



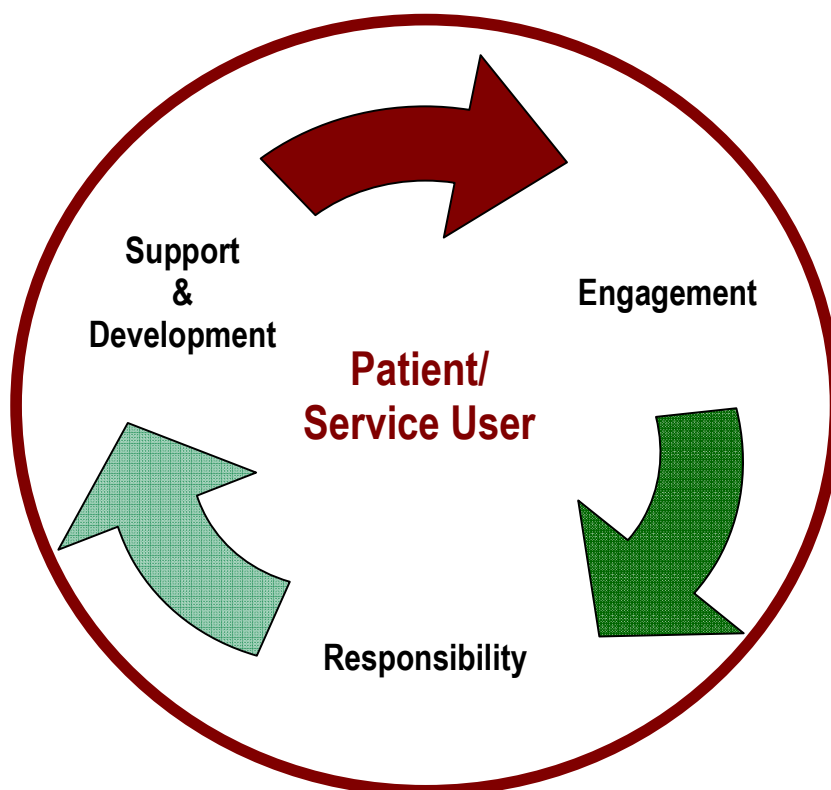
Feidhmeannacht na Seirbhíse Sláinte  
Health Service Executive

Tús Áite do  
Shábháilteacht 1 Othar  
Patient Safety 1 First

# Performance Management in the HSE

## Guidance Document

March 2012



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## Glossary

CPD	Continuous Professional development
EAP	Employee Assistance Programme
PCS	Professional Competency Scheme
PDP	Personal Development Plan
PMS	Performance Management System
PSA	Public Service Agreement (2010-2014)
PRC	Performance Review Cycle
PIP	Performance Improvement Plan
TBPM	Team Based Performance Management

## Chapter 1

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### Introduction to the Performance Management System (PMS)

***In this section you will learn the following about the Performance Management System (PMS)***

- Context and purpose
- What is performance management
- How it was developed
- The 4 Components of the System
- How the PMS will be introduced

#### 1.1. Context and Purpose

The HSE is introducing a formal Performance Management System in fulfilment of the terms of the Public Service Agreement. The system will cover all grades and professional disciplines and will be introduced on a phased basis commencing with National Directors to grade VIII and equivalent including comparable clinical grades in 2012.

It is the policy of the HSE 'to implement, maintain and monitor a Performance Management System that develops the capacity and capability of its employees, improves the performance of the organization and addresses underperformance in a timely and constructive manner.

#### 1.2 What is Performance Management?

Performance Management is a process that brings together many people management practices including learning and development. It is a process which contributes to the effective management of individuals and teams in order to achieve improved levels of individual and organisational performance and development. Performance management is about establishing a culture where individuals and teams take responsibility for continuous improvement of service delivery and of their own skills, behaviour and contributions. It is therefore a strategic process, long term in nature, aimed at the development of an appropriate culture linking people management, service issues and long term goals. It is not a once off quick fix process.

It is a tool to ensure effective management which results in individuals and teams

- knowing and understanding what is expected of them
- having the skills and ability to deliver on these expectations
- that are supported by the organisation in developing the capacity to meet these expectations
- that are given feedback on their performance
- having the opportunity to discuss and contribute to individual and team aims and objectives

Effective performance management promotes a collaborative approach that influences individual performance, development and organisational outcomes. It pushes *us all* to *think* about how we currently manage our working relationships, what we need to do to improve our own performance, our team's performance and the service we provide to patients and service users.

Performance Management is

*“A process for establishing a shared understanding about what is to be achieved and how it is to be achieved, and an approach to managing people that increases the probability of achieving success”*

Weiss and Hartle (1997)

### **1.3 How the Performance Management System was developed .....**

This Performance Management System was developed following consultation with staff representative associations' professional associations, employee groups, HSE Senior Management Team and individual employees across employee categories. The objectives of the design and consultation phase included: capturing 'learning' from the design and implementation of previous and / or current performance management initiatives both internally and externally. The following points emerged from this consultation process

- The importance of engagement in the process between manager and individual
- the 'hunger' on the ground for better communication of service requirements
- the desire for discussion between levels of management, and between staff and managers on roles, service requirements, professional considerations, resource allocation, personal effort and acknowledgement
- a need for a supportive process for addressing underperformance



- frustration at managerial level with not having 'access' to their manager, particularly when it came to agreeing / verifying objectives for the coming year, budget spend priorities, receiving feedback on performance / service achievement etc.

#### 1.4 Components of the Performance Management System (PMS)

There are four components to the PMS as described below.

1. A Performance Review Cycle (PRC)
2. The Performance Improvement Plan (PIP), a supportive approach to addressing underperformance
3. HR and Discipline Specific Professional Practices within the organisation
4. Relevant HSE performance measures, HSE performance Reports, Health Stats etc.

#### 1.5 Overview of the Performance Review Cycle (PRC)

The Performance Review Cycle is a continuous process that includes 3 key meetings between a manager and his / her direct report(s) as part of the cycle. It is a process that requires participation, respect, and frequent honest discussion and feedback on issues like role, responsibilities, objectives, resources, risks to success, and performance. (See Chapter 2 for full details). It requires a desire to build a challenging yet supportive working environment based on the HSE's Values Charter (see Appendix 2) and feedback (See Chapter 6).

1. An initial meeting, called a Performance Planning and Personal Development meeting, to discuss and agree the objectives for the following cycle. This ideally will take place between January and March.
2. Ongoing discussion and feedback with a formal Mid Cycle Review. This will ideally take place between May and July.
3. Cycle end performance review and developmental evaluation. This will ideally take place between November and December.

Active participation in the process should:

- ensure clarity on service and operational requirements for individuals and units

- ensure clarity on roles, responsibilities and expectations
- improve communication between managers and staff leading to improved decision making and morale
- facilitate staff development via the identification of strengths and areas for development
- maximise employee engagement by creating an environment where capable people work together to deliver safe and efficient healthcare services every day

## **1.6 Phased introduction of the Annual Performance Review Cycle**

The Performance Review Cycle (PRC) will be introduced on a phased basis.

### *Phase 1 Q1 2012*

Phase 1 will extend from the National Director to grade VIIIs and equivalent including comparable clinical grades. Implementation will follow the management structures within Directorates. The management layers within each Directorate are seen as the logical pathways for introducing the process as it is dependant upon clarity of structure, reporting relationships and roles. This step-down approach ensures that as the process is introduced at each level the necessary conditions required for the implementation at each subsequent level have been put in place. This approach requires managers at higher levels to hold team meetings and implement the Performance Review Cycle so that the process can then be introduced at next relevant level.

Within the Regional structures Phase 1 will encompass the Regional Management Teams, Area Management Teams, Grade VIIIs and equivalent and comparable clinical grades.

## **1.7 The Performance Improvement Plan (PIP)**

The Performance Improvement Plan (PIP) is a time bound process designed to address in a formal manner a performance issue. This is a process that should be implemented as required to address performance issues that are not being improved through normal formative feedback. This process is designed to be managed within a department or unit between the two parties involved. It requires constructive discussions between a manager and their direct report where performance problems are identified. It should be noted that the Performance Improvement Plan is not a disciplinary procedure.

If performance does not improve following the use of the Performance Improvement Plan, consideration should then be given to moving to other corrective or supportive HR processes, e.g. EAP, Occupational Health, Disciplinary Process, etc. (See Chapter 7)

### **1.8 HR and Discipline Specific Professional Practices within the organisation**

The PMS is a framework which incorporates all HR and discipline specific professional practice initiatives in support of organisational and individual performance. Individual Personal Development Planning, Continuous Professional Development, Professional Competency Schemes (PCS), Management and Leadership Development initiatives can all be linked to the PMC and addressed as part of the process. See Appendix 3 for Developmental Supports.

### **1.9 Relevant HSE performance measures, HSE performance reports, Health Stat etc.**

The PMS framework recognises the role and contribution of HSE performance measures (e.g. Healthstat, casemix, quarterly performance reports, and other measures) to organisational performance. Depending on the managerial level, these measures will play an important part in setting the context of the role, objectives, priorities, accountabilities and personal development.

## Chapter 2

### The Performance Review Cycle (PRC)

*“We are what we repeatedly do. Excellence then is not an act, but a habit”.*  
Aristotle

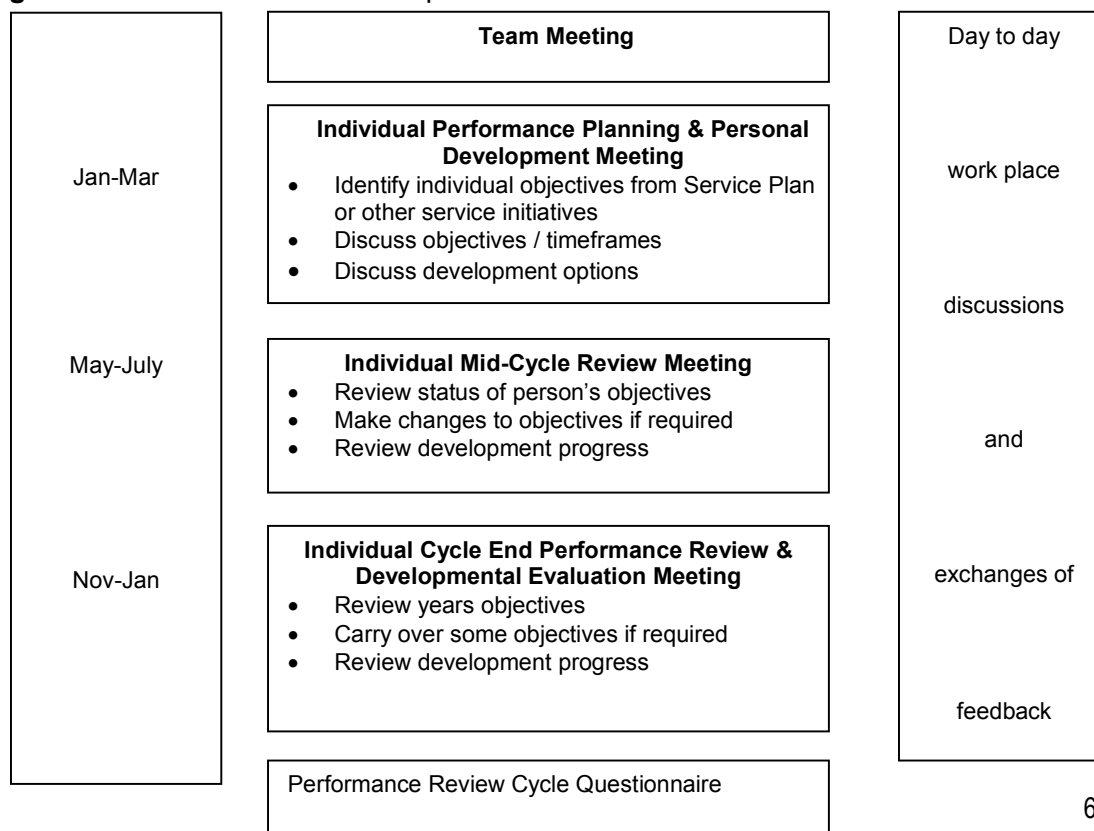
**In this chapter you will learn the following about the Performance Review Cycle**

- The process
- Objectives
- Individual Performance Planning & Personal Development Meeting
- Mid-Cycle Review Meeting
- Cycle End Performance Review & Developmental Evaluation Meeting
- Performance Management Cycle Questionnaire

#### 2.1 The Performance Review Cycle

The Performance Review Cycle (PRC) provides a systematic and consistent process for managing the cycle of activities associated with service delivery and personal development. It consists of three structured discussions between the manager and his/her direct report supported by day to day work place discussions. The following diagram gives an overview of the process and the recommended scheduling intervals.

**Diagram 2.1** Overview of the PRC process



This process requires meaningful service-based discussions between managers and their direct reports on role, responsibilities, objectives, issues such as performance expectations and standards, resource availability and utilisation, training and developmental needs. The process also assists in the identification of good performance and of individual underperformance.

## 2.2 Objectives of the Performance Review Cycle

The objectives of the Performance Review Cycle are to:

- link unit, team and individual goals and performance standards to service requirements - to arrive at a shared purpose
- create the opportunity for employees to communicate views and receive feedback on their performance
- create the opportunity for managers and employees to engage on service requirements and personal development plans
- encourage the practice of recognising and acknowledging good performance
- recognise and address underperformance in a structured manner
- improve organisational performance and the service user experience

## 2.3 Individual Performance Planning & Personal Development Meeting (Meeting 1)

Ideally the cycle is preceded by a team discussion on the unit's service delivery requirements contained in the current service plan. It is a basic requirement that each manager has a clear picture of his/her priorities from the discussions with his/her line manager before meeting with his/her team. Following these discussions the manager is then in a position to discuss with the team the service priorities and objectives before identifying, discussing and assigning individual responsibilities. There are two parts to the first meeting.

**Part 1 relates to Performance Planning** within the context of the service / operational plan and should include:

- discussion on the *purpose of the role* for the year ahead and the identified team priorities and objectives

- discussion and agreement as to what the *key priorities and objectives* of the individual's role are for the year ahead and ensure
- understanding of 'why' these priorities and objectives are important and how the individual's input will assist the HSE in achieving its service commitments
- discussion on the responsibilities, accountability and *standards of performance* inherent in the role
- discussion and agreement on the *individual's plan* for achieving the identified objectives and the required outcomes, i.e. the 'why', 'how', 'when' and to 'what standard'? This discussion will focus on targets, quality, timelines, knowledge, skills and behaviours.
- discussion on the *supports and resources* available and acknowledgement of *risks* associated with achieving / not achieving desired outcomes

As the Manager and individual work through the meeting, the individual should record the agreed objectives, identified risks and desired outcomes in the relevant section of the Action Plan (See chapter 5).

***Part 2 of the meeting relates to Personal Development and should include:***

- discussion and agreement on the skills, knowledge and competencies required for the year ahead in the context of the service / operational requirements. The appropriate Office of Health Management Competency Framework, Professional Competencies, or the job holder's job specification may be of assistance in identifying the required competencies.
- discussion and agreement on the individual's service driven Continuous Professional Development, Professional Competency Scheme, or Personal Development Plan. CPD encompasses both clinical and non clinical development (e.g. Finance, HR, Procurement, ICT disciplines)
- discussion on requirement for and evidence of statutory registration for regulated professions
- discussion on access to development programmes, educational programmes, clinical programmes, role development, developmental assignments, coaching or mentoring activities

The individual should record the agreed development objectives in the 'Learning and Growth' section of the Action Plan. (See chapter 5).

