



**SUPPORTING PERFORMANCE
POLICY AND PROCEDURE
OCTOBER 2025**

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1. PURPOSE

- 1.1 The Company aims to deliver quality services and, to achieve this, is committed to the effective management of work performance. The Company values its employees and recognises their competence, effectiveness and ability to perform to expected standards. However, occasions may arise when work performance falls below acceptable standards.
- 1.2 This policy and procedure provides a framework for supporting employees to achieve the skills, ability, knowledge and/or behaviours required to carry out their job role to the expected standard, where issues are identified.

2. SCOPE

- 2.1 This is a group level policy that applies to all employees of Anglian Water Group Limited and its subsidiaries (including but not limited to Alpheus Environmental Limited, AVH Parks Limited, TIDE Services Limited and AWG Group Limited) but excluding Anglian Water (Ireland) Limited and Wave Limited (and their respective subsidiaries, which include Celtic Anglian Water Limited and Anglian Water Business (National) Limited).
- 2.2 This policy and procedure is not intended to be used for:
- Deliberate failure by employees to perform to the required standards. The Company's [Disciplinary Policy and Procedure](#) is designed to manage employees' conduct.
 - Performance concerns identified during an employee's probation period. The Company's [Probation Guidelines](#) are designed to help manage employees during their probation period.
 - Capability due to ill-health. The Company's [Supporting Attendance Policy and Procedure](#) is designed to help manage employees with concerns relating to ill-health.

3. STATUS

- 3.1 This policy is a Collective Agreement.

4. POLICY OWNER

- 4.1 Head of Employee Relations.

5. POLICY

- 5.1 The Company aims to be a frontier performer and will endeavour to create an environment that will support employees, and their teams, to achieve and maintain high performance. Where support is needed to achieve this, the policy aims to encourage improvement amongst employees. Drawn up in accordance with ACAS Codes of Practice, good management practice and to comply with the concept of natural justice, the following general principles apply:
- Line Managers must set clear objectives/standards of work performance (the 'what') with reference to the employee's Job Description and clear standards of behaviour (the 'how') with reference to the Company's three shared Values - Together we **Do the Right Thing**, Together we **Build Trust** and Together we **Are Always Exploring** (see ['Our Values & Behaviours'](#));

- all standards of performance/behaviour must be communicated clearly to an employee and assessed on a regular basis through the 121/PDR process;
- where an employee's work performance is believed to have fallen below standard the Line Manager is responsible for exploring and identifying the cause and taking appropriate action without delay; and
- wherever possible, reasonable management support, guidance and training will be given to an employee with the aim of helping and supporting them to achieve improved work performance.

- 5.2 To ensure the consistent application of this policy and that accurate records are maintained, Line Managers **must** seek advice from their Employee Relations Manager/Advisor (ERM/ERA) before starting any supporting performance process (informal or formal). Details of the business units covered by each ERM/ERA can be accessed [here](#).
- 5.3 It is Company policy to resolve concerns informally wherever possible.
- 5.4 Depending on the level of the underperformance or lack of capability and following initial conversations with the employee, the Line Manager may determine, having consulted their (ERM/ERA), that it is not appropriate to adopt an informal approach, but to follow the formal procedure immediately (see **Section 6.2**).
- 5.5 'Line Manager' in this policy refers to the employee's direct line manager or another suitable alternative manager.
- 5.6 Where an employee with a disability requires adjustments to be made in order to allow them to attend a meeting or to participate in the process fully, they should contact the appropriate ERM/ERA as soon as possible.
- 5.7 The Company's independent Employee Assistance helpline is a confidential service available 24 hours a day, 7 days a week. They provide health and wellbeing support for employees during their employment, including throughout any performance procedure. They can be contacted on free phone **01480 323323 (option 4)**. Further details about this service can be found on [Lighthouse](#).

