PERFORMANCE MANAGEMENT AND DEVELOPMENT POLICY

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Performance Management & Development Policy (PMD)

Statement of Philosophy

The BAI values people within the organisation and their ability to deliver the best possible standards of service. People are the cornerstone of the effective working of the organisation. The BAI recognises the contribution made by staff and wishes to support and enhance that contribution. The BAI's performance management philosophy is a crystallisation of **good management practices**, which aims to foster a culture within the organisation that encourages the full potential of each individual as they work to achieve the organisation's goals. The evolution of the matrix structure in the BAI means that a culture of two-way, open and continuous communication between all parties is even more important.

The BAI performance management system does not **currently** link performance to the awarding of the annual pay increments or promotions. However, it is very important to have a well established and consistent process in place as Section 1.13 of the Public Service Agreement 2010 – 2014 (The Croke Park Agreement) states that "there will be significantly improved performance management across all Public Service areas, with promotion and incremental progression linked in all cases to performance". The BAI will comply with any directives from central government regarding the linking of increments and promotion to performance and will endeavour to implement any such directives using the principles defined in its PMD policy – see Appendix VII – Q & As.

Definition of Performance Management

(See also Appendix I)

In the context of this policy and for clarity the term "Manager" is used to describe anyone who has direct reports as shown on the most current BAI Organisation Chart (i.e. CEO, Senior Manager, Operational Manager and Line Manager).

The term "Project Driver" is used to describe anyone with responsibility for a Project Plan and the term "Operational Manager" is used to describe anyone with responsibility for an Operational Plan
A "Member of Staff" is defined as anyone on the most current BAI Organisation Chart.

Fully realised, performance management is a holistic process bringing together many of the elements that make up the successful practice of people management including, in particular, learning and development. At its best performance management is a tool to ensure that Managers manage effectively as part of which they ensure that the people they manage:

- Know and understand what is expected of them

- Have the skills and ability to deliver on these expectations

- Are supported by the organisation in developing the capacity to meet these expectations

- Have the opportunity to discuss and contribute to individual goals and objectives.

- Are given feedback on their performance

It is also about ensuring that Managers themselves are aware of the impact of their own behaviours on the people they manage and are encouraged to identify and exhibit positive behaviours.   Where performance management works well, Managers and their direct reports engage in the process on a daily basis. This is achieved through high quality, two-way relationships with their staff - engaging, guiding, motivating, providing recognition, advising, leading and addressing performance issues.

Scope

This policy applies to all members of staff of the BAI, full and part time, permanent or temporary/contract. **All members of staff are expected to engage in the Performance Management and Development Process.[1] Please see Appendix VII Q&A.**

In the case of temporary/contract managers, a 6-month period of induction into the organisation will apply before they will be allocated direct reports, This period of induction will allow for a new member of staff to familiarise themselves with the organisation, its culture and processes, and will also allow for any required training (if applicable) to take place. They will, however, be expected to engage in the PMD process, as a direct report themselves, from their start date.

Objectives

- To provide guidelines and a process to achieve and, if possible, exceed the organisational goals.

- To provide a mechanism to recognise and acknowledge the contribution of staff to the achievement of these goals.

- To clarify the organisation's expectations/requirements of Managers, their Direct Reports and Project Drivers/Operational Managers, in relation to Performance Management & Development.

- To support the growth and development of staff.

- To facilitate regular open, honest and constructive communication between Managers, their direct reports and relevant Project Drivers/Operational Managers, if appropriate, about goals, planning, development and performance.

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[1] This includes all permanent staff, all staff on fixed-term contracts; all contracted outsourced staff working in-house and all stagiaires/interns/JobBridge employees who may be working for defined periods of time.

Principles

This policy rests on a number of principles that were agreed with Staff. The principles ensure that the policy acknowledges and is tailored to the unique environment that is the BAI.

Rationale-based	The policy should provide a rationale for its existence. There should be a rationale for the inclusion of each element of the policy.
Structured	The process(es) should have a defined and articulated structure.
Consistency	The policy should apply across the organization, in operation, use and application. e.g. Everyone participates in at least the minimum number of meetings
Flexibility	The policy should accommodate unique circumstances (e.g. while there is a minimum number of meetings expected/required, there is no maximum, priorities change impacting on objectives)
Goal and objective based	Goals and objectives should be: • Collaboratively set • Grounded in Corporate Strategy • Objective, measurable and relevant • Individual & team
Transparency	Objectives, outcomes and feedback relating to this process will be open and honest and will be made known to all parties involved.
Intervention process	There should be an intervention process to help resolve any disagreements in relation to a performance assessment or any other issues arising from the PMD process.
Organisational commitment	The organisational commitment to performance management should be articulated in the policy and there should be a practical expression of this commitment in the performance management process.
Measurement	Measurement is only one element of the process and any measurement will strive to go beyond a numerical or grading system.

Purpose of the Performance Management and Development Policy

The purpose of the BAI performance management policy is to provide a framework for managing performance in a consistent and productive manner.

It is vital that scope is provided to both Manager and their Direct Reports to accommodate individual styles and preferences into the management of performance. However, general principles of and guidelines for performance management will be provided as well as certain prescribed minimum requirements and the manner in which these are met is a matter between the Manager and each individual reporting to them.

The Performance Management Cycle and Timetable of Events

(See Appendix II)

Performance Management process is a continuous cycle of communication between the Manager, direct report and relevant Project Drivers/Operational Managers (as appropriate) and should be equally focussed on improving performance and planning for the future as it is on looking at what has happened in the past and what has been learnt from that. It is about managing what we do at the BAI and how we do it. The cycle of events, actually started with the Work Planning process in September/October of each year, at which time individuals should express their preferences and interests in the various projects and operational plans for the coming year.

It is the policy of the BAI that each Manager and Direct Report are expected to have at least 3 **formal** meetings over the course of the year to discuss and agree the following:

1. Individual's goals and objectives (typically Jan/Feb)
2. Individual's development Plan (typically Jan/Feb)
3. Mid-year interim review (typically June/July)
4. Year-end performance over the year (typically Dec/Jan)

Note: Topics 1 and 2 below may be discussed during the course of one meeting (if not, a separate meeting should be scheduled). It is expected that equal emphasis is placed on Objective Setting and Development Planning.

The relevant Project Drivers/Operational Managers should input to these meetings as appropriate and may be asked by either party to attend.

This is the minimum requirement. One of the key objectives of any performance management policy is to facilitate regular open, honest and constructive communication between a Manager and their direct reports. Managers and their Direct Reports are encouraged to tailor the frequency and format (e.g. formal or informal) of any additional meetings and to agree what is the optimum at any point in time (e.g. when the relationship is new more frequent and/or formal meetings may be appropriate, whereas in a longstanding relationship the need for formality and/or frequency of additional meetings may be less).

It is also expected that Project Drivers/Operational Managers will provide input and feedback into this process, where relevant. Equally it is expected that Direct Reports will be asked to provide feedback by their Manager's Manager, specifically on the value and effectiveness of the PMD relationship (guidance to be provided) – See also Roles and Responsibilities.

Objective Setting
(See Appendix III on Objective Setting Cheat Sheet and Form)

Managers and their Direct Reports, with input from relevant Project Drivers/Operational Managers if appropriate, will set objectives for the individual at the beginning of each year in a scheduled meeting.

It is expected that objectives will cover 90% of what an individual is expected to achieve over the course of the year. Objectives will be collaboratively set and will reflect the SMART criteria (Specific, Measurable, Achievable, Realistic and Time-based)

Objectives will be documented using the format in Appendix III and should be copied to HR

Note: Well set objectives will enable the Manager and the Individual understand the difference between meeting and exceeding expectations and provide a means for measuring/assessing the performance of an individual

Development Planning
(also refer to Staff Education, Training and Development Policy, Competency Framework & Appendix IV – Competency Review and Development Planning Cheat Sheet and Form)

The BAI believes that it is important to develop the individual to ensure that they can achieve the organisational goals, their personal work goals and, where possible, their own personal development goals.

Development is also important:

- to ensure that the individual continues to be challenged;
- to ensure that the individual's work remains dynamic and interesting;
- where possible, to provide the individual with the skills required to advance their career, either in the BAI or in other organisations.

There are three drivers in the development of the individual:

1. The organisation
2. The individual's manager
3. The Individual

Development will be driven at an organisational level by means of an organisational planning or development process, which identifies organisational development needs and initiates training or development for the organisation. Examples of this might be the identification of a need for safety training, training on a new policy or training tailored to a particular group or division.