At the end of this meeting, the Manager and individual should have a clear understanding of their objectives for the year ahead, and the standards of performance required. They will also have an agreed development plan for the year ahead. All these agreements should be recorded in the PRC Form to facilitate review at later stages in the process.

## **2.4 Ongoing Dialogue and Discussions**

As stated at the outset engagement is not and should not be limited to the structured meetings. Ongoing informal discussions and exchange of views form an integral part of the process and there should be regular meetings between the manager and the individual over the course of the year to ensure the objectives set are on target, and to ensure that objectives are changed should priorities shift / circumstances change.

## **2.5 Mid-Cycle Review (Meeting 2)**

The mid-cycle review facilitates a formal review of the individual's progress against the objectives agreed at the beginning of the cycle; it facilitates the exchange of feedback on progress to date and allows the opportunity for both individuals to take into account changes in priorities, resources, structures or responsibilities due to service demands or emerging challenges. Performance and development plans can be amended at this stage to reflect the new requirements and available resources.

## **2.6 Cycle End Performance Review & Developmental Evaluation (Meeting 3)**

At the end of the cycle, progress on objectives set out in the Action is assessed and follow up actions agreed. The process involves a self assessment by the individual on the objectives listed in the Action Plan. This self assessment then becomes the agenda for the discussion with the manager who also completes an assessment. *This is not a time for either party to produce surprises;* rather it is a time for a summary discussion of what both parties know already. There will be no surprises if the initial and mid cycle meetings have been genuine and have been supported by ongoing discussions and feedback during the year.

## **2.7 Performance Review Cycle Questionnaire**

The purpose of the Performance Review Cycle questionnaire is to get feedback from all involved on how prepared they were to enter the process and how the process worked during the year. This feedback will facilitate the monitoring of the process at national

level and identify areas for improvement. The questionnaire will be web based and participants will be notified when the site goes live.

## 2.8 Supporting Forms

There are a number of supporting documents that need to be completed as part of the PRC process. These are detailed below.

**Table 2.1 Supporting forms**

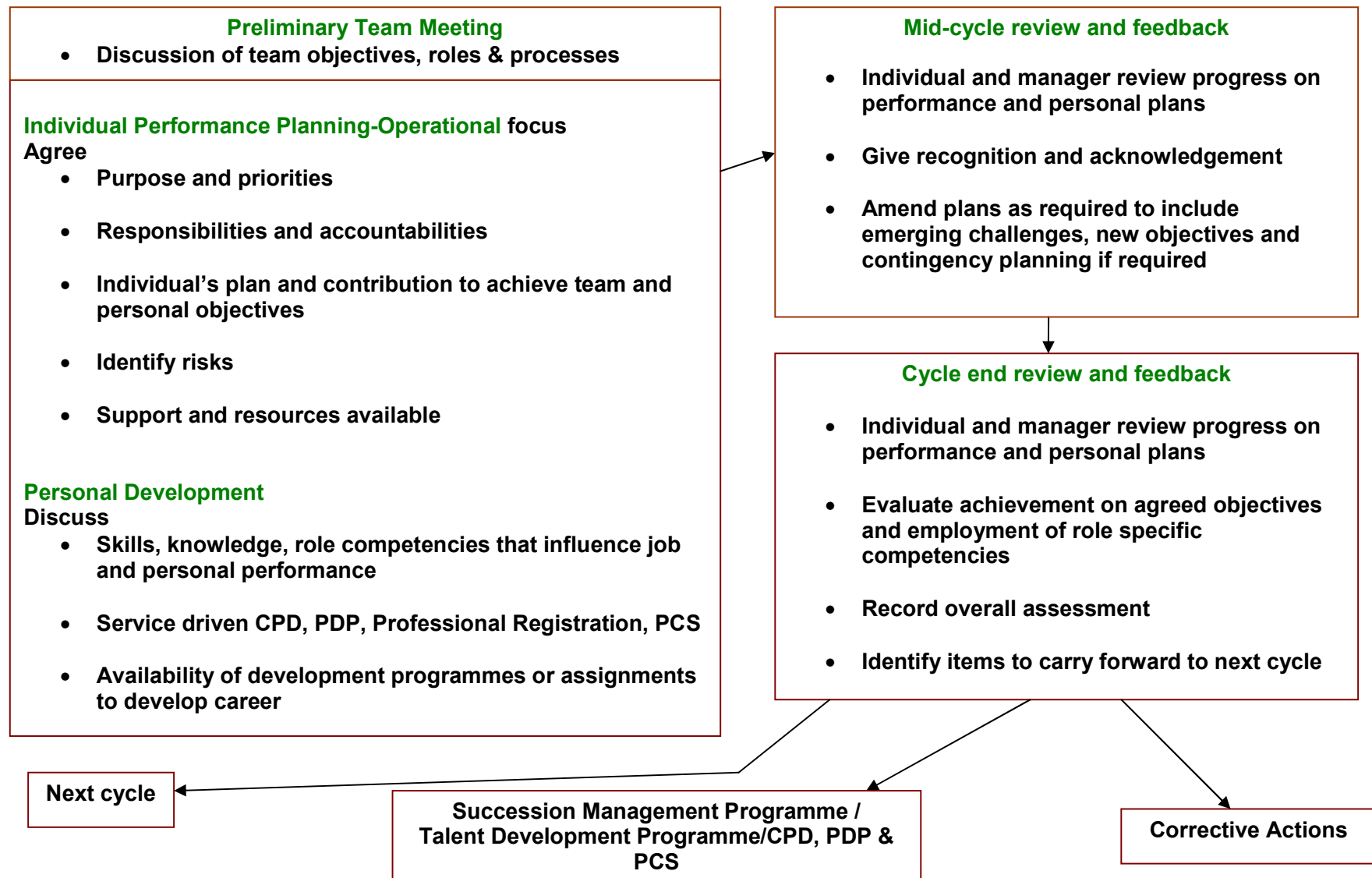
Form	Purpose	Completed by	Access
Performance Review Cycle (PRC) Form  which includes an  Action Plan	Summary doc – used at initial, mid and end meetings  More detailed recording of objectives as they apply to 4 headings. Also records development plans agreed	Individual in conjunction with manager	Individual and manager only year one.  After year one, manager's manager may have access as part of that Manager's review
Performance Review Cycle Questionnaire	To capture feedback on the process	One by individual, one by the manager	PM &MI

## 2.9 Storage, Confidentiality and Access

In the first year of implementation copies of the Form will be held by the individual and his / her manager only. From year two onwards the Form may be made available to the manager's manager as it may form part of the performance review cycle discussions between them. It is important that the manager, and his / her manager, maintain the confidentiality of the forms i.e. store them securely, so that no others have access to them. The form is confidential to those directly involved in the process.



**Diagram 2.2**      **Individual Performance Review Cycle**



## Chapter 3

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### Managing the PRC Meetings - Guidelines for Managers

**In this Chapter you will learn how a Manager will implement the PRC including**

- How to prepare for the first, mid cycle & cycle end review meetings
- How to conduct the first, mid cycle & final review meetings

*'If we look for success, we will find and create more successes. On the contrary, if we look for problems, we will find and create more problems'*

#### **3.0 The purpose of the PRC meetings is for both parties to meet and**

- discuss, clarify and agree role, key objectives and priorities for the cycle ahead
- discuss resources, risks, supports required
- discuss learning and growth requirements
- discuss how performance will be reviewed at the end of the cycle

#### **3.1 Preparing for the Performance Planning and Personal Development Meeting (Meeting 1)**

Ideally the cycle is preceded by a team discussion on the unit's service delivery requirements contained in the current service plan and team skills required for the coming year.

##### **3.1.1 Part 1: Performance Planning Meeting**

In preparation for this meeting you might:

- **review the completed section 1.2 of the PRC** form in respect of individuals reporting to you
- **Ensure that you have met with your own Manager** so that you are clear on the team's objectives and priorities for the forthcoming year. These will inform and provide direction for the objectives for those on your team
- **Set some time aside to review the objectives** you have agreed with your manager and how you plan to reach those objectives in the short, medium and longer term. You will need to be able to describe your expectations unambiguously to your team.

- **Performance standards** – Are you clear on the performance standards required for the coming year? You will need to be able to describe the required standards in a way that gets the interest and attention required.
- **Decide how you plan to reach your own objectives** by working through your team; which team member might best be suited to different projects/responsibility areas; what are the development needs of individuals and how might they be met in how you allocate objectives across the team?
- **For each member of your team consider the purpose of the role and the priorities** for the coming year
- **Look at the balance of work across the team** – is there equivalence/fairness in relation to the distribution of work?
- **Clarify for yourself how you are going to implement the performance review process** and how you are going to get staff involvement
- **Plan how you will approach the meeting;** decide on the structure and what points you would like to cover during the meeting
- **Be familiar with the documentation** that you need to complete in support of the performance review process i.e. the PRC Form – know who needs to complete what sections, and when (see Chapter 5)
- **Make any relevant documentation available to each individual** on your team before you meet with them
- **Agree well in advance the date and time of the meeting** – and stick to it! It is no harm to issue confirmation that the meeting will take place as scheduled, and in the location agreed
- **Commit to a start and finish time** for the meeting and stick to that
- **Ensure that the venue picked will be free from distractions** for the duration of the meeting
- **Put mobile phones on silent!**

### 3.1.2 Part 2: Personal/Professional Development

The purpose of this part of the meeting is for the manager to review with the individual their developmental needs required to achieve performance targets. The following points should be discussed:

- a review of the knowledge, skills and abilities required in the role
- a review of the individual's current level of development

- service driven CPD or PDP
- statutory/professional requirements where relevant, e.g. Professional Competency Scheme for registered practitioners under the Medical practitioners Act 2007
- identification of any knowledge or skill gaps that might benefit from additional support

In preparation for this part of the meeting you might:

- **Reflect on the strengths** of each individual you are meeting and be able to talk about examples of situations where they demonstrated positive strengths over the previous period. You may learn a lot by exploring with the individual a piece of work that went particularly well in the last period e.g. by identifying (1) what actions or behaviours contributed to the success (2) how they and others managed the situation/worked together – this may be very useful in terms of ensuring positive outcomes for similar projects into the future.
- **Consider their achievements** in the past and how s/he might be able to expand on their strengths and develop their skills further in the year ahead
- **Reflect on the personal/professional development needs** of the individual and be prepared to talk about specific examples of where performance did or did not meet the standard required – consider what evidence you have to support that assessment and prepare an approach on how you will deal with this aspect of the discussion. Put some thought into how you will address the completion of the 'Learning and Growth' section of the Action Plan and how the Performance and Development Index (Appendix 3) may be used as a developmental tool.
- **Reflect on what development opportunities** may be contained in the service plan that would benefit the individual, e.g. special projects, job rotation and new developments
- **Consider the skill mix** of those reporting to you and decide who might be best suited to progress specific pieces of work e.g. have any members of staff expressed interest in gaining experience in certain work areas? Are some people better suited to some tasks than others, based on their skills and experience?
- **Try and understand what types of work are particularly appealing** to the individual and where they invest the greater part of their energy. Don't be afraid to seek the opinions of your direct reports to see how things can be improved for the following period; they may well have a different/fresh perspective from their role/vantage point in the organisation.

### 3.2 Participating in the Performance and Personal Development Planning Meeting

You may find it useful to consider the following:

- **Set the scene**
- Provide an **overview of how the unit or department has done overall** in the last period - what went well, and not so well
- Discuss the completed section 1.2 in the PRC form
- What are the **priorities and challenges are for the coming year** (ref the Service Plan).
- **Discuss the performance management process** and how both of you will meet your responsibilities contained in the process
- Discuss the **importance and validity of ongoing two way feedback** and agree to have (potentially) unpleasant conversations if situation demands it
- You may find it useful to have a discussion with the individual to **identify what motivates them in their role, what they particularly like about their job and what aspects they dislike or find particularly challenging**. This will give you a more rounded picture of the person, their ambitions, anxieties or concerns. This will provide a useful backdrop/context against which to review their performance and will also give you information in relation to future work, development opportunities and developmental requirements.
- **Discuss the individual's role** in the context of the service plan, the purpose of the role and priorities for the coming period, in advance of section 1.3 of the PRC being completed
- **Agree and discuss** these with the individual in more detail; agree the specific objectives, performance standards, timescales, budget and other resources available, any potential obstacles and how they might be overcome
- Classify these objectives for entry into the relevant sections of the **Action Plan**
- **Discuss the developmental activities** for the coming year in advance of section 1.4 being completed

It is important that the individual is absolutely clear as to the performance standards expected of him/her – otherwise it will be difficult to determine if the person is meeting those standards when it comes to review. The objectives selected should reflect a mix of personal effort and input as well as personal performance measures and performance standards.

Objectives and performance outcomes need to be realistic and achievable but at the same time they should be challenging and serve to raise the standard of service provided. See Objective Setting in Appendix 4.

### **3.3 Preparation for the Mid-Cycle Review Meeting (Meeting 2)**

In preparation for this meeting you should reflect on the objectives agreed with the individual at Meeting 1 and consider the points listed below:

- review the completed sections 2.1 and 2.2 of the PRC form in respect of each person reporting to you
- the status of objectives (complete, on target, delayed)
- any change in priorities or resources
- barriers to progress (if applicable)
- timescales (pending, cancelled or otherwise revised)
- any risks to achieving/not achieving the objectives
- resources used and/or required
- training and development or other support needs

There should no surprises for manager or individual at this meeting if the liaison and feedback channels were open between them post Meeting 1.

### **3.4 Participating in the Mid-Cycle Review (Meeting 2)**

It might be appropriate to open this meeting with a quick update on organisation/unit/team priorities/changes in priority since you last met.

Continue with a review of progress made in the last period, the individual's self assessment, and discuss and agree actions to address any issues arising/agree approach to dealing with new priorities/challenges that have arisen since. The individual can amend their Action Plan to reflect any changes agreed. Review status of any training and development/supports that the person is engaging with and the progress being made. It is good practice to acknowledge any specific positive changes you observed in the individual's performance since you last met. Similarly, if there are gaps in performance, then this should be discussed and an approach to addressing that should be agreed. Complete section 2.3 of the PRC form.

### 3.5 Preparing for the Cycle End Performance Review & Developmental Evaluation (Meeting 3)

This end of cycle meeting is an opportunity for the individual to formally review and summarise their achievements and development over the previous cycle with their manager. As we know, performance reviews are most productive when they are a collaborative process, both parties have prepared for the meeting and there have been ongoing performance discussions and dialogue during the year. There should be 'no surprises' for an individual at this review – any issues that arose should have been addressed as they happen during the year.

Preparation:

- Agree well in advance the date, time and venue for the meeting
- Prepare for a focused discussion by agreeing the agenda for the meeting
- Decide on the structure and what points you would like to cover during the meeting
- Review of the staff members self assessment and feedback, section 3.1 of the PRC
- Your views and feedback and possible next steps

Be familiar with the documentation that you need to use in support of the performance management process and ensure you complete any documentation required of you as line manager.

