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EPSRC Policy Document

HR2.2 PERFORMANCE MANAGEMENT POLICY

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HR2.2 Performance Management Policy

EPSRC wants to be an efficient and effective organisation. As part of this, EPSRC wishes to be seen as an employer of choice and wishes to be seen by all as an organisation that according operates to high ethical standards, policies and processes.

EPSRC aims to have a policy framework which is clear, accessible and compliant with current employment law, which conforms to the current ACAS Code of Practice, and promotes equality and diversity in the workplace.

1. Aim

The aim of this policy is to define the EPSRC framework for Performance Management.

2. Purpose

The purpose of the HR2.2 Performance Management Policy is to provide an appropriate framework within which to manage the performance of EPSRC employees.

EPSRC recognises that Performance Management should be managed and implemented using tools, techniques and processes which are consistent with its values and comply with legal requirements.

This policy replaces the following CEMs and supporting policy documentation:

CEM	Supporting Policy Documentation
CEM 7D	Code of practice for dealing with unsatisfactory attendance and/or performance

3. Scope

This policy applies to all EPSRC employees who have successfully completed their probationary period.

4. Responsibilities

Line Managers are responsible for:

- Ensuring the policy is applied correctly and adhered to in their area.
- Ensuring that employees are aware of and understand the performance standards and job outputs expected of them.
- Providing information, feedback and guidance on a regular basis, and agreeing opportunities for the employee to work successfully in the role.
- Ensuring performance reviews are scheduled with regular monitoring of the employee between reviews.
- Completing performance reviews and recording them through Oracle in a timely manner.

Employees are responsible for:

- Having an awareness of and understanding the policy.
- Ensuring that their performance meets the requirements of the role and any targets agreed.
- Contributing actively to performance reviews, including undertaking self-assessment through Oracle.
- Ensuring that they make their line managers aware of any mitigating circumstances that could affect their performance.
- Proactively identifying development issues and opportunities and ways in which their performance can be improved.

EPSRC HR is responsible for:

- Monitoring the policy and providing advice and guidance to managers and employees.
- Monitoring performance reviews through Oracle.
- Publishing and reviewing the policy.

SSC HR is responsible for:

- Ensuring the functionality of Oracle so that submitted performance management documentation is logged and processed correctly, and management information generated.

5. Performance Management

The effective management of the performance of employees is the prime responsibility of a line manager in EPSRC, and is critical in the organisation achieving its corporate objectives. However, good performance management will not only provide employees with direction and purpose. It should also provide motivation, support and personal development. Successful performance management is dependant on an effective manager/employee relationship, built around regular conversation, review and feedback. This relationship is critical to the successful operation of any organisational system that exists as a formal record of performance.

This policy identifies the key components of an effective performance management relationship.

5.1. Job Scopes/Job Descriptions

All employees should have a job scope / job description that sets out the responsibilities and outputs associated with their post, and provides a framework for setting objectives and the operation of the performance management system. At the beginning of each review year the employee and line manager should review the job scope and make revisions where necessary, before agreeing work objectives and performance standards for the coming year. Prior to commencing an end of year appraisal, it is important to ensure that the job scope is up-to-date and encompasses all the outputs and achievements on which performance is to be assessed.

5.2. Objectives

An employee's objectives will identify the work outputs required of the employee during the period under review. Objectives will normally relate to the achievement of corporate or strategic goals or process improvements, and should be written in such a way as to be specific, measurable, achievable, realistic and time-bound (SMART). Objectives should be agreed at the beginning of the reporting year and recorded in Oracle Appraisal. However, these may develop as the year progresses, and should be reviewed and updated as necessary as part of regular performance review.

5.3. Competencies

Competencies in this context are the behaviours that employees must have, or must acquire, to input into a situation in order to achieve high levels of performance. The EPSRC Competency Framework describes the behaviours that are expected of employees within the organisation so that EPSRC can achieve its mission and vision. The competencies that are required for a particular post, and the level at which they apply, should be agreed between the manager and the employee. Performance against objectives and competencies will form the basis of any performance management review.

5.4. Performance Reviews

An employee's performance should be reviewed at a meeting of the line manager and employee, normally on a quarterly basis. However, the frequency of meetings, formal or informal, required for effective performance management will be determined by the experience of the employee in the post, the degree of regular interaction that occurs between the manager and the employee, and the awareness the manager has of the work outputs of the employee on a regular basis.

