

Northern Ireland Blood Transfusion Service

**FRAMEWORK****Document Details****Document Number:** FMW:24:QD:004:001:NIBT**No. of Appendices:** 0**Supersedes Number:** N/A**Document Title:** PERFORMANCE MANAGEMENT FRAMEWORK**ISSUE DATE:** 11<sup>th</sup> APRIL 2024**EFFECTIVE DATE:** 25<sup>th</sup> APRIL 2024**Document Authorisation**

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**CROSS REFERENCES**

This framework refers to the following documents:

<b>Doc Type</b>	<b>Doc. No.</b>	<b>Title</b>
FMW	QD001	Board Assurance Framework
CON SLA	QD068	Partnership Agreement between the Department of Health and the NIBTS
FORM	DD2467	Annual Departmental Business Plan
FORM	DD2468	Annual Business Plan Update Form
FORM	DD783	Staff Appraisal Form
SOP	PE016	Staff Appraisal Guidance
FORM	DD2469	Six Monthly Review Form
SOP	RM001	Risk Register Process
SOP	RM002	Operational & Health and Safety Risk Assessment Procedure
Plans	-	NIBTS Corporate Plan - <a href="#">NIBTS Website</a>
Plans	-	NIBTS Business Plan - <a href="#">NIBTS Website</a>

**Key Change from Previous Revision:**

N/A – newly created document

**1 STATEMENT**

- 1.1 The purpose of this performance management framework is to ensure that processes are in place and responsibilities are defined that enable the Board, Senior Management Team and other key personnel to set and monitor the organisation's performance against regional and organisational objectives, enabling action to be taken where appropriate.
- 1.2 We are committed to ensuring that performance management is a core organisational focus. This document provides a framework for management and staff throughout the organisation which will support effective decision making and ensure that performance management is integral to organisational planning and service delivery.
- 1.3 Effective performance management is the responsibility of everyone in the organisation. The implementation of an effective performance management system will therefore involve the NIBTS Board, the Senior Management Team and all staff to ensure the delivery of high-quality services to our stakeholders and service users supporting the wider health and social care system in Northern Ireland and beyond.

**2 OVERVIEW**

- 2.1 Performance management is defined as:

*“a process which contributes to the effective management of individuals and teams in order to achieve high levels of organisational performance. As such, it establishes shared understanding about what is to be achieved and an approach to leading and developing people which will ensure that it is achieved”.*<sup>1</sup>

- 2.2 This performance management framework describes:

- the means by which the NIBTS can identify areas of excellence for wider sharing and celebration as well as helping to identify areas where additional support may be required.
- the overarching mechanism for performance management across the NIBTS. It will ensure there is clear visibility and lines of accountability from the Department of Health to the NIBTS Board right through to each member of staff.
- the systems and activities that will be required to ensure there is effective performance management across the NIBTS with roles and responsibilities clearly outlined.

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<sup>1</sup> Armstrong, Michael, and Angela Baron. (1998). Performance Management. Institute of Personnel and Development, 1998

- 2.3 It will support assurance to the Board regarding the structures in place to achieve the strategic objectives detailed in the NIBTS 5-year Corporate Strategy which feed into the Annual Business Plan.
- 2.4 The performance management framework will only be successful if there is an organisational culture that focuses on the needs of our Key Stakeholders, Service Users and Staff, whilst also encouraging and nurturing improvement through openness about our performance, promoting innovation and a commitment at all levels of the organisation to improve. The framework is therefore firmly based on the HSC Values:
- Working Together
  - Excellence
  - Openness & Honesty
  - Compassion

### 3 RESPONSIBILITY

- 3.1 This section of the performance management framework sets out the high-level performance management responsibilities of each role and reflects the more detailed ***Board Assurance Framework [QD001]*** and the ***Partnership Agreement between the Department of Health and the NIBTS [QD068]***.
- **The Board** is responsible for providing effective leadership and strategic direction to the organisation to ensure that the policies and priorities set by the Minister for Health are implemented. It is responsible for ensuring that NIBTS has effective and proportionate governance arrangements in place and an internal control framework which allows risk to be effectively identified and managed. The Board also has an important role in monitoring performance and delivery against Business Plan targets and KPIs.
  - **The Chief Executive's** role is to run NIBTS business. The Chief Executive is responsible for all executive management matters affecting the organisation and for leadership of the executive management team. As the NIBTS Accounting Officer, the Chief Executive is personally responsible and accountable for the day-to-day operational performance management of the overall organisation.
  - **Senior Management Team (SMT)** are responsible for creating a performance improvement culture within their areas and ensuring compliance with this framework through effective performance management within their areas. SMT ensure completion and delivery of performance reports required by the Board, as part of the performance management and assurance processes.
  - **Corporate Governance, Risk & Emergency Planning Manager** is responsible for ensuring a framework for performance management is defined, reviewed annually and updated as required. They are also responsible for ensuring there is an effective process for the identification and documentation of potential hazards and risk that may prevent the organisation from achieving performance objectives.
  - **Line Managers** are responsible for developing and delivering against the performance targets within their respective areas and ensuring escalation of any

