

Performance Management Policy

If you need any information in a different format, for example large print, Braille, audio file or another language, please email Communications@housing21.org.uk

Version number	3
Issue date	October 2025
Review date	October 2027
Board approval required?	No
If yes, date approved by Board	
Author's name and job title	Nosheen Akhtar, Peoples Services Advisor
Policy owner and job title	Carina Monnelly-Owen, Head of People Services
Policy Steering Group approval date	

Summary

At Housing 21, we believe that exceptional performance stems from clarity, fairness, and shared accountability. This Performance Management Policy establishes the framework through which we recognise success, address challenges, and support every employee to achieve their full potential.

The policy reinforces Housing 21's commitment to maintaining a high-performing, people-first culture one where expectations are transparent, feedback is constructive, and growth is continuous. It ensures that performance management is not simply about measuring results, but about enabling success through development, wellbeing, and inclusion. This policy provides the structure to ensure that our people are equipped with the skills, feedback, and guidance they need to succeed, while also safeguarding fairness, consistency, and compliance with employment legislation.

The approach reflects our values of Better, Experience, Skills, and Behaviour, ensuring that performance discussions are meaningful, forward-looking, and anchored in our shared commitment to quality and respect.

Respect Inclusion and Wellbeing

Housing 21 aspires to embed diversity and inclusion within all our organisational activities to enable these principles to become part of our everyday processes. Respect and inclusion, and wellbeing are integral to how performance is understood and managed at Housing 21. We recognise that every employee brings individual strengths, experiences, and circumstances that contribute to the Housing 21's success. Our performance approach is therefore designed to be supportive, flexible, and inclusive, recognising that wellbeing directly influences performance.

Managers and employees share responsibility for creating an environment where open dialogue, fairness, and empathy guide all performance discussions.

Housing 21 will not tolerate discrimination, bias, or unfair treatment of any kind. All employees are expected to demonstrate professionalism, respect, and integrity in their behaviour and decision-making. In doing so, we aim to foster a workplace where performance improvement is seen as an opportunity for development rather than criticism, and where every colleague feels safe, supported, and equipped to thrive.

Contents

<u>Aims, Objectives and Approach</u>	Page 4
<u>Scope</u>	Page 4
<u>Principles</u>	Page 4
<u>Definitions</u>	Page 5
<u>Responsibilities</u>	Page 6
<u>Operational Application (Performance Management Framework)</u>	Page 7
<u>Further Help & Advice</u>	Page 11
<u>Monitoring and Review</u>	Page 11
<u>How to Procedures</u>	Page 12

1. Aims, Objectives and Approach

1.1 This policy provides a clear, consistent framework to help employees and managers achieve high performance and professional growth.

1.2 Its aims are to:

- Set transparent performance expectations aligned to business objectives.
- Encourage continuous improvement through regular feedback and dialogue.
- Recognise and celebrate success.
- Address performance concerns promptly, fairly and constructively.
- Ensure development and support are available to enable every employee to achieve their potential.

1.3 Performance management is not a one-off process, but an ongoing partnership between managers and employees. It relies on trust, transparency and shared accountability.

2. Scope

2.1 This policy and the supporting 'How to' procedures apply to all employees of Housing 21. They do not apply to agency workers, consultants or contractors engaged on a self-employed basis. Housing 21 may vary or depart from this procedure where necessary, for example, during the Induction Review Period.

2.2 The policy ensures a consistent approach across Housing 21, supports compliance with employment legislation, and promotes fair and transparent management practices.

2.3 In addition to this organisation-wide framework, where specific regulatory requirements apply (for example, for care workers), additional supervision standards are implemented in line with CQC guidance and sector expectations.

2.4 Supervision is the principal means by which Housing 21 ensures that care workers are supported, competent, and confident in their roles. It promotes reflective practice, identifies training or wellbeing needs, and helps maintain high standards of safety and care. These requirements are outlined in the *Care Worker Supervision* section of this policy and supported by detailed procedures that set expectations for frequency, purpose, and documentation.

2.5 To deliver its full potential, this policy should be used in conjunction with other key Housing 21 policies, strategies, and guidance documents that reflect our values and organisational priorities:

[People and Culture Strategy](#)

[Employee Wellbeing Strategy](#)

[Respect and Inclusion Strategy](#)

2.6 This policy is a guide to support excellence in practice and does not form part of an employee's contract of employment. Housing 21 retains the right to amend or withdraw this policy at any time to ensure alignment with organisational needs and objectives.

3. Principles

- 3.1 Performance expectations will be clearly defined and directly aligned with Housing 21's strategic goals, values, and resident outcomes. Each employee must understand how their role contributes to organisational success.
- 3.2 Performance management will be applied consistently across all teams and services. Managers must use objective evidence and agreed standards to ensure equitable treatment and avoid bias.
- 3.3 Regular, two-way communication is central to performance management. Employees will receive constructive feedback, and managers will provide clear explanations for any performance concerns or decisions made.
- 3.4 Support may be provided through coaching, mentoring, training, and access to development opportunities tailored to individual needs.
- 3.5 For care workers, structured supervision will be a central component of this support, ensuring that professional development, regulatory compliance, and reflective practice are embedded in day-to-day performance management. New staff will receive appropriate supervision until they can demonstrate the level of competence necessary to perform their role independently and safely. Supervision will be used to monitor performance, identify strengths, address concerns, and provide ongoing support and guidance.
- 3.6 Any training, learning or development needs identified during the Induction Review Period will be planned for and supported.
- 3.7 Where staff work with people with a learning disability or autistic people, supervision will ensure that competence in understanding and meeting individual needs is developed and maintained.
- 3.8 Concerns about performance should be identified and addressed promptly through open discussion. Early informal conversations often prevent the need for formal action.
- 3.9 All performance and supervision discussions will recognise individual differences, ensuring no employee is disadvantaged due to protected characteristics, personal circumstances, or disability.
- 3.10 Managers will take a compassionate approach, considering wellbeing and external factors affecting performance, signposting support as needed.

- 3.11 Both employees and managers share responsibility for maintaining high performance. Employees are expected to take ownership, while managers provide guidance, feedback, and clarity.
- 3.12 Performance management and supervision will be continuously reviewed and refined to reflect best practice, legal requirements, and feedback from employees and managers.