### 3.6 Participating in the Cycle End Performance Review & Developmental Evaluation (Meeting 3)

This is the formal review of the employee's achievements and development over the period under review. The individual should be encouraged to discuss those aspects of their work that worked particularly well and the manager should encourage him/her to reflect on what enabled the successful outcome. It is important to find out about what things are working and why, so that the individual/the organisation can do more of it. Of course, any areas of underperformance should also be addressed but it is important that the feedback is evidence-based and that steps are agreed to bridge the performance gap(s). (See Chapter 6 Feedback and Engagement)

You may find it useful to consider the following:

- **Agree the agenda** and work through the structure of the meeting as you had prepared

- It is important to **acknowledge** when staff have put in extra effort and/or have exceeded what was expected of them
- If an individual has performed particularly well over the last period it is important to acknowledge this<sup>1</sup>.
- When **discussing the individual's performance** over the last period its best to talk about specific situations/outcomes rather than speaking generally. This is especially the case of the person has underperformed.
- If you can **site specific examples** of good performance or underperformance, and the impact of that, it will be more meaningful to the individual and lead to a more constructive conversation
- You may wish to **explore in more detail the reason for the good performance or underperformance** e.g. was it to do with the skill/ability of the individual, their knowledge of the job, their motivation/interest in the job, their confidence levels or were there extraneous factors contributing to the underperformance
- It is **important that the individual understands** when and where they achieved or underperformed and the impact of that on the task at hand/team/unit/wider organisational objectives
- Complete section 3.2 of the PRC form

For those performing well in their role you may wish to reward with them further opportunities for them to '**stretch and grow**' e.g. they may be interested/motivated by working on a new project/job rotation/leading a new team/be given new responsibilities etc. It is important, where possible, that people have ownership and involvement in defining and planning their stretch objectives.

What may be useful to discuss at the review meeting is the person's actions/capability to address the issues identified, review patterns of performance/underperformance etc. Remember there is not much to be gained by focusing totally on the past – the emphasis should be on discussing standards to be attained in the future and how the individual can best meet those standards.

You may wish to seek feedback from your direct report on their perception of your management style with a view to identifying if you can work towards enhancing the communication/working relationship with the individual going forward.

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<sup>1</sup> Emphasising performance strengths drives 36.4% improvement in performance, almost 60% higher than performance weakness, which can cause a 26.8% decline in employee performance. Source: Corporate Leadership Council 2002 Performance Management Survey: HR Executive Forum Research.



*At the end of the meeting:*

- Agree a summary of the main points discussed and the actions agreed
- Establish the immediate next steps
- Agree the time and date of the any follow up activities

If it is a case that an individual is found to be continuously underperforming, despite having received additional support/development, then they may be required to participate in a **Performance Improvement Process (PIP)**. You should consider the use of a Performance Improvement Plan when acknowledged underperformance is not being resolved through normal feedback. There is more on this in Chapter 7.

## Chapter 4

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### Managing the PRC Meetings - Guidelines for Individuals

**In this Chapter you will learn about your PRC meeting including**

- How to prepare for the first, mid cycle & cycle end review meetings
- What to expect from the meetings

*'If we look for success, we will find and create more successes. On the contrary, if we look for problems, we will find and create more problems'.*

#### **4.0 The purpose of the PRC meetings is for both parties to meet and**

- discuss, clarify and agree role, key objectives and priorities for the cycle ahead
- discuss resources, risks, supports required
- discuss learning and growth requirements
- discuss how performance will be reviewed at the end of the cycle

#### **4.1 Preparing for the Performance Planning and Personal Development Meeting (Meeting 1)**

Ideally the cycle is preceded by a team discussion on the unit's service delivery requirements contained in the current service plan and team skills required for the coming year.

##### **4.1.1 Meeting 1 - Part 1: Performance Planning**

In preparation for this meeting you might;

- **Reflect on your own performance** over the last period – what areas did you do well in? What areas did you not do so well in? Can you identify ways you could improve/things that you would do differently again e.g. are there any gaps in the knowledge, skills and/or abilities required to deliver effectively on your objectives? How will you share this with your manager during the meeting? It's important that you put some thought into your skill areas in need of development in advance of the meeting so that they can be discussed and prioritised for the year ahead during the meeting.
- **Complete sections 1.1 and 1.2 of the PRC form**

- **Were you clear on your performance standards** for the last period – and if not, what discussion should you have with your manager this time to ensure clarity in expectations?
- **Consider the workings of your service/unit over the last period – and your contribution to it.** Are there areas that you consider improvements can be made – and if so, how they might they be achieved? How can you contribute to those improvements? How do you plan to address this with your manager during the meeting?
- **Are you clear on your role and priorities for the coming year?** You should consider what you will say when you and your manager are discussing *the Purpose of post* and *Priorities* section of the PRC form
- In the context of the service plan what **do you consider to be your priority areas for the year ahead?** What do you see as the most important objectives to be met? What are the timescales? What are the risks/challenges associated with you meeting/not meeting those objectives? Consider how these can be addressed during the meeting.
- **Spend some time familiarising yourself with the PRC Form and guidelines** on how to complete it (Chapter 5). You will need to complete Sections 1.1 & 1.2 in advance of your first meeting.
- Ensure that you **complete the sections of the form** in enough time so that your manager has adequate time to review them in advance of the meeting
- Make sure you **have access to any documentation that might be relevant to the discussion with your manager.** This will differ from role to role, but it is important that you both have access to any information to be discussed as part of the meeting in advance.

#### 4.1.2 Meeting 1 - Part 2: Personal Development

The purpose of this part of the meeting is for you to review with your manager any development needs, personal or professional, required to achieve performance targets. This will include:

- a review of the knowledge, skills and abilities required in your role
- a review of your current level of development
- service driven CPD or PDP requirements
- statutory/professional requirements where relevant, e.g. Professional Competency

Scheme for registered practitioners under the Medical practitioners Act 2007

- identification of any knowledge or skills gaps that might benefit from additional support

*In preparation for this part of the meeting you might:*

- **Reflect on your strengths** and be able to talk about examples of situations where you demonstrated positive strengths over the previous period. You may learn a lot by exploring a piece of work that went particularly well in the last period e.g. by identifying (1) what actions or behaviours contributed to the success (2) how you and others managed the situation/worked together – this may be very useful in terms of ensuring positive outcomes for similar projects into the future.
- **Consider your achievements** in the past and how you might be able to expand on your strengths and develop your skills further in the year ahead.
- **Reflect on your development needs** and reflect on examples of where your performance may not have met the standard required – what steps can be taken to ensure that it's at an appropriate standard next time?
- **Reflect on any development opportunities** that may present themselves as part of your role/the service plan - is there anything there that you would like to have exposure to for development purposes?

## 4.2 During the Performance and Personal Development Planning Meeting

### What can you expect?

Your manager is encouraged to broadly address the following points as part of the meeting:

- **Briefly review and summarise prior meetings** when performance was discussed and the main points of focus that were agreed as a result of those. This will help to focus the meeting and will give you both an opportunity to reflect on how you have progressed over time
- Provide an **overview of how the unit or department has done overall** in the last period - what went well, and not so well
- What are the **priorities and challenges are for the coming year** (ref the Service Plan).
- **Discuss the performance management process** and how both of you will meet your responsibilities contained in the process

- Discuss the **importance and validity of ongoing two way feedback** and agree to have (potentially) unpleasant conversations if situation demands it
- Your manager may discuss with you what **motivates you in your role, what you particularly like about your job and what aspects you dislike or find particularly challenging**. This will provide a useful backdrop/context against which to review your performance and will also give your manager information in relation to potential future work responsibilities, development opportunities and developmental requirements.
- **Discuss your role** and what service driven accountabilities and responsibilities your manager would like you to do for the next period
- **Agree and discuss** these accountabilities and responsibilities in more detail; agreeing the specific objectives, performance standards, timescales, budget and other resources available, any potential obstacles and how they might be overcome
- As you progress through this meeting you should classify and enter these objectives into the relevant sections of the **Action Plan** on the PRC Form.
- Complete sections 1.3 and 1.4 of the PRC form

The objectives selected should reflect a mix of personal effort and input as well as personal output indicators and agreed performance standards. Objectives and performance outcomes need to be realistic and achievable but at the same time they should be challenging and serve to raise the standard of service provided. See Objective Setting in Appendix 4.

#### 4.3 Preparation for the Mid-Cycle Review Meeting (Meeting 2)

The mid-cycle review facilitates a discussion between the manager and the individual on the:

- the status of objectives (complete, on target, delayed)
- barriers to progress (if applicable)
- timescales (pending, cancelled or otherwise revised)
- any risks to achieving/not achieving the objectives
- resources used and/or required
- training and development or other support needs

Complete sections 2.1 and 2.2 of the PRC form and make available to your manager in advance of the meeting. There should be no surprises for you or your manager at this meeting if the liaison and feedback channels were open between you post Meeting 1.

#### **4.4 Conducting the Mid-Cycle Review (Meeting 2)**

##### **What can you expect?**

Your manager may open this meeting with a quick update on organisation/unit/team priorities/changes in priority since you last met.

She/he will continue with a review of progress made in the last period and discuss and agree actions to address any issues arising/agree approach to dealing with new priorities/challenges that have arisen since. You can amend your Action Plan on the PRC Form to reflect any changes agreed.

#### **4.5 Preparing for the Cycle End Performance Review & Developmental Evaluation Meeting (Meeting 3)**

This end of cycle meeting is an opportunity for you to formally review your achievements and development over the previous 12 months with your manager. As we know, performance reviews are most productive when they are a collaborative process, both parties have prepared for the meeting and there have been ongoing performance discussions and feedback exchanges during the year. There should be 'no surprises' for you at this review – any issues that arose should have been addressed as they happen during the year

##### **Preparation:**

- Ensure that you know well in advance the date, time and venue for the meeting
- You should have completed, and submitted to your manager, Sections 3.1 of the PRC Form so that they have an opportunity to reflect on it in advance of the meeting,

#### 4.6 Conducting the Cycle End Performance Review & Developmental Evaluation Meeting (Meeting 3)

##### What can you expect?

This is the formal review of your achievements and development over the previous 12 months. Your manager will encourage you to discuss those aspects of your work that worked particularly well over the last period and will encourage you to reflect on what enabled the successful outcome. The idea is to find out about what things are working well and why, so that you/the organisation can do more of it. Of course, the discussion may also focus on aspects of work that did not work well in an attempt to identify the factors that effected performance. (See Chapter 6, Feedback and Engagement).

Your manager is encouraged to broadly address the following points as part of the meeting:

- **Agree the agenda**
- **Review the progress on objectives since the last meeting.** You and your manager are both encouraged to reflect on **specific examples** of good performance or underperformance, and the impact of that on your work
- You/your manager may wish to **explore in more detail the reason for the good performance or underperformance** e.g. was it to do with your skill/ability, your knowledge of the job, your motivation/interest in the job, your confidence levels or were there extraneous factors contributing to the underperformance.
- Your manager may also wish to discuss “**stretch and grow**” **objectives** with you. These will provide you with further opportunities for development e.g. getting involved in a new project, job rotation, leading a new team, new responsibilities etc.
- It is **important that you understand** when and where you were perceived to have achieved or underperformed and the impact of that on the task at hand/team/unit/wider organisational objectives. It is important that you agree with your manager how any underperformance can be improved upon.
- **Learning and Growth needs** will also be discussed and this is an opportunity for you to identify specific learning and growth needs that can be addressed in the following year.

You may wish to provide feedback to your manager on how the communication/working relationship between you may be enhanced. It is important that you plan how you are going to approach this conversation in advance of the meeting.

*At the end of the meeting:*

- Agree a summary of the main points discussed and the actions agreed
- Establish the immediate next steps
- Agree the time and date of the any follow up activities

If it is a case that you are found to be continuously underperforming, despite having received additional support/development, you may be required to participate in a Performance Improvement Process (PIP). There is more on this in Chapter 7



## Chapter 5

### Guidelines on Completing the PRC Form

#### 5.1 Introduction

The following table sets out the sections of the Performance Review Cycle (PRC) form to be completed at each meeting.

	Section of Form	Completed by	Please tick when complete
<b>Meeting 1</b>	1.1 Personal Details	Individual	
	1.2 Review of previous year	Individual	
	1.3 Purpose of role and priorities in current cycle and Action Plan (objective setting & planning)	Individual in conjunction with manager	
	1.4 Summary of Learning & Growth	Individual in conjunction with manager	
	1.5 Meeting 1 Sign off	Individual & manager	
<b>Meeting 2</b>	2.1 Mid Cycle Review	Individual	
	2.2 Self Review Action Plan, Progress on achievements & additional/refined objectives	Individual	
	2.3 Manager's Mid Cycle Review	Manager in conjunction with individual	
	2.4 Meeting Sign off	Individual & Manager	
<b>Meeting 3</b>	3.1 Cycle End Self Review	Individual	
	3.2 Cycle End Manager's Review	Manager in conjunction with Individual	
	3.3 Meeting 3 Sign off	Individual in conjunction with manager	

*Note: The numbered bullets in this section correspond to those on the PRC Form.  
The text boxes in the PRC form will expand as text is entered.*

### Guidelines for completion of the Performance Review Cycle Form-Year one

#### 5.2 Meeting 1

##### Personal details (PRC Form Section 1.1)

This section is completed by the individual on the commencement of the cycle and in advance of the meeting with their manager. Complete your name, grade and position title in the relevant boxes. 'Service' refers to the service area that you are currently working in. Your Manager's name and Job Title/Grade should be detailed in the relevant box.

The number of years in the current role (not grade) is required as this may be an item that should be considered when discussing developmental requirements. For example, there may be a different discussion on development requirements with a person who is one year in the role as opposed to a person who is 5 years in the same role.

You should record the dates of each of your meetings with your line manager in the 'Your PRC meeting dates' box. If you have staff reporting to you complete the number in the box entitled 'No. of staff reporting to you'. As the year progresses, you can record the number of meetings you have held with them, on aggregate, in the box entitled 'No. of PRC meetings held with staff'. *Part of your responsibility as a Manager is to ensure that you are engaging in the PMS process with your direct reports.*

### **Review of previous year (PRC Form Section 1.2)**

The individual should complete this section as part of the preparation for the initial meeting with their manager. In this section they could outline their achievements in each of the areas (as listed on the form<sup>2</sup>) over the period under review. The individual may wish to state any limitations or constraints inherent in their role or unit's structures in these sections. The 'Learning and Growth' section facilitates the recording of any development activities undertaken or previously identified for the current cycle.

### **Purpose & Priorities of role in current cycle (PRC Form 1.3)**

Meeting 1 is an opportunity for you to meet with your manager and discuss the purpose of the role and the responsibilities and priorities attached to the role for the period in question. This meeting is an opportunity for both parties to:

- discuss and agree, within the context of the relevant service or operational plan, 'what' the key priorities and objectives of your role are
- ensure you know and understand 'why' these priorities and objectives are important and how your input will assist the HSE in achieving its service commitments, resulting in
- a clear understanding of the purpose of the post for the coming period.