issues as required. They are responsible for creating a culture of performance improvement within their area, ensuring every staff member participates with the appraisal process and is supported to achieve the objectives set for them.

- **Staff Members** have responsibility to:
  - Participate in Staff Appraisals and the setting of individual objectives.
  - Escalate any concerns they may have in relation to the achievement of performance objectives or service delivery.
  - Identifying actions for improvement and promoting innovation.

## 4 FRAMEWORK

### 4.1 PERFORMANCE MANAGEMENT PRINCIPLES

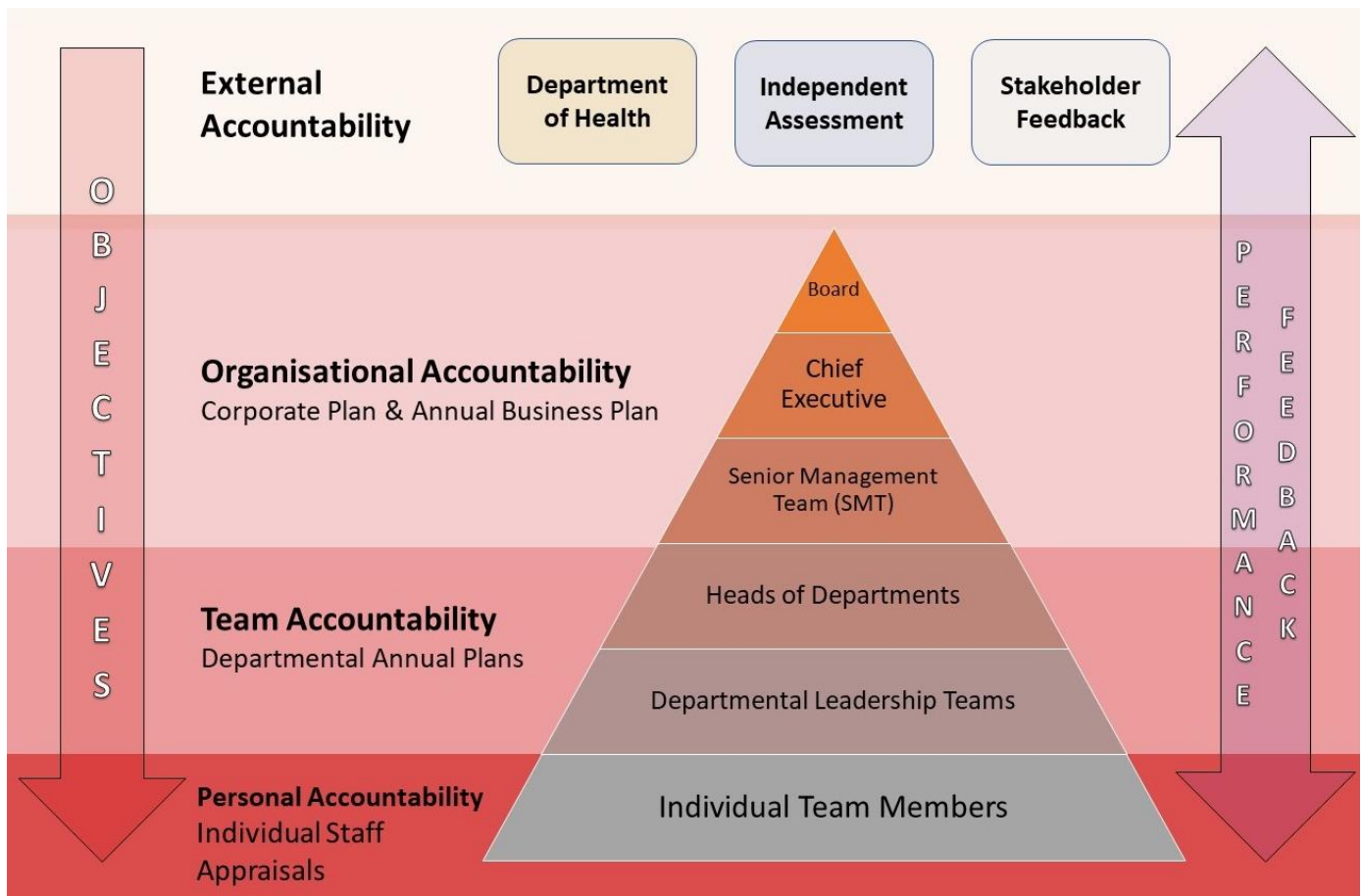
The following principles underpin the NIBTS performance management framework:

- **Creating a performance culture:** These arrangements are intended to support a culture of continuous improvement. This will be supported by clear objectives at all levels in the organisation which drive a culture of high performance and accountability. The aim is to instil a performance culture in tandem with developing a clear understanding of where individual responsibility lies.
- **Clear objectives:** The NIBTS Corporate Strategy and Annual Business Plan are highlighted throughout this framework ensuring monitoring and focus on these key deliverables at all levels. The objectives and aims of each department of the organisation will support or relate to the objectives and aims of the organisation so that, every time that a departmental goal is achieved, the organisation improves.
- **Accountability:** Performance management arrangements ensure that everyone is clear where lines of accountability lie.
- **Transparency:** The tools to measure and assess performance are clear and staff across NIBTS understand what is required of them.
- **Improvement focussed:** The performance management approach of NIBTS will be supportive and focussed on continuous improvement. Departments which are identified as not meeting performance objectives will be supported to improve.
- **Empowerment and delegation:** NIBTS departments will experience a proportionate level of performance management that rewards and encourages innovative ways of working. NIBTS departments which are not achieving their objectives and are underperforming in key areas will be monitored more formally and will be offered greater support to make improvements through an agreed escalation process.

## 4.2 PERFORMANCE MANAGEMENT STRUCTURE

Performance management should be at the heart of what we do to enable continuous improvement in delivering a quality service in line with the NIBTS vision: “Through our Donors and Staff, provide an outstanding blood service for the people of Northern Ireland”.

The diagram below outlines the performance management structure within NIBTS at organisational, team and individual levels, how it relates to the external environment and how objectives are set at each of these levels:



Each of these levels are detailed below:

### 4.2.1 External Level

In line with relevant guidance<sup>2</sup>, NIBTS will work in collaboration and partnership with the Department of Health to prepare both the Corporate Strategy and Annual Business Plans to ensure there is strategic alignment between Departmental and NIBTS plans.

<sup>2</sup> Guidance issued by TEO on NICS Work Programme which includes guidance on business planning for an outcomes based pFG/ODP

Department of Health guidance in relation to business planning for arm's length bodies is considered and specific Department of Health objectives and requirements are included.

The process for setting organisational objectives are is described in the **Board Assurance Framework [QD001]** which provides the framework and structure by which the NIBTS responsibilities will be fulfilled. It is therefore important that this performance management framework is read in conjunction with the Board Assurance Framework.

NIBTS obtain independent assurance and feedback from external sources such as BSO Internal Audit, MHRA, UKAS and RQIA. Feedback and learning from these independent assessments are taken on board and built into future Business Plans for the organisation.

Gaining feedback from key stakeholders such as our Donors and the Hospital Services that we provide a service to are key to success. NIBTS undertake regular surveys and engagement sessions with both Donors and Hospital Services and ensure feedback received is incorporated into the planning process.

#### 4.2.2 Organisational Level

Objectives are set for the NIBTS at an organisational level and reflect Department of Health priorities, as indicated above. These are ultimately cascaded down to each individual team member to ensure that everyone within the organisation is doing all they can to ensure the NIBTS is meeting the strategic objectives and vision of the organisation.

#### NIBTS Corporate Strategy

NIBTS has in place a four-year Corporate Strategy, which sets the vision and strategic direction of the organisation. It is a key strategic document which sets out the challenges and opportunities for the Agency and reflects key policy statements and Northern Ireland Executive strategies. The plan provides an overview of the key priorities the Agency wishes to pursue under the following five key themes:

- Safety and Quality
- People and Culture
- Partnership and Engagement
- Continuous Improvement
- Resources

Involving staff, managers and other key stakeholders in the development of the Corporate Strategy, Annual Business Plan and Departmental Plans is central to the approach adopted by NIBTS, and encompasses the collective leadership approach which is supported and instilled across the organisation.