4. Definitions

Key terms used in this policy are defined as follows:

- 4.1 **Performance Management:** The structured, ongoing process by which Housing 21 sets clear expectations, monitors progress, provides constructive feedback, and supports employees in achieving organisational and individual goals. It encompasses objective setting, continuous review, coaching, development, and formal intervention where necessary.
- 4.2 **Underperformance:** Any instance where an employee's standard of work, productivity, or role-related capability does not meet the level reasonably expected for their position. This includes issues related to skills, knowledge, or competence required to perform the role effectively.
- 4.3 **Capability:** The employee's ability to carry out the duties of their role effectively, taking into account their skills, knowledge, competence, any health related limitations which require reasonable adjustment or any other relevant factors.
- 4.4 **Performance Improvement Plan (PIP):** A formal document outlining specific areas of performance requiring improvement, the actions the employee must take, the support provided by the manager, measurable outcomes, and clear review dates.
- 4.5 **Reasonable adjustments:** Where poor performance may be related to a disability for the purposes of the Equality Act 2010, certain adjustments can be made to the employee's working arrangement, which may include (but are not limited to) changing duties or providing additional equipment or training.
- 4.6 **Informal Performance Discussion:** An early-stage, supportive conversation aimed at identifying performance issues, clarifying expectations, and agreeing practical steps to improve. This is a developmental intervention and does not trigger formal action unless issues persist.
- 4.7 **Formal Performance Process:** A structured process initiated when informal discussions and support do not resolve performance concerns. This may include formal meetings, documentation of concerns, and, where necessary, warnings or dismissal.
- 4.8 **Feedback:** Constructive, timely, and actionable information provided to employees to reinforce positive behaviours, highlight areas for improvement, and support learning and development.

4.9 **Objective:** A measurable target or goal agreed between a manager and employee to guide performance expectations. Objectives must be Specific, Measurable, Achievable, Relevant, and Time-bound (SMART).

4.10 **Supervision (Care Workers):** A structured, supportive meeting between a care worker and their line manager (Assistant Care Manager or Registered Manager) to review performance, reflect on practice, and promote professional development. Supervision ensures accountability, encourages reflective practice, and supports the delivery of safe, effective, and person-centred care.

5. Roles and Responsibilities

5.1. Employee responsibilities:

- Take ownership of their performance and actively engage in discussions with their manager.
- Be proactive in seeking feedback, development opportunities, and support where necessary.
- Implement agreed actions from informal discussions, PIPs, or formal meetings.
- Maintain records of achievements and contributions for performance reviews.
- For care workers: Engage fully in scheduled supervision meetings, using them as an opportunity to reflect on care practice, identify learning needs, and discuss wellbeing or professional support requirements.

5.2 Manager responsibilities:

- Set clear, achievable, and measurable objectives for their team members.
- Monitor performance against agreed standards, providing timely feedback and coaching.
- Recognise and reinforce good performance by acknowledging high-quality work, consistent achievement of objectives, and effective use of skills and knowledge. This includes providing positive feedback, supporting continued development, and highlighting examples of good practice.
- Address performance concerns promptly, fairly, and constructively.
- Maintain accurate documentation of performance discussions, informal interventions, and formal processes.
- Ensure employees understand expectations, required outcomes, and the support available to help them succeed.
- Collaborate with People & Culture in complex or formal cases, ensuring compliance with legal and policy requirements.

- Conduct regular, meaningful supervision sessions with care workers to monitor practice, support development, and ensure compliance with regulatory standards.

5.3 People & Culture responsibilities:

- Provide guidance, training, and tools to managers and employees on performance management.
- Oversee consistent application of the policy across Housing 21.
- Support managers in complex, informal, or formal performance cases.
- Ensure that care worker supervision practices align with Housing 21's regulatory and quality assurance frameworks.

6. Operational Application (Performance Management Framework)

6.1 Performance management at Housing 21 is an ongoing cycle built around clear objectives, regular feedback, and continuous support.

6.2 For care workers, supervision forms a formal part of this cycle. It provides dedicated time for reflective discussion on care delivery, promotes accountability, and ensures that learning and wellbeing are regularly reviewed alongside performance objectives.

6.3 Objective Setting and Planning

- Managers and employees must agree on specific, measurable, achievable objectives using quarterly reviews.
- Objectives should reflect role responsibilities, align with team and organisational priorities, and incorporate Housing 21's values and behaviours.
- Managers must ensure employees understand the expected standards, performance indicators, and how outcomes will be measured.
- Objectives should be reviewed for relevance during the year and adjusted where organisational priorities or employee circumstances change.

6.4 Ongoing Feedback, Support, and Check-ins

- Check-in discussions should occur at least quarterly, with more frequent conversations where required.
- Discussions should review progress, identify barriers, provide constructive feedback, recognise strong performance, and agree on development actions.
- Managers should proactively identify potential performance challenges and offer appropriate support such as coaching, training, or adjustments to workload or responsibilities, and ensure wellbeing support is available.
- Managers should also highlight and reinforce good performance by acknowledging achievements, effective practice, and positive contributions to service delivery.

- Documentation is available through People & Culture teams and is recommended to maintain transparency, support decision-making, demonstrate recognition of progress, and track development over time.

6.5 Annual Review and Development

- A formal review should take place at least every quarter, assessing performance against objectives, behaviours, and organisational values.
- Reviews should be evidence-based and include feedback from relevant stakeholders.
- Following the review, a development plan should be agreed to outline training, career progression, or skill enhancement opportunities.
- Outcomes of the review must be recorded, communicated clearly to the employee, and used to inform succession planning or reward decisions.

7. Managing Underperformance

7.1 Informal Stage

- Performance concerns should initially be addressed through an informal, supportive discussion.
- Managers should clarify specific areas not meeting expectations, explore underlying causes, and agree on actions and support.
- Review periods should typically be 4–8 weeks.
- A record of the discussion should be kept for reference but not added to the formal personnel file unless escalation is required.

7.2 Formal Stage

- If informal measures fail or performance issues are serious, a formal meeting should be arranged with written notice and right to be accompanied by a trade union representative or workplace colleague.
- We will notify you of the performance concerns, reasons for those concerns and the likely outcome following a performance meeting.
- A PIP will be agreed, detailing required standards, actions, support, review period, and potential consequences.
- PIPs are typically reviewed over 8–12 weeks, but this period may be shorter or longer depending on the circumstances. If performance improves, the process concludes. If not, further formal action may include written warnings, redeployment, or dismissal on capability grounds.
- People & Culture must be involved in all formal cases, ensuring compliance with employment law and organisational policy.