The purpose should be expressed in bullet points and should make the high level connection between the individual's standard duties and responsibilities and the relevant

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<sup>2</sup> Service Delivery/Client Service/Customer Service - Governance/Regulatory/Internal Processes - Financial/Contribution to financial efficiencies/use of resources in an efficient manner - Learning and Growth. These are the 4 areas depicted in the Action Plan.

service or operational plan. This discussion will generally result in five or six key priorities for you for the coming cycle. Without such understanding both parties could approach the period ahead with different expectations which would undermine the performance of the service and the individual. The outcome of these discussions should be entered into section 1.3.

### **Action Plan /Objective Setting / Service Plan documents (PRC Form 1.3)**

#### **Introduction**

The priorities and objectives should be documented in either the local objective setting template or an individualised Action Plan, Appendix 2. The Action Plan is a **planning and management tool**, based on the concept of the Balanced Scorecard.

The Balanced Scorecard approach was originated by Dr. Robert Kaplan (Harvard Business School) and Dr. David Norton as a performance management framework that added non-financial performance measures to traditional financial metrics to give managers and executives a more 'balanced' view of organisational performance and encourages organisations and individuals to look at **not just financial elements** but to balance this by giving visibility to three other areas of activity, the customer, the organisations internal processes and learning and growth activities. This approach is based on the **acceptance that emphasis on financial measures, though critical, is not sufficient to manage an organisation**. The headings used are:

- **Service Delivery /Client Service / Customer Service** – This perspective recognises the central importance of the patient. It reflects what services are delivered, how they are delivered and what the service users' experience is. This area also reflects how the internal suppliers and customer relationships operate.
- **Internal Business Processes** – the processes and procedures that govern the way work is organised and carried out. This area also included governance arrangements and compliance with regulatory requirements.
- **Financial** – Items in this area are budgetary and financial accountability, financial regulations, financial reporting, cost effective utilisation of assets and value for money initiatives.
- **Learning and Growth** – creating a climate that supports personal and organisational learning and development.

The emphasis placed on each of the headings may vary from employee category to employee category, from profession to profession and from role to role. Examples of high level items that should be considered under each heading on the Scorecard are included in Table 5.1 as a guide. The priorities and objectives discussed at the individual Performance Planning and Personal Development meeting (Meeting 1) will influence the items to be entered under the various headings.

**Table 5.1**      **Examples of items that might be discussed under the different Action Plan headings**

<p><b>Service Delivery:</b> <b>Patient/Client Care/Customer Service</b></p> <ul style="list-style-type: none"> <li>• Patient Care</li> <li>• Service quality</li> <li>• Patient safety</li> <li>• Service development</li> <li>• Service integration/reconfiguration</li> </ul>	<p><b>Governance/Regulatory/Internal Processes</b></p> <ul style="list-style-type: none"> <li>• <b>Governance/Regulatory</b></li> <li>• HSE Code of Governance</li> <li>• Clinical Governance Development</li> <li>• Compliance with regulatory authorities</li> <li>• HSE Code of Standards and Behaviour</li> <li>• Professional registration where relevant</li> <li>• HIQA standards</li> <li>• Controls Assurance Statement</li> <li>• <b>Internal Processes</b></li> <li>• Systems and processes</li> <li>• Risk management</li> <li>• Internal communications</li> <li>• Administration efficiency &amp; effectiveness</li> </ul>
<p><b>Financial/Contribution to Financial Efficiencies/Efficient use of Resources</b></p> <ul style="list-style-type: none"> <li>• National Financial Regulations</li> <li>• Contribution to financial efficiencies/ use of resources in an efficient manner</li> <li>• Value for money initiatives</li> </ul>	<p><b>Learning and Growth</b></p> <ul style="list-style-type: none"> <li>• Role specific competencies required</li> <li>• Service driven Continuous Professional Development</li> <li>• Maintenance of professional competency through Professional Competency Schemes</li> <li>• Personal Development Plan</li> <li>• Development programmes</li> <li>• New assignments</li> <li>• Induction programmes</li> </ul>

### **Action Plan /Objective Setting / Service Plan documents – Record Keeping**

Individuals should look on the Action Plan / Objective Setting / Service Plan documents as resources to record the objectives/revised objectives throughout the PRC cycle. She/he should keep it up to date with any changes that might arise over the course of the cycle so that it's a 'live' and 'working document' - to ensure that it reflects progress throughout the cycle. It should be the focus of discussion at each PRC meeting, and is a useful reference source for you in ensuring that you are progressing on each of the objectives.

### **Risk to Objectives and Resources available (PRC Form 1.3)**

The resources available and risks to achieving/not achieving these objectives as well as items that could impact on the achievement of objectives during the period should also be entered into the form or Action Plan. Ideally the key points should be recorded rather than full text. The form also contains space for recording exceptional items that could impact on the achievement of objectives during the period. It is good practice to reflect on achievements against objectives, to consider what you might have done differently/better if you were to approach a situation again etc. It's also good to be mindful of your skill areas, and areas in need of development, as you progress through the cycle so that you can use opportunities that arise during your day to day work that will enable you build on your skills and capabilities.

### **Summary of Learning and Growth (PRC Form Section 1.4)**

In agreeing the individual's objectives and priorities for the coming period, consideration should be given to the competencies, knowledge, skills and abilities that the individual will need to effectively deliver on those objectives. The OHM competency packs provide information on the competencies associated with managerial levels in the HSE, so these are useful reference tools. The competency packs are available on [www.hseland.ie](http://www.hseland.ie) in the PDP section of the site. A current job specification may also assist in the identification of the required competencies, skills and knowledge.

Professional disciplines will have competency frameworks applicable to their own profession, CPD requirements and may also have a regulatory requirement to maintain professional competency through formal Professional Competency Schemes.

Consideration should be given to what additional supports the individual might need e.g. access to a mentor/coach, training module, wider experience/exposure so that relevant arrangements can be put in place. Some professional and technical grades need to meet statutory/legislative requirements so it is important that those are met and maintained.

### **Sign off (PRC Form Section 1.5)**

The individual and manager sign off once the process is completed.

## **5.2 Meeting 2**

### **Mid-cycle Review (PRC Form Sections 2.1 & 2.2)**

The mid-cycle review facilitates a formal review by the individual of their progress on the objectives and actions recorded in the Action Plan /Objective Setting documentation and to receive feedback from their manager on progress to date. There is a section on the PRC Form entitled 'Meeting 2 – Mid Cycle Review Meeting' specifically dedicated to this meeting.

In Section 2.1, the individual can record any changes in priorities or resources available to him/her since the cycle commenced. In this section the individual also completes a self assessment of their progress to date in meeting the objectives discussed in Meeting 1. In Section 2.2 there is space for the manager to complete his/her review of the individual.

The self review section (2.1) should be completed and sent to the manager for consideration in advance of the meeting. Section 2.2, the manager's review is completed during or shortly after the meeting following the discussion with the manager.

The Mid-cycle review might address from of the following points:

- the status of the objectives; complete, on target, delayed, revised time scales cancelled, deferred or abandoned
- risks to achieving/not achieving the objectives
- changes in priorities, responsibilities or resources due to service demands
- or emerging challenges.

These changes should be noted on the Action Plan /Objective Setting documentation

The requirement to formally record progress mid-cycle does not remove the normal practice of reviewing performance on a regular basis. The manager and the individual should regularly review and assess performance against targets and the Action Plan / Objective Setting documentation can be updated by the individual to reflect this. Both should be seeking and giving feedback as part of the professional working relationship.

### **Sign off (PRC Form Section 2.3)**

The individual and manager sign off once the process is completed.

### 5.3 Meeting 3

#### **Cycle-End Self Review (PRC Sections Form 3.1 & 3.2)**

The individual should complete Sections 3.1 and give the form to the manager in advance of the Cycle-End meeting. The Manager will complete 3.2 during or soon after the meeting, having discussed it with the individual.

The self assessment of achievements and of developmental requirements forms part of the agenda for the meeting with the manager. The manager considers the individual's self review and learning requirements in advance of the meeting and, following the face-to-face discussion with the individual, will complete Section 3.2 during the meeting or shortly afterwards. The Action Plan / Objective Setting documentation template should also be updated.

#### **Sign off (PRC Form Section 3.3)**

The individual and manager sign off once the process is completed.

### 5.4 Cycle-End Administration

A copy of the completed form should be held by the individual with the manager securing a copy on the individual's local file.

On completion of the cycle you are encouraged to complete the web based **Performance Review Cycle Questionnaire**. The purpose of this questionnaire is to get feedback on your experience of the process and give you the opportunity to make suggestions on how it may be made more meaningful.

#### **Storage, Confidentiality and Access**

In the first year of implementation copies of the PRC Form will be held by the individual and his/her manager only. From year two onwards the PRC Form may be made available to the manager's manager as it may form part of the performance review cycle discussions between them. It's important that the manager, and his/her manager, maintain the confidentiality of the forms i.e. store them securely, so that no others have access to them. The PRC form is confidential to those directly involved in the process.

## Chapter 6

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### Engagement and Feedback

**In this chapter you will learn the following about engagement and feedback:**

- What is engagement, benefits, barriers and enablers
- What is feedback
- Benefits of giving, receiving and seeking feedback

#### 6.1 What is engagement?

Engagement is an organisation wide approach, practice or belief which creates an environment for constructive feedback and supports greater identification with and involvement in an organisation's purpose. Government sponsored research<sup>3</sup> into the nature, benefits, barriers and enablers was carried out in the UK in 2011 and concluded that:

*“Engagement is about creating opportunities for employees to connect with their colleagues, managers and wider organisation. It is also about creating an environment where employees are motivated to want to connect with their work and really care about doing a good job.”*

*“Employees who work for engaging organisations get an organisation they feel proud to work for; managers who are more likely to listen and care for them; leaders who listen to and inspire them; more opportunities for personal growth and teams that support each other”.*

The research also found that:

- **People management practices were a better predictor** of company performance than strategy, technology, research and development.
- Higher levels of engagement are associated with **better outcomes in public organisations**.
- Engagement **enables an adult two-way relationship** between leaders and managers, and employees, where challenges can be met, goals achieved, whether it be **improved patient care**, higher quality production, or more satisfied customers.

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<sup>3</sup> Engaging for Success: enhancing performance through employee engagement. A report to Government by David MacLeod and Nita Clarke, November 2011.



The research identified barriers to and enablers for engagement:

**Barriers to engagement:**

- Engagement is **not seen as important** - people know what is expected of them and should get on with it.
- Managers and organisational culture; inconsistent management style, **lack of communications and knowledge sharing**, low visibility of management i.e. office bound.
- An **obsession with targets** often infects managers' behaviour and **detracts from their ability to interact effectively** with their staff. Prof J Oliver, Northern Leadership Academy 2009

**Enablers for engagement:**

- Leadership **engage employee emotionally** by providing a clearly expressed story about what the **purpose of the organisation** is, why it has the vision it has, and **how the individual contributes** to that purpose. Engaging on the rational level is not sufficient.
- **Managers who invest time**, offer clarity, appreciation, positive feedback and coaching
- Behaviours are consistent with stated **values**

See Appendix 5 – CIPD Employment Engagement Management Competency Framework

## **6.2 Feedback**

Engagement it is made real and personal to individuals through the quality and frequency of feedback received and the opportunity to seek and give feedback.. In an organisation feedback is generally understood as an opinion or information given to a person by another person on an activity, action or piece of work. The importance of feedback as a process for enhancing performance cannot be overestimated as feedback has a positive effect on individual, group and organisational performance. The lessons from studies on feedback conclude that:

- as individuals we like to know how we are performing
- seeking, giving and receiving feedback are integral to building and maintaining healthy professional working relationships

- to be effective feedback must be an ongoing activity
- the proactive and positive use of feedback are core to good management
- seeking, giving and receiving feedback can be improved by practice

### 6.2.1 Benefits of seeking, giving and receiving feedback

- builds and maintains healthy professional relationships
- generates meaningful discussions
- establishes a shared understanding about standards of performance and achievement
- reduces uncertainty about what is to be achieved and how it is to be achieved
- communicates wider organisational requirements
- is a process by which good performance is identified and underperformance can be addressed in a supportive and structured way

### 6.2.2 Providing Feedback

To be effective, feedback should be:

**Honest:** Employees cannot maintain or improve good performance or change unacceptable performance if they do not receive accurate and honest feedback. “Sugar-coating” negative feedback may create more serious problems in the long run. While it’s important to be honest, it’s equally important to put some thought into how best to deliver the feedback so that the person receiving it accepts it as being fair, constructive and based on evidence / facts.

**Focused:** Feedback must relate to performance or behaviour and not personality. Likewise, if feedback evaluates the person (e.g. “You’re too aggressive”), rather than describing some aspect of their behaviour and its impact on others / the task at hand, the employee will probably become defensive, and be left with no clear idea of how to improve their performance.

**Specific:** It is important that feedback is factual and based on specific behaviours / evidence / facts / observations. Factual feedback:

- describes what was expected
- cites examples of how the employee’s performance met / exceeded / failed to meet expectations

- describes how you knew the employee had done well and what additional strengths/qualities helped them to deliver
- points out the benefit / consequences of their performance i.e. its impact on the achievement of individual and / or organizational objectives
- Allows person to make contribution and offer solutions
- Where there has been a gap in performance, outlines what improvement would help delivery in the future and discuss how this might be achieved

If feedback is too general (e.g., “You’re just going to have to work a little harder”) employees will not know what to do to maintain or enhance their performance.

**Helpful:** For feedback to be successful, receivers should feel that they can:

- volunteer their ideas and opinions
- discuss problems and express personal feelings freely in a non-threatening environment
- recognise their performance shortcomings
- discuss their job performance objectively
- accept suggestions and forward direction

**Balanced:** Providing balanced feedback means:

- giving feedback on a regular basis
- giving feedback when something is done right, rather than waiting until things go wrong
- avoiding information overload – giving too much feedback at one time, particularly when it’s negative

**Timely:** Feedback should be given as close as possible to the timing of the event that it concerns. Delayed feedback conveys the message that the performance (whether good or bad) wasn’t very important.

**An 'X Factor' illustration  
the impact on the individual when feedback lacks honesty....**

*Jim finishes singing and much to his surprise, disappointment and disbelief the judge says "stick with the day job, you cannot sing". Why did this happen? This happened because, for years, Jim received "kind" feedback from his family on his non-existent talent. The judge gave honest (if brutal) feedback from his family and friends on his non-existent talent. The judge gave honest (if brutal) feedback. If Jim had received honest feedback prior to this he would not have found himself in this embarrassing situation.*

### **6.2.3 Feedback - What is the learning from other organisations?**

The points below were sourced from a discussion forum on 'LinkedIn' that focussed on feedback in the context of performance management:

- *"NOT giving feedback -- positive or constructive. Too many managers simply ignore this need of their employees for feedback".*
- *"Only giving feedback once a year. The annual performance appraisal has become a crutch and an excuse to delay the giving of feedback. Such delay removes the feedback (again, either positive or negative) from the event needing or deserving it, which means the employee won't connect the information with the event as powerfully as they would have done if the feedback had been given in a more timely manner".*
- *"Only giving positive OR negative feedback. We all want to know when we're doing something well (so we can keep on doing it) and when we're doing poorly (so we can correct it)".*
- *"The "keep doing what you are doing" is not the correct way to give positive feedback. I once had an outstanding leader and I enjoyed getting feedback from him. His approach was simple: "Keep doing" / "Quit doing" / "Start doing".*

[Gallup research](#) found one simple factor – ‘**direct manager style**’ – can profoundly impact employee engagement. To summarize:

- Managers who focus on employee strengths have 61% engaged employees and 1% actively disengaged
- Managers who focus on employee weaknesses have 45% engaged employees and 22% actively disengaged
- Managers who ignore their employees have 2% engaged employees and 40% actively disengaged

#### 6.2.4 Influences on decisions to accept and use feedback

People react to feedback in different ways. It's important that we take time to reflect on how best to deliver feedback so that it's taken on board by the person receiving it. There are a number of influences that impact on a person's decision to 'accept' feedback and these are detailed below.

