectives can be agreed for the period of time between this meeting and the next formal review date.

Q. What should I do if one of my team is on Long Term Absence?

A. If the team member is not returning before the end of the performance year then the line manager should complete the year-end review based on the evidence that was collected prior to them being absent. It may be appropriate to invite them in if their condition permits and they agree.

Fixed Term, Bank or Zero Hours Staff

Q. Should team members who are employed on a fixed term contract have performance reviews?

A. When they are first employed, all team members (including those on fixed term contracts) should go through the induction process. This includes discussing your expectations of behaviour, conduct and performance and agreeing objectives. The objectives should be appropriate to the length of time for which the contract is due to run.

Q. What about Bank Staff or other non-employed workers?

- A. As they are not employed by us they do not require a performance review and should not be reviewed under the Performance Excellence process. Bank workers should have a review of their services, details can be found in the Bank Worker Policy for further guidance.

Moving Departments/Getting a promotion

Q. What should I do if one of my team moves department or is promoted?

- A. A team member's performance excellence record should be updated prior to them moving to a new department by reviewing objectives where appropriate. The year-end review and overall rating should reflect their performance over the entire year therefore it is sometimes appropriate (depending on when they moved roles) for a discussion to take place between the current and previous line manager to make sure the final review and rating are balanced.

If they are promoted and / or receive a salary increase after the 1 September they won't be eligible for a salary review in the following April.

Objectives/KPIs

Q. Do objectives have to be over and above what is in someone's job description?

- A. No. although they should ideally provide the team member with stretch and to enable them to work on areas where there is room for improvement and should be linked to the strategic objectives of the site or department.

Therefore although an objective fits within the requirements of the job description, it should define the area where it is possible to improve and how this can be done (and measured).

However in some cases, particularly where an individual is looking to expand their skills and experience to support an application for a more senior role, it can be appropriate to agree an objective(s) which is outside the scope of their standard job description.

Q. Can I set an objective that requires someone to just come in and do their job?

- A. No. An objective should require some level of application from the person, such that they need to think about it and be aware that they are working towards achieving it.

Q. Can I set team objectives?

- A. Yes. Although ideally all team members should have at least one personal objective (i.e. that is based on their performance rather than the collective requirements of the team). However a team objective (i.e. one which is given to all / several members of the same team) can be set in one of two ways:

1. The objective can only be achieved by the team together i.e. everyone achieves it or everyone fails to achieve it.
2. The objective although the same for a number of people, is based on individual application and therefore can be achieved by some team members and not others.

Q. How many objectives should I set for each person?

- A. The exact number of objectives will depend upon both the team member and the job they are doing. The maximum number of objectives for most people should be six, but in many cases 2-3 could be plenty.

It is more important to have one meaningful [SMART](#) objective that is designed to support them in improving their performance, than it is to list a number of points in order to make up numbers!

The overall score is based on the line manager's view of the total contribution the individual makes in relation to others and objectives only form part of the picture.