8. Informal Stage of Performance Management

8.1 At Housing 21, performance management is regarded as a proactive and developmental process that supports colleagues to achieve their full potential. The informal stage

represents the first opportunity to identify performance issues and provide constructive feedback and support, encouraging improvement in a positive and collaborative manner.

8.2 The emphasis at this stage is on open communication, trust, and shared responsibility for improvement. Managers are expected to engage in constructive dialogue with employees to explore barriers to performance, identify root causes, and agree clear expectations for improvement. The aim is to provide clarity, resources, and encouragement before any formal action becomes necessary.

8.3 Informal performance management should focus on enabling improvement rather than attributing blame. Managers must consider whether additional guidance, mentoring, supervision, training, or reasonable adjustments are required to facilitate success. The process should also reflect Housing 21's values of fairness, inclusion, and respect, ensuring that each employee is treated with dignity and that individual circumstances are taken into account.

8.4 **A Performance Improvement Plan (PIP)** may be introduced informally where it is considered helpful in structuring support and clarifying objectives. The informal PIP is designed to set out expectations, define measurable outcomes, and provide a clear framework for development. Its purpose is not disciplinary but supportive to enable employees to reach the expected standard of performance with appropriate assistance
Please refer to [Appendix 3](#)

8.5 Managers must ensure that expectations are realistic, timescales are fair, and progress is monitored through regular discussions. Where improvement is achieved, the process concludes with recognition of success and no further action. Where performance does not improve to a satisfactory standard, or if issues persist, escalation to the formal stage of the process may be required.

9. Formal Stages of Performance Management

9.1 The formal stages of the performance management process are designed to address continuing or more serious concerns that have not been resolved informally. Formal action should always be undertaken with the involvement of People & Culture to ensure fairness, consistency, and compliance with employment law.

9.2 The decision to commence formal proceedings will follow a balanced assessment of the facts, including relevant performance data, previous feedback, and the level of support provided. Before formal action is taken, the manager must be satisfied that the employee was made aware of concerns and given a fair opportunity to improve.

9.3 Where a decision is made to initiate the formal process, the employee will be invited to a formal performance review meeting. The meeting invite will set out:

- the specific performance concerns to be discussed;

- the purpose of the meeting and the potential outcomes;
- details of any evidence, data or documentation that will be relied upon; and
- confirmation of the employee's right to be accompanied (where applicable).

9.4 The meeting will be conducted in a structured format, allowing the manager to outline the concerns and supporting evidence, and giving the employee an opportunity to respond, provide context, and submit any relevant information.

9.5 Following discussion, the manager will consider all information presented before deciding on next steps. Possible outcomes may include no further action, the start of or continuation of a performance improvement plan (PIP), or progression to the next stage of the formal procedure. The employee will receive a written summary of the meeting and any agreed actions or expectations within a reasonable timeframe.

9.6 The formal stages provide a structured framework for improvement through the use of formal meetings and written outcomes. Depending on the nature and seriousness of the performance concerns, action may commence at **Stage One (First Written Warning)**, **Stage Two (Final Written Warning)**, or **Stage Three (Dismissal or Redeployment)**.

9.7 At each formal stage, a **Performance Improvement Plan (PIP)** will be established to document expectations, improvement targets, timescales, and support mechanisms. Review periods will be determined by the complexity and nature of the issues, typically between 8 and 12 weeks but this period may be shorter or longer depending on the circumstances.

9.8 The following summarises the intent of each formal stage: **Please refer to [Appendix 2](#)**

- **Stage One – First Written Warning:** Issued where performance falls short despite informal support. It sets out clear expectations for improvement, with a defined review period.
- **Stage Two – Final Written Warning:** Applied when insufficient improvement is demonstrated following Stage One or where the concerns are of a more serious nature. It reinforces the required standards and makes clear that failure to improve may result in dismissal.
- **Stage Three – Dismissal or Redeployment:** Considered when performance remains unsatisfactory after previous warnings, or where gross underperformance or negligence occurs. Dismissal, redeployment, or an extension of the review period may result, depending on circumstances and available options.

9.9 At every stage, Housing 21 will ensure that:

- Reasonable assistance has been provided to enable improvement.
- Expectations and review periods are fair, transparent, and consistently applied.

- The employee is given the opportunity to present their views and evidence.
- All decisions are proportionate, evidence-based, and made with due regard for fairness and equality.
- They are given the right to be accompanied by a work colleague or trade union representative.

10. Right of Appeal

10.1 Housing 21 is committed to ensuring that performance management decisions are fair, consistent, and transparent. Employees have the right to appeal against any formal decision made under this policy. Please refer to [Appendix 1](#)

10.2 Appeals must be submitted in writing to the People & Culture Team within five working days of receiving the written decision. The appeal should outline the grounds, such as new evidence, procedural irregularity, or disproportionate outcome.

10.3 Appeals will be heard by a senior manager and/or independent manager not previously involved to ensure impartiality. The appeal process will focus on reviewing the fairness and reasonableness of the original decision and any new relevant evidence presented.

10.4 The outcome of the appeal may:

- Uphold the original decision;
- Overturn or amend the decision; or
- Substitute an alternative outcome.

10.5 The final decision will be confirmed in writing and explained to the employee. The decision of the appeal panel represents the final internal stage of the process, and there is no further right of appeal.

11. Further Help and Advice

Housing 21 provides additional support for employees during performance management. Employee Assistance Program (EAP): Free, confidential 24/7 counselling, legal, and information support. Access with code "BeWell" at Housing 21 EAP. Employees may also seek guidance from their line manager, People & Culture, or Health and Safety Officer. The policy ensures compliance with legal obligations and reinforces a supportive, fair, and flexible approach.

12. Monitoring and Review

The policy will be reviewed at least every three years or sooner if there are legal, organisational, or best practice changes.

Monitoring of this policy will include oversight of care worker supervision practices to ensure compliance with CQC expectations and internal quality standards. Findings from

audits and feedback will inform ongoing improvements to both performance management and supervision processes.

People & Culture will oversee monitoring to ensure consistent application, identify trends, and recommend updates to keep the policy relevant and effective.

