



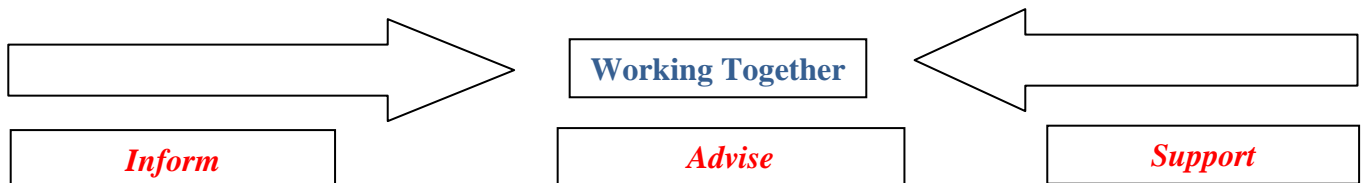
NORFOLK
 CONSTABULARY
Our Priority is You



SUFFOLK
 CONSTABULARY
Taking pride in keeping Suffolk safe

JOINT HR POLICY DOCUMENT

***PERFORMANCE MANAGEMENT OF
 POLICE STAFF***





Performance Management of Police Staff

Force Policy Document

Policy owners	DCC Norfolk / DCC Suffolk
Policy holder	Head of HR Service Delivery (Norfolk & Suffolk)
Author	HR Manager (Policy & Reward)

Policy No.	32
------------	----

Approved by

Legal Services	3 rd September 2013
Policy owner	3 rd September 2013
JJNCC	24 th June 2013

Note: *By signing the above you are authorising the policy for publication and are accepting accountability for the policy on behalf of the Chief Constables.*

Publication date	9 th September 2013
Review date	4 th February 2016
APP Checked	N/A

Note: *Please send the original Policy with both signatures on it to the Norfolk CPU for the audit trail.*

Index

1	General Principles.....	3
2	Informal performance management	3
	Informal Meetings	4
3	Moving to Formal Action	5
4	Alternatives to formal action.....	6
5	Poor performance due to high levels of sickness absence	6
6	Poor performance during Probationary Period.....	6
7	Individual's right to representation	7
8	Retention of documents	7
	Appendix A – Note of Informal Meeting.....	8
	Appendix B – Performance Action Plan	1

1 General Principles

- 1.1 The purpose of this policy is to provide guidance and information on performance management for police staff.
- 1.2 Norfolk and Suffolk Constabularies are committed to ensuring this policy complies with relevant legislation and general principles of fairness, and that consultation has been undertaken with all relevant staff groups.
- 1.3 All Norfolk and Suffolk Constabularies' policies are intended to promote equality, eliminate unlawful discrimination and actively promote good relations regardless of a person's gender, race, ethnic origin, colour, nationality, gender reassignment, sexual orientation, religion or belief, marital or family status, trade union or staff association or support group activity, disability or age.
- 1.4 The first point of contact for all police staff performance issues is the Performance Improvement Unit (PIU) within HR, set up specifically to assist managers with performance issues for police officers and police staff.

2 Informal performance management

- 2.1 Informal management action to address performance issues will always be undertaken prior to formal action, unless the matter is so serious that it is immediately accelerated to the formal stages by the Director of Human Resources.
- 2.2 Managers are expected to deal with unsatisfactory performance issues in the light of the knowledge of the individual and the circumstances giving rise to these concerns. There are, however, some generally well understood principles which should apply in such circumstances:
 - **Timeliness:** The line manager must discuss any performance issues with the individual at the earliest possible opportunity. The line manager should not accumulate a list of concerns about the performance of an individual and delay addressing these concerns with the individual until the occasion of the annual or mid-term PDR meetings;

- **Clarity:** The line manager should seek to identify any performance issues with reference to specific incidents or omissions that have occurred;
- **Underlying causes:** Line managers should explore and seek to identify any underlying reasons for the unsatisfactory performance, i.e. training need or personal circumstances;
- **Health considerations:** Consideration should be given as to whether there is any health or welfare issue that is or may be affecting performance. If an individual has or may have a disability within the scope of the Equality Act this needs to be taken into account and advice sought from Human Resources;
- **Support:** The line manager must make it clear to the individual that they are available to give further advice and guidance if needed;
- **Use of formal action:** Depending on the circumstances, it may be appropriate to indicate to the individual that if there is no, or insufficient improvement, then the matter will be progressed to formal action;
- **Information recording:** Line managers should ensure that they retain a contemporaneous written note of any discussions with the individual.