6. PROCEDURE

6.1 Informal – **STEP 1**

- 6.1.1 Issues of poor performance will be addressed initially by the Line Manager and employee jointly, on an informal basis, through the day to day management and 121/PDR discussions, in order to resolve concerns as quickly as possible. Everyday issues should be managed as they arise and a quiet word with the employee is often all that is required.
- 6.1.2 If the performance issues persist, the Line Manager will meet with the employee and will:
- Discuss with the employee the Company's expectations and how the employee is not meeting those expectations. This will include the:
 - area(s) for improvement;
 - level of improvement required;
 - improvement actions agreed;
 - support to be made available to the employee;

- target date for improvement - as a guide, resolving minor performance issues may only need a period of 4 weeks, some more complex issues may need longer, e.g. up to 12 weeks. Typically, the time period during which improvement must be achieved will not be longer than 12 weeks.
- Confirm details in writing in a Supporting Individual Performance Plan (SIPP) so that the employee and the Line Manager are both clear on the specific areas of improvement, the support to be provided and the agreed timescales.
- Decide, depending on the length of the plan and/or complexity of objectives and/or the support needed, the frequency of review meetings required with the employee to support them in their continued improvement. Typically, reviews may be held fortnightly. The frequency of these reviews will be communicated to the employee.
- Ensure that during the review period the employee's performance is closely and objectively monitored. Notes of the monitoring process will be kept, typically by detailing these on the Informal SIPP and may be referred to in later stages of the procedure. These notes should include comments from both the Line Manager and the employee.
- Hold review meetings with the employee to ensure:
 - effective monitoring;
 - appropriate support is given to the employee;
 - positive feedback is given where possible; and
 - if further problems in performance are identified, the reasons are discussed.
- Make clear to the employee that if they are able to meet and sustain the required standards that no further action will be taken, however if they are not able to meet and sustain the required standards, their performance or capability is likely to be managed following the formal procedure of this policy.
- Meet with the employee at the end of the Informal SIPP to review progress, the possible outcomes include:
 - No further action, as the required standards of the Informal SIPP have been met. The Line Manager will write to the employee confirming that they are expected to maintain the standard of performance or capability going forward and that a failure to do so within the following 12 months may result in moving to the formal supporting performance process.
 - Extending the Informal SIPP where the employee has demonstrated sustained progress towards meeting the standards set, but the standards have not been achieved fully and there is likelihood of sufficient improvement within the extended period. Please note – an Informal SIPP can only be extended where an employee has demonstrated some improvement.
 - Invite to Formal Performance Capability Meeting. If the employee has not made sufficient improvement, the Line Manager will invite the employee to a Formal Capability Meeting (see STEP 2).
- Discuss any concerns with their ERM/ERA before starting the formal procedure.

6.2 Formal – **STEP 2**

- 6.2.1 If informal action has not resulted in the employee performing to the required standard, or where informal action is not considered appropriate to the level of underperformance or lack of capability, the formal procedure will be followed.
- 6.2.2 The Line Manager will be supported by their ERM/ERA, who will provide advice and guidance on the procedure. A formal Performance Capability Meeting will be

arranged with the employee.