## NIBTS Annual Business Plan

The Corporate Strategy is complemented by an Annual Business Plan which provides more detail on the organisation's objectives for the current year, target key performance indicators, how these will be measured as well as how they will be reported to the Board to provide ongoing assurance.

The Annual Business Plan is structured under the same five key themes in the Corporate Strategy and provides further details on how these will be achieved.

In developing the Annual Business Plan, the Chief Executive and Senior Management Team consider key issues affecting the service, the feedback received both externally and internally through assessments, engagement and benchmarking and then develop appropriate objectives for the year ahead and prepare an initial draft.

The initial draft forms the basis of formal business planning consultation meetings which take place with staff, managers, trade unions and key stakeholders.

### 4.2.3 Team Level

Each of the following Departments in the NIBTS works in partnership with their teams to develop an Annual Departmental Plan:

- HR & Corporate Services
- Finance & IMT
- Supply Chain
- Testing
- Quality & Regulatory Compliance
- Medical

These departmental plans will be structured under the five key themes from the Corporate Strategy and will provide further direction and detail on what each department will do to ensure the organisational vision, the five key themes and the Annual Business Plan objectives are realised.

Each department will complete a template with their agreed objectives and will ensure this is shared with all staff. Refer to template form: ***Annual Departmental Business Plan [DD2467]***.

Involving staff in the setting of annual objectives for their team is seen as crucial to the successful development of annual departmental plans.

Each department will engage with their staff to agree the departmental objectives that will help to deliver the Annual Business Plan. These will be recorded on the template and reviewed on a monthly basis during their Departmental Team meetings as a standing agenda item.

#### 4.2.4 Individual Level

It is important that the objectives listed in the Corporate Strategy, Annual Business Plan and Departmental Plans are cascaded to each individual member of staff as appropriate. This enables staff to clearly see what they have to do to help support the organisation to meet its objectives. It enables staff to build a sense of ownership of the objectives and a drive to ensure they are achieved. The annual appraisal is also an opportunity for additional objectives to be set, in line with the five key corporate themes, that enable staff to add to and further complete work that will enable the achievement of NIBTS vision: *“Through our Donors and Staff, provide an outstanding blood service for the people of Northern Ireland”*.

All managers are responsible for ensuring that their staff have an annual performance appraisal meeting during which staff are given an opportunity to discuss and agree their own objectives which are listed under the five strategic themes. For the Agency’s template appraisal form refer to: **Staff Appraisal Form [DD783]**. Guidance for managers and staff on the appraisal process can be found in **Staff Appraisal Guidance [PE016]**.<sup>3</sup>

Ensuring staff receive appropriate support and development to ensure the achievement of the objectives set for them during their appraisal is of utmost importance and the appraisal process is a means by which this is discussed and agreed.

Good performance appraisal is not just the application of an annual appraisal meeting but rather ensuring ongoing discussion, review and support throughout the year. NIBTS is committed to ensuring regular review of individual performance appraisal objectives to ensure that support is provided where needed. The appraisal process has therefore built in a review process, of individual staff members appraisal targets, to ensure we do all we can to maximise the achievement of objectives by creating a supportive performance improvement culture.

### 4.3 PERFORMANCE FEEDBACK

A high performing organisation holds itself to account for all the activities it is required to deliver and for unresolved concerns to be escalated if performance does not meet the required standard. NIBTS is committed to an Open, Just and Learning approach to performance management and creating a culture where all staff feel safe to speak freely and are encouraged to provide feedback, good and bad, to ensure learning is captured, welcomed and shared.

Feedback on performance is therefore required at all levels including at **External, Organisational, Team and Individual Level**. Each of these are described below:

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<sup>3</sup> Separate appraisal documentation and guidance is in place for medical staff in line with regionally agreed processes regarding appraisal and revalidation. Further details on the arrangements can be found by accessing [POL:19:MP:024:02:NIBT] and [POL:22:MP:025:02:NIBT]



### 4.3.1 External Feedback

#### Engagement Meetings with DOH

As outlined in the Partnership Agreement, the DOH and NIBTS will agree an Annual Engagement Plan before the start of each business year. The Annual Engagement Plan will set out the timing and nature of engagement between NIBTS and the DOH.

Engagement between the DOH and NIBTS will be centred on partnership working, understanding of shared risks, and working together on business developments that align with policy objectives.

These engagement meetings are an opportunity for NIBTS to update on delivery against the Annual Business Plan objectives and outline any risks or concerns in relation to their achievement. In addition, it provides opportunity for both parties to provide and receive feedback on key targets and challenges.