Final Review

Q. What do I need to do to agree a final rating?

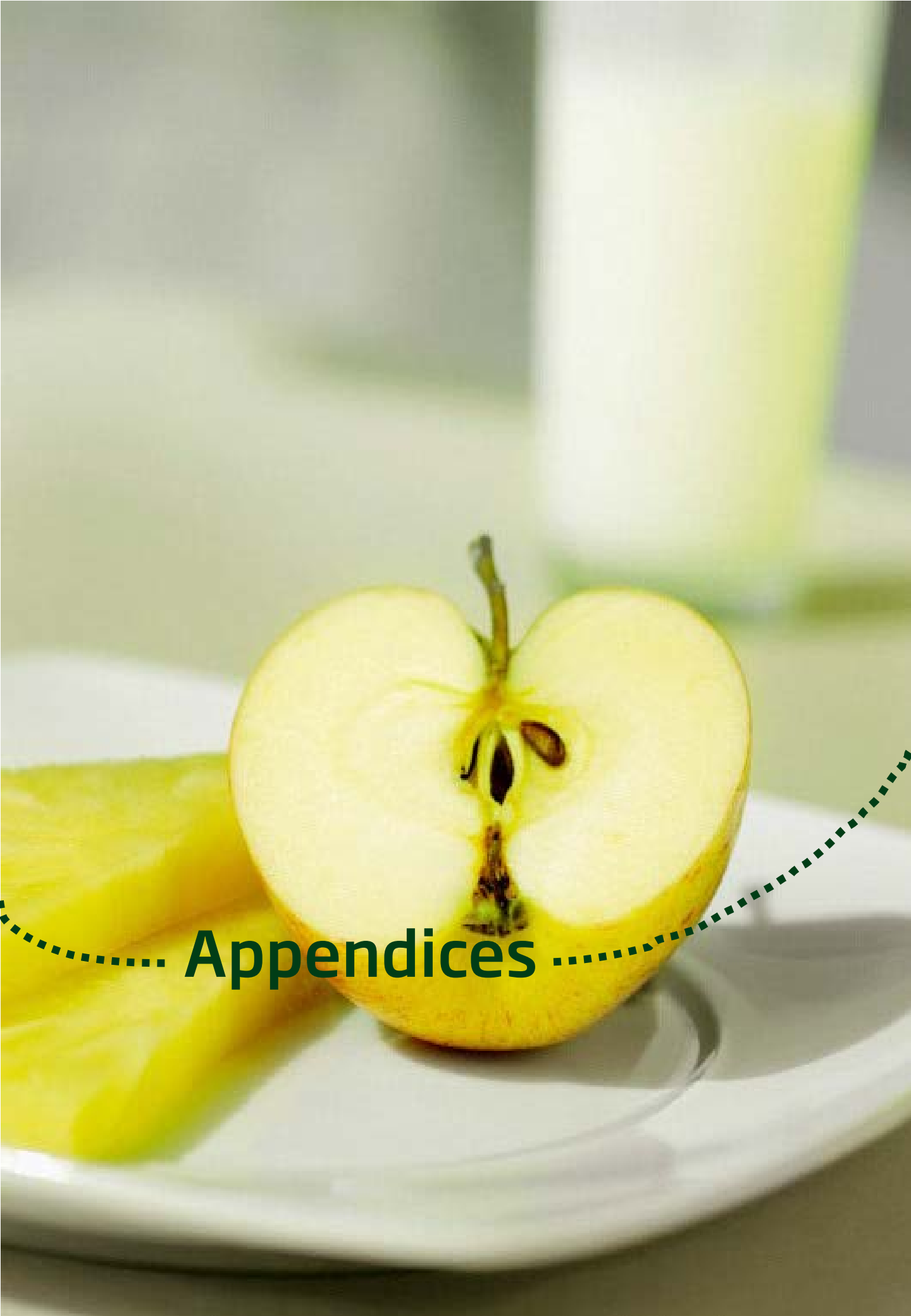
- A. You and your team member should prepare for the annual review by gathering evidence & feedback from key stakeholders on achievements & challenges. You should then agree an overall rating for KPI's/Objectives using the [4 point scale](#) on page 19. Then do the same for the Behaviours.

Use the [rating matrix](#) on page 20 as a guide and map your overall rating for KPI's/Objectives and your overall rating for Behaviours. Using your judgement decide on a final annual rating.

Ask each team member to summarise the final review points by updating the relevant section on the form. Ask them to email you the completed 'performance record' so you can then confirm your agreement and highlight the final annual rating. A copy should be kept by both you and your team member for future reference.

Q. What happens if a team member does not agree with their final performance excellence rating?

- A. If a team member is unhappy with his / her performance review the following process should be used:
1. The team member should advise their line manager (who conducted the review meeting) that they are unhappy with the review and does not agree with the final rating.
 2. The line manager should arrange a meeting with the team member in order to informally discuss their concerns. The line manager should use this meeting to ensure they understand exactly what aspect(s) of the review the team member is concerned about. Once the issue(s) are understood the line manager should try to identify whether these can be resolved through further clarification and discussion. If these concerns can be resolved at this time, you should revise the PE form to reflect any agreed amendments and ensure both of you have a copy for your records.
 3. If following this meeting, the team member does not believe that all the concerns have been adequately addressed; they should record their comments indicating they do not agree with aspects of the review. If they believe they have suffered a detriment as a result of the process outcome they have the ability to raise their concerns via the standard grievance procedure.



Appendices

Draft Note – Looking Forward

Dear X

In preparation for your performance review due to be held on XX and to facilitate an open discussion between us I'd like you to think about/prepare the following before we meet:

1. How did you do last year, what could you do better, what could you do more of?
2. Think about not only what you delivered but also how you delivered your objectives, what competencies/behaviours did you demonstrate?
3. What feedback have you received and do you need to do anything about it?
4. What development areas do you have and how could you improve those?
5. What do you want to achieve during the year ahead?
6. What additional projects/work do you want to get involved in and why?
7. What are you good at, how can you build on this?
8. What are your aspirations and what do you need to do to get there?
9. What support do you need from me?

Any questions please let me know.

Draft Note – Looking Back

Dear X

In preparation for your end of year performance review which is being held on XX, I'd like you to think about/prepare the following before we meet:

1. Overview of how the year has gone?
2. How have you performed against your priorities, KPIs and objectives?
3. What went well, what could have gone better and why?
4. Did you deliver your KPIs & Objectives in line with the leadership behaviours, including any specific examples.
5. Have you achieved everything on your development plan, if not why not and what needs to still be worked on?
6. Start to think about what you will need to achieve next year.

Any questions please let me know.

SMART objectives “The WHAT”

All Objectives should be SMART!