2.3 Where the individual currently works to a manager that has no line management responsibility for them, it is the responsibility of that manager to inform the line manager of any performance issues they have identified.

Informal Meetings

2.4 Where there is a concern about a particular aspect of an individual's performance, the line manager should arrange for an initial informal meeting to discuss the issues using the principles above. The line manager should ensure that the following issues are discussed and that a written record of the discussion is recorded on the proforma at [Appendix A](#):

- Details of the performance issues causing concern and why it is unacceptable;
- Any explanation from the individual for the poor performance;
- The line manager should give a clear explanation of the standard of performance which is required;
- What steps the line manager will take to help the individual improve to the required standard;
- What steps the individual must take to achieve the required standard;
- Agreed timescales and measures for improvement; and
- The potential consequences if the individual's performance does not improve.

- 2.5 Whatever the outcome of the initial informal meeting, the individual should be aware that the line manager will monitor their progress and is available to give further support and guidance if needed.
- 2.6 If concerns about the performance continue, then a further meeting should be held, using notes from the previous meeting to remind the individual about issues discussed, what was agreed and the desired improvement that has not been achieved. The same process outlined above should be repeated, and this time the outcome of the discussion will be a written action plan (blank template shown at [Appendix B](#)) to assist the individual to meet the required standard. The action plan will be retained with the individual's PDR record. The period of time agreed in the action plan for the individual to improve their performance must be sufficient to provide a reasonable opportunity for the desired improvement to take place.
- 2.7 Progress against the action plan should be monitored and the line manager must keep a contemporaneous note of interactions with the individual and add their evidence to the PDR.
- 2.8 Placing matters on record is important to ensure continuity with staff movement, and it is also important to put on record when improvement has been made in the individual's performance.
- 2.9 If the individual fails to meet the action plan, the line manager should consider moving to formal action.

3 Moving to Formal Action

- 3.1 Ideally, as a result of informal action, performance will improve and continue to an acceptable level. Where there is no or insufficient improvement following the informal action, or the improvement is not sustained over a reasonable period of time (as agreed in the action plan), the line manager should discuss the matter with their own line manager and the PIU to agree the next stage. It may be appropriate to move to the formal procedures. The period of time may be extended if due to some unforeseen circumstance the required improvement has not been achievable in the original agreed timeframe.
- 3.2 There is no single formula for determining the point at which a concern about an individual's performance should lead to formal procedures, and each case must be considered on its own merits. However, the following points need to be emphasised:
- The intention of performance management including formal action is to improve performance;
 - Occasional lapses below acceptable standards should be dealt with in the course of normal management activity and should not involve the application of these procedures, which are designed to cover either repeated or sustained failures to meet such standards or more serious cases of unsatisfactory performance;

- Managers should be able to demonstrate that they have considered and used management action where appropriate before moving to formal action.

3.3 Full details on formal action and appeals are shown in the 'Capability Procedure'. (available from each Force's policy and procedure libraries)

4 Alternatives to formal action

4.1 Where informal performance management has not resulted in a sufficient improvement in performance, the line manager may consider, in liaison with HR, whether some other resolution of the situation than formal action would be appropriate, subject to the agreement of the individual, for example the offer of transfer to an alternative post. A transfer would not include salary protection. Such alternatives could be considered by management at any time during the formal capability procedure, prior to dismissal.

5 Poor performance due to high levels of sickness absence

5.1 If informal discussions indicate that an individual's poor performance is **wholly** due to high levels of sickness absence the line manager must investigate and manage the situation under the Sickness Management policy (available from both Force's intranet sites). Where the poor performance is due in part to sickness absence but there are other issues, the line manager should progress unsatisfactory performance management using this policy however should also take into account the information below.