Managers and their Direct Reports, with input from relevant Project Drivers/Operational Managers if appropriate, should also work together continuously to identify development needs for the individual which arise in the context of achieving or, indeed, of setting the agreed goals and objectives as well as in the context of the Competency Framework and Organisational Values.

The highest development priority should always be to identify any skills or competency gaps which would prevent the individual from achieving his or her objectives or from fulfilling his or her role profile.

This should be documented by way of a Development Plan using the format in Appendix IV and copied to HR.

It should be treated as a living document and as such should be referred to reviewed and revised where necessary throughout the year. Assessments of the effectiveness of any training or development intervention should also be noted on this document.

Interim (Mid Year) Review

(See Appendix V - Interim Review Cheat Sheet & Format Guidelines)

Review of performance should be a continuous process on the part of the Manager and their Direct Reports, with input from the relevant Project Driver/Operational Manager if appropriate not just an event that occurs once a year. Therefore, there should also be at least one interim review (mid- year) meeting to gauge how an individual is progressing in terms of their objectives and development plan.

The purpose of interim reviews is to make sure objectives and development plans are still on target, address concerns regarding achievement of same (revise/adjust/change if required), and provide ongoing guidance and feedback to individuals.

This is even more important in a matrix environment given an individual could be involved in a lot of work for which their Manager is not directly responsible.

Specific issues should be addressed when they arise, even if this necessitates scheduling a separate meeting to discuss them in a timely way. It is appropriate for either the Manager or the Direct Report to schedule an ad hoc meeting to address an issue or issues they may have.

Annual Review

(See Appendices VI - Year End Review Cheat Sheet & Format Guidelines)

The purpose of the annual review meeting is for the Manager and their Direct Report to step back and take a "big picture" approach to performance over the past year. In many respects it will be summary of the other meetings that have taken place and in this regard, there will be no surprises. It is important that Interim Meetings have happened and no new performance issues should arise at this meeting.

In general, performance should be managed on the basis of

(a) Objectives including organisational objectives and individual objectives
(b) Relevant project and operational statements.
(c) Behaviour & Organisational Values
(d) Competency Framework

A written report summarising this meeting, signed by both parties should copied to HR who will put a hard copy of this in the individual's personnel file. A confidential electronic copy

should also be placed on the G Drive by the Manager or the individual. This report should address all the topics in the Guidelines in Appendix VI. This may be used as the basis for PMD the following year and also for example, development, references, promotion (this list is not exhaustive).   Access to this document and any other performance related documentation is generally restricted to HR, the individual and the current manager.

If there is a disagreement in relation to the content of this document please refer to the Intervention section of this policy.

It is both unrealistic and unfair to expect individuals to engage in a year-end review meeting if there has not been continuous and regular communication throughout the year in terms of the minimum number of meetings required of this process. If either party is not engaging in the process, they are expected to escalate this as soon as possible to HR and it will be discussed with both parties. On a case-by-case basis, this may then be escalated through HR to the Office of the CEO.

Hand Over Process

In the event of a change in manager either during the year or at year-end, the handover process should be as follows:

A meeting should be scheduled with the three parties (old manager, new manager and direct report) as soon as possible, to brief the new manager in relation to on-going discussions arising from the PMD relationship. Either the new manager or the individual may choose to document this discussion and the Guidelines in Appendices V or VI may be used. If the meeting cannot take place, then the new manager should have access to any recent (within last 12 months) PMD related documentation on file (e.g. Objectives, Development Plan, interim Review, Year-end reviews). If there is no recent documentation on file, then an email detailing the salient points in bullet point format will suffice. This may be initiated by either the old manager or the direct report.

Acknowledgement

Promotion and incremental progression are not **currently** linked to performance; however, The BAI will comply with any directives from central government regarding the linking of increments to performance and will endeavour to implement any such directives using the principles defined in its Performance Management Policy and will make any amendments necessary at that time

There are many other ways to acknowledge and recognise the achievement of individuals.

Managers should make a conscious effort to make themselves aware of and to acknowledge the achievement of individuals including the contributions of staff in a support role or those who contribute to another individual's or team achievement.   This is only possible in an environment where good communication channels have been opened between all parties involved (including the relevant Project Drivers/Operational Managers).

Unsatisfactory Performance

It is a Manager's responsibility to address poor performance or behaviour by giving open and honest feedback to the individual concerned and setting out clear expectations for performance and /or behaviour. This should be done as soon as possible after the event (immediacy). It is the policy of the BAI when performance or behaviour falls below expected standards; the individual concerned will be told in a timely way and will have an opportunity to explain the reasons for the discrepancy if any. They will also be supported by the organisation in addressing these discrepancies informally before any formal procedure is invoked. Continuing issues relating to unsatisfactory performance or behaviour should be escalated to the Office of CEO.

HR is available to offer advice and support in relation either a one off issue or ongoing performance or behavioural issues. HR will also be available to explore and offer various other support options, either internal or external if appropriate.

Managing and Monitoring the PMD Process

The BAI is committed to ensuring that the PMD process happens and is consistently applied both in practice and application across all levels in the organisation and will therefore put in place a variety of interventions to assist with the managing and monitoring of the policy for example:

- Meeting Schedules to be kept by each manager and made available to HR on request
- A copy of the mutually agreed Objectives should be sent to HR
- A copy of each Development Plan should be sent to HR who will review these so that a training plan can be put in place as required
- HR may request confirmation that Interim Reviews have taken place
- A copy of the Year-End Review to be provided to HR, who will use these to track completion rates for Year end Reviews and audit the quality of same. HR may make some recommendations to the manager, direct report and/or the Office of the CEO with a view to improving the quality of subsequent Year-end reviews
- Informal/formal surveys to assess the effectiveness of the process
- Assessments of training or development interventions
- Effective performance management and development is an organisation priority therefore, individual managers may be set specific objectives in relation to the delivery of PMD to their direct reports

Intervention and Support

It is understood that, when people work together, there will inevitably be situations in which misunderstandings, problems or concerns arise and need to be resolved, and that there will be occasions when conflict arises between a manager and someone who reports to them during the performance management process. Such conflicts usually arise from miscommunication or lack of communication, from differing expectations on the part of individual and their manager, or from personal differences. There is an expectation that frequent and ongoing communication between both parties will allow both of them the opportunity to address and resolve differences informally.

Some examples of when the intervention process may prove helpful include (this is not exhaustive):

- Unable to agree content of objectives, development plan, year-end review
- Not engaging in the PMD process and as a result not scheduling or attending PMD meetings

It is very important to the BAI that any issues which arise during the Performance Management process are addressed. The BAI is committed to providing the resources and time necessary to resolve any issues that arise during the process.

It is the policy of the BAI that a culture of good communication, openness and a willingness to cooperate and listen will exist and, therefore, the BAI is committed to providing both parties with a platform for the resolution of any issues.

In situations where the issue has not been resolved informally between the relevant parties and/or, when requested by either party, the HR Representative is available to assist in circumstances where conflict arises during the performance management process.

The function of the HR representative in this process is a facilitator as well as an active listener who aids communication between the parties. The HR representative is not a decision maker; (s)he is helping both parties to come to a mutually agreeable resolution.

If this has proved difficult, a further stage intervention may be used by referring the issue to their Manager's Manager using the following guidelines:

- Individuals who do not report directly to the Chief Executive may refer the matter to a Senior Manager
- Individuals who report to a Senior Manager may refer the matter to the Chief Executive
- Individuals who report directly to the Chief Executive may refer the matter to the Chairperson

The outcome of the intervention process will be documented with any other relevant material in the Year-End Review and will be considered final. Both parties will have an opportunity to add comments to the Year-End Review, prior to signing this off, if they wish.

At any stage in the process, with the agreement of all parties, external mediators may be engaged to assist in reaching a resolution. One of the outcomes of mediation would be an agreement as to how the parties work together in the future. In the event that one or both parties do not agree to engage in mediation, a note may be added to the year-end report by either parties or put on file by HR that no agreement could be reached.

At any stage during the intervention process, any parties involved in the disagreement may choose to be accompanied by a colleague or trade union representative.

If the individuals in question are still dissatisfied with the outcome of the intervention, then the individuals concerned may choose to invoke relevant policies, as long as the same issue is only being dealt with under one policy at a time.

