MANAGER AND AHRS CHECKLIST – progression to Initial Formal Warning Hearing

The following checklist outlines the guidance for a manager on what is to be covered prior to any move from business as usual performance management to the first formal stage (Initial Formal Warning Hearing) of the Managing Under Performance Procedure. There may be cases where it is not always appropriate for all steps in this checklist to apply, though it is expected that such cases will be in exceptional and more serious circumstances.

Has a discussion been held with the individual to inform them that there is a shortfall in their performance against the requirements of their job/role?	▪ Discussion must be supported with evidence to demonstrate where the individual is not reaching the required standard ▪ Confirm that it is a capability issue (i.e. can't do) rather than a discipline issue (won't do) ▪ Is their workload manageable/achievable? ▪ Discussion must be recorded with reference to the appropriate evidence and shared with the individual, This will normally be on ePerformance using Performance Notes
Have you documented the actions required by both the individual and yourself (through training, development and support) to bring their performance back up to the required standard i.e. to Good performance?	▪ Actions required by the individual to bring their performance back up to required standard should be SMART ▪ Actions should include any training required and the development and support provided by the line/people manager ▪ For good performance management individuals must be aware of the monitoring period (usually between 2 – 8 weeks) and any review date(s) during that period. For monitoring period guidance: URL link ▪ Actions and monitoring periods must be recorded and shared with the individual. This will normally be on ePerformance using Performance Notes
Have you reviewed and discussed with the individual their progress against the documented actions?	▪ Performance against actions should be reviewed on a regular basis during the monitoring period in line with the review periods. ▪ Where there is evidence of how the individual is performing against actions this must be recorded and shared with the individual. This will normally be on ePerformance using the Performance Notes
Does the individual have less than 12 months service – and if so has the Problem Joiners Process been considered?	▪ If the individual has less than 12 months service with the company the Problem Joiners Process may be appropriate with the potential to proceed direct to the Final Formal Warning stage.
Is the individual new to the job/role or has their job/role changed significantly?	▪ Are they picking up the role as quickly as expected of some-one on a learning curve ▪ Individuals who consistently meet requirements of what is expected of somebody who is new to the job or BT, should be viewed as 'Good' performers.
Have you discussed with the individual what improvement is needed, and by when, to bring their performance back up to the required standard i.e. to Good performance?	▪ The individual must be clear on what they are required to deliver (job standards, objectives etc.) and how they are expected to behave (BT values / leadership capabilities) in their job/role ▪ Requirements of role should be supported by job/role description, personal objectives/KPIs
Has the individual been informed of the potential consequences (e.g.	▪ The individual must have been made aware at an appropriate point

Formal Managing under Performance Procedure and potential downgrade / dismissal) if their performance does not improve?	during discussions that failure to improve their performance could result in a formal warning and possible dismissal.
Are there any other factors that need to be taken into account before progressing to the Initial Formal Warning stage?	▪ Does the individual have any disability or medical restrictions which impacts on their capability in the role? ▪ Have they been referred to the OHS or for counselling recently? ▪ Are there factors outside of work affecting how they perform in their job/role? ▪ Consider if there maybe other underlying reasons that require further exploration ▪ Is the individual being managed under any other processes that might make this a complex case?