##### External Influences

- The nature of the feedback (positive / negative)
- Feedback credibility - its accuracy, the source of the feedback and whether or not it is considered to be evidence – based / factual / honest
- Feedback specificity – if feedback is perceived to be vague it has a smaller chance of having the desired impact
- Consistency with that from other sources (remember the 'X Factor' illustration!)

##### Internal influences

- Self-perception of performance – where an individual's perception of their own performance differs from that of the Line Manager it may reflect a difference in understanding in relation to objectives / expectations / standards required. The best thing to do here is to have an honest discussion about the event that relates to the feedback with a view to establishing a shared understanding of what is expected and how performance can improve as a result.
- Emotions – it's important that feedback focuses on the performance and behaviours of the individual against agreed objectives, not on the individual themselves. Some people will take feedback very personally so it's important that the line manager manages the meeting appropriately to ensure that the person

leaves the room with a renewed confidence and determination to develop and grow in their role.

- Beliefs and abilities regarding change. How people receive and act on feedback will depend on their perceived ability to change; their knowing and understanding exactly what it is they need to change; their ability to plan for change and their ability to implement change. The Line Manager should support the individual in working through this process to ensure optimum development.

The key steps in deciding on whether to accept/use feedback are detailed below:

- Initial Reaction
- Reflection and internal processing of emotion and content
- Decision to accept and act, or not
- Action for learning

Try to identify patterns in your reaction to feedback and note any adverse or unhelpful reactions. For example, if you always act defensively to negative feedback, you might miss excellent opportunities to improve yourself.

- High engagement organisations **score better on risk management** than those with low engagement
- Engagement levels can be **predictors of sickness absence** – engaged employees 2.7 days v's disengaged employees 6.2 days Gallup (2006)

## Chapter 7

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### Managing Underperformance in the HSE: the Performance Improvement Plan (PIP)

#### In this Chapter you will learn;

- What is meant by underperformance?
- How to avoid underperformance
- The 4 Stages of a Performance Improvement Plan

The purpose of this Chapter is to assist managers and individuals address the issue of underperformance to the benefit of the individual involved and the service generally. This Chapter contains a step-by-step guide for the individual and the manager to address underperformance. This Chapter should be read in conjunction with Chapter 6 Engagement and Feedback.

#### 7.1 Introduction

The HSE needs a structured approach to identifying and managing incidents of underperformance. Unchecked underperformance impacts negatively the individual concerned, on the moral of fellow employees, the efficiency of the service and is a risk to service users. When underperformance is not addressed the performance of effective employees is liable to deteriorate and public monies are wasted.

Early identification and management of underperformance is of benefit to the employee concerned and their colleagues. When left un-checked the problem may intensify and is more difficult to address and correct as the underperformer may come to believe that they are performing to the acceptable standard.

There is significant input required from the manager to identify and address underperformance. While some managers may feel uncomfortable in addressing underperformance they must realise that by accepting low standards of performance they are licensing low standards of performance throughout the service they manage. When underperformance is addressed in a constructive and professional manner it can result in performance improvements in both the individual and team. Research has shown that early intervention is the best way once the difficulties have been identified.

#### 7.2 What is underperformance?

Underperformance is an ongoing failure to meet the standards of performance or behaviour reasonably expected from an employee at the level at which they are employed. It is a measure of reasonable expectancy in terms of employee contribution, effort and achievement that are the required standard for the role and level within the organisation. It is consistent deviation from standards associated with the role and grade.

Single incidents or very short periods of poor performance which are out of character for an individual do not fall into the category of underperformance that is being addressed in this Chapter. These short term incidents should be addressed through normal formative feedback and monitored to ensure that they are exceptional occurrences. Should these incidents develop into a trend then the individual's behaviour should be addressed using the process set out below.

### **7.3 Conditions required for satisfactory performance**

Satisfactory performance is dependant on the individual having a clear understanding of the purpose and scope of their role, the reporting relationships, responsibilities, accountability, priorities and objectives associated with their role. They must be clear on the standards of performance and behaviour required and possess and demonstrate the knowledge, skills and competencies required to fulfill the functions of the role. Satisfactory performance is also dependant upon the individual's acceptance of the requirements of the role, personal motivation, ability and commitment to delivering to the required level.

Ongoing performance is maintained and supported by maintaining the clarity of purpose of the role, setting and monitoring targets, providing the appropriate guidance, feedback and supporting the professional and personal development of the individual.

### **7.4 The Performance Improvement Plan (PIP)**

A Performance Improvement Plan (PIP) is a time bound process designed to address in a formal manner underperformance issues. The process is represented in Diagram 7.1 below.

The Performance Improvement Plan (PIP) is designed to facilitate constructive discussion, within the supervisory relationship, between an individual and his or her manager and to clarify the performance area(s) to be improved. This process requires constructive discussions between a manager and their direct report where performance



problems are identified. It is implemented, at the discretion of the manager, when it becomes necessary to help an individual staff member improve his or her performance.

When an individual is engaged in the PIP process, activities under the normal PRC cease. During the PIP the focus is on identifying and addressing the cause of the underperformance and providing additional supervision and supports if required.

Once the manager is confident that the sources / reasons for underperformance have been addressed, she / he can then recommend the individual re-engage in the PRC.

If performance does not improve following the use of the Performance Improvement Plan (PIP) consideration should then be given to moving to other supportive or corrective processes, e.g. EAP, Occupational Health, Disciplinary Process, etc.

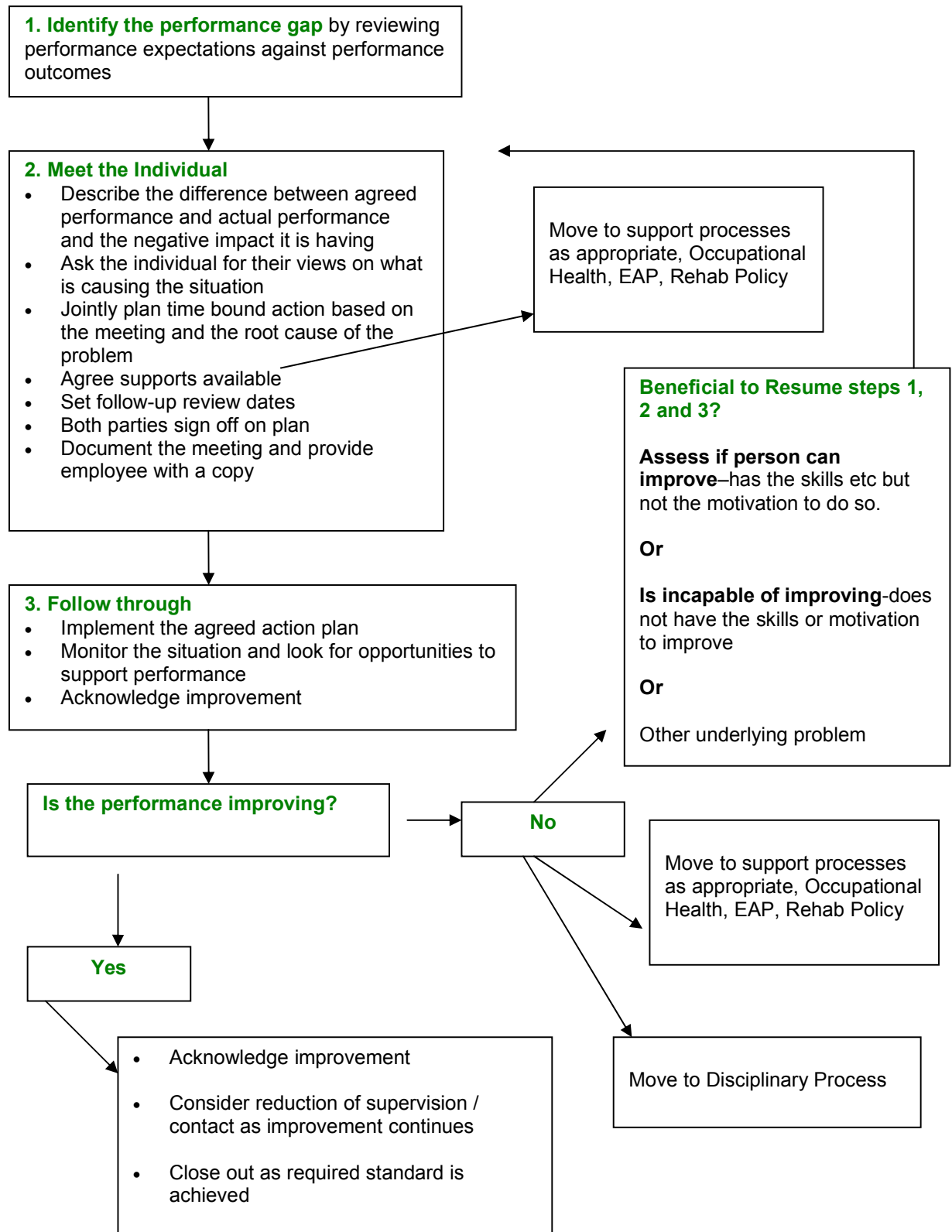
## **7.5 Managing underperformance through a Performance Improvement Plan (PIP)**

Underperformance must be addressed in a structured and timely manner. Addressing underperformance is a managerial responsibility that should be actioned as required to address performance issues that are not being improved through normal formative feedback.

The structured approach to managing underperformance consists of a number of steps:

- A. Identify the performance gap
- B. Meet the individual staff member - identify the facts
- C. Action plan to address underperformance
- D. Monitor

Diagram 7.1 Managing Underperformance



#### **A. Identify the performance gap**

The performance gap should be identified by reviewing performance expectations and perceived current unacceptable performance. Before raising the performance gap with an individual the manager should satisfy him/her self that the following have been discussed with the employee:

- the purpose and scope of their role
- the responsibilities, accountability, priorities and objectives associated with the role
- the skills, knowledge, competencies and effort required and
- the standards of performance and behaviour required
- the reporting relationships

If the above have not been discussed with the individual the manager must immediately rectify the situation and discuss these requirements with him / her. If the above have been discussed then the manager must inform the individual of his / her concerns and arrange a review meeting with the individual to formally discuss the performance concerns.

The manager should agree in advance the date and time of the meeting and outline in advance the objectives of the meeting which are to;

- clarify the standards of performance expected
- discuss the perceived performance gap
- examine possible causes of the underperformance
- agree a PIP to improve the situation

If the individual is already participating in the Performance Review Cycle (PRC) the manager and individual should be able to communicate with a higher degree of clarity about specific expectations.

#### **B. Meet the individual staff member - identify the facts**

Having set the scene and restated the objectives of the meeting the manager should:

- Describe what level of performance is expected

- State the current performance issue(s). Feedback should be specific and factual and should describe the underperformance and the impact underperformance has had on service delivery, colleagues and the unit.
- Ask the individual for their views on the examples cited and on what could be causing the situation. Try to surface and identify the reason(s) why required standards are not being achieved.
- Discuss what emerges to fill in gaps in information or differences in perspective

### **C. Action plan to address underperformance**

Having identified what the issue(s) is the manager and individual should discuss how they may be resolved. This should involve;

- Clarify what needs to be improved. Be specific and cite examples.
- State the level of work performance expectation and that it must be performed on a consistent basis.
- Clarify employee goals and actions required to improve performance including targeted dates.
- Identify skills, knowledge or attributes to be employed or developed and agree a learning and development plan with targeted dates. Identify employee's responsibilities in the plan.
- Specify the support and resources you will provide to assist the employee. (E.g. clarifying role expectations, learning and development, coaching, EAP etc.).
- Clarify expected results – identify the measure (quantity, quality, time) that will be used to evaluate progress.
- Discuss in a clear, non threatening manner the consequences if performance does not improve.
- Agree the plan for providing feedback to the employee. Specify meeting times, with whom and how often. Specify the measurements that are to be considered in evaluating progress. Set up the 'check in' dates.

The details of the specific underperformance(s), items that contribute to the underperformance, the performance standards to be achieved, the supports available and the timescales involved must be recorded in the **Performance Improvement Action Plan**. A copy of the completed plan should be held by both manager and the individual.

### **D. Monitor**

The manager is expected to monitor and provide feedback to the individual on a regular basis regarding his or her performance against the Action Plan and may take additional action as warranted.

The individual is expected to monitor their own actions and provide feedback to the manager on his or her performance against the Action Plan.

## **Appendix 1**

### **HSE Performance Management System**

#### **Performance Review Cycle (PRC) Form** Version 3 (May 2013)

Year \_\_\_\_\_

#### **Important Note**

**Please read Chapter 5 ‘Guidelines for Completing the Performance Review Cycle (PRC) Form’ before completing this form.**

**Meeting 1** - This section of the form is completed before / during the Performance Planning & Personal Development Meeting (Meeting 1). Section 1.2 should be completed by the Individual in advance of the meeting. The other sections should be completed by the Individual in conjunction with his / her manager during Meeting 1.

1.1: Personal Details			
Your Name		Your Grade	
Your position title		Service	
Years in current role		Your PRC meeting dates:	Meeting 1: Meeting 2: Meeting 3:
No. of staff reporting to you		No. of PRC meetings held with staff:	Meeting 1: Meeting 2: Meeting 3:
Manager's Name		Manager's Job Title / Grade	

- **1.2: Review Of Previous Year** (*Summary of accomplishments and challenges from previous year*). *It may be helpful to consider the following areas:*
  - Service Delivery / Client Service / Customer Service
  - Governance / Regulatory / Internal Processes
  - Financial / Contribution to financial efficiencies / use of resources in an efficient manner
  - Learning & Growth

### 1.3: Purpose & Priorities of Role In Current Cycle

Purpose of role:

Priorities / objectives for the period under review: ( may be described in more detail in locally developed objective setting / service plan documents or by using the Action Plan in the Performance Management Guidance Document))

Risks (list internal and external as appropriate)

Resources available/resource issues (Financial and Human)

### 1.4: Learning and Growth (Developmental activities for the coming period)

### 1.5: Meeting 1 Sign off

Individual's signature

Date

Manager's signature

Date



**Meeting 2 – Mid Cycle Review Meeting (Meeting 2)**

The self review sections (2.1 and 2.2) should be completed and sent to the manager for consideration in advance of the meeting. The manager will complete section 2.3 during the meeting having discussed it with the individual during the meeting.