S: Specific	i.e. has a single key result with no ambiguity in the wording used
M: Measurable	i.e. there must be a means to show whether or not the objective has been achieved
A: Achievable	i.e. it must be realistic and attainable given any known constraints (time, resources, business priorities, personal competence etc)
R: Relevant	i.e. it must be relevant to the overall aims of the team /department/organisation
T: Time-bound	i.e. there must be an agreed, achievable completion date

How to convert an activity into an objective

1. “Train on Excel” – is not an objective - it’s an activity which you undertake in order to achieve something.

This can be written as an objective by specifying the outcome i.e.

Objective: To produce the month end spreadsheet to the required standards by January 2013

Means by which it will be achieved: to attend training on Excel / gain experience by using Excel

Means by which it will be measured: Spreadsheet delivered to time and standards required

2. “Effectively liaise with consultants x’s secretary” – is not an objective, think about why you would need to liaise with the secretary.

If the answer to this was, “to understand what documentation they need when running their next clinic”, the objective could be defined as:

Objective: To provide the correct documentation for consultant x’s monthly clinic from 1st Feb 2013

Means by which it will be achieved: To effectively liaise with secretary

Means by which it will be measured: Consultant x has all the documentation required to run the clinic – no last minute panics. Feedback from consultant is sought, recorded and measured.

Brand Behaviours “The HOW”

THE NUFFIELD HEALTH BRAND BEHAVIOURS are the behaviours we all need to *visibly* display to achieve our strategic priorities and deliver our brand promise.

Leadership Behaviours

(for individuals who manage people)

I'm
Enterprising

- I think outside the box to create an environment that encourages continual improvement and outstanding performance
- I keep things simple, commercial and drive out unnecessary bureaucracy
- I encourage colleagues to make their own decisions and learn from their mistakes
- I can spot and coach the talent I need to deliver results

I'm
Passionate

- I am a champion of Nuffield Health's vision both with my team and my customers
- I relentlessly push myself and others to be better
- I create an environment that inspires great customer service

I'm
Independent

- I am self motivated and creative in the way I inspire and develop my team
- I coach my team on what success is and recognise and reward them when they achieve it
- I communicate clearly and regularly with my team members and colleagues

I'm
Caring

- I am respectful towards my customers and colleagues
- I lead with wellbeing in mind, creating a positive climate where colleagues are listened to, can offer opinions and get direct feedback

Team Behaviours

I'm
Enterprising

- I create new ways of inspiring and engaging customers and colleagues
- I keep things simple and ensure I deliver all my duties on time and to the highest standards
- I demonstrate initiative - seeking opportunities to make improvements

I'm
Passionate

- I am a champion of Nuffield Health's vision, our role as a charity and our approach to wellbeing
- I relentlessly push myself to develop my skills, build my knowledge and improve my performance
- I consistently deliver great customer service

I'm
Independent

- I am self motivated and always positive
- I always 'do the right thing' and put my customers first
- I communicate positively and confidently with all customers and colleagues.

I'm
Caring

- I am respectful towards my customers and colleagues
- I build rapport with every customer, am responsive to their needs and treat everyone as an individual
- I demonstrate empathy and always put myself in my customers' shoes

Performance Review Sheet

Employees Name:

Managers Name:

Date of Review:

Type of Review:

Discussion Topics:

1.

2.

3.

4.

Agreed Actions:

1.

2.

3.

4.

Date of next Review:

Employees Signature:

Managers Signature:

Framework Letter following Stage 2 meeting

Dear [xxxxxx]

I write further to our (type of meeting i.e. 1; 1, business review) held on [xxxxx].

At this meeting I stated my concerns to you that your performance has fallen below an acceptable standard since [xxxxx] (date of last acceptable review).

The areas of concern, which we discussed in detail, are as follows:
(List concerns:)

At this meeting we agreed the following objectives / targets for you to work towards which will be reviewed on [xxxxx].
(List agreed objectives/targets:)

We discussed what help may be available to you from the Company to help you achieve these objectives / targets. We agreed to the activity/areas detailed below, which you confirmed that you would make the necessary arrangements with the relevant parties concerned by the specified timeframes agreed:
(List if appropriate:)

or

You advised me that you did not require any additional training, guidance and support in order to achieve the agreed objectives / targets. However should your requirements change, please contact me immediately to discuss this further.

Whilst I hope that you will be able to improve your performance to the required standard. It is only fair to warn you that, if having reviewed the situation following our next meeting on [xxxxx], I still find that your performance is below an acceptable standard for your role, the Company may consider taking formal action against you in line with the Company disciplinary procedure. This may include warnings, transfer to a suitable alternative role or dismissal.

I trust that the above is clear, however should you wish to discuss this further please do not hesitate to contact me.

Yours sincerely

Line Manager

Notes...



Notes...