In preparation for a performance review, the employee and manager should ensure they obtain feedback from other people with whom the employee works (in a matrix management or other team situation), and the employee should complete a self-appraisal in Oracle Appraisal, to inform the review discussion.

At a performance review, the manager and employee should agree:

- Performance against objectives and competencies in the period under review, noting achievements and learning points.
- Amendments required to the job scope or objectives.
- Priorities for the next reporting period.
- Strengths and development areas.

In assessing the performance of an employee, managers will take account of:

- What can reasonably be expected of the employee at that level or in that post?
- The employee's level of experience.
- The objectives that were agreed: to what extent have these been met?
- The way in which the objectives were carried out: were the agreed competencies demonstrated, and at the required level?

5.5. End of Year Appraisal

At the end of the appraisal year, the line manager and the employee should complete the annual appraisal with a final performance review. At this review, the line manager and the employee should discuss:

- Overall performance against objectives and competencies for the appraisal period.
- Any strengths or development areas identified.

At this meeting, the manager and employee will agree a short, written assessment of the employee's overall performance.

5.6. Recognition and Reward of Good Performance

EPSRC encourages the recognition and reward of high standards of performance and behaviour aligned to organisational objectives and values. Policy in this area is set out in the HR3.1 Recognition and Reward Policy.

5.7. Managing under-performance

Line managers have a responsibility to take prompt action on under-performance and should consult their own line manager or EPSRC HR as soon as concern arises.

If an employee's performance is not meeting the required standard, it is important to understand the reasons behind the under-performance, as this will determine the policy to be followed and the course of action to be taken.

Most employees will have development needs, e.g. skills, behaviours or knowledge that they need to acquire in order to carry out their work effectively and/or in response to changing working practices. These may be general in nature, such as the need to improve management or communication skills in order to perform effectively at a particular level; or more specialised, such as the ability to carry out a detailed process or operate a particular piece of equipment. EPSRC encourages employees to identify their own development needs in response to organisational needs, and to work with their line manager to meet these. For further information, see the HR2 Learning and Development Policy.

If the employee is unable or unwilling to address a development need, there is likely to be a requirement for action under HR2.3 Capability Policy. This may involve the use of a Performance or Attendance Improvement Plan (PIP and AIP respectively) through Oracle Appraisal.

In circumstances where under-performance results from deliberate carelessness, inattention, or neglect, the case may be considered as one of unsatisfactory conduct under the HR7 Conduct Policy.

Issues relating to attendance due to sickness issues may be considered under the HR5 Absence Policy.

5.8. Resolving differences

If the employee and line manager cannot agree on the assessment of the employee's performance, another manager (normally the next senior manager) will be asked to resolve any differences. In certain cases, and in particular for posts with broad management charge, this manager may be selected from another part of the line management chain. The prerequisite is a fair knowledge of the employee's work combined with appropriate seniority and experience.

6. The Right to Appeal

If the employee feels that an outcome is wrong or unjust, then they should appeal against the decision. Appeals should be heard without unreasonable delay and ideally at an agreed time and place. An appeal made by an employee should be made in writing and submitted to the HR Business Partner.

The appeal should be dealt with impartially and, wherever possible, by a manager who has not previously been involved in the case. The HR Business Partner will appoint a suitable person to hear the appeal. This person should not:

- Have any conflict of interest with any of the parties involved, including the management involved in the grievance process, and
- As far as is reasonably practicable be more senior than the original decision maker.

Employees have the statutory right to be accompanied at appeal hearings.

Employees should be notified of the outcome of the appeal as soon as possible, normally within ten working days.

7. Record Keeping

EPSRC holds employee information, much of which is confidential.

EPSRC holds information about employees which is processed fairly and lawfully and when information is requested from employees they will be informed of the purposes for which it is required.

SSC HR will keep records of all performance management outputs in Oracle Appraisal. Line managers must ensure that any records relating to performance management are completed and submitted electronically in Oracle Appraisal.

8. Related Policies

HR1.1	Probation Policy
HR2.3	Capability Policy
HR3	Reward and Recognition Policy
HR7	Conduct Policy
HR7.1	Grievance Policy
HR7.3	Equality and Diversity Policy

Guidance for Employees Working Overseas

9. Responsibility for monitoring this Policy

The responsibility for monitoring this policy rests with the EPSRC Learning and Development Manager.

10. Responsibility for reviewing this Policy

Reviewer	Approver	Frequency
EPSRC Learning and Development Manager	Associate Director, Operations	Annually

Annex – Performance Management Flowchart

Dated 1 April 2011