#### Independent Assessments

NIBTS have an SLA in place with the Business Services Organisation to undertake an internal audit function. As part of the Governance arrangements within NIBTS an Audit Committee, chaired by a Non-Executive Director, who ensures that any recommendations or learning identified through audit, are actioned and addressed.

All core services provided by NIBTS are subject to regulatory inspection and / or accreditation. Legislation (Medicines Act 1968 and Blood Safety and Quality Regulations 2005/50 (as amended) requires that the organisation possesses appropriate licences in order to perform its core functions. NIBTS undergoes inspection by the Medicines and Healthcare products Regulatory Agency (MHRA) on a two-yearly basis.

NIBTS is also audited by the United Kingdom Accreditation Service (UKAS) against ISO 15189 standards for Medical Laboratories – Requirements for Quality and Compliance.

Feedback received from audits and inspections form a key part of the Performance Management Framework and are incorporated into Annual Business Plans, Departmental Plans and Staff Appraisals as appropriate.

#### Feedback from Stakeholders

NIBTS undertake regular surveys and engagement sessions with Donors and the Hospital Services that we provide a service for, to enable us to receive feedback and continuously improve the service provided.

An analysis of compliments, suggestions and complaints received is regularly undertaken to ensure any themes are identified and where appropriate, incorporated into the Annual Business Plan, Departmental Plans and Staff Appraisals.

## 4.3.2 Organisational Feedback

### Board Meeting

Board Meetings take place six times a year and are led by the Chair of the Board and attended by Non-Executive Members, Chief Executive with support from the Senior Management Team.

A performance report will be presented at each Board meeting. This will be structured under each of the five Corporate Themes:

- Safety & Quality
- People & Culture
- Partnership & Engagement
- Continuous Improvement
- Resources

This report will describe any risks that may impact the achievement of the objectives and the controls in place to manage these risks.

The Board meeting will provide an opportunity for discussion on performance and to provide a forum for feedback and assurance.

### Business Planning and Performance Meetings

Business Planning and Performance meetings are led by the Chief Executive and attended by the Senior Management Team. The achievement of Annual Business Planning objectives will be reviewed on a six-monthly basis at these meetings – one in July and one in January.

Each Senior Management Team member will, in advance of these review meetings, complete a template which details all of their annual business plan objectives and their current status, using the *Annual Business Plan Update Form [DD2868]*, to enable an informed discussion on each of these. Where risks are identified in relation to the completion of any objectives, these will be discussed and appropriate supports put in place as required. All such risks will be included in the Corporate Risk Register as appropriate.

### Weekly Senior Management Team (SMT) Meeting

Whilst performance against objectives are not routinely covered during the weekly SMT meetings, should a serious concern arise which puts the achievement of an organisational or team objective at risk, then this will be raised by the relevant SMT member for consideration and discussion at the first available weekly SMT meeting. Should it not be possible for the risk to be added to the weekly SMT meeting agenda, or the issue cannot wait until the next meeting, a separate urgent meeting will be arranged.

### 4.3.3 Team Feedback

#### Six-Monthly Review Meetings

To enable the Senior Management Team to be updated on, and to provide support to, each SMT area, there will be a six-monthly Review Meeting – one in April and one in October.

Each SMT area will ensure the completion of a *Six Monthly Review Form [DD2469]* to ensure uniformity of information is received from each area.

These meetings will be led by the Chief Executive with all members of the Senior Management Team present. In addition, each of direct reports of the SMT member will attend to present on their areas of responsibility.

They will provide an opportunity for the Senior Management Team to hear about the SMT area's achievements and to recognise and celebrate these. In addition, it provides an opportunity to discuss progress against annual business plan objectives and any challenges there are with achieving these.

Where risks to the achievement of objectives are identified, these will be discussed and appropriate controls put in place as required.

The Senior Management Team is also keen to provide staff with opportunities to make suggestions for improvement or change. The six-monthly meetings will present a forum for this. It is therefore important that each Head of Service and managers in attendance seek feedback from their team in advance of the meeting.

#### Monthly Team Performance Meeting in each Departmental area

A monthly Team Performance meeting will be held in each Department and will be led by the Senior Manager responsible for the area. All direct reports to the SMT member will attend this meeting.

This meeting provides an opportunity for each department to review their achievements against the objectives set in their Departmental Annual Business Plan, an opportunity to identify any risks to achievement and ensure corrective action and control measures are put in place where appropriate.