- 6.2.3 The Line Manager will provide the employee with at least 48 hours' notice, in writing, of:
- the reason for the meeting, outlining the concerns about the employee's work performance;
 - the time, date and location of the meeting;
 - who will be conducting the meeting and who else will be present;
 - copies of any documents to be referred to including any previous action plan/121 notes;
 - the employee's right to be accompanied and/or represented and to refer to any documents if they wish; and
 - the requirement for the employee to provide the name of their representative (if applicable) and copies of any papers to be referred to and witnesses to be called (if applicable).
- 6.2.4 The formal Performance Meeting It will be for the Line Manager to explain, with supporting evidence, the level of underperformance or lack of capability, the support provided to the employee and how the required standards have not been met.
- 6.2.5 The Line Manager will consider the information provided by the employee and will conclude by determining the next steps, which could include:
- No further action. The Line Manager will write to the employee confirming that they are expected to maintain the standard of performance or capability going forward and that failure to do so within the following 12 months may result in a further Performance Capability Meeting i.e. at Step 2 of the Supporting Performance procedure.
 - Disciplinary Action. Where it has been determined that the concern is not related to the employee's performance or capability but their conduct, the Line Manager will investigate and manage this in accordance with the Company's [Disciplinary Policy and Procedure](#).
 - Extend the Informal SIPP. Where the employee has made sustained progress towards meeting the standards set but the standards have not been achieved fully due to unusual or unforeseen factors (e.g. events of a compassionate nature), the Line Manager may extend the Informal SIPP, for an appropriate time period, based on the circumstances. This option is to be considered in exceptional circumstances only and where there is a likelihood of sufficient improvement within the extended period.
 - Issue an Improvement Notice. If the employee has not made sufficient improvement, the Line Manager may issue the employee with a First Written Improvement Notice and Formal SIPP. The Improvement Notice and SIPP will specify the improvement(s) required, the support to be provided and the timescales agreed, which typically, depending on the particular performance issues/support required, will not exceed 12 weeks.
- 6.2.6 The outcome will be communicated in writing to the employee by the Line Manager.
- 6.2.7 The review periods in the Improvement Notice and SIPP will be set based on the nature of the job, the improvements required and the support needed. As a guide review periods may be fortnightly.
- 6.2.8 The Line Manager will ensure that during the review period the employee's performance is closely and objectively monitored. Notes of the monitoring process

will be kept, typically by detailing these on the SIPP and may be referred to in later stages of the procedure. These notes should include comments from both the Line Manager and the employee.

- 6.2.9 The Line Manager will hold review meetings with the employee to ensure:
- effective monitoring;
 - appropriate support is given to the employee;
 - positive feedback is given where possible; and
 - if further problems in performance are identified, the reasons are discussed.
- 6.2.10 At the end of the Improvement Notice and SIPP, the Line Manager will meet with the employee to review progress, the possible outcomes include:
- No further action, as the required standards of performance have been met. The Line Manager will write to the employee confirming that they are expected to maintain the standard of performance or capability going forward and that failure to do so within the following 12 months may result in moving to a Performance Capability Meeting, i.e. at Step 3 of the Performance Improvement procedure.
 - If the employee has not made sufficient improvement or not demonstrated any reasonable effort to improve, the Line Manager will advise the employee that a further formal Performance Capability Meeting will be held - please see **Step 3**.

6.3 Formal – **STEP 3**

- 6.3.1 If the employee has not met the standards in the First Written Improvement Notice and SIPP, a further formal Performance Capability Meeting will be arranged.
- 6.3.2 The Line Manager must inform the employee of the details of the meeting as set out in section 6.2.3
- 6.3.3 It will be for the Line Manager to explain, with supporting evidence, the level of underperformance or lack of capability, the support provided to the employee and how the required standards have not been met against the First Written Notice and SIPP.
- 6.3.4 The Line Manager will consider the information provided and will conclude by determining the next steps, which could include:
- No further action. The Line Manager will write to the employee confirming that they are expected to maintain the standard of performance or capability going forward and that failure to do so within the following 12 months may result in moving to a further Performance Capability Meeting, i.e. at Step 3 of the Performance Improvement procedure.
 - Extend the First Improvement Notice. Where the employee has made sustained progress towards meeting the standards set but the standards have not been achieved fully due to unusual or unforeseen factors (e.g. events of a compassionate nature), the Line Manager may extend the First Improvement Notice and SIPP, for an appropriate time period, based on the circumstances. This option is to be considered in exceptional circumstances only and where there is a likelihood of sufficient improvement within the extended period.
 - Issue a Final Improvement Notice. If the employee has not made sufficient improvement, the Line Manager may issue the employee with a Final Written Improvement Notice and SIPP. The Final Improvement Notice and SIPP will specify the improvement(s) required, the support to be provided and the

timescales agreed, which typically, depending on the particular performance issues/support required, will not exceed 12 weeks.