13. How to Procedures

The supplementary "How to Procedures" are designed to support this policy by providing clear, practical guidance for both Line Managers and employees. These procedures outline the necessary steps to effectively manage performance, ensuring adherence to the policy and maintaining consistency in how performance expectations and improvement plans are communicated, implemented, and reviewed. Compliance with these procedures is essential to uphold the standards set forth in the performance management framework.

The following [How to Procedures](#) accompany this policy to provide operational guidance:

- a) [How to procedure - Set Objectives, Expectations, and Annual Reviews](#)
- b) [How to Procedure - Ongoing Feedback and Conduct Check-ins](#)
- c) [How to Procedure: Manage Informal Performance Discussions and PIPs](#)
- d) [How to Procedure: Manage Formal Performance Processes and Warnings](#)
- e) [How to Procedure: Support Employee Wellbeing, Sickness, and Reasonable Adjustments](#)
- f) [How to Procedure: Handle Grievances, Complaints, and Appeals](#)
- g) [How to Procedure: Document Performance Discussions and Maintain Records](#)
- h) [How to Procedure: Supervise Care Workers in Line with Regulatory Requirements](#)

a. How to procedure - Set Objectives, Expectations, and Annual Reviews

Purpose: To provide a clear and structured process for setting objectives, establishing expectations, and conducting annual reviews that support both organisational goals and individual development.

Procedure: The process of setting objectives, agreeing expectations, and completing annual reviews is central to effective performance management. It ensures that employees understand their roles, how their performance will be assessed, and how their contribution supports organisational priorities. For managers, it provides a consistent framework for guiding performance and supporting employee development, while employees gain clarity, confidence, and the opportunity to take ownership of their progress.

Setting objectives begins with clarity and alignment. Objectives should follow the SMART model

- Specific,
- Measurable,
- Achievable,
- Relevant, and
- Time-bound

This is to ensure they are meaningful and actionable. Managers are responsible for ensuring that objectives link to team priorities and wider organisational aims, taking into account the employee's role, capabilities, and workload. Employees are encouraged to contribute to the discussion by identifying challenges, sharing insights, and proposing development opportunities. This collaborative approach increases engagement and encourages a shared commitment to achieving results.

Establishing expectations involves more than outlining tasks. It includes clear communication of required performance levels, quality standards, and behaviours that reflect organisational values such as integrity, professionalism, and teamwork. Managers should explain how performance will be evaluated and what successful outcomes look like, ensuring that employees understand the expectations placed upon them. Regularly revisiting these expectations throughout the year helps maintain mutual understanding and alignment.

Annual reviews offer a formal opportunity to reflect on progress, discuss achievements, and identify development needs. Rather than being an isolated event, the review should build on conversations held throughout the year. Managers are expected to provide balanced, evidence-based feedback, recognising contributions and addressing areas for development constructively. Employees should enter the review prepared, having reflected on their objectives, noted accomplishments, and considered areas where further support or training may be helpful. Records of the discussion should be clear and objective, capturing key achievements, development actions, and any updates to future goals.

The effectiveness of this process depends on openness, transparency, and ongoing communication. Managers must ensure that employees understand timelines, procedures, and criteria in advance, and should provide resources or guidance where needed. Employees, in turn, should feel encouraged to request clarification, raise concerns early, and participate actively in performance discussions. This approach reduces misunderstandings and enables prompt support when issues arise.

This procedure also plays an important role in supporting development, engagement, and retention. Clear goals provide direction and motivation, while constructive reviews highlight pathways for growth. The process helps build a culture of fairness, accountability, and continuous improvement by ensuring that everyone understands their role and has access to the support needed to succeed.

Overall, effective performance management relies on shared responsibility.

- Managers guide, support, monitor, and document progress.
- Employees show accountability, participate openly, and make use of development opportunities.

When applied consistently, this procedure ensures employees recognise the importance of their contributions and have the tools and confidence to perform at their best.

b. How to Procedure - Ongoing Feedback and Conduct Check-ins

Purpose: To ensure employees receive timely, constructive, and supportive feedback that enables continuous performance improvement and maintains open, collaborative communication.

Procedure - Ongoing feedback and regular check-ins are essential parts of continuous performance management, allowing managers and employees to communicate openly, adjust expectations, and address issues before they escalate. These interactions offer real-time opportunities for guidance, recognition, and clarification, ensuring employees remain supported and aligned with organisational standards and objectives.

The principle behind ongoing feedback is that performance should be monitored and discussed throughout the year, rather than reserved for annual reviews. Managers are expected to observe and document performance, highlighting both strengths and areas needing improvement. Feedback must be specific, timely, and based on clear examples.

- Example of effective feedback: “The report last week missed three key data points, please use the checklist next time to ensure all elements are included.”

Regular check-ins, formal or informal, provide a two-way conversation where managers can review progress, recognise achievements, explore challenges, and adjust priorities. These discussions should create space for employees to raise concerns, request support, or

identify development opportunities. Maintaining a positive, trusting environment encourages openness and strengthens working relationships.

The frequency of check-ins will vary depending on workload, role, and individual needs, but consistency is essential. Whether weekly, fortnightly, or monthly, meetings should touch on:

- progress against objectives
- upcoming priorities
- workload or capacity issues
- development needs
- wellbeing or support requirements

Managers should prepare by reviewing previous discussions and relevant data to ensure conversations are focused and productive.

Documentation plays an important role even in informal check-ins. Managers should record key points, agreed actions, and follow-up items to maintain continuity and provide evidence if concerns develop. Employees should also keep notes to support their own development and reflect on feedback over time.

The delivery of feedback significantly affects how it is received. Managers should communicate in a respectful, constructive, and supportive manner, focusing on behaviours and outcomes rather than personal attributes. Positive feedback should be genuine and specific, while constructive feedback should be delivered sensitively. Employees are expected to engage openly, ask questions, and act on the guidance provided.

Overall, ongoing feedback and regular check-ins promote a culture of continuous improvement, accountability, and engagement. Through consistent communication, recognition, and proactive problem-solving, both managers and employees can work together to ensure expectations are met, development is supported, and performance remains on track.

c. [How to procedure: Manage Informal Performance Discussions and Performance Improvement Plans \(PIPs\)](#)

Purpose: To provide a structured and supportive approach to addressing performance concerns early and guiding employees toward meeting required standards through clear expectations and targeted development.

