# APPENDIX 13 – STAGE 3 CHECKLIST FOR LINE MANAGER

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| If the performance problems are serious enough to warrant entering the procedure at Stage 3 (Extreme Performance Issues – Section 1.5), liaise with HR (eMBED)Manager for guidance prior to notifying the employee. Ensure have specific examples available. Where suspension is agreed take advice from HR (eMBED) Manager re process. | | |  |
| If employee has been managed at Stage 2 - ensure up to date on what the performance problems are - including specific examples, the support that has been given and any improvements/deterioration during Stages 1 and 2. If a dismissal is possible at Stage 3, ensure that Line Manager has sufficient authority to dismiss (seek HR (eMBED) advice). | | |  |
| Consider whether external factors such as ill health or bullying/harassment are causing/exacerbating the performance problem. Use other policies such as Management of Attendance may be used instead of, or as well as, the Performance Procedure. | | |  |
| Agree convenient date with HR (eMBED) Manager and send a letter to the employee asking them to attend a Stage 3 meeting (see Appendix 10 for template) giving them at least 7 calendar days notice of the meeting. | | |  |
| Hold the meeting (see Section 1.3 for guidance) – depending on the employee’s response, again consider whether it is more appropriate to use other policies to manage the situation. If other factors are not relevant then either agree objectives and support, and the length of the monitoring period OR confirm grounds to dismiss and agree period of adjournment. | | |  |
| If the employee is accompanied at the meeting, check if they want that person to be copied into correspondence, and if so get the appropriate address. | | |  |
| Further Monitoring Agreed | ✓ | Dismissal | ✓ |
| Document the meeting (see Appendix 11 for template) copied to representative where agreed. |  | Where grounds for dismissal are in place - discuss with HR (eMBED) Manager whether redeployment/downgrading is appropriate, if so obtain details of relevant vacancies. |  |
| Where the employee has been given a further monitoring period, write to the employee (copy to HR (eMBED)) at least 7 calendar days prior to the review date, reminding them of the review meeting which follows the monitoring period. If the employee was accompanied at Stage 3 then remind them to notify their representative if they wish to be accompanied again. |  | Arrange to reconvene the Stage 3 meeting and either give details of why redeployment/downgrading not considered appropriate and confirm decision to dismiss, or make offer of variation to contract. |  |
| Prepare for the meeting by getting feedback from any mentor/coach/supervisor that has been assigned, plus examples of where behaviour has been observed to have improved/stayed the same/deteriorated. |  | Document the meeting (see Appendix 11 for template) copied to representative where agreed. |  |
| Hold the meeting (see Section 1.3 for guidance) and either take off formal monitoring, or confirm grounds for dismissal and arrange adjournment. If the employee is accompanied at the meeting, check if they want the representative to be copied into the correspondence, and check have correct address. |  | Where employee has been notified of grounds for dismissal and offered variation to contract, ensure the employee responds in writing to offer, and action appropriately. |  |
| Document the meeting (see Appendix 11 for template) – copied to representative where agreed. |  | Where employee agrees to variation in contract, ensure new Line Manager is updated on background to situation – that person will then co-ordinate all transfer documentation/inductions etc as with any new starter to their department. |  |
| Follow steps above right where dismissal takes place. |  |

The following request should be made prior to any meeting: Request that all attendees turn off any electronic devices to avoid unnecessary interruptions during the meeting and advise that the CCG expressly prohibits the recording of meetings.