Roles and Responsibilities

(Refer also to Appendix I)

CEO/Senior Manager
- Role model the PMD "brand" – lead by example
- Hold all managers to account for their performance in delivering PMD (this could include setting specific objectives in relation to the delivery of PMD to direct reports or requesting a copy of the meeting schedules)
- See also Manager responsibilities below

Manager
- Role model the PMD "brand" – Lead by example
- Arrange meetings – Schedule meetings for the 3 essential elements of PMD and additional meetings in terms of what make sense between the manager and the direct report. Reschedule if necessary. This includes a hand-over meeting in the event of a change of manager either during the year or at year end
- Prepare for all meetings – see relevant appendices
- Lead the discussions and encourage two-way dialogue
- Mutually set objectives – See relevant appendices
- Mutually agree development plans – see relevant appendices
- Solicit and deliver honest and open feedback on performance and behaviour , including feedback from the individuals reporting to your Direct Reports
- Acknowledge good performance in a timely way
- Address poor performance and/or behaviour. Name and discuss issues in a timely way
- Managers should encourage their direct reports to take and active part in this process to review and evaluate their own performance and also to determine the best course of action for the future
- Day to day operational issues (including leave monitoring, capacity planning). It is responsibility of the Manager raise issues in this regard which will impact on the delivery of organisational goals

Project Driver/Operational Manager

- Role model the PMD "brand"
- Input into both the Objectives and Development plan in relation to specific projects/plans
- Offer feedback on performance
- Keep the Manager informed of any performance/behavioural issues
- On-going communication between all relevant parties
- Attend meetings, if required

Direct Reports
- Role model the PMD "brand"
- Request meetings if they have not been scheduled or need to be rescheduled. This includes a hand over meeting in the event of a change of manager either during the year or at year-end
- Prepare for all meetings – see relevant appendices
- Actively engage and participate in the process
- Mutually agree objectives – see relevant appendices
- Mutually agree development plan – see relevant appendices
- Ask for and give open and honest feedback

- Acknowledge when things have worked well
- Review and evaluate own performance when things have not gone according to plan and work with manager to determine the best course of action for the future
- It is the responsibility of the individual to ensure that any operational issues (e.g. technology, leave requests) which will impact on the delivery of organisational goals are raised to your manager

Human Resources
- Role Model the PMD "brand"
- Advising and supporting managers with difficult situations or new managers
- Guiding and supporting staff with difficult situations
- Escalating issues when the Health and Safety of either party is at risk
- Gathering feedback and reviewing HR processes as necessary
- Tracking completion rates at various stages of the PMD process
- Auditing the quality of Objectives/Development Plans/Year-end Reviews/PMD meetings
- Develop an organisational Training Plan if appropriate
- Review effectiveness of Training & Development interventions
- Reporting progress and relevant issues with Office of CEO
- Building a knowledge base on best people management practice and sharing this with managers

Note: HR will respect confidentiality as far as possible. However, while respecting the rights, needs and wishes of individual to deal with an issue HR will balance Organisation's responsibilities in terms of its legal obligations and duty of care to all its staff members and may therefore discuss the issue with other parties concerned or escalate it to the Office of the CEO

Policy Review

Continuous review of any policy is vital to ensure that the policy continues to be valid and appropriate for the organisation. It is also vital that feedback on the policy and the implementation of the policy is received from both direct reports and managers.

The BAI is committed to continuously monitoring and the implementation of this performance management policy. The policy will be reviewed as required.

Reviews will be carried out through a process of consultation with staff using appropriate internal processes.

Appendices

Appendix I - PMD Relationships

Project Driver Operational Managers

Input

Manager

Primary Relationship

Direct Reports

If issues arise

Escalation if required

HR

Office of CEO
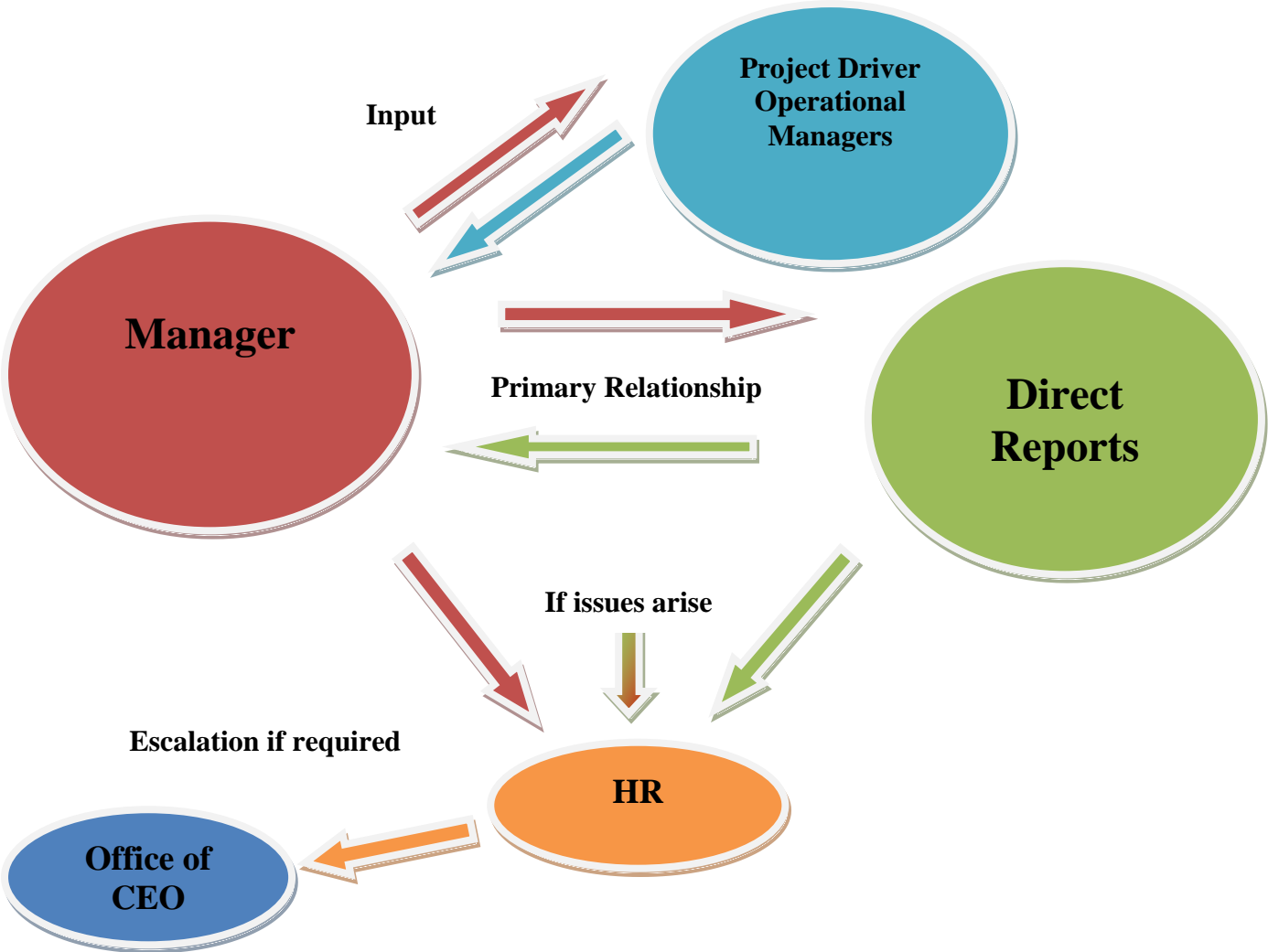
Appendix II - Performance Management Timetable of Events