**2.1 : Mid Cycle Self Review**

(Highlight changes in context, priorities, resources, etc. that impact on achievement of objectives since Meeting 1)

**2.2 : Self Review**

(Summary of personal input and progress on the priorities /objectives as described in the locally developed objective setting / service plan document or Action Plan):

**2.3: Manager's Mid – Cycle Review** *(Manager completes after discussion with individual during the meeting)***2.4: Meeting 2 Sign off**

Individual's signature	Date
Manager's signature	Date

**Meeting 3 – Cycle End Performance Review & Developmental Evaluation Meeting (Meeting 3)**

The individual should complete Section 3.0 and 3.1 and give the form to the manager in advance of the Cycle-End meeting. The Manager will complete section 3.2 during the meeting, having discussed it with the individual during the meeting.

**3.0 : Cycle End -Self Review**

(Highlight changes in context, priorities, and resources during the period that impact on achievement of objectives since.)

**3.1: Cycle-End Self Review**

*(Summary of personal input and progress on the priorities /objectives as described in the locally developed objective setting / service plan document.)*

**Learning & Growth plan; (outcome of developmental activities undertaken/ planned for next cycle.)**

**3.2: Cycle - End Manager's Review) (Based on achievements of priorities ) Manager completes after discussion with individual during the meeting)**

**Learning & Growth plan; (outcome of developmental activities undertaken/ planned for next cycle.)**

<b>3.3 Meeting 3 Sign off</b>	
Individual's signature	Date
Manager's signature	Date



### Appendix 1(A)

#### HSE Performance Management System

##### Action Plan

Year \_\_\_\_\_

Name \_\_\_\_\_

#### Important Note

**Please read Chapter 5 and 'Guidelines for Completing the Performance Review Cycle (PRC) Form' and Appendix 4 'Objective Setting' before completing this form.**

#### **1.4 Action Plan Template**

*Note: The content of the next 4 pages should be driven by the relevant Service Plan / operational plan discussed with your manager*

**HSE Values:** Respect, Fairness & Equity, Excellence, Leadership, Accountability & Responsibility

Version 2

<b>Part A</b>					
<b>Service Delivery: Patient/Client Care/Customer Service</b>					
<b>Meeting 1</b>		<b>Meeting 2</b>		<b>Meeting 3</b>	
<b>Objectives</b>	<b>Timeframe for completion</b>	<b>Progress on achievements since Meeting 1</b>	<b>Additional / Refined Objectives as a result of Meeting 2</b>	<b>Progress on achievements since Meeting 2</b>	<b>Additional / Refined Objectives as a result of Meeting 3</b>
<b>Risks</b> <i>(list internal and external as appropriate)</i>		<b>Risk Update</b>		<b>Risk Update</b>	
<b>Resources available / resource issues (Financial and Human)</b>					
<b>Items And Changes That Impact On Achievement Of Objectives</b>					



<b>Part B</b>					
<b>Governance/ Regulatory / Internal Processes</b>					
<b>Meeting 1</b>		<b>Meeting 2</b>		<b>Meeting 3</b>	
<b>Objectives</b>	<b>Timeframe for completion</b>	<b>Progress on achievements since Meeting 1</b>	<b>Additional / Refined Objectives as a result of Meeting 2</b>	<b>Progress on achievements since Meeting 2</b>	<b>Additional / Refined Objectives as a result of Meeting 3</b>
<b>Risks</b> <i>(list internal and external as appropriate)</i>		<b>Risk Update</b>		<b>Risk Update</b>	
<b>Resources available / resource issues (Financial and Human)</b>					
<b>Items And Changes That Impact On Achievement Of Objectives</b>					

<b>Part C</b>					
<b>Financial/Contribution to Financial Efficiencies / Use of Resources in an Efficient Manner</b>					
<b>Meeting 1</b>		<b>Meeting 2</b>		<b>Meeting 3</b>	
<b>Objectives</b>	<b>Timeframe for completion</b>	<b>Progress on achievements since Meeting 1</b>	<b>Additional / Refined Objectives as a result of Meeting 2</b>	<b>Progress on achievements since Meeting 2</b>	<b>Additional / Refined Objectives as a result of Meeting 3</b>
<b>Risks</b> <i>(list internal and external as appropriate)</i>		<b>Risk Update</b>		<b>Risk Update</b>	
<b>Resources available / resource issues (Financial and Human)</b>					
<b>Items And Changes That Impact On Achievement Of Objectives</b>					

<b>Part D</b>					
<b>Learning and Growth</b>					
<b>Meeting 1</b>		<b>Meeting 2</b>		<b>Meeting 3</b>	
<b>Objectives</b>	<b>Timeframe for completion</b>	<b>Progress on achievements since Meeting 1</b>	<b>Additional / Refined Objectives as a result of Meeting 2</b>	<b>Progress on achievements since Meeting 2</b>	<b>Additional / Refined Objectives as a result of Meeting 3</b>
<b>Agreed actions to be discussed by the manager or individual with the relevant training and development service.</b>					

## Appendix 2

**HSE Values Charter for use in the Performance Management Cycle where values are the basis of defining required behaviours and behavioural indicators.**

### Respect

Valuing patients / clients and each other. Recognising the fundamental worth of people through trust, courtesy, mutual communication and collaboration

- ❖ We will **respect** our patients / clients, their families and each other as individuals
- ❖ In our communications we will be caring, loyal, truthful, respectful, kind, considerate and empathetic
- ❖ We will **actively listen** to the views and opinions of all stakeholders and consider them in our actions, and
- ❖ We will show **dignity**, courtesy and professionalism at all times.

### Fairness and Equity

Providing health and personal social services based on need and striving for an equitable health service

- ❖ We will deliver high quality, reliable, **person-centred** services, delivered as close to the point-of-care as possible
- ❖ We will pursue **equality of access** and delivery of the full range of services for everyone, based on need, and
- ❖ We will ensure that those most disadvantaged and marginalised in our community have their health and personal care **needs met**.

### Excellence

Striving for the highest level of achievement in all aspects of our work

- ❖ We will continue to strive to deliver evidence based **best practice**
- ❖ We will continually **audit and evaluate** our performance / services and act upon the findings
- ❖ We will encourage and facilitate continuous **training and development** for all our staff, and
- ❖ We will support **innovation** and encourage **creativity**.

### Leadership

Directing the future of the HSE

- ❖ We all have a role to play in leadership by communicating the vision, taking responsibility, **building trust and confidence** among colleagues and service users.
- ❖ **Lead by example** – We are all human beings with different strengths; we will learn from the strength of others who have enriched our lives, and
- ❖ We will respect and acknowledge the role of our staff and **instil pride** in delivering our services.

## Accountability and Responsibility

### Honesty, consistency and accountability in decisions, words and actions

- ❖ We will provide health and personal social services within our allocated budget
- ❖ We will ensure **integrity** in our processes and practices
- ❖ We will encourage and allow **individual responsibility** and empower staff to manage their services
- ❖ We will recognise **performance** and challenge underperformance and non performance, and
- ❖ When something goes wrong, we will **acknowledge**, we will **apologise** and find out what happened. We will put **mechanisms** in place to ensure it will not happen again.

### **Appendix 3 Development Supports**

In this Section you will find information on development supports and other resources that will aid you in your personal and professional development.

- (a) Job Specification & Role Profile
- (b) Performance & Development Index
- (c) Personal Development Planning
- (d) HSELand e-learning Programmes
- (e) Continuous Professional Development (CPD)
- (f) Regional Performance & Development Programmes

Please contact your local Performance and Development Unit if you require further assistance.

#### Contact details for Area Performance & Development Units

HSE Dublin North East – 041- 6871430 /041-6857816 /01-6209170

HSE Dublin Mid Leinster – 045 880432

HSE South – 021-4927400

HSE West – 071 9822100/091 775 581/061 483 613

**(a) Performance and Development Index**

This index is designed to aid individuals in evaluation their performance and examining improvement or developmental options.

This evaluation system is based on two variables (1) the progress on agreed objectives ('what' was achieved) and (2) the demonstration of the required role / discipline specific competencies ('how' objectives were achieved). The review meetings and evaluation system allows for stronger recognition of performance in the role and places a focus on areas for development or corrective action in the instances of underperformance.

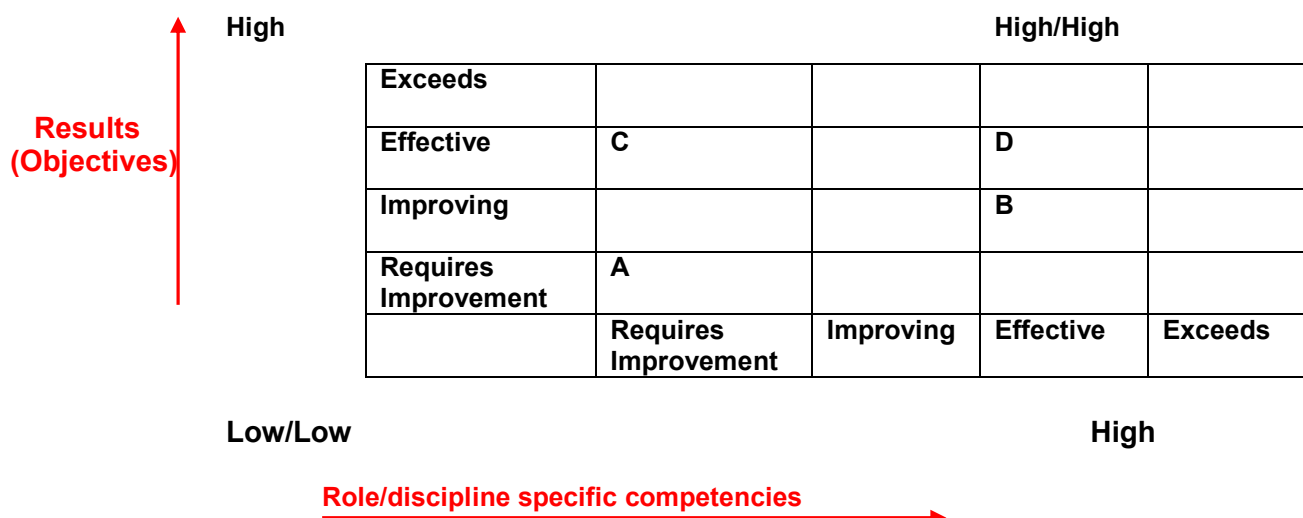
The model describes rating standards of achievement which are applied to both 'what' was achieved and 'how' it was achieved. This is in the interest of consistency and transparency. The rating standards can convey a clear signal to people on how they are doing and therefore can motivate them to improve performance. When plotted on the Performance and Development Index the combined level of achievement gives an individual clear feedback on where they are on the continuum of development and gives equal visibility to both achievement of objectives and personal behaviours. The rating standards are:

**Objectives / Results**

<b>Requires Improvement (RI)</b>	Some of the objectives achieved
<b>Improving (I)</b>	Most of the objective achieved
<b>Effective (Ef)</b>	Achieved agreed objectives
<b>Exceeds (Ex)</b>	Achieved more than was agreed

**Demonstration of role/discipline specific competencies required**

<b>Requires Improvement (RI):</b>	Room for improvement in most areas to meet organisations standards and expectations
<b>Improving (I)</b>	Most standards are met but some areas need further development if required personal and organisation's expectations are to be achieved
<b>Effective (Ef)</b>	Meets required standard in all areas
<b>Exceeds (Ex)</b>	Surpasses required standard for the role

**Diagram 1 Performance and Development Index****Examples of evaluation**

- A** Requires Improvement for both Results and Behaviours
- B** Results need to improve and is Effective for Behaviours
- C** Effective for Results but requires Improvement for Behaviours
- D** Effective for Results and Effective for Behaviours

**Implications**

- A:** Requires immediate improvement on both variables within a defined time scale
- B:** Effective or Exceeds on either results or behaviour but needs to move out of the *Requires Improvement* zone on weaker attribute to achieve potential.
- C:** Effective or Exceeds on either results or behaviour but needs to move out of the *Improving* zone on weaker attribute to achieve potential.
- D:** Effective or Exceeds on both results and behaviour.

**Possible actions**

- A** Enter a specific time bound improvement and development plan.
- B** Development plan targeting behaviours or achieving results.
- C** Development plan targeting behaviours and achieving results
- D** Access to Succession Management or Leadership, Education and Development programmes.

**(b) Personal Development Plan**

A Personal Development Plan (PDP) is a form of self-managed learning that is owned by the individual and enables a strategic approach to setting learning and development goals. It provides



people with the opportunity to benefit in terms of receiving feedback, planning their careers and receiving support from their line manager for their professional and personal development. For the organisation, PDPs provide a mechanism for managing and developing people effectively, enhancing quality of working life and supporting the provision of quality services on a value for money basis.

Personal Development Planning (PDP) is a continuous development process that enables people to make the best use of their skills and helps advance both the individual's plans and the strategic goals of the organisation. It also provides the framework to focus on development needs which may result from change in work roles, or from organisational or legislative change, or from challenges involved in managing people or working in teams.

PDP is a working strategy which helps identify development needs. The impetus of PDP lies with you the individual taking responsibility for your own development and not sitting back waiting on someone else to do it for you. The focus is on development versus task, which signifies that the process is continuous by its very nature. The individual is developing, not just learning, a new task. PDP is a planned approach to setting development objectives. It ensures that people are equipped and skilled to deal with existing or future job roles – they are not merely reacting to a situation when it happens.

PDP can be said to comprise the following:

- A mechanism that allows the individual and his or her line manager to identify learning needs, set objectives to meet those needs and pinpoint the resources necessary in order to achieve them. The main focus is on staff development – which must be agreed between the staff member and the line manager.
- A process that can identify and measure the individual's learning needs against the objectives of the organisation. This means that personal development is in line with what the person needs – to do a better job or become more effective in a certain area of work.
- An open and transparent approach to development. It is not simply a case of “he who shouts loudest gets the biggest slice of the budget for training and development”. As the plan is discussed and agreed by the line manager, the organisational objectives are fully taken into account.
- A form of self-managed learning. This requires that individuals take responsibility for their own development and follow-through. The spin-off is that people are more motivated to

learn what they have helped to identify as a learning need. Through this learning process PDP provides the bedrock to staff empowerment. The great advantage of personal development planning is that it can be used in several different contexts. It can be used• to develop a whole life plan which covers your personal life goals as well as career goals• to focus on your career generally• to focus on how to get to the next level within your organisation• to determine what you need to become more effective in your present role/job. Irrespective of the context, personal development planning benefits everyone in the organisation Personal Development Planning Guidelines and Workbook Page

Full details of Personal Development Planning and associated documents and Workbook are available on the HSE's e-learning website [www.hseland.ie](http://www.hseland.ie) .

**(c) HSELand e-learning programmes**

HSE On-Line Learning Centre ( [www.hseland.ie](http://www.hseland.ie) ).

[www.HSELand.ie](http://www.HSELand.ie) is an online learning portal developed and run by the Health Service Executive through the Human Resources Function. It is available to all Healthcare Professionals in the Republic of Ireland, both within Health Service Executive (HSE), Voluntary Hospital Sector, and associated Non-Government-Organisations (NGO's) working in health or allied disciplines. HSELand.ie provides courses and learning resources for healthcare workers in both the hospital and community health settings. Access to HSELand.ie is available over the internet, on a secure site, using Secure-Site-License (SSL) certificates, and can be accessed from any internet capable computer, whether at work or at home. The project has been in existence since 2005 in pilot status, and has been fully functioning since 2007.