Procedure: Effective performance management involves addressing concerns promptly and constructively. Informal performance discussions and Performance Improvement Plans (PIPs) are key tools that allow managers to respond to issues early, support employee development, and prevent minor concerns from becoming formal disciplinary matters. This procedure outlines how managers should conduct these discussions and how PIPs should be implemented when more structured support is required.

Informal performance discussions are the first step when concerns emerge. These conversations are not disciplinary; they are intended to clarify expectations, highlight specific performance gaps, and explore any underlying issues that may be affecting the employee's work. Managers should initiate these discussions as soon as issues arise to prevent confusion and ensure accountability.

Effective informal discussions require preparation. Managers should gather factual examples, review previous feedback, and understand the context behind the concern. Discussions should focus on observable behaviour and measurable outcomes, avoiding generalisations.

- Example: "Three deadlines were missed this month, which affected the project timeline. Let's discuss what support you need moving forward."

During the conversation, managers should listen actively, ask clarifying questions, and work with the employee to identify contributing factors, such as workload, training gaps, unclear instructions, or personal challenges. Employees should be encouraged to share their perspective so that solutions can be developed collaboratively. A supportive tone promotes trust and motivates improvement.

If concerns persist or are more significant, a PIP may be introduced. A PIP provides a clear, structured framework outlining:

- the specific performance issues
- the standards required
- the measurable goals to be achieved
- the support that will be provided
- the timeframe for improvement

PIPs should follow the SMART approach to ensure goals are achievable and measurable. For example, an employee may be required to submit accurate reports by agreed deadlines for the next three months, with weekly reviews to assess progress.

Support is central to the PIP process. Managers should identify training needs, provide guidance, and schedule regular check-ins to monitor improvement, recognise progress, and address ongoing challenges. The tone of these meetings should remain constructive and developmental, reinforcing the aim of helping the employee succeed rather than penalising them.

All informal discussions and PIPs must be documented clearly. Records should include the concerns discussed, agreed actions, performance targets, support offered, and review timelines. This documentation provides transparency, ensures continuity, and serves as a reference if further formal action becomes necessary. Employees should receive copies of PIP documents to confirm understanding.

These discussions can be sensitive, and maintaining empathy, respect, and professionalism is essential. Employees should be treated with dignity, confidentiality should be upheld, and conversations should focus on improvement and problem-solving rather than criticism.

In summary, informal performance discussions and PIPs help manage performance proactively by setting clear expectations, addressing issues early, providing targeted support, and ensuring employees have every opportunity to succeed. Used effectively, they strengthen performance, promote development, and contribute to a positive and accountable workplace culture.

d. How to procedure: Manage Formal Performance Processes and Warnings

Purpose: To provide a fair, consistent, and legally compliant framework for managing serious or persistent performance concerns through structured formal action.

Procedure: Formal performance processes are used when informal discussions or PIPs have not led to the required improvement, or when the issue is serious enough to require immediate escalation. These processes ensure that managers address concerns transparently, consistently, and in accordance with organisational policy and employment law.

A formal performance process begins when a significant or repeated performance or conduct issue is identified. Before initiating formal action, the manager must review all relevant documentation, such as informal discussion notes, PIP records, and prior feedback, to ensure the concerns are supported by clear, factual evidence. Examples of issues that may require formal intervention include repeated failure to meet essential targets, breaches of policy, or behaviour affecting colleagues or service delivery.

A formal meeting should then be arranged with adequate notice, held privately, and chaired by the employee's line manager, with People Services support where appropriate. Employees must receive written details in advance outlining the concerns, the supporting evidence, and their right to be accompanied by a colleague or union representative. This ensures they have the opportunity to prepare and participate fully.

During the meeting, managers should present the evidence objectively, using specific examples and focusing on observable actions rather than opinions. Employees must be given the chance to explain their perspective or highlight mitigating circumstances. Fairness requires active listening and impartial evaluation of the information provided.

If appropriate, the manager may issue a formal warning. Warnings typically progress in stages, first warning, final warning, and possible termination if no improvement occurs. Each warning should clearly state:

- the specific performance or conduct issue
- reference to prior discussions or PIPs

- measurable expectations for improvement
- support or resources being provided
- the timeframe for improvement
- consequences if improvement is not achieved

Warnings must be unambiguous, consistent with policy, and fully documented. Employees should receive a written copy, and People Services must retain secure records.

Monitoring progress is essential. Follow-up meetings should be scheduled to assess improvement, adjust support where needed, or consider further action. Where improvement is achieved, the warning can be closed and documented accordingly; if not, the manager may escalate the process in line with policy.

Throughout the formal process, managers must uphold fairness, confidentiality, and compliance with legal obligations. Employees should be reminded of available support, such as training, mentoring, or wellbeing resources. Potential mitigating factors, such as personal circumstances, health issues, or the need for reasonable adjustments, must be considered, with People Services consulted to ensure lawful and consistent practice.

In summary, formal performance processes and warnings must be managed with clarity, preparation, and fairness. By documenting concerns, setting clear expectations, providing support, and reviewing progress systematically, managers protect both employee rights and organisational standards while promoting accountability and improvement.

e. [How to procedure: Support Employee Wellbeing, Sickness, and Reasonable Adjustments](#)

Purpose: To ensure employee wellbeing, sickness absence, and reasonable adjustments are managed supportively, consistently, and in compliance with employment and equality legislation.

Procedure: Supporting employee wellbeing and managing sickness effectively are essential to maintaining a healthy, engaged, and productive workforce. Managers are responsible for creating an environment where employees feel physically and mentally supported, recognising early signs of stress or burnout, and encouraging open communication. Familiarity with wellbeing resources, including EAPs, mental health support, and workplace health initiatives, helps managers provide timely assistance.

Sickness absence must be handled consistently and in line with policy. Employees should notify their manager as soon as possible if they are unable to attend work and provide appropriate documentation when required. Managers must record absences accurately and maintain regular, supportive contact with employees to discuss their situation, potential return dates, and any help that may be needed.

Where absences become frequent, prolonged, or concerning, managers should hold sickness review meetings conducted with sensitivity and privacy. These meetings aim to understand the reasons for absence, explore underlying issues, and identify supportive measures. People Services should be involved when patterns of absence trigger formal management steps or where long-term health conditions are involved.

Reasonable adjustments are essential for employees with disabilities, health concerns, or other circumstances affecting their ability to perform their role. Managers should work collaboratively with employees to understand their needs and consider adjustments that are feasible, lawful, and sustainable. Examples include:

- flexible hours or phased returns
- ergonomic equipment or modified workstations
- adjusted duties or reduced workload
- additional training, supervision, or support

Adjustments should be confirmed in writing, reviewed regularly, and adapted where necessary. Clear documentation ensures transparency and continuity.