Q4 Annual Review

Q 1 Objective Setting & Development Planning

End Q3 Beg Q4 work planning next year

By end Q 2 Mid year review

1:1

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On going 2 way Communication & Feedback
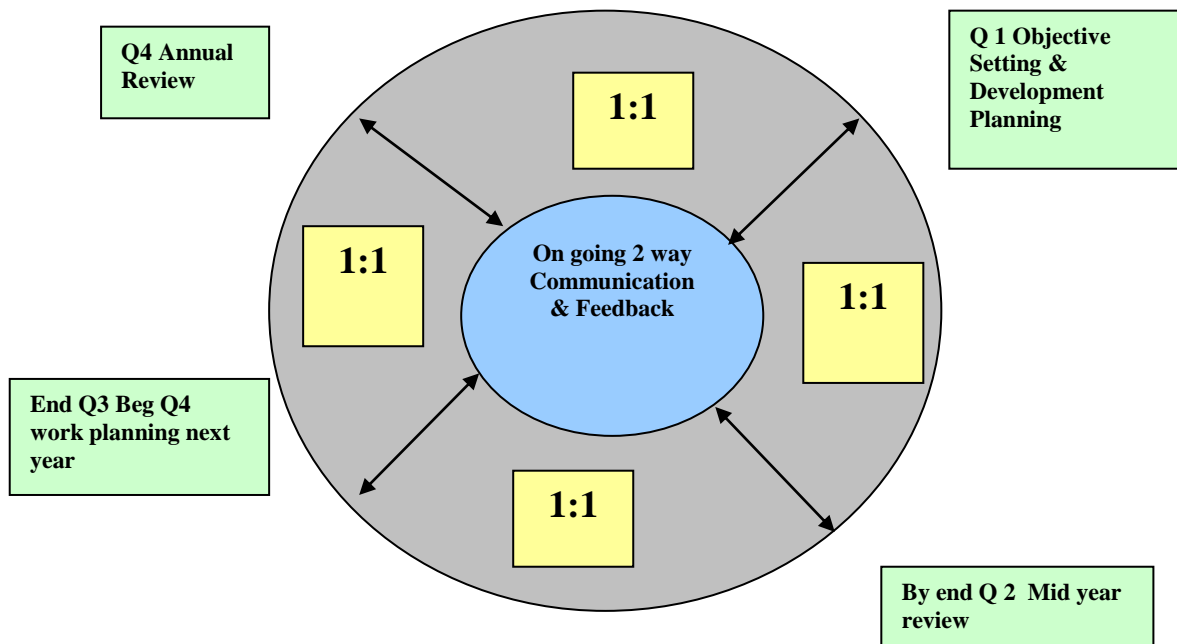
Appendix III - Setting Objectives
Cheat Sheet and Objective Setting Form

Specific – **M**easurable – **A**chievable – **R**ealistic –**T**imely

Objectives are derived from the current BAI Statement of Strategy and Work Plan as well as Competency Framework and Organisational Values. They should cover at last 90% of what you are expected to do during the review period.

To set objectives a manager needs to be aware of what projects/work is assigned and should discuss what opportunities exist within that work so that feedback can be more focussed. The Manager and individual should liaise with the relevant Project Drivers and Operational Managers in this regard.

The Project Driver/Operational Manager should consider what they want the individual to achieve as part of the team and feed this back to the individual and their Manager.

Some objectives may be identified by the organisation for all staff at a particular grade to reflect an organisation priority in that year. (e.g. completing PMD for direct reports)

Objectives should move people forwards in terms of personal performance by developing and improving skills that will enhance the overall performance of the organisation and therefore should provide a challenge or stretch in terms of performance.

Using SMART criteria to set objectives will enable the Manager and the individual understand the difference between meeting and exceeding expectations and provide a means for measuring/assessing the performance of an individual

e.g. within timeframe or in advance, quality of work, how they interacted with others to get it done.

Specific

Before you start writing the objective, ask yourself 'what am I going/trying to do? Identify that goal and create an objective to describe it using strong action verbs such as 'conduct', 'develop', 'build', 'implement', etc. This helps your objective to be action-oriented. At the end, ask yourself again what you are going / trying to do and check if your objective as written will lead to the desired end result. Be sure that your objective describes a clear outcome. Think of objectives as your battle plan. They are the actions you are going to take in order to achieve an aim or goal (organisational / functional or individual). Ask yourself:

- **WHAT** am I going to do?
- **WHY** is this important for me to do?
- **WHO** is going to do what? Who else need to be involved?
- **WHEN** do I want this to be completed?
- **HOW** am I going to do this?

Examples of action verbs are: analyse, apply, build, calculate, classify, compare, conjugate, construct, contrast, create, define, demonstrate, describe, design, distinguish between, draw, estimate, explain, identify, illustrate, improve, list, model, predict, recite, reduce, show, solve, sort, summarize, write. Use SMART criteria

Measurable

If the objective is measurable, it means that you can track its progress and identify if and when it is completed. Be sure to clearly state how you will record the achievement of the goal. Ask yourself:

- How will I know if / when the objective is achieved?
- What measurement(s) can I use to track the progress and identify achievement of this objective?

Measurements are known as 'Key Performance Indicators' the Objectives document.

Achievable

Objectives need to be achievable within a realistic timeframe. If the objective is too far in the future, you'll find it difficult to keep motivated and to strive to attain it. Ask yourself:

- Can we get it done in the proposed timeframe?
- Do I understand the limitations and constraints?
- Can we do this with the resources we have?
- Has anyone else done this successfully?
- Is this possible?

The achievement – or not – of all of your objectives will to some extent be influenced by external factors. Examples might be receiving paperwork from someone else or receiving training in a particular area. These are known as 'critical success factors'. It's important to identify these in advance and to record them on your Objectives document.

Realistic

Objectives that are achievable may not be realistic. Realistic means that you have the resources to get it done. Ask yourself:

- Do I have the resources (skills, equipment, money, etc.) to achieve this objective (or are they available)?

- Is it possible to achieve this objective?

Time-Bound

Time-bound means that there is a deadline for the completion of the objective. Deadlines need to be both achievable and realistic. Don't forget that the deadline or timeframe doesn't have to be December 31st of each year! Objectives can span more or less than a year. Use the timeframe or deadline that is relevant to the achievement of the objective. Ask yourself:

- Is there an external deadline and, if so, is it realistic?
- If there is no external deadline, how long will it (realistically) take to achieve this objective?

Write the deadline (and any interim milestones or critical points) in the 'Timeline' column of your Objectives document.

Finally

Objectives should be collaboratively set and mutually agreed – Manager and Individual, with input, if relevant from the Project Driver/Operational Manager.

They should be documented – use Objectives format see below.

Written objectives help to focus attention of what has to be done by when and provide a means to keep track of progress.

Your objectives are NOT a list of the two or three things that you are focusing on for the current year; your objectives should move you forward in terms of your performance, and cover approximately 90% of your entire workload. They may also cover Behavioural goals.

If you are having any difficulties or need help in developing / creating objectives, just ask HR who will be happy to help

OBJECTIVE SETTING FORM
Year:
Staff Member's name:
Manager:

Objective	Timeline	Critical success factors / external links	Key performance indicators	Current status/comments/actions required
What is it that you aim / need to do this year? (Avoid general terms like "improve" and "develop" unless you can qualify them precisely[2]) Focus on key objectives for the year S.M.A.R.T	**Deadline and any interim checkpoints for completion / achievement of the objective.**	**Factors (including anything outside your control) that need to happen – or not happen – to reach the objective** Including any training or development required to fulfil objectives **OR** Input from other individuals or divisions required to reach the objective	**How the achievement of the objective will be assessed or evaluated? Ref: SMART criteria**	**On track, off track Achieved or if not achieved: Comments/reasons/ any actions required and who is responsible**

PRINT IN LANDSCAPE

OBJECTIVE SETTING FORM
Year:
Staff Member's name:
Manager:

Objective	Timeline	Critical success factors / external links	Key performance indicators	Current status/comments/actions required
What is it that you aim / need to do this year? (Avoid general terms like "improve" and "develop" unless you can qualify them precisely[3]) Focus on key objectives for the year S.M.A.R.T	**Deadline and any interim checkpoints for completion / achievement of the objective.**	**Factors (including anything outside your control) that need to happen – or not happen – to reach the objective** Including any training or development required to fulfil objectives **OR** Input from other individuals or divisions required to reach the objective	**How the achievement of the objective will be assessed or evaluated? Ref: SMART criteria**	**On track, off track Achieved or if not achieved: Comments/reasons/ any actions required and who is responsible**

Appendix IV - Competency Review & Development Planning Cheat Sheet, Evaluation Guidelines and Development Plan Form

Overview

- A competency framework (CF) and role profiles (RP) have been developed for all the levels within the organisation.

- This is based on the level/job role NOT the individual.

- Objectives for the coming year should also be reviewed in preparation for this meeting

- These are tools to help you structure the development planning process; it's not a document of record. Any training or development identified using the CF or RP should be recorded in the development plan – See form below.

- The Manager and their Direct Report should schedule an initial meeting to review these tools and agree a development plan for the coming year and then review this plan regularly throughout the year.

During the Meeting

- Review the role profile, competency framework, objectives, organisational values/behaviour and work plan and identify competencies and skills required to achieve all (see guidelines below - evaluating competencies)
- Identify any skills/behavioural gaps.
- Agree a solution to bridge these gaps and put into the development plan.
- Look at the organisational competencies and whether or not training or development is required in these areas.
- Discuss longer term career goals / personal development goals (if any).