There are now almost 50,000 registered users on HSELand.ie. This figure reflects a phenomenal growth rate of over 300% in the number of registered users since 2008.

The trends in these figures would suggest a healthy response to promotional efforts and a realisation in these uncertain times of the value and opportunity offered by on line learning. To date a higher level of engagement is evident among clinical staff for clinical courses that are relevant to the current need. These courses also have associated with them clear operational links or are heavily promoted by the services or departments that have commissioned and funded them.

**Support for Learners on HSELand**

Users of HSELand.ie can complete 'start to finish' interactive learning transactions. They can log onto the system and:

- Carry out a competency assessment
- Plan professional development for the coming year
- Access on line prospectus for each region with course listings and calendar of events
- Complete mandatory e-learning programmes where appropriate
- Complete e-learning programmes on demand (learning what they want, when they want)
- Print off a certificate of achievement when they successfully complete an e-learning course.  
This can be used as evidence of having completed professional development
- Access libraries of learning resources including documents, videos and links

- Participate in / contribute to subject specific collaborative learning hubs, forums, wikis and blogs
- Manage their learning path

Learners will soon be able to complete an e-portfolio online, with an initial rollout envisaged for Medical Interns and Nurses & Midwives.

### Focus of HSELand

The focus for HSELand continues to be on the on-going development of learning facilities that promote self-directed learning for healthcare workers across the disciplinary spectrum, but in a way that is entirely reflective and supportive of HSE strategic and operational priorities. This is achieved by working very closely with services at both national and regional levels. As internal consultants we are also particularly well placed to identify strategic savings by encouraging collaboration between regions or local services toward a national focus, so that learning resources are shared across the organisation.

Learners now have more control over their own learning and many more opportunities to develop their competencies. We believe this is in keeping with current public and private sector trends that emphasise self-improvement and life-long learning. Learners can also take part in informal learning, social learning and collaborative learning via the practice development hubs and through using the web 2.0 social media available in HSELand.ie. This was previously very difficult due to the diverse geographical locations of healthcare workers throughout Ireland. In addition, advances in technology infrastructure and software development are continually improving accessibility. HSELand.ie has also benefited from a recent technology and server upgrade to improve its capacity, capability and performance. Further functionality is continually being explored to further enhance the on line environment and the learner/user experience.

Full support is also offered to all users/learners through the provision of on line and telephone support services.

The range of learning tools, services, resources and supports offered on HSELand.ie which might offer appropriate support to a **Performance Management initiative** includes:

- **360 competency assessment tool** which allows individuals to identify their strengths and areas for improvement against an established HSE Management Competency Framework

- **Personal Development Plan Workbook** – helps the individual to set career goals and plan their learning objectives.
- **67 e-learning programmes** covering a wide range of topics. (36 of which have been developed internally by Irish Health Services subject matter experts)

Those particularly appropriate to supporting Performance Management in its broadest context might include: (in alphabetic order)

<ul style="list-style-type: none"> <li>➤ Balancing Work and Family</li> <li>➤ Clinical Audit</li> <li>➤ Coaching</li> <li>➤ Communication</li> <li>➤ Communication with Consideration</li> <li>➤ Conflict Resolution</li> <li>➤ Creating and Maintaining Life Balance</li> <li>➤ Critical Thinking Skills</li> <li>➤ Decision Making Skills</li> <li>➤ Developing and Leading an Effective Team</li> <li>➤ ECDL/ICDL: Concepts of Information Technology (IT) v 4.0</li> <li>➤ ECDL/ICDL: Databases v 4.0</li> <li>➤ ECDL/ICDL: Information and Communication v 4.0</li> <li>➤ ECDL/ICDL: Presentations v 4.0</li> <li>➤ ECDL/ICDL: Spreadsheets v 4.0</li> <li>➤ ECDL/ICDL: Using the Computer and Managing Files v 4.0</li> <li>➤ ECDL/ICDL: Word Processing v 4.0</li> <li>➤ Effective Presentations</li> <li>➤ Effective Time Management for You</li> <li>➤ Emotional Intelligence</li> <li>➤ Equality and Diversity</li> <li>➤ Finance Management</li> <li>➤ Goal Setting</li> </ul>	<ul style="list-style-type: none"> <li>➤ Health, Safety and Security</li> <li>➤ HSE Records Management</li> <li>➤ Integrated Discharge Planning</li> <li>➤ Investigating the Problem</li> <li>➤ Learning styles</li> <li>➤ Managing Project Teams</li> <li>➤ Microsoft® Office Excel 2003: Level 2</li> <li>➤ Motivating Your Employees</li> <li>➤ People Management - the Legal Framework</li> <li>➤ Personal and People Development</li> <li>➤ Personal Development Planning</li> <li>➤ Problem Solving</li> <li>➤ Project Management Skills for Non-Project Managers</li> <li>➤ Quality</li> <li>➤ Recognizing and Avoiding Burnout</li> <li>➤ Safer Manual Handling</li> <li>➤ Service Improvement</li> <li>➤ Service Planning</li> <li>➤ Solving Problems As A Team</li> <li>➤ Succeeding Through Teamwork in Business</li> <li>➤ Systems Analysis Training Workshop</li> <li>➤ Welcome to the HSE</li> </ul>
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- **Online learning resources** also include reports; publications; e-videos; links to websites; online libraries; personal development, leadership and management resources; and organisational development learning resources. A range of specific 'performance management' tools generated through previous initiatives such as 'Personal Development Planning' (PDP), 'Team Based Performance Management' (TBPM), 'Performance Planning and Review' (PPR) are also available.

As an appropriate and useful support to this initiative a direct link from HSELand through an **Athens log in** can be made to the full resources of the Irish Management Institute. This offers a further a comprehensive range of on line resources and access to Leadership and Management on line journals not available through HSE Libraries.

- **Practice Development Hubs** – are designed to reflect specific content areas and facilitate knowledge sharing between multidisciplinary groups spread throughout Ireland. Each hub features social learning resources including forums (upload files and polls), wikis, blogs, internal messaging, user profiles and videos. Employees have access to some or all of the hubs to collaborate and knowledge share, depending on their job role. The key hub to initially support a performance management initiative might be the **Leadership Development Hub** which provides support to leaders and managers as the HSE moves towards an integrated service. We would propose that within this dedicated hub learning resources might be hosted or directly linked to support Supervisors and Managers in implementing performance management. This might develop as part of a blended learning approach. Key themes could be supported through the hosting of discussion forums, blogs, wikis, pod casts, webcasts and very soon a live webcasting / web-conferencing facility.

Other hubs which can offer additional support to this initiative may include

- **The Change Hub** offers practical assistance and advice on managing change.
- **The Integrated Discharge Planning Hub** is designed to support staff who have a responsibility for implementing IDP regionally and locally and who wish to collaborate online.
- **The Learning and Development Hub** has been developed to encourage networking, development and sharing of best practice amongst learning and development specialists within the Irish Health Sector.
- **The Quality and Patient Safety Hub** is a resource that provides relevant information and learning resources for health care professionals across all practice domains. It is primarily a learning space, devoted to innovation, clinical leadership and a sincere desire to develop close working partnerships between practitioners and service users.

**(d) Continuous Professional Development****CONTINUED PROFESSIONAL DEVELOPMENT STATEMENT**

This document was developed by a subgroup of the Health and Social Care Professionals Education and Advisory Group in conjunction with the HSE and aims to promote a shared understanding of Continued Professional Development (CPD). This document does not replace CPD statements that are produced by relevant Health and Social Care professional bodies. Professionals reading this document are advised to do so in conjunction with the CPD statement from their own professional body.

**What is CPD?**

CPD is any activity where an individual learns new skills or knowledge relevant to their professional role. CPD is an ongoing cyclical process in which individuals reflect on their practice and assess their knowledge and skills, identify learning needs, decide on actions required to meet those learning needs, implement the learning plan and evaluate the effectiveness of their learning (TPO, 2007). Various definitions of CPD are offered by professional bodies in Ireland and are available at the end of this document. All definitions demonstrate a common understanding in relation to CPD and reflect the fact that CPD is an essential and integral part of being a healthcare professional today.

**What drives CPD?**

CORU has already stated that we must:

- Audit, reflect on and review practice
- Identify one's own professional development needs through reflective practice
- Develop and regularly review a personal development plan
- Understand the value of reflective practice and the need to record the outcome of such reflection

There are a number of other drivers that encourage Healthcare Professionals to engage in CPD. The joint principles of quality and accountability incorporated in the 2001 Health Strategy developed by the Department of Health and Children require health professionals to remain highly competent and motivated to continually improve their knowledge and clinical skills. This strategy also highlights increased professional accountability, increased rights and expectations of clients and tighter professional demands. A number of other documents have in recent years

placed CPD high on the agenda. 'There has been a substantial development in best practice which has placed additional demands on professionals' (Expert Group, 2000). The 'Action Plan for People Management' (2002) focuses on the need for the organisation to improve the management of people within the health sector. This plan also recognised that training need not be external and costly, but more training should happen within the organisation, including coaching, mentoring and action learning. The Action Plan for People Management outlines the organisation's responsibility to develop its workforce. The HSE Transformation Programme (2007-2010) recognises the need for continuous improvement and the on-going learning of all health professionals. The Education and Development of Health and Social Care Professionals in the Health Service 2009-2014 recommends "facilitating CPD and the development of recording, monitoring and review mechanisms for same. All levels of CPD from on-the-job learning to more formal programmes and post-graduate studies should be recognised and recorded". This document also states that "CPD should be viewed as a quality issue and consideration should be given to making evidence of CPD a requisite to practice and promotion". CPD is a vital component in building and maintaining competence and fitness to practice, and ensures that personal and professional development goals are both set and achieved.

The HIQA – Draft National Standards for safer and better healthcare also reinforce the requirement for professional development.

- "The quality and safety of healthcare depends on the people who deliver it. Therefore, the workforce should have, maintain and continuously develop the knowledge, skills, attitudes and behaviours to provide safe and high quality care"
- Standard 5.3 "The workforce have and maintain the competencies required to deliver high quality and safe care"
- 5.4.4 "Service providers inform the relevant professional body where they consider that the performance or conduct of a professional may be below the requirements of the professional body"

The Health and Social Care Professionals Act (HSCPA, 2005) – set in motion statutory registration for 12 Health and Social Care Professional groups overseen by the Health and Social Care Professionals Council (HSCPC). The Health and Social Care Professionals Council (CORU) is currently introducing mandatory registration for Health and Social Care Professionals. The purpose of statutory registration is 'to protect the public by promoting high standards of professional conduct and professional education, training and competence among registrants of the designated professions.' (HSCPA, 2005).



**Why should professionals engage in CPD?**

The HSCP Education and Advisory Group acknowledge a range of benefits obtained from engaging in CPD activities. These include but are not limited to the following;

***Benefits to the client:***

- The client receives a high quality, evidence-based service

***Benefits to the Professional***

- Improves confidence in delivery of professional service
- Promotes and maintains competence to practise
- Improves satisfaction with work role
- Promotes lifelong learning
- Provides structure and support for the health professional and for his or her valued goals
- It enhances career opportunities

***Benefits to the organisation:***

- Contributes to meeting the increasing demand for accountability, flexibility and a skilled and competent workforce
- Improves inter-professional working
- Meets organisational objectives
- Improves staff motivation and morale
- Contributes to Quality Assurance

***Benefits to the profession:***

- Enhances the status of profession
- Promotes research and evidence based practice increasing professional recognition
- Provides stakeholders with evidence of the professions commitment to a high quality service

**Types of CPD**

CPD involves any activity where the individual is learning. CPD can incorporate a range of formal, informal and work-based activities. It occurs on the job through day-to-day experiences, performance reviews, journal clubs, peer discussion, in-service training, critical analysis and personal reflection. Clinical supervision, lecturing, clinical teaching, writing reports, significant

incident analysis and research are also identified as CPD activities. Healthcare professionals also learn from direct association with peers and colleagues, and from interaction between team members and with service users/clients. 'There is also a growing trend to acknowledge the value of interprofessional and team based CPD– CPD should recognise the benefits of learning across professional boundaries' (GMC, 2003). This can be as a result of planned inter-professional education or can happen spontaneously in the workplace.

Examples of CPD activities are listed below. This list is not exhaustive and provides some examples of CPD activities. Each professional body will categorise CPD activities in various ways e.g. Formal, Informal, Work- based learning, self-directed activities.

- Attending Courses, conferences and in-services
- Student education
- Writing articles for a newsletter or journal
- Active involvement in your professional association or committees
- Further education and research
- Coaching of and from others
- Discussion about a clinical case with colleagues
- Peer review
- Involvement in wider work of employer
- Work shadowing (this can also involve shadowing a professional from another discipline)
- Clinical audit
- Secondments
- Job rotation
- Attending or organising a journal club
- Reading journal articles
- Supervision of staff/students
- Presenting at an in-service or workshop
- Developing new policies or procedures for the workplace
- Resolution of conflict
- Organising courses
- Involvement in your professional body
- Membership of special interest groups
- Reflective practice

**CPD Planning**

Appropriate CPD planning is crucial to ensure that healthcare professionals access CPD that is relevant to their individual learning needs, the needs of the service in which they work and also relevant to the needs of their service-users/clients. CPD is an ongoing cyclical process in which an individual reflects on their practice and assesses their knowledge and skills, identifies learning needs, decides on actions required to meet those learning needs, implements the learning plan and evaluates the effectiveness of their learning (TPO, 2007). Requirements for education and development will vary depending on from professional to professional and will depend on the individual's competencies, experience, job role, learning style etc. CPD planning is crucial to ensure such needs are identified and met. Departmental support and encouragement is required for this and CPD planning should be carried out in conjunction with a manager or senior colleague to ensure that the identification of learning needs are relevant to the individuals current work setting and scope of practice.

Various tools are available to help professionals with their CPD Planning. These include;

- ✓ The Therapy Project Office Continued Professional Development Planning Tools (Individual and Departmental)
- ✓ Personal Development Plans (PDP's)
- ✓ Competency assessment tool and PDP workbook on [www.HSEland.ie](http://www.HSEland.ie)
- ✓ Annual appraisal / performance review

## **How to measure CPD?**

Methods for measuring and recording CPD vary from profession to profession. Professional bodies may measure CPD in terms of hours, credits or points. Relevant professional bodies will provide guidance on this along with suggestions for a blend of CPD activities.

The most important thing professionals must consider when measuring CPD is learning outcomes and any changes in practice that take place as a result of engaging in a CPD activity. Engagement in CPD activities, learning outcomes and reflection on learning should all be documented.

## **How do we integrate knowledge into Practice?**

One way of integrating knowledge and practice is through reflection and the use of reflective practice should be promoted as a tool for learning. Reflection is an active process which develops self awareness and learning; and enhances professional expertise by enabling the practitioner to undertake 'joined-up thinking i.e. turning conscious thought into action resulting in a desirable change in behaviour and practice" (Burton, 2000).