#### 4.3.4 Individual Feedback

##### Annual Appraisal Meeting

Each member of staff will have an annual appraisal with their line manager during which they will be able to discuss and agree their objectives that will support the delivery of the annual business plan and departmental plan objectives. It will also be an opportunity for both parties to provide feedback to each other, to recognise and celebrate success and to discuss any challenges there may be and how they might be overcome.

##### Appraisal Review Meetings

To provide further support to all staff, the NIBTS appraisal system has established an individual review of objectives as part of the process. Feedback on the achievement of objectives, or any challenges the member of staff is facing, should be discussed at these review meetings. These meetings can occur as part of the regular 1:1 meeting.

For further guidance on the Annual Appraisal Meeting and the Appraisal Review meetings refer to the procedure: ***Staff Appraisal Guidance [PE016]***.

##### Monthly 1-to-1 Meetings

It is not anticipated that staff and managers will discuss their annual appraisal objectives on a monthly basis. However, in circumstances where a member of staff or their line manager identifies concerns that will impact the achievement of their objectives, then it is expected that they will bring this to their line manager's attention as soon as possible to enable supportive action to be put in place at the earliest opportunity.

##### Staff Survey

NIBTS is keen for all staff to have a voice and appreciate that not everyone wishes to speak up in a public forum such as a team meeting or accountability review.

A local, NIBTS staff survey has been introduced to support feedback from staff. This survey includes a question asking staff for any ideas or suggestions they have for improvement. Feedback received from staff surveys will be included in the six-monthly accountability meetings for each department.

The table below provides a summary of the performance management feedback mechanisms in place for each of the levels referred to above.

<b>External</b>	<b>Organisational Feedback</b>	<b>Team Feedback</b>	<b>Individual Feedback</b>
<b>Engagement Meetings with DOH</b>	<b>Bi-Monthly</b> NIBTS Board Meeting	<b>Mid-Year &amp; End of Year</b> Review Meetings with SMT and teams	<b>Annually</b> Staff Appraisal
<b>Independent Assessments</b> (Internal Audit / MHRA / UKAS)	<b>Six monthly</b> Business Planning & Performance Meeting	<b>Monthly</b> Team Performance Meetings in each Departmental Area	<b>Annually</b> Staff Survey
<b>Feedback from Stakeholders</b>	<b>Weekly</b> SMT Meeting (By exception)		<b>Regular Appraisal Reviews</b>

#### 4.4 ESCALATION

Performance management will be based on the principle that, wherever possible, issues should be resolved at Departmental level in a mutually supportive way in line with the HSC values. This means that escalation should very much be the exception and that, where it is necessary, proportionate and appropriate support and intervention is put in place at the earliest opportunity.

As referred to previously, it is everyone's responsibility to raise concerns they have which may impact the organisation's ability to meet the targets set at individual, team or organisation level and to do so as soon as possible.

Where concerns are identified which put the achievement of individual, team or organisational objectives at risk, these should be raised through one of the feedback mechanisms referred to above. This will enable supportive mechanisms to be put in place as soon as possible.

Concerns should be thoroughly risk assessed, scored appropriately and documented for inclusion on the Departmental and Corporate Risk Registers as appropriate. Refer to documents: ***Risk Register Process [RM001]*** and ***Operational & Health and Safety Risk Assessment Procedure [RM002]***.

## **5 EQUALITY, SCREENING AND ACCESSIBILITY**

This framework has been drawn up and reviewed in light of the statutory obligations contained within Section 75 of the Northern Ireland Act (1998). In line with the statutory duty of equality this framework has been screened against particular criteria. If at any stage of the life of the framework there are any issues within the framework which are perceived by any party as creating adverse impacts on any of the groups under Section 75 that party should bring these to the attention of the Head of HR & Corporate Services.

The Northern Ireland Blood Transfusion Service is committed to the promotion of equality of opportunity for staff, donors and service users. We strive to ensure that everyone is treated fairly and that their rights are respected at all times. We believe that it is important that our framework is understood by all those whose literacy is limited, those who do not speak English as a first language or those who face communication barriers because of a disability. On request it may be possible to make this framework available in alternative formats such as large print, Braille, disk, audio file, audio cassette, Easy Read or in minority languages to meet the needs of those not fluent in English.

## **6 TRAINING REQUIREMENTS**

All NIBTS management staff involved in performance management, staff appraisal and objective setting, must read and understand this framework. It will also be part of the corporate induction process for new starts.