After the meeting

- Document the training plan using the document below. Apply for any training or development required to fill skills gaps per the Training & Development Policy using the T&D application form.

- As this training will be Category 1 (practical / skills related) training, it can be applied for at any time.

- Once the training is approved, organise and undertake it.

- While the direct report and their manager will be responsible for ensuring that training or development on their development plan is completed, HR will also review all of the development plans to identify any common themes or patterns with a view to providing training at an organisational level where appropriate.

- Training and development undertaken should be reviewed as part of a PMD meeting. What the training effective? Have you been able to use the new skills? (use the Development Planning form to record this)

- If you have any questions or difficulties, ask HR!

Guidelines for Evaluating the Level of Competency

Manager and Individual separately use this in relation to **each** competency and discuss differences of opinion together with examples at the Development Planning meeting

Competency Level	Definition
Novice	• Individual has the ability to understand the requirement for their competency profile but has not demonstrated the competency in their role
Basic	• Individual has the ability to demonstrate their competency profile in routine and well defined situations (provide examples)
Competent	• Individual has the ability to independently demonstrate the required level of competency in a variety situations (provide examples)
Advanced	• Individual has the ability to demonstrate their competency profile in complex situations and has the ability to coach others (provide examples)
Expert	• Individual has the ability to demonstrate exemplary capability of their competency profile in complex and new situations, design and implement best practice methodologies and processes and has the ability to coach others (provide examples)

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DEVELOPMENT PLAN
[Year]

Staff Member's name:

Development need or issue (organisational, objective, competency, values, behavioural) Prioritise	Propose Solution (e.g. course, further education, project, coaching, 1:1 sit by nelly)	Timing (when is this to take place?)	Key performance indicator (How will you know if the development/training intervention was effective/useful?)	Status/Comments/Action required, by when/whom?

Appendix V - Mid Year/Interim Meetings

Cheat Sheet and Format Guidelines

Before you start...

- Prepare for the meeting! Read the relevant parts of the PMD Policy. Make notes in advance on the outcome of the objectives, work plan and development plan – and anything else you want to discuss. Write down any questions you want to ask and any issues you want to raise

- Prepare an agenda for the meeting in advance. The agenda should include time to discuss objectives, performance, work planning and development planning but should also include time to discuss the other 'soft' issues such as job satisfaction, workload, relationships, work-life balance, etc. Share this with your Direct report in advance (e.g. P.A.L. format)

- Ask for and solicit feedback from a variety of sources (e.g. project drivers, operational managers, stakeholders, team members, the direct reports of the person reporting to you)

During the meeting...

- Make sure that the meeting is a dialogue, not a monologue!

- Listen! Be an active listener and pick up on both verbal and non-verbal cues.

- Don't confuse checking the status of work plans or 'to do' lists with managing performance or reviewing objectives. Managing performance and reviewing objectives is about how things were done and why they were done well or badly rather than just about if and when they were done.

- Use the organisational competencies to review objectives; discuss how the competencies were demonstrated (or not) in the achievement of objectives and goals and/or in day to day work.

- Remember that both the manager and the staff member are equally responsible for the effectiveness of the meeting.

Suggested structure....

1. Review of objectives / management of performance

- What goals have been achieved? What factors contributed to this?

- Did the staff member contribute to another staff member or team's achievements? If so, how?

- What goals have not been achieved? What factors contributed to this? How can we prevent this happening again?

- How were the organisational competencies demonstrated in the achievement of goals or objectives?

- Were any goals achieved / tasks completed but with difficulties? Why?

- Are there any other issues / difficulties? Is a pattern emerging of issues or difficulties? Discuss and analyse.

- Are the objectives still relevant or do they need to be amended?

2. Work planning & time / work management

- Review of the work plan / planning process / planning tools.

- Have the plan / tools been effective to date? If so, why? If not, why not?

- What is the plan for the coming month(s)?
- Does it need to be amended?

3. **Development**
   - Review the role profile, competency framework, objectives and work plan and review the development plan for the current year to see if it is still on track and relevant.
   - Review and discuss any training or development which has taken place. Was it effective? If not, why not? Identify suitable alternatives. Is it being used?
- Discuss longer term career goals / personal development goals (if any).

4. **Wellbeing (see below)**

5. **Any other business / issues**

Useful questions / items for discussion
- What goals or objectives have been reached / projects or tasks were completed. What went well and why did it go well?
- What goals or objectives weren't reached (if any)? What caused these objectives not to be reached (be specific)? How can we ensure this doesn't happen in the future?
- Are there any goals, objectives are deadlines you think you won't be able to reach? What is it that will prevent you reaching those deadlines?
- Were there any goals reached / objectives achieved / work completed but with difficulty or excessive effort? What factors contributed to this? What can be done to ensure that this doesn't happen in the future?
- Are the objectives still relevant? Do they reflect approximately 90% of the current workload? Do they need to be changed?
- Do you have the skills and competencies required to achieve your objectives and complete all the items on your work plan?
- (If any training has been completed in the past month). How successful was the training? What new skills or knowledge were acquired? Did / will the training or development enable me / you to do the job more easily or efficiently?
- Is the workload sufficient, too much or not enough?
- Are these meetings often enough, too often or not enough? Are they long enough, too long or not long enough? Are they effective? Does anything need to be changed?

Specific questions for managers about staff wellbeing...
(This is a range of questions from which you can choose three or four to address in each meeting. Choose the questions which seem most relevant at the time of your meeting. You should, however, aim to ask every question at least once every six months or so. This can be done in a formal or informal way)

- Is there anything I can do (or not do) to make your job easier or help you to be successful?
- What are the three 'best' and the three 'worst' aspects of your job? Do you think any of those put you under too much pressure?

- Is there anyone or anything else that is causing difficulties / undue stress for you at the moment

- How are relationships / interactions with colleagues, teams, etc.?

- Is there anything about the job that could or should be done differently or more effectively? Are there any barriers to prevent this happening?

- What support, tools/resources, skills or empowerment do you need to be more effective?

- What is your greatest challenge or roadblock?

- What strengths or talents do you possess that aren't being used?

- How do you like to be recognized, acknowledged and rewarded for a job well done?

- What makes you feel like a valuable contributor?

- What motivates you?

- What de-motivates you?

- Are you getting sufficient / appropriate feedback about your performance?

- Do you feel comfortable / are you able to give feedback to me?

- How is job satisfaction overall? What is the most interesting/satisfying part of the job? What is the least interesting/satisfying part of the job? What could be done to make the job more rewarding?

- Finally...Don't underestimate the effectiveness of simply asking someone "How are you?" or "Are you having any problems?" and listening to the answer.

Some pitfalls to be avoided...!

- Don't just say that something went well or was good work. Be specific; say that something was good because...

- Likewise, be specific about why something didn't go so well. It didn't go so well because...

- Don't ask questions if you're not prepared to hear the answer!

- Questions that start with 'why' tend to make people feel defensive, e.g., "Why are you late all the time?" Alternatively: "I have noticed that you are frequently late"

- If you want a straight yes or no answer, ask a straight question. Otherwise, use open-ended questions ("Tell me about your relationship with your colleagues" is an open-ended question. "Do you get on well with your colleagues" is a closed question).

- Don't use questions to say things indirectly, e.g., "Don't you think you could have done xxx Better?"

- Avoid compound questions (i.e., a question that's actually several questions rolled into one). Write down all the questions you want to ask before the meeting and ask them one at a time!

Suggestions / recommendations for individuals....

- Don't assume your manager is psychic! If there's a problem or you have an issue, raise it!

- The frequency of the PMD meetings, the effectiveness of the PMD process and, indeed, your own wellbeing are as much your responsibility as your managers - so, if your manager doesn't ask you the right questions or doesn't raise issues that are important to you, raise those issues yourself.

- If you feel under too much pressure, say so. While, work is never going to be stress-free and there are some issues that your manager can't actually address, a lot of issues can be addressed and put right if caught early enough.
- Use the BOFF technique:
  - **Behaviour** – use specific examples
  - **Outcome** – describe how the issue affects you doing your job
- **Feeling** - describe how you feel as a result of the behaviour (N.B.: this isn't always useful or even relevant so use with caution!)
- **Future** – describe how you would like the situation to be in the future.
- If you're not comfortable raising an issue with your manager, then talk to HR or contact the Employee Wellbeing Programme.

And finally...

Seek - and attain - clarity. Both the direct report and the manager should walk out of the meeting with a clear picture of what worked, what didn't work, what issues were raised – if any, what was agreed and what the path forward is.