Reflection can help;

- analyse complex and challenging situations
- consider the way you make decisions
- make connections between your non-work activities and your practice
- make it more likely that you will put what you have learned into practice
- Improve your problem solving skills
- Identify future learning needs

## **WHO IS RESPONSIBLE FOR CPD?**

CPD involves health care professionals 'taking responsibility for the content, relevance and quality of their own development. It involves them identifying their own development needs, planning a programme of education and learning to meet those needs, and recording and

reflecting on CPD activities they have undertaken' (TPO, 2007). Support from management and the organisation to which the individual belongs is essential also.

## **Conclusion**

Healthcare professionals have a responsibility to engage in CPD throughout their working lives and the term 'lifelong learning' is integral to this practice. Increasing demands are currently being placed on healthcare professionals to respond to and adapt to a changing work environment with changes in service delivery and increasing clinical demands and expectations. Engagement in Continued Professional Development is synonymous with these changes. Healthcare professionals must continually update and obtain new competencies and ensure that their practice is evidenced based and in line with best practice. A commitment to CPD is essential in this context.

All Healthcare professionals should:

- Engage in CPD planning ensuring that CPD accessed is relevant to their individual learning needs, the needs of the service in which they work and also relevant to the needs of their service-users/clients.
- Ensure that reflection on learning takes place and is recorded and evaluated and the benefits for professional learning, their service user and service are documented.
- Documenting the learning obtained from engaging in various CPD activities is absolutely essential and health care professionals must be afforded the time and given the know-how on how to achieve this.

## **Definitions of CPD offered by professional bodies:**

### **The Irish Association of Speech and Language Therapists:**

- ✓ Continued Professional Development is the ongoing process of developing and updating the knowledge and skills necessary to ensure competent professional practice (IASLT 2008).

### **The Irish Nutrition and Dietetic Institute:**

- ✓ "The maintenance and enhancement of the knowledge, expertise and competence of professionals throughout their careers according to a plan formulated with regard to the needs of the professional, the employer, the profession and society". (Madden and Mitchell, 1993) adopted by INDI.

**The Irish Society of Chartered Physiotherapists:**

- ✓ CPD 'can be viewed as a process, which includes all activities that provide opportunities for the development of the individual physiotherapist and the profession as a whole. It is dependent on the individual's ability to critically evaluate and review their work through clinical reasoning and reflection (Cooney and Blake, 2000) adopted by the ISCP.

**The Association of Occupational Therapists in Ireland:**

- ✓ The process of learning and development which continues throughout a professional's working life that encompasses the following elements:
  - The maintenance and development of knowledge, skills and attitudes
  - The capacity to practice in an effective and professional manner within current and evolving scopes of practice
  - A range of learning activities and ongoing reflection on, in and for practice
  - A philosophy underlying and a strategy to maintain professionalism

**The Psychological Society of Ireland:**

- ✓ The Psychological Society of Ireland provide a number of definitions of CPD in their CPD information booklet for members. These include; CPD is any process or activity that provides added value to the capability of the professional through the increase in knowledge, skills, and personal qualities for appropriate execution of professional and technical duties, often termed competence. (Professional Associations Research Network, 2003). CPD is the systematic maintenance, improvement and broadening of knowledge and skills and the development of personal qualities necessary for the execution of professional and technical duties throughout the practitioners working life. (Institute of Engineers Ireland, 2003, Maintenance of occupational competence in their specialism and sustaining an academic knowledge base underpinning that specialism. (Standing Committee CPD, BPS, 2000)

**Irish Institute of Radiography and Radiation Therapy:**

- ✓ Continuing Professional Development (CPD) is the means by which Diagnostic Radiographers and Radiation Therapists maintain, improve and broaden their knowledge and skills and develop the personal qualities required in their professional lives.
- ✓ 'It refers to the process of tracking and documenting the skills, knowledge and experience that you gain both formally and informally as you work, beyond initial training (Melanie Allen). It invariably refers to the documentation of all of this learning.
- ✓ CPD is an 'ongoing professional activity in which the practitioner identifies, undertakes and evaluates learning appropriate to the maintenance and development of the highest standards of practice within an evolving scope of practice. It is a professional process and must be evidenced by an evaluation of its contribution to practice, not simply by documentation of learning or educational achievement (College of Radiographers).

**(e) Regional Performance & Development Programmes**

Please contact your local Performance and Development Unit to find more information on training and development programmes available within your Region.

**Contact details;**

HSE Dublin North East – 041- 6871430 /041-6857816 /01-6209170

HSE Dublin Mid Leinster – 045 880432

HSE South – 021-4927400

HSE West – 071 9822100/091 775 581/061 483 613

## Appendix 4

### Objective Setting

Objectives and performance outcomes should be realistic and achievable but at the same time they should be challenging and serve to raise the standard of service provided. This is easier achieved when objectives are set within a unit or service. It may be more of a challenge when the objectives are set externally. Irrespective of whether objectives are generated internally or externally the identification of objectives and performance outcomes, in support of team, unit or service objectives, should follow a structured approach. This approach is represented by the anagram SMART. This approach encourages us all to consider 5 elements that will help in coming to a better understanding of what is required, when it is required and what success will look like.

The anagram SMART stands for;

- **Specific** – the individual knows exactly what to achieve
- **Measurable** – achievement can be measured in terms of quality, quantity, cost and time. The performance outcome required is described.
- **Achievable** – given the resources available – both human and financial – the possibility of meeting the objectives. Allow for raising the standards by setting some “stretch” objectives.
- **Realistic & Relevant** – it contributes to the organisational / business unit objectives or the individuals development plan
- **Time-bound, Timely** – the start and finish dates, time span or frequency are specified as appropriate

#### **Types of Objective**

Quantitative: these objectives are usually expressed in numerical terms. See 10 clients per day, reduce error rate by 5%: conduct 5% more audits

Event or time line: these objectives relate to the completion of events / activities. These objectives are often support activities necessary to achieve some other objectives, e.g. recruit 50 nurses by 1<sup>st</sup> June: publish report on the 4<sup>th</sup> of each month

Behaviours: these objectives relate to existing behaviours being strengthened, new behaviours being introduced or ceasing specific existing behaviours being ‘



**Appendix 5**  
**CIPD\* Employment Engagement Management Competency Framework**  
**\* Chartered Institute of Personnel and Development**

Theme	Management competency	Description
<b>Supporting employee growth</b>	Autonomy and empowerment	Has trust in employee capabilities, involving them in problem-solving and decision-making
	Development Feedback, praise and recognition	Helps employees in their career development and progression Gives positive and constructive feedback, offers praise and rewards good work
<b>Interpersonal style and integrity</b>	Individual interest Availability	Shows genuine care and concern for employees Holds regular one-to-one meetings with employees and is available when needed
	Personal Manner	Demonstrates a positive approach to work, leading by example
	Ethics	Respects confidentiality & treats employees fairly.
<b>Monitoring direction</b>	Reviewing and guiding	Offers help and advice to employees, responding effectively to employee requests for guidance.
	Clarifying expectations	Sets clear goals and objectives, giving clear explanations of what is expected.
	Managing time and resources	Is aware of the team's workload, arranges for extra resources redistributes workload when necessary
	Follows processes and procedures	Effectively understands, explains and follows work processes and procedures.

**CIPD Employment Management Competency Framework**

**THEME: SUPPORTING EMPLOYEE GROWTH**

Competency	Positive behaviour indicators	Negative behavioural indicators
<b>Autonomy &amp; empowerment</b>	<p>Allows employees to do the job the way they want.</p> <p>Welcomes ideas and feedback from employees.</p> <p>Encourages employees to step outside of their comfort zone.</p> <p>Strikes the right balance between giving guidance and giving responsibility.</p> <p>Enables visibility with senior management</p> <p>Makes an effort to support employees</p> <p>Backs up employee decisions.</p> <p>Involves employees in problem-solving and decision-making</p> <p>Acts as a coach when needed.</p> <p>Shows faith in employee's capability to do their job.</p>	<p>Is overly critical of employees.</p> <p>Micro-manages employees</p> <p>Blames employees for decisions taken.</p> <p>Focuses on mistakes.</p> <p>Ignores additional employee efforts.</p> <p>Demonstrates lack of trust in employees' capabilities.</p> <p>Tells employees what to do rather than being consultative.</p> <p>Does not allow decisions to be challenged.</p> <p>Does not give employees opportunity to solve their own problems.</p> <p>Negatively compares employees to others.</p>

**CIPD Employment Management Competency Framework**

<b>Development</b>	<p>Gives team members extra-role responsibilities.</p> <p>Offers opportunities for progression.</p> <p>Sets challenging/stretching tasks and objectives.</p> <p>Plans/arranges time off from day to day tasks for development opportunities.</p> <p>Encourages people to go on training courses.</p> <p>Helps/encourages employees to apply for promotions or new jobs.</p> <p>Gives advice on career progression and development needs.</p> <p>Arranges development activities for employees.</p>	<p>Does not give employees direction in progression and career development.</p> <p>Discourages employees from pursuing further job opportunities.</p> <p>Does not provide opportunities for employees to use their skills.</p> <p>Does not provide training opportunity for employees.</p> <p>Gives inadequate time for development tasks.</p>
<b>Feedback, praise &amp; recognition</b>	<p>Shares employees' achievement with the team and senior management.</p> <p>Gives positive, constructive &amp; specific feedback.</p> <p>Thanks employees for their work.</p> <p>Congratulations employees on their successes.</p> <p>Gives clear reasons behind the feedback.</p> <p>Nominates individuals for awards/rewards where relevant.</p> <p>Recognises individuals excellent work.</p> <p>Shows understanding when giving feedback on things that haven't gone well.</p> <p>Balances positive and negative feedback effectively.</p> <p>Recognises both team and individual contribution and performance.</p> <p>Gives timely feedback.</p>	<p>Only gives negative feedback.</p> <p>Does not give thanks and recognition.</p> <p>Does not show appreciation for people's hard work and extra effort.</p> <p>Gives limited or no feedback.</p>

**THEME: INTERPERSONAL STYLE & INTEGRITY**

<b>Competency</b>	<b>Positive behavioural indicators</b>	<b>Negative behavioural indicators</b>
<b>Individual interest</b>	Cares about employee achievements Shows consideration and interest in employees' personal lives Checks employees are feeling okay Makes employees feel as if they're part of a team Remembers employee details such as birthdays Arranges social events Shows understanding of employee pressures Asks employees how they can improve their job enjoyment Listens to what employees have to say	Demonstrates lack of consideration of employees' personal circumstances Does not demonstrate interest in employee job satisfaction Does not demonstrate personal enjoyment of employees Inflexible with employees wanting time off Does not listen to what employees have to say Does not take employee concerns seriously Makes assumptions of what employees want
<b>Availability</b>	Holds regular one-to-one meetings Is available for employees when needed Genuinely makes time to help and support the team Has regular team meetings Informs employees how to contact them when they are not in the office	Is too busy to give enough time to employees Cancels one-to-one meetings Does not have regular one-to-one meetings with employees Is unavailable when needed Is not visible on a regular basis Limited or no contact with individual
<b>Personal Manner</b>	Takes a positive approach to work Shows enthusiasm for work Is approachable Provides employees with reassurance that they are doing a good job Is willing to have a laugh at work Is willing to demonstrate their own weaknesses	Is aggressive towards employees Uses email rather than speaking personally to employees Is unapproachable Demonstrates a lack of care about one's own work Is not interested in work Uses humour and sarcasm inappropriately Does not lead by example
<b>Ethical</b>	Respects employee confidentiality Communicates issues to employees honestly	Shows favouritism Treats employees differently Does not respect confidentiality Talks about employees behind their backs Criticises employees in front of others Does not respect employees' contributions

**THEME: MONITORING DIRECTION**

Competency	Positive behaviour indicators	Negative behavioural indicators
<b>Reviewing &amp; Guiding</b>	<p>Gives guidance on how to meet targets. Makes suggestions of how to improve work. Highlights any barriers and gives guidance on how to overcome them. Monitors work to improve quality of work. Provides one-to-one support to undertake tasks. Asks if employees need help. Provides examples of previous work (eg reports) for employees to follow. Helps employees to prioritise work. Is open to questions. Does not give advice unless it's the right advice. Helps employees to come up with new ideas and ways to do their work.</p>	<p>Does not give advice when required. Criticises without providing solutions. Not interested in finding out answers to employee's questions. Ignores employee requests for guidance. Deflects responsibility of problem-solving to senior management. Gives vague rather than specific advice.</p>
<b>Clarifying expectations</b>	<p>Sets clear goals and objectives. Takes time to explain what is needed in the role. Makes employees aware of how their role fits in with the company objectives. Demonstrates understanding of the role that employees. Explains to the employees how their work fits with expectations.</p>	<p>Does not clarify expectations and role requirements. Is not clear of their own role requirements. Does not keep employees up to date of changes in job requirements. Demonstrates a lack of understanding of employees' job role. Provides conflicting information to employees. Fails to communicate if employees are on track or not.</p>
<b>Managing time &amp; resources</b>	<p>Is keen to understand and resolve workload problems. Is aware of their team's workload. Arranges for employees to have time off phones when necessary. Allows employees to come into work early or leave late if required. Pitches in to help during busy periods. Gains extra or redistributes resources to manage high workload.</p>	<p>Does not respond to the need for extra resources Does not give adequate time for planning. Interrupts employees when working to a deadline. Gives additional work to employees who are already struggling with their workloads. Does not recognise how much work they have already given to employees. Does not discuss workload with employees. Gives extra tasks to employees late in the day. Does not stay behind to support with extra workload.</p>

	Provides time and space for employees to complete complex tasks. Sets effective deadlines.	
<b>Following process and procedures</b>	Produces work plan for employees. Sets regular performance reviews. Demonstrates an understanding of work processes. See the process through from beginning to end. Clearly explains procedures. Always does what they say they are going to do. Follows up on issues on behalf of employees.	Demonstrates lack of understanding of processes and procedures. Does not consistently follow process and procedures. Unduly focuses on one element of the process. Tells employees to follow process and procedures but does not follow themselves. Does not follow up on action points. Does not follow on employee issues.

**APPENDIX 6**



**Performance Improvement Action Plan**

**Confidential**

### Performance Improvement Action Plan

Your Name		Your Grade	
Your position title		Service	
Years in current role		Your PMC meeting dates:	Meeting 1: Meeting 2: Meeting 3:
Manager's Name		Manager's Job Title / Grade	

**Performance Issue(s):** - *List the specific performance issues discussed*

**Performance Requirements** - *Identify the performance level required that must be performed on a consistent basis*

**Goals And Action Plans** – *identify activities the employee will initiate to improve performance with targeted dates*

**Skill / Knowledge/Competency Development Required** - *identify requirements to meet work performance expectations with targeted dates*

**Changes Needed** - *identify the changes required to meet work performance expectations with targeted dates*

**Support and Resources** – *identify the support and resources that will be provided to assist the employee to develop the skill / knowledge/competency with targeted dates*



<b>Expected Results</b> - <i>list measurements (e.g. quantity, quality, time) to evaluate progress</i>
<b>Feedback Plan</b> – <i>identify 'check in' dates to review progress by the employee and manager</i>

Employee Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Supervisor Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Date of meeting \_\_\_\_\_