

# Staff Probation, Supervision & Performance Review

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Change Record				
Version No:	Nature of change:	Issue Date:	Date Ratified:	Ratified By:
1	First Issue	May 2002	May 2002	Board
2	Converted into ISO format	Sept 2008	Sept 2008	Board
3	Narrative Amendment	Feb 2011	Sept 2010	Board
4	Narrative amendment on Page 3 to clarify arrangements for existing staff	Nov 2011	Sept 2011	Board
5	Re-titled and amendment to include arrangements for menu of supervision options	Apr 2014	Mar 2014	Board
6.	Inclusion of reduction of probationary period for internal transfers on same grade	Sept 2015	Sept 2015	SMT

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# Staff Probation, Appraisal & Supervision Procedure

## Scope

This document applies to all Triangle Housing Association employees and sets out the arrangements in place to appraise the performance of staff during their probationary period as well as on a quarterly and annual basis thereafter.

Within this procedure, the probationary period refers to a new employee's first 6 months in employment. Quarterly reviews and annual reviews are referred to as 'performance review meetings'.

## Responsibilities

Department Heads and line managers are responsible for the implementation of this policy; staff are responsible for adhering to it. Human Resources are responsible for assisting management implement these procedures through the provision of the relevant administrative processes and guidance to staff and managers.

## Procedure

### General Principles

- Triangle is committed to ensuring that there are robust arrangements in place to monitor and review the performance of all staff across the organisation.
- Triangle recognises that the benefits of performance management, in terms of improved communication and enhanced performance for the organisation and its employees, can only be achieved through the continuous commitment of all parties involved in the scheme.
- All managers carrying out performance reviews with staff will be required to attend training on this topic as part of the Association's management development programme. All new staff will be briefed on the processes within this procedure as part of their induction programme and on a regular basis thereafter.
- Human Resources will assist managers in the implementation of these procedures through a reminder system for forthcoming reviews and relevant reports to the Senior Management Team upon request through the PAMS and crystal reporting system.

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## Probation procedures

- All new Triangle employees are subject to a six month probationary period. A probationary period will also be required for new and existing staff who have been transferred or promoted into new roles with Triangle, however in these circumstances the probationary period may be reduced to 3 months where the employee is transferring from a role on a similar grade and performance reaches an acceptable standard within the 3 month period.
- The probationary period is intended to allow both the employee and their line manager to assess objectively whether an employee is suitable for the role.

Line managers are responsible for ensuring that all new employees are properly monitored throughout the probationary period. This will involve carrying out probationary review meetings throughout the first six months of employment. A clear record should be made of each review meeting using the Probationary Review form (HR2-2-1) and the Human Resources department should be informed when a meeting has taken place.

The review meetings will ensure that the staff member is properly informed at the beginning of the probationary review period about what is expected of them, for example the required job outputs or standards of performance. It will also ensure regular feedback to the employee about their performance and progress in terms of meeting the required outputs/standards.

Issues arising during the course of the probationary period must be dealt with promptly. Line managers should raise these with the employee as soon as possible with a view to resolving them. The line manager is also responsible for providing guidance and support as well as arranging any appropriate training required upon induction.

- At the end of the six month probationary review period, the line manager should conduct a final review of the employee's performance and suitability for the job. The review must be conducted on or shortly before the date on which the probationary period comes to an end. If the employee's performance is satisfactory, the line manager should notify Human Resources via the Outcome of Probationary Review form (HR2-2-2). Human Resources will then be responsible for issuing a letter of Confirmation of appointment (HR2-2-4) to the employee.
- Triangle reserves the right to extend an employee's period of probation. An extension may be implemented in circumstances where the employee's performance during probation has not been entirely satisfactory but it is thought likely that an extension of the probationary period may lead to an improvement, or where the employee or line manager has been absent from the workplace for an extended period of time.

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Where a probationary period is being extended, the line manager will notify HR via the Outcome of Probationary Review form (HR2-2-2). The employee will receive written notification of the extension (HR2-2-5) as follows:-

- The length of the extension and the date on which the extended period of probation will end;
- The reason for the extension and, if the reason is unsatisfactory performance, details of how and why performance has fallen short of the required standards;
- The performance standards of objectives that the employee is required to achieve by the end of the extended period of probation;
- Any support, for example further training, that will be provided during the extended period or probation; and
- A statement that, if the employee does not meet fully the required standards by the end of the extended period of probation, his/her employment will be terminated.

The performance improvement plan template (HR2-2-3) may be useful in summarising the above information.

Extensions to the probationary period should normally be limited to one extension. Similarly, there should be no further extension to an employee's probationary period once the employee has attained 9 months service. Further extensions to the probationary period at this stage are at the discretion of the relevant Director.

- If the employee's performance during probation has been unsatisfactory despite appropriate support from the employer, and it is thought that further training or support would not lead to a satisfactory level of improvement, the employment will be terminated at the end of the period of probation.

Triangle will normally allow the employee to complete their full probationary period rather than terminating employment before probation has come to an end. This allows the employee a full opportunity to reach the required standards.

If however there is clear evidence prior to the end of the period of probation that suggests the employee is wholly unsuitable for the role, a decision may be taken to terminate the employee's contract early.