Confidentiality and respectful communication underpin all wellbeing, sickness, and adjustment processes. Conversations must remain empathetic, solutions-focused, and free from judgment. Records should be factual, securely stored, and accessible only to authorised personnel.

Preventative action is also vital. Managers should promote a positive wellbeing culture by encouraging regular breaks, monitoring workloads, and raising awareness of mental health resources. Early intervention helps prevent issues from escalating, reducing absence and improving morale.

A structured return-to-work process supports employees transitioning back after sickness or adjustment periods. Meetings should review any ongoing needs, assess the effectiveness of previous adjustments, and clarify expectations. Phased returns or temporary workload changes may be appropriate to ensure a safe and successful reintegration.

Managers must ensure all actions comply with employment law, health and safety obligations, and equality legislation. People Services guidance should be sought for complex cases or long-term conditions.

In summary, managing wellbeing, sickness, and reasonable adjustments requires a proactive and compassionate approach. By offering support, maintaining accurate records, and fostering an inclusive environment, managers help employees remain healthy and productive while safeguarding organisational consistency and legal compliance.

f. How to procedure: Handle Grievances, Complaints, and Appeals

Purpose: To provide a clear, fair, and consistent process for addressing grievances, complaints, and appeals to maintain trust, legal compliance, and organisational integrity.

Procedure: Handling grievances, complaints, and appeals is a critical component of maintaining a fair, transparent, and legally compliant workplace. This procedure provides managers and staff with a comprehensive framework to ensure that all concerns are addressed promptly, consistently, and with due respect for all parties involved. A clear, structured approach not only protects employee rights but also safeguards the organisation from potential disputes, legal claims, and reputational damage.

A grievance is any concern, problem, or complaint that an employee raises regarding their work, working environment, treatment by colleagues or management, or organisational practices. Complaints may relate to interpersonal issues, perceived unfair treatment, discrimination, harassment, bullying, unsafe working conditions, or breaches of policy. Appeals arise when an employee is dissatisfied with a formal decision, such as disciplinary action or the outcome of a grievance investigation.

Managers must treat all grievances, complaints, and appeals seriously, acknowledging receipt promptly and ensuring employees feel heard and supported. The goal is to resolve issues fairly, transparently, and as quickly as possible, while maintaining confidentiality and impartiality.

Employees should be encouraged to raise concerns at the earliest opportunity, ideally through an open discussion with their line manager or People Services. Employees may submit grievances in writing, detailing the nature of their concern, relevant dates, individuals involved, and any supporting evidence. Managers should provide guidance on the grievance process, clarify expectations, and explain possible outcomes.

If the grievance relates to the employee's line manager or presents a potential conflict of interest, the concern should be escalated to People Services. or another senior manager to ensure impartiality. Employees must not face any form of retaliation for raising a grievance or complaint. Managers are responsible for maintaining a safe, supportive environment for reporting issues and for reinforcing the organisation's commitment to fairness, respect, and compliance with employment law.

Once a grievance or complaint is received, managers or People Services. should initiate a formal investigation promptly. The investigation should be thorough, objective, and well-documented, including:

- Interviewing the employee raising the concern to understand the full context and desired outcome
- Speaking with relevant witnesses or colleagues who may have knowledge of the situation

- Reviewing any relevant documents, communications, or records
- Ensuring impartiality and avoiding conflicts of interest

Investigators should maintain confidentiality at all stages and keep a factual, accurate record of findings. Employees involved should be kept informed of progress and expected timelines, balancing transparency with the need to protect sensitive information.

Upon completion of the investigation, the manager or People Services should consider all evidence and determine the appropriate course of action. Possible outcomes may include:

- Informal resolution through discussion, mediation, or facilitated communication
- Corrective action to address behaviour or workplace issues
- Disciplinary action against an employee where policies have been breached
- Recommendations for training, adjustments, or procedural changes

The outcome must be communicated clearly to the employee who raised the grievance, in writing, with a rationale for the decision and information about their right to appeal if they are dissatisfied. Communication should be empathetic, respectful, and focused on constructive resolution.

If an employee wishes to appeal the outcome of a grievance, complaint, or disciplinary decision, the appeal must be submitted in writing within the timeframe specified in organisational policy. Appeals should be reviewed by a manager or panel who were not involved in the original decision to ensure impartiality. The appeal process may involve:

- Reviewing the original investigation and decision
- Considering new evidence submitted by the employee
- Holding a formal appeal meeting where both parties can present their perspectives

The outcome of the appeal should be final, documented in writing, and communicated clearly, explaining the decision and any follow-up actions. All appeal decisions must comply with organisational policy and employment law.

Accurate, secure, and confidential record-keeping is essential throughout the grievance, complaint, and appeal process. Records should include all communications, meeting notes, investigation reports, outcomes, and follow-up actions. Access to these records should be limited to authorised personnel to maintain confidentiality and ensure legal compliance. Proper documentation protects both the employee and the organisation and provides a clear audit trail for accountability and regulatory purposes.

A proactive approach to grievances and complaints helps reduce workplace conflict and fosters a positive organisational culture. Managers should encourage open communication, provide training on recognising and addressing inappropriate behaviour, and promote

awareness of policies, procedures, and support resources. Early intervention and informal resolution often prevent issues from escalating into formal grievances.

Managers must be aware of relevant employment law, including anti-discrimination legislation, health and safety regulations, and contractual obligations. Ensuring consistent, fair, and documented handling of grievances, complaints, and appeals minimises the risk of legal claims and reinforces organisational credibility.

In conclusion, handling grievances, complaints, and appeals effectively requires a structured, transparent, and empathetic approach. By addressing concerns promptly, maintaining accurate records, ensuring impartiality, and promoting open communication, managers can resolve conflicts, protect employee wellbeing, and foster a workplace culture grounded in respect, fairness, and accountability.

g. [How to procedure: Document Performance Discussions and Maintain Records](#)

Purpose: To ensure all performance-related discussions and records are documented accurately, consistently, and securely to support fair decision-making, compliance, and organisational accountability.