5.2 If the absence is related to a medical condition the individual must be referred to the Force Medical Advisor in line with the Sickness Management policy.

5.3 If the absence is not related to a medical condition and the absences are unauthorised then the matter will be dealt with under the Disciplinary Policy.

6 Poor performance during Probationary Period

6.1 Individuals still in their probationary period are subject to regular reviews of their progress. If an individual's performance is not meeting the expected standard, then informal action should be taken as soon as possible by use of an action plan (see [Appendix B](#)) in consultation with the HR Advisor. If performance does not improve, the individual's employment should not be confirmed. Department Heads are authorised to dismiss individuals in their probationary period in liaison with the HR Advisor when reviewing an individual's suitability. Appropriate consultation should be undertaken and advice sought on the matter, and dismissal procedures must be fair and properly effected. Line managers must be aware of the length of the probationary period and tailor any action plan or targets to that period to avoid the individual's employment being confirmed by default.

7 Individual's right to representation

7.1 The individual does not have the right to representation during the informal process but any request to be accompanied by a friend, colleague or trade union representative will be considered by line management. Details of the right to accompaniment during the formal performance management process are shown in the 'Capability Procedure' (available from each Force's policy and procedure libraries).

8 Retention of documents

8.1 All records and reports relating to informal and formal performance management will be retained within the performance files in HR. Line managers must ensure that any records of informal performance action are forwarded to the PIU for inclusion on these files.

8.2 Performance management files will only be accessed by HR where further performance issues arise, for monitoring purposes and where this information is required for legal proceedings, i.e. employment tribunal.

Appendix B – Performance Action Plan

Name: _____ **Location:** _____
Date AP to start: _____ **Date AP will finish:** _____

The nature of your unsatisfactory performance/attendance is as follows:

The performance/attendance improvement required is as follows:

The actions that you are required to undertake to improve your performance are:

Actions (must be 'SMART' – see 'Notes on Completion' below for details)	To be achieved by

Actions to be undertaken by line manager (or others) to assist you in achieving this action plan within the target dates for achievement are:

Actions (must be 'SMART' – see 'Notes on Completion' below for details)	To be achieved by

Evidence of Additional Support/Reasonable Adjustments (if applicable)

Review dates

(These must be diarised at appropriate intervals in order to monitor your progress against the actions and to provide you with feedback on your performance/attendance)

Line manager to clarify that failure to meet the required standard will result in further management action or formal action.

Signed..... Date
(Line Manager)

Signed Date
(Individual)

*I confirm that this action plan has been satisfactorily completed within the agreed timescale.
Your performance/attendance will continue to be monitored and any failure to maintain an acceptable standard may lead to formal action being taken.

*This action plan has not been completed within the agreed timescale for the following reasons:

*This action plan has not been satisfactorily completed and I will be taking further action as follows:

Signed Date
(Line Manager)

*delete if not applicable

NOTES ON COMPLETION OF THE ACTION PLAN

This personal action plan template will assist individuals and their line managers during the informal stages of the unsatisfactory performance/attendance process.

It is designed to ensure that both the manager and the individual concerned have the same understanding of the particular aspects of the individual's performance or attendance that require improvement, and that the standards of performance/attendance expected are clearly stated.

The actions that the individual is required to undertake to achieve the performance improvement required must be 'SMART', i.e.

Specific – with an exact description of what the individual is required to do.

Measurable – with clearly defined measures or indicators of success (usually in terms of quantity, quality, time or costs) – so both parties know whether the objectives have been achieved or not.

Achievable – capable of being achieved within the agreed timescales.

Relevant – and easily linked to the individual's role, responsibilities and Standards of Professional Behaviour.

Time limited – with dates for achievement.

Please Note: Where the individual requires support from their line manager (or someone else) to achieve their action plan, this manager or individual must take responsibility for undertaking these actions to allow the individual to show the required improvement within the agreed timescale.

Review dates are essential. The review meetings will allow the line manager to check that the individual is receiving the agreed support and to provide feedback on progress against the actions.