Interim Review Format Guidelines – refer to Interim Review Cheat Sheet above

Review of objectives: (on Objectives form) Acknowledgement/Feedback: Amendments to Objectives – documented on Objectives form
Work Planning & Time
Training and Development Plan – review   Competency Review – refer to how levels have changed based on training and development – summary of competencies in relation to CF and RP   Longer Term Career Goals/Personal Development Goals:
Wellbeing/Morale:
What, if anything, would you like the other person to Start, Stop or Continue doing?

(Behavioural)   28
Any other business. Both Manager & Direct Report perspective. Suggestions
Summary of Performance to date and encouragement:
Follow-on Actions, accountabilities and timelines

Appendix VI - Annual/Year-End Review Meeting
Cheat Sheet & Format Guidelines

Before you start

- Prepare for the meeting!   Re-read the relevant sections of the PMD Policy and appendices. Make notes in advance on the outcome of the objectives, work plan and development plan – and anything else you want to discuss. Write down any questions you want to ask.

- Ask for and solicit feedback from a variety of sources (e.g. project drivers, operational managers, stakeholders, team members)

- Prepare an agenda for the meeting in advance and share this with the direct report. (e.g. P.A.L format.

- Managers - don't schedule review meetings back to back. Limit them to a couple a day.

During the meeting...

- Make sure that the meeting is a dialogue, not a monologue!

- Listen! Be an active listener and pick up on both verbal and non-verbal cues.

Suggested questions / items for discussion (refer also to the Interim Review Cheat Sheet)

- What went well this year? Why did it work well (be specific)?

- What goals or objectives weren't reached (if any)? Why didn't it work well (be specific)?

- Were there any difficulties (e.g., goals were reached but with difficulty)? What factors contributed to this?

- What are my / your greatest strengths? What can be done to make the best use of these strengths?

- Are there any areas where improvement is needed? What would help to bring about the improvement? Are there any skills / knowledge gaps that need to be addressed?

- What training or development was done this year? What new skills or knowledge were acquired as a result? Did the training or development enable me / you to do the job more easily or efficiently? Have you been able to integrate it into your day to day work?

- How is job satisfaction overall? What is the most interesting/satisfying part of the job? What is the least interesting/satisfying part of the job? What could be done to make the job more rewarding?

- Is there anything about the job that could or should be done differently or more effectively? Are there any barriers to prevent this happening?

- How are relationships / interactions with colleagues, teams, etc.?

- Discuss workload.

- Discuss work/life balance.

- Discuss the effectiveness of the PMD process and the monthly meetings in particular.

- Discuss feedback, acknowledgement and recognition.

Specific questions for managers

- Is there anything I can do to make your job easier?

- Is there anything I did or didn't do to contribute to your success – or failure to reach goals or objectives – this year?

- Is there any additional support or resources you need to achieve your goals?

- What was expected of you during the year that was not forecasted in the objective setting or work planning process?

- Do you think you get sufficient feedback? Do you find it useful? If not, how would you like to receive feedback and when? What would you want feedback on?

- Do you feel comfortable / are you able to give feedback?

- Do you think you get sufficient acknowledgement / recognition? If not, how and when would you like that acknowledgement?

- What have you considered as areas of growth or development in the past year?

Some pitfalls to be avoided...!

- Don't just say that something went well or was good work. Be specific; say that something was good because...
- Likewise, be specific about why something didn't go so well. It didn't go so well because...

- Don't ask questions if you're not prepared to hear the answer!

- Questions that start with 'why' tend to make people feel defensive, e.g., "Why are you late all the time?"

- If you want a straight yes or no answer, ask a straight question. Otherwise, use open-ended questions ("Tell me about your relationship with your colleagues" is an open-ended question. "Do you get on well with your colleagues" is a closed question).

- Don't use questions to say things indirectly, e.g., "Don't you think you could have done xxx better?"

- Avoid compound questions (i.e., a question that's actually several questions rolled into one). Write down all the questions you want to ask before the meeting and ask them one at a time!

And finally...

- Seek - and attain - clarity. Both the individual and the managers should walk out of the meeting with a clear picture of – and agreement on - how the previous year went, if there are any areas for improvement, and what are the expectations for the coming year.

Annual Review Format Guidelines – refer to Annual Review Cheat Sheet
above

Review of objectives: (on Objectives form) – agree carry-over   Feedback and Acknowledgement:
Work Management, Planning and Time:
Training and Development Plan (Review Plan) – agree any carryover   Competencies: – compare start of year with end of year assessment of competencies for level   Longer Term Career Plans/goals:
Wellbeing & Morale:
What, if anything, would you like the other person to Start, Stop or Continue doing? (behavioural)
Any other business? Both Manager & Direct Report perspective, Suggestions
Summary of Performance for the year and acknowledgement & encouragement:
Follow-on Actions (including accountabilities and timelines) and/or comments Signed : Manager   Direct Report   Date:

Appendix VII - Performance Management Q & A's

General

What is Performance Management?
Fully realised, performance management is a holistic process bringing together many of the elements that make up the successful practice of people management including, in particular, learning and development. It should be equally focussed on improving performance and planning for the future as it is reviewing what has happened in the past.

Who does the Performance Management Policy apply to?
This policy applies to all members of staff of the BAI, full and part time, permanent or temporary/contract. This includes all permanent staff, all staff on fixed-term contracts, all contracted outsourced staff working in-house and all stagiaires/interns/JobBridge employees who may be working for defined periods of time.

In the case of temporary/contract managers, a 6-month period of induction into the organisation will apply before they will be allocated direct reports, This period of induction will allow for a new member of staff to familiarise themselves with the organisation, its culture and processes, and will also allow for any required training (if applicable) to take place. They will, however, be expected to engage in the PMD process, as a direct report themselves, from their start date.

It does not apply to:

Short-term temps: A short-term temp is not a staff member: he/she is employed for a specified amount of time (a few days/week), is not integrated in the operation of the BAI
Work experience pupils/students (not currently provided by BAI): doing work experience as part of their school/college syllabus. It may however be desirable to use the PMD Policy as a mechanism to support their learning and development during their time in the organisation
Service providers: as with short-term temps above. While service providers may be physically in the building for a long period of time they are not employees of the BAI, they provide a service

Why is there a Performance Management Policy?
There are three drivers for the implementation of an effective Performance Management Policy within the BAI:
- The Government
- The Organisation
- The Staff

The Government: Since the 1990's, the public sector has been moving towards adopting many private sector practices, one of which is formal performance management systems.

The Strategic Management Initiative or SMI is an initiative to promote the modernisation of the public service. In 1996, the SMI issued a report called 'Delivering Better Government' which, among other recommendations, recommended the introduction of effective performance management processes in the civil and public service sector.

Sustaining Progress is number six in a series of National Social Partnership Agreements between the government, trade unions, employers, farming bodies and community and voluntary sectors dating back to 1987. Under this agreement, the BAI has committed to developing and implementing a performance management system.

Public Service Agreement 2010 – 2014 (The Croke Park Agreement) Section 1.13 state**s** **"**There will be significantly improved performance management across all Public Service areas, with promotion and incremental progression linked in all cases to performance. Performance management systems will be introduced in all areas of the Public Service where none currently exist"

The Organisation: The 'People' value of the BAI Strategic Plan, 2004 to 2008, plan states that "staff members' contribution to the organisation will be supported and enhanced through effective performance management. This provides the opportunity to review performance, provide regular two-way feedback and to assess resource and training needs".
Similarly Paragraph 8.2 of the 2011- 2013 Strategy Statement states the "Organisational structures and practices exist which support the continued development of staff; optimize the deployment of resources; enhance internal communications and maximize efficiency and cost effectiveness. With the transition to a matrix organisational structure and the challenges this brings, it is more important than ever to have an effective Performance Management Policy in place.

The Staff: A structured and effective Performance Management will enable the BAI to

- create a work environment where staff can give and receive constructive feedback to enable them to perform to the best of their abilities thus ensuring delivery of the business goals,

- develop the capacity of both the organisation and individual members of staff to perform,

- acknowledge and recognise good performance and

- address and manage performance issues.

Is Pay linked to the Performance Management Process?

The BAI performance management system does not **<u>currently</u>** link performance to the awarding of the annual pay increments or promotions for the following reasons:

- Linking performance to pay conflicts with the principles underpinning the BAI performance management process, specifically the principles entitled 'measurement' and 'rationale-based'. The principles aim to create a performance management system that is development focused rather than one that is measurement based. If increments were to be awarded based on performance, this would necessitate a quantitative measurement system.