Procedure: Accurate documentation is an essential management responsibility rather than an administrative formality. Well kept records provide a factual account of discussions, goals, feedback, and any agreed actions, enabling managers to monitor progress, support development, and make evidence-based decisions. Clear documentation also strengthens transparency, ensures compliance with policy and legislation, and protects both employees and the organisation during disputes, investigations, or legal challenges.

Performance records can take various forms, including:

- Annual reviews and appraisal documents
- Objective-setting forms and KPI records
- Notes from one-to-ones, coaching sessions, and informal feedback
- PIPs or formal warnings
- Attendance, sickness, or wellbeing notes relevant to performance
- Any correspondence linked to performance management

Managers must ensure all documentation is factual, dated, complete, and reflective of what was actually discussed or agreed.

Good documentation practice includes:

- Record discussions immediately to avoid errors or omissions.
- Focus on facts, evidence, and behaviour rather than opinion.
- Ensure any reviewer can understand the issue, decision, and follow-up actions.
- Store documents securely and restrict access to authorised personnel.

- Use standard formats and templates to maintain uniform quality across the organisation.

The documentation process should follow a structured approach:

- Collect previous records, KPIs, attendance data, or relevant feedback before the meeting.
- Note key points, employee responses, evidence referred to, and actions agreed.
- Produce a formal record summarising the meeting and share it with the employee for acknowledgment.
- Monitor progress against agreed actions and update documentation accordingly.

Record retention must comply with organisational policies and data protection requirements. This includes:

- Retaining records for the required legal or policy-set duration (e.g., typically 6 years for contractual documentation)
- Storing information securely, whether digitally or physically
- Restricting access to authorised managers or People Services
- Disposing of records securely once retention periods expire

Documentation should integrate seamlessly with broader performance processes such as objective-setting, PIPs, reviews, and any formal procedures. This ensures the organisation maintains a clear audit trail and a coherent approach to performance management.

Managers should receive ongoing training on how to document effectively, maintain confidentiality, and understand legal obligations. Refresher training helps ensure that documentation remains accurate, consistent, and professionally maintained.

In conclusion, thorough documentation of performance discussions is vital for fair and defensible decision-making. By following this procedure, managers help maintain transparency, support development, and ensure the organisation upholds strong, reliable performance management practices.

h. How to procedure: Supervise Care Workers in Line with Regulatory Requirements

Purpose:

To provide a clear, compliant, and supportive framework for supervising care workers in line with regulatory standards and organisational expectations.

Procedure:

Effective supervision is central to maintaining high-quality care, supporting staff wellbeing, and ensuring adherence to professional and regulatory obligations. Supervision enables managers to monitor performance, offer guidance, identify training needs, and ensure care

workers provide safe and person-centred support. It also ensures that care services have a clear audit trail of supervision that demonstrates accountability and regulatory compliance.

Regulators such as the CQC require supervision to be regular, structured, and documented. Typical expectations include:

- Evidence of ongoing performance monitoring
- Recorded discussions about professional development and risk management
- Properly maintained supervision records
- Demonstrated commitment to safe, competent, and effective care.

Supervision should occur consistently, with frequency based on organisational requirements, regulation, and the needs of individual staff. This generally includes:

- Regular planned supervision sessions in line with organisational standards
- Formal supervision every month or quarter, including quarterly check-ins for care staff covering resident feedback, safeguarding concerns, observations, development areas and successes
- Informal guidance throughout day-to-day work
- Team meetings to encourage communication and shared learning

Preparation is essential for a productive session. Managers should review the care worker's duties, recent performance, training, incident reports, and previous supervision notes. An agenda helps ensure all key areas, performance, development, wellbeing, risk, and compliance, are addressed.

During supervision, discussions should take place privately and focus on evidence-based feedback, achievements, challenges, and adherence to procedures. Managers should explore development goals, training requirements, wellbeing concerns, risks, safety issues, and any incidents or complaints. Annual appraisals should also be used to review objectives, competence, performance, and training needs. Clear action plans should be agreed, with measurable objectives and timelines.

Accurate documentation is vital for regulatory compliance. Each session must have a written record including:

- Date, participants, and topics covered
- Performance feedback and evidence referenced
- Agreed actions, responsibilities, and deadlines

- Any training or support required

All supervision records, quarterly check-ins and annual appraisals must be documented and stored in line with data protection requirements.

Records must be factual, unbiased, and stored securely to maintain confidentiality and meet data protection standards. Progress should be monitored between sessions, with follow-up documented for audit purposes.

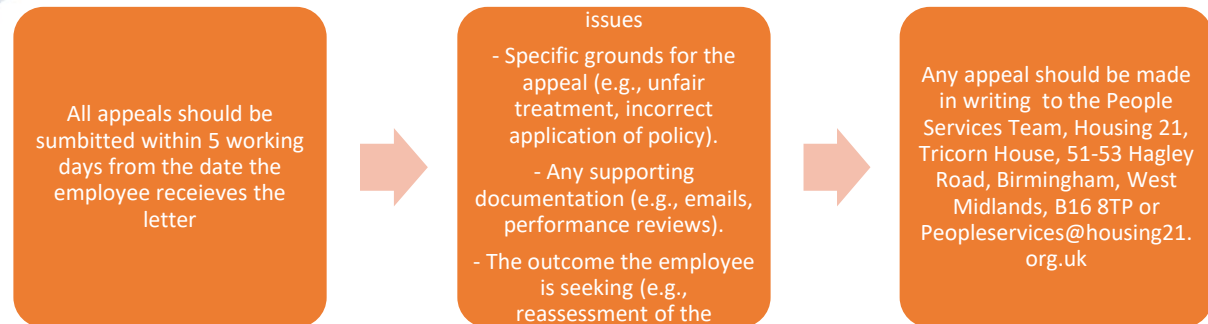
Supervision is continuous. Managers should provide real-time support, identify emerging issues early, offer coaching, and escalate concerns into formal processes when necessary. If issues arise relating to conduct or performance, they must be addressed promptly, with evidence-based discussion and clear documentation.