In these circumstances the employee should be invited to a meeting with the Area Manager (or equivalent), or higher level of management where appropriate, to discuss the termination of their contract on the grounds of unsatisfactory performance/conduct during the probationary period.

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In such circumstances, the employment will come to an end immediately and arrangements made to provide the employee with pay in lieu of notice. Triangle will write to the employee confirming the termination and the reason(s) for it. There is no right of appeal for an employee terminated during or at the end of their probationary period.

- Probationary review forms remain confidential to the line manager and employee; the employee should have a copy for their own safekeeping. A record of the date of the probationary review should be returned to the Human Resources department as should as is reasonable practicable after the probationary review meeting for retention with the employee's personnel records. It is the responsibility of the employee and line manager to ensure that any agreed learning and development is requested, authorised and recorded in accordance with the Learning and Development policy as well as any appropriate procedures.

## Performance Review procedures

- All Triangle employees who have successfully completed their probationary period will be required to participate in annual and quarterly performance reviews with their line manager throughout the course of their employment with the Association.
- The objective of performance reviews are to review achievements over the past year (or past 3 months) and set individual objectives for the next review period. It is also an opportunity to discuss arising training or development needs to assist in the achievement of objectives and evaluate the impact of training already undertaken on the employee's performance.
- Annual reviews should take place over the period from 1<sup>st</sup> April 2010 to 30<sup>th</sup> June. Each year, all managers will prepare a schedule so that each member of the team is allotted a time for a review with them. Annual reviews should not be carried out with staff who are still within their probationary period.

Annual reviews will start from Director level downwards through the organisational structure to facilitate effective communication of corporate objectives and setting of appropriate individual objectives for all team members. Recording these objectives in the Balanced Scorecard format ensures that every employee remains clear about the importance of their work to the achievement of the wider Triangle goals and that any planned development is relevant to Triangle's needs.

Managers must try ensure that employees fully understand the course of action to be taken following the review meeting and that the objectives set are realistic, achievable and fall within the scope of the job.

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- All managers will be issued with a performance review pack in March of every year. The pack will contain:-
  - A preparation form for employees
  - A Performance review form
  - A personal development plan pro-forma (see Learning & Development procedures)
  - A copy of the internal Training programme for the year ahead

The Performance review pack is issued to prompt line managers and staff to follow an agenda for reviews in line with the objectives of the scheme. It is also used to ensure that an accurate account of the discussion that took place at the appraisal meeting is recorded and summaries of any agreed action or outcomes can be followed up thereafter.

- Preparation forms and review forms remain confidential to the line manager and employee; the employee should have a copy for their own safekeeping. The personal development plan, and a record of the date of the supervision, should be returned to Human Resources department as should as is reasonable practicable after the meeting for retention with the employee's personnel records. It is the responsibility of the employee and line manager to ensure that any agreed learning and development is requested, authorised and recorded in accordance with the Learning and Development policy as well as any appropriate procedures.

## Quarterly procedures

- Once the annual reviews have been completed and individual objectives set for all employees for the year ahead, supervisions should take place on a quarterly basis to review performance against these objectives. Each year, all managers will prepare a schedule so that each member of the team is allotted 3 performance review meetings to fall within the following time frames:-
  - 1<sup>st</sup> July to 30<sup>th</sup> September
  - 1<sup>st</sup> October to 31<sup>st</sup> December
  - 1<sup>st</sup> January to 31<sup>st</sup> March

Review meeting dates will be set at the previous session and will only be changed in exceptional, at which point the staff member will be notified.

Performance Review and Probationary meetings may take the form of any of the following suite of options, though there must be a minimum of 2 conventional performance review meetings per annum. Each Director may specify those options which are appropriate to the services within their Directorate:

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- i. Conventional performance review meetings
- ii. Recorded Competency assessments/practice Observations
- iii. Induction readers
- iv. Case reviews
- v. Recorded Group supervisions
- vi. Coaching conversations

Specific recording templates will be used for each type of supervision or performance review.

- Managers should complete the appropriate form with the employee. This form should be completed at each meeting and the agreed personal development plan should also be reviewed to identify further training required and evaluate the impact of training undertaken since the last review.
- All performance review and supervision records remain confidential to the line manager and employee; the employee should have a copy for their own safekeeping. The personal development plan, and a record of the date of the meeting, should be returned to Human Resources department as should as is reasonable practicable after the meeting for retention with the employee's personnel records. It is the responsibility of the employee and line manager to ensure that any agreed learning and development is requested, authorised and recorded in accordance with the Learning and Development policy as well as any appropriate procedures.

## Related Form Index

This procedure has the following associated forms:

Form	Index
Probationary Review Form template	HR2-2-1
Outcome of Probationary Review form	HR2-2-2
Letter of Confirmation of Appointment	HR2-2-3
Confirmation confirming that the probationary period will be extended	HR2-2-4
Performance Improvement plan template	HR2-2-5
Reviewee Preparation form	HR2-2-6
Balanced Scorecard template	HR2-2-7
Appraisal form template	HR2-2-8
Supervision form template	HR2-2-9

<b>Reference Documents</b>	
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