- The practice of linking performance to pay would frame the performance management process negatively, in that the process could only be used to punish poor performance. Performance management is a developmental tool, not a disciplinary tool.

- The BAI, by virtue of its public service remit, is not in a position to increase increments in the event of exceptional performance.

- Linking performance to pay conflicts with the general public service ethos and practice.

- Linking performance to pay reduces the performance management process to a test, associated with the awarding of an increment, rather than a process which is development focused, aiming to encourage performance and potential.

However, it is very important to have a well established and consistent process in place as Section 1.13 of the Public Service Agreement 2010 – 2014 (The Croke Park Agreement) states that "there will be significantly improved performance management across all Public Service areas, with promotion and incremental progression linked in all cases to performance". The BAI will comply with any directives from central government regarding the linking of increments and promotion to performance and will endeavour to implement any such directives using the principles defined in its PMD policy.

Who is Performance Management for?

Performance management is for the benefit of both the organisation and each individual. While the ultimate emphasis should be on the organisational goals, the BAI's policy is that there does not have to be a conflict between achieving organisational and personal goals. Although the performance management policy itself may not be able to address all of an individual's personal goals, other BAI policies can facilitate the individual in attaining these goals.

What is being reviewed: the person or the job?

What is being reviewed is HOW someone does the job and achieves his or her objectives. The BAI recognises that a tension may arise between the desire to recognise behaviours and aspects of the person that contribute to performance and the desire to avoid a process that rates or judges an individual's personality or character.

The BAI also recognises that many of the personal characteristics of an individual contribute to the performance of that individual or of the organisation and should, therefore, be acknowledged.
However, to rate or measure any individual member of staff against another member of staff in terms of personality would be inappropriate and unfair.

Who reviews whom?

The primary PMD relationship is between a Manager and his/her Direct Reports. An individual's manager is their manager as defined on the most recent BAI organisational chart and therefore could be the CEO, Senior Manager, Operational Manager or Line Manager. Each member of staff has **only one** Manager for PMD purposes but will work for other managers within the matrix structure. In situations where an individual reports to one manager but provides support to Project Drivers, Operational Managers or other members of staff, the individual's Manager should and would be expected to get feedback on the individual from those other individuals and will deliver this to the individual as part of the normal Performance Management Process. Project drivers and other relevant parties should feel free to provide unsolicited feedback to the individual's Manager at any time)

Communications

What should the review meetings be about and what form should the communication take? Communications between Managers and their direct reports should be about (though may not be limited to): Goals & Objectives, Development planning and training, Work management and planning, Behaviour, Organisation Values and Performance.

Communications between Managers and their direct reports may consist of all the following: Informal conversations, Feedback, Acknowledgement and Formal structured meetings.

What is the minimum amount of ongoing communication required in relation to Performance Management?
Performance Management is about effective communication between Managers and their Direct Reports. Therefore, it should not be approached - either by Manager or the Direct Report - on the basis of fulfilling a minimum requirement of minutes or hours per week or per month. While the structure and frequency of communication is a matter for the individuals to work out based on their own styles and requirements, the stated aim of performance management is regular and effective communication between Managers and their Direct Reports and this should always be the goal. At the same time formal meetings should be held annually to discuss and agree the following:

1. Set the individual's annual goals & objectives (Jan/Feb)

2. Create the individual's development plan (Jan/Feb)

3. At least one mid-year, interim review meeting (June/July)

4. Review the overall performance over the last year (Dec/Jan)

Topics 1 & 2 above may be discussed and agreed at one meeting, if not, then a separate and additional meeting should be scheduled.

What are the elements of Performance Management?

ELEMENTS OF PERFORMANCE MANAGEMENT

Goals and Objectives

Why Set Objectives?
By setting objectives, Managers can ensure that the people or teams they manage:

· **Know and understand what is expected of them**

· **Have the skills and ability to deliver on these expectations**

· **Are supported by the organisation in developing the capacity to meet these expectations**

· **Are given feedback on their performance**

· **Have the opportunity to discuss and contribute to individual goals and objectives.**

Who sets the objectives?
This is a joint process and responsibility. The Manager will consult with the relevant Project Drivers and Operational Managers and will then work with the individual to set objectives, in relation to how the individual is going to achieve their work and personal goals, at the beginning of each year.

What is the basis for the objectives?
An individual's objectives will be largely pre-determined by the current Statement of Strategy and by any business plans or work plans which emanate from this strategy. Objectives will also be determined by the person's role profile and by the competency framework. However the Manager and their Direct Report may set additional objectives which they believe are appropriate (e.g. behavioural/values).

What is the optimum number of objectives an individual should have in any year?

Objective Setting is about quality not quantity. They should be set to cover 90% of what you are expected to deliver in any one year and should be set using the SMART criteria (Specific, Measurable, Achievable, Realistic and Timebound). An Objective Setting Form is provided in the Policy guidelines – **Appendix III.**

How can we plan for the unexpected?
The BAI recognises that priorities change and that the work of the BAI cannot always be predicted or planned. Therefore it is advisable to review objectives continuously throughout the year and to revise objectives if and when necessary (hence need for at least 1 mid-year/interim review)

What if we can't agree on the objectives?
If the Manager and direct report have tried and failed to agree objectives, they may request assistance from HR in the first place. They may also use the intervention process (see Performance Management Policy)

Work Management/Planning

What exactly is work management?

Work management is an essential part of the Performance Management process. It is the application of the current BAI Statement of Strategy and work plan on a practical level for each individual member of the organisation In other words, it is the daily, weekly, monthly and yearly management required to ensure the individual achieves his/her goals and objectives. While it is up to each individual and their Manager to determine the work management method(s) (e.g.meetings: formal/informal, 1:1 or group, reports etc), it is important that time and focus is given to the work management process.

When is the annual work plan drawn up?

It is drawn up in October/November each year based on the most current Statement of Strategy. Both this and the current 3 year work plan are available on the website for all staff to review and it is strongly advised that each individual identifies any areas of specific interest and communicates this to their manager in September of each year to allow for input into the work allocation process for the following year.

Development Planning

What is development planning?

This is the process of identifying training or other developmental interventions which will help an individual perform to their potential and achieve their objectives and goals for the year.

Who decides what development I need?

There are three drivers in the development of the individual:

1. The organisation
2. The individual's manager
3. The Individual

Development will be driven at an organisational level by means of an organisational planning or development process which identifies organisational development needs and initiates training or development for the organisation. Examples of this might be the identification of a need for safety training, training on a new policy or training tailored to a particular group or division.

The manager and their direct report should also work together continuously to identify development needs for the individual which arise in the context of achieving or, indeed, of setting the agreed goals and objectives.

Once the high priority needs have been addressed, what next?

Once the high priority development needs have been addressed, the manager and direct report should take a longer term view towards development, not just in terms of achieving the BAI Strategy and/or any business plans but also in terms of the individual's career development. It is also appropriate to address the individual's personal development goals either at the same time or after the other development needs have been addressed. This is on the assumption that the individual's personal goals are not incompatible with the organisational and job-related goals.

Is there a structure to the development planning process or is it ad hoc?

While development needs or opportunities may be - and should be – discussed and identified by the Manager and/or direct report, with input from the relevant Project Drivers and Operational Managers throughout the year, a formal development plan for each person should be drawn up and revised at least once a year. The development plan should be drawn up together by the Manager and direct report and may require input from the relevant project drivers and operational manager. The plan should address:

1. Any short-term skills or competency gaps which might prevent the individual from achieving short-term goals.
2. Organisational development needs or requirements
3. Longer term career goals
4. Personal development goals if any
5. Organisational Values

The development plan should be a living document and, as such, should be referred to, reviewed and revised where necessary throughout the year. It is your document!

How is the Effectiveness of Training or Development Determined?

A development plan form is provided in the policy guidelines (**Appendix IV).**

While it is important that the BAI provides development and training opportunities to its staff, it is equally important that the BAI reviews and assesses the outcomes and effectiveness of the training, i.e., the 'return' on that training to the organisation. Therefore, it is vital that both manager and their direct report review any training and development provided (a) immediately after it has occurred and (b) at regular intervals thereafter (appropriate intervals might be after six months and after one year), to determine if the training or development has been effective and if it has achieved its aim.

Assessments/reviews of training or development should be documented on the development plan form. These assessments may be reviewed at an organisational level, i.e., by senior management to determine the effectiveness of staff training and development. – TBC.