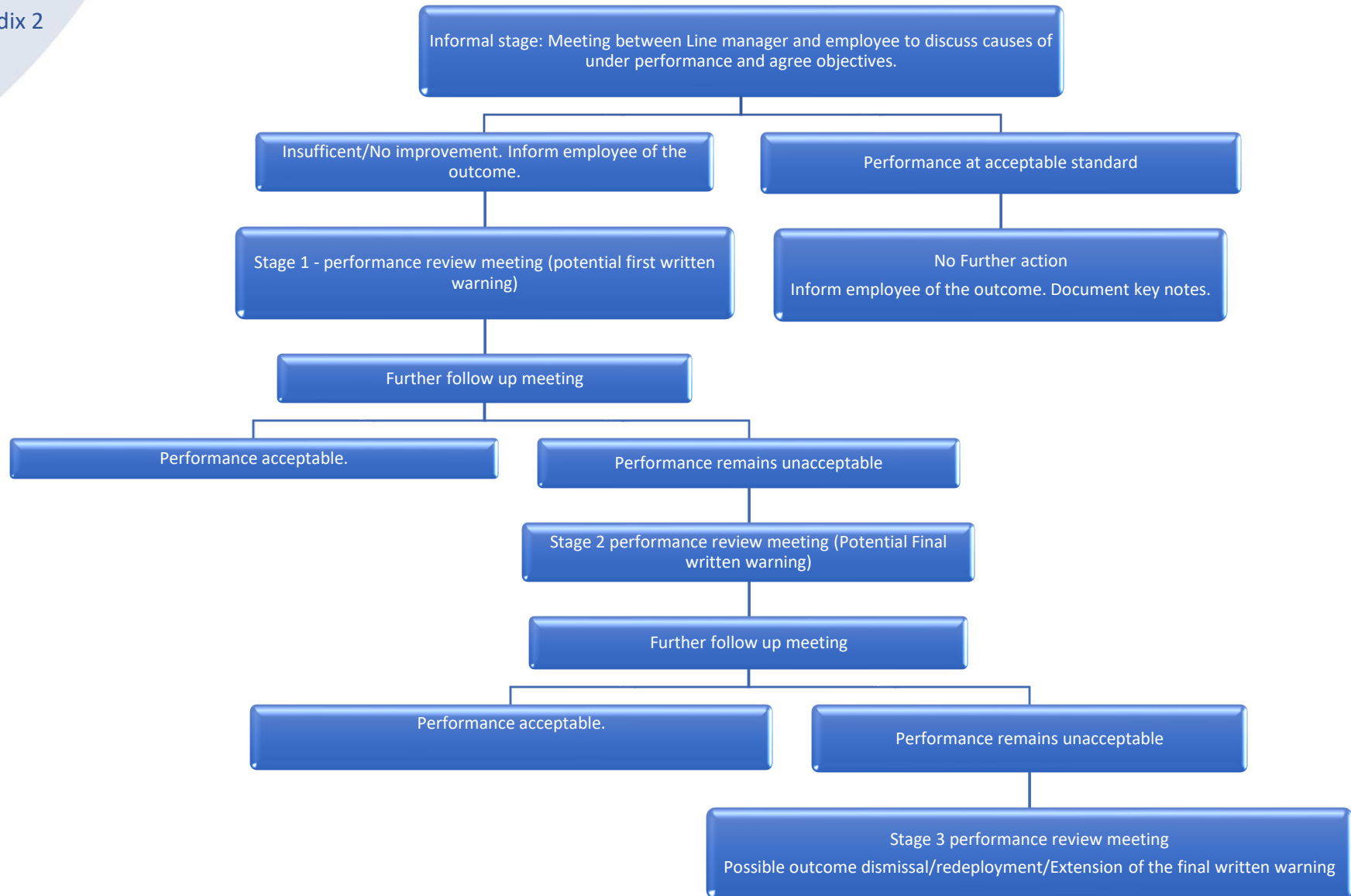
Managers require appropriate training to carry out their roles effectively, including understanding regulatory standards, safeguarding, health and safety, risk assessment, documentation requirements, and how to support staff professionally and emotionally. Regular refresher training ensures consistent, high-quality supervision.

In summary, structured, supportive, and well-documented supervision is essential for maintaining quality care and meeting regulatory obligations. Supervision will also ensure staff working with individuals who have learning disabilities and/or autism receive the specialist support and oversight needed to work safely and effectively. By following this procedure, managers ensure care workers remain competent, supported, and accountable, ultimately safeguarding both staff and service users.

Appendices

Appendix 1





Performance Improvement Plan - EXAMPLE

Target <i>(The areas in which you have not met the required standards)</i>	Area of Performance Improvement Required <i>(Detail specific dates and examples of where the standards have not been met)</i>	Standards to Achieve <i>(Detail what is expected in terms of performance. State targets for improvement/objectives)</i>	Agreed improvement actions <i>(Detail what has been agreed in terms of support required to achieve the expected standard of performance)</i>	Support <i>(Detail what actions need to be taken to meet expected standard of performance)</i>	Review Date	Review Notes <i>(Detail improvement made and any future review dates)</i>	Date to achieve expected standard	The consequences of failing to improve within the review period, or of any further unsatisfactory performance
EXAMPLE: Accuracy – Mar charts	EXAMPLE: Repeated inaccuracy of initials on the Mar Chart	EXAMPLE: To produce accurate recordings on Mar chart	EXAMPLE: Employee to double check Mar Chart before moving on to next call. Line manager to also check initials against records.	EXAMPLE: Further training in medication, increase in observations, shadowing (if applicable)	EXAMPLE : To be reviewed in 4 weeks (insert date).	EXAMPLE : Training attended and applied effectively in day-to-day calls (Accurate recordings on Mar Chart)	EXAMPLE : Standard expected to be achieved within 8 weeks (insert date)	Example First written Warning
EXAMPLE: Task prioritisation – Difficulty prioritising tasks effectively	EXAMPLE Two deadlines missed (insert details) and complaint received from	EXAMPLE To manage daily workload efficiently, meet deadlines consistently, prioritise tasks effectively, and respond to emails	EXAMPLE Maintain a daily 'To Do' checklist and use a diary to stay organised. Ensure all	EXAMPLE Participate in training on using Outlook task lists and calendar. Shadow	EXAMPLE To be reviewed in 4 weeks (insert date).	EXAMPLE Outlook training was completed on (insert date), and daily to-do	EXAMPLE Standard expected to be achieved within 8 weeks	

when managing multiple projects	Department X who did not receive a response to an email sent twice on (insert dates).	promptly. This will be assessed through management's observation.	emails are responded to within X working days	colleague X to observe.		lists are being created. Email response times have improved, though further progress is needed.	(insert date)	
---------------------------------	---	---	---	-------------------------	--	---	---------------	--