Reviewing Performance

What is the basis for review?
In general, performance should be reviewed on the basis of agreed individual goals and objectives together with relevant project and operational statements/plans. Feedback from the relevant project drivers(s) and operational managers should also form the basis of a performance review. It is important to remember that, given the nature of most jobs, it is not possible to anticipate in advance everything a direct report will do or will be asked to do. Therefore, it is reasonable to discuss and review tasks or projects which were not pre-defined as goals and every effort should be made to incorporate those tasks or projects into future project or operational statements/plans.

When should performance be reviewed?
Review of performance should be ongoing and continuous and above all should be timely, i.e., each specific situation should be reviewed as soon as possible but no more than one month (too long..) of it taking place or of a task or project ending or being completed. In order to do this, the Manager should get continual feedback from relevant project drivers and operational managers.

Specific issues should be addressed when they arise – even if this necessitates scheduling a meeting to discuss them. It is appropriate for either the Manager or the direct report to schedule an ad hoc meeting to address an issue or issues they may have.

How should performance be reviewed?
Review of performance can happen either in informal conversations or by way of a formal meeting between a Manager and their Direct Report. Managers should encourage direct reports to take the lead in this process to review and evaluate their own performance and also to determine the best course of action for the future.

What happens when the objectives are met?
Where Direct Report has met (or exceeded) the agreed objectives, it is important that this should be acknowledged by the manager. It is also valuable to review or debrief the situation so that the factors contributing to the individual's success can be identified and applied in the future. (Organisation Value: Professional and Committed to Learning)

What happens when the objectives are not met?
When the agreed goals have not been met, it is equally important that this should be acknowledged and addressed. Don't be afraid to admit that something went wrong. The purpose of this process is not to allocate blame but rather to identify what went wrong in the past so that changes can be made and performance can be improved in the future. Review the situation honestly and identify what went wrong and why and what lessons have been learnt. Take into consideration all the factors that came into play, including those that were outside your control. Then use that discussion and analysis to come up with a plan for improving performance in the future.

What about poor performance/behaviour?
In cases of poor performance/behaviour, the focus should be on improving performance in the future and preventing reoccurrence rather than on retribution or punishment. However, it is important that repeated or ongoing poor performance/behaviour should be addressed and managed by both the Manager and Direct Report informally by way of a performance

improvement plan. Failure to improve may result in action under any BAI disciplinary policy/procedure.

What is a Performance Improvement Plan?

- the areas where you are failing to meet expectations
- the measurable objectives which you should achieve
- the action plan set out at the meeting
- any additional training, advice or support which may be offered to you (if appropriate)
- a realistic timetable for monitoring whether the objectives are being met
- a review date

Annual/Year-End Review Meeting

If performance is being reviewed all year, why is it necessary to have an annual review meeting?

The basis of the BAI performance management policy is that feedback is given and performance is reviewed continuously throughout the year. However, as valuable as the continuous process is, it is not completely effective without at least one meeting in the year when both the Manager and the Direct Report take a step back and review performance as a whole, as well as agreeing a path forward for the coming year. This 'big picture' approach is the purpose of the annual review meeting rather than addressing specific issues or particular instances of good or past performance.

Will there be any surprises in the annual review?

There should be no surprises or new issues in the review meeting as specific issues or particular instances of good or bad performance should have been raised as they occurred throughout the year.

Does this mean that no issues will be addressed at the annual review?

That is not to say that issues or poor performance cannot be addressed in the review meeting. It is entirely appropriate and indeed necessary for the manager to use the annual review meeting to address ongoing issues or instances of poor performance. However, this should be done on the basis of patterns or ongoing issues rather than on the basis of an individual situation. Nothing that is raised in the annual review meeting should be a surprise to the individual and no issue should be 'saved up' for the annual meeting.

Isn't there a statute of limitations on issues?

If an issue has been raised earlier in the year (and any issue should have been discussed with the individual at the time it arose) and performance improved as a result and/or there was no repeat of the issue, the issue should not be brought up again in the annual review meeting other than to acknowledge that there has been no reoccurrence and the situation has improved. Issues may only be resurrected after the fact if a pattern emerges in combination with other or similar issues which is cause for concern.

An example of this might be the individual being late for work. An isolated or occasional instance of lateness should be addressed at the time it occurs and should not be raised again if it does not reoccur. However, if a pattern of lateness emerges, it is appropriate for the Manager to discuss the various instances of lateness at the annual review meeting.

Does the Annual Review Meeting have to be documented?
For the purposes of transparency and to ensure that both Manager and Direct Report are in agreement on the content and outcome of the meeting, a short note about the content and outcome should be created, agreed and signed off by both the Manager and the Direct Report and forwarded to HR for the personnel file.

Either the Manager or Direct Report may prepare the note but both should sign it off. If either the direct report or the manager has issues or concerns about the meeting or the meeting note, they can use the intervention or appeals process (see Performance Management Policy)

What happens if I change manager during the year?
If possible the first manager should debrief and handover to second. The new manager should review objectives which have already been set understand progress from the first manager and discuss any revisions/additions with the new direct report. The interim review and annual review format guidelines in Appendices V & VI may also be used for this purpose.

Feedback

When should feedback be given (informally or formally i.e. in a meeting)?
Feedback can be given formally or informally but, if the feedback is sensitive or likely to prompt discussion, it is best to give it in private or schedule a meeting to discuss it.

Feedback should be objective and, insofar as possible, constructive. Where feedback relating to areas for improvement should be given, it is a good idea to start and end on a positive note, to give the other person the opportunity to present their own side and also to approach the issue as a development opportunity and to focus on solving a problem or preventing reoccurrence.

Meetings

What is the difference between a conversation and a meeting?
A conversation can be a meeting and a meeting can be a conversation! However, for the purposes of this policy, a meeting is defined as a private face to face and uninterrupted conversation between two or more people (i.e., Manager and Direct Report). A meeting can be ad hoc or scheduled in advance but the most important fact is that it is private.

Do my manager and I have to have meetings?
While it is up to the individual manager and the direct reports to determine the best method or format of communication that suits them, in order to ensure that an appropriate amount of communication is taking place. However, at least 3 meetings have to take place covering objective setting and development planning as well the interim review and year-end review discussions.

Whose responsibility is it to schedule meetings?
Either the manager or the direct report may schedule a meeting. If they do, the other party should make their best effort to attend.

If a meeting is scheduled by my manager, do I have to attend it?

If either the manager or direct report wants to meet with the other, this should be a priority for both individuals and they should make their best effort to attend.

What should be addressed in meetings?
While feedback may be given in an informal manner (see above), it is appropriate for either the manager or the direct report to schedule or request a meeting to give or receive feedback or to address an issue or issues they may have.

What if I feel the meetings are not useful?
If either manager or direct report believes that the meetings are too frequent, are not helpful or are not the best method of communication, then they should raise this and discuss it with the other party with a view to improving the meetings.

What if a meeting is cancelled?
Meetings should not be cancelled. If either the manager or the direct report cannot attend for genuine reasons, it should be a priority for both parties to reschedule the meeting as soon as possible afterwards.

If either the manager or the direct report does not make themselves available for a meeting, cancels a meeting and doesn't reschedule or makes a habit of cancelling or rescheduling, then that is a valid issue for the other party to raise and address.

What happens if an individual refuses to attend regular meetings?
If an individual is not engaging in the process, the manager or the direct report is expected to escalate this as soon as possible to HR and it will be discussed with both parties. If there is an ongoing issue in relation to meetings HR may escalate this to the office of the CEO

Documentation

Why do we need documentation? See appendices for suggested formats
In order to ensure fairness and consistency of performance management across the organisation, it is necessary that some – though not all – elements of the performance management process are documented and that those documents are maintained by HR on the individuals' personnel file.

The following elements of the process should be documented and updated for each individual at least once a year:

- Goals and objectives - refer to format in Appendices
- Development plan – refer to format in Appendices
- Annual Review Meeting Notes – refer to format in Appendices

Who signs off on the documents?
Each document should be agreed and signed off by both manager and the direct report

Where are the documents filed?
The signed documents should be sent to HR to be kept on the individudal's personnel file.

What should the documents look like? See appendices for guidance
Focus on the discussion and on reaching agreement, rather than on generating a document. Keep notes if you want to but don't make documentation the focus of your discussion. Keep the document short – bullet points are fine – and factual.

What if one of us has an issue with a document?

If either party has an issue with any element of the documentation or does not wish to sign off on a document, they should discuss and the issue and try to come to an agreement. If agreement cannot be reached, either party may ask for assistance from HR or use the intervention or appeals process (see Performance Management Policy).