- 6.3.5 The outcome decision will be communicated in writing to the employee by the Line Manager, including the employee's right to appeal the decision (see [Section 6.6](#)).
- 6.3.6 The review period in the Final Improvement Notice and SIPP will be set based on the nature of the job and the improvements required and will allow sufficient time for the employee to meet and sustain an acceptable standard of work performance.
- 6.3.7 The Line Manager will ensure that during the review period the employee's performance is closely and objectively monitored. Notes of the monitoring process will be kept typically by detailing these on the SIPP and may be referred to in later stages of the procedure. These notes should include comments from both the Line Manager and the employee.
- 6.3.8 The Line Manager will hold review meetings with the employee to ensure:
- effective monitoring;
 - appropriate support is given to the employee;
 - positive feedback is given where possible; and
 - if further problems in performance are identified, the reasons are discussed.
- 6.3.9 At the end of the Final Improvement Notice and SIPP, the Line Manager will meet with the employee to review progress, the possible outcomes include:
- No further action, as the required standards of the Final Improvement Notice and SIPP have been met. The Line Manager will write to the employee confirming that they are expected to maintain the standard of performance or capability going forward and that a failure to do so with the following 12 months may result in moving to a Final Performance Capability Meeting.
 - Extend the Final Improvement Notice and SIPP. Where the employee has made sustained progress towards meeting the standards set but the standards have not been achieved fully due to unusual or unforeseen factors (e.g. events of a compassionate nature), the Line Manager may extend the Final Improvement Notice and SIPP, for an appropriate time period, based on the circumstances. This option is to be considered in exceptional circumstances only and where there is a likelihood of sufficient improvement within the extended period.
 - Review Alternatives. Exploring the option of available suitable alternative employment within the Company (see [Section 6.5](#)).
 - Invite to Final Performance Capability Meeting. If the employee has not made sufficient improvement, the Line Manager will invite the employee to a Final Performance Capability Meeting.

6.4 Final Performance Capability Meeting – **STEP 4**

- 6.4.1 If the employee has not made sufficient improvement, nor demonstrated any reasonable effort to improve and redeployment is not possible or not successful, the Line Manager will advise the employee that a Final Performance Capability Meeting will be held, to be chaired by an independent Hearing Manager with the appropriate skills and expertise. They will be supported by an ERM/ERA who will offer advice and guidance on procedure.
- 6.4.2 The Line Manager will provide the employee with at least 7 calendar days' notice, in writing, of:

- the reason for the meeting, outlining the concerns about the employee's work performance;
- the time, date and location of the meeting;
- who will be conducting the meeting and who else will be present;
- copies of any documents to be referred to including any previous action plan/121 notes;
- the employee's right to be accompanied and/or represented and to refer to any documents if they wish; and
- the requirement for the employee to provide, 3 days prior to the meeting, the name of their representative (if applicable) and copies of any papers to be referred to and witnesses to be called (if applicable).

6.4.3 After the Final Performance Capability Meeting, the Hearing Manager will determine the next steps, which could include:

- No further action, as the required standards of the Final Improvement Notice and SIPP have been met. The Hearing Manager will write to the employee confirming that they are expected to maintain the standard of performance or capability going forward and that failure to do so within the following 12 months may result in a further Final Performance Capability Meeting.
- Extend the Final Improvement Notice and SIPP. Where the employee has made sustained progress towards meeting the standards set but the standards have not been achieved fully due to unusual or unforeseen factors (e.g. events of a compassionate nature), the Line Manager may extend the Final Improvement Notice and SIPP for an appropriate time period, based on the circumstances. This option is to be considered in exceptional circumstances only and where there is a likelihood of sufficient improvement within the extended period.
- Dismissal with notice¹, as all other options have proved to be unsuccessful, i.e. insufficient improvement and no alternative employment secured.

6.4.4 The outcome decision will be communicated in writing to the employee by the Hearing Manager, including the employee's right to appeal (**see [Section 6.6](#)**). Due to the nature of the concerns, normally the employee will not be required to work their notice period, and a payment in lieu of notice will be made.

6.5 Potential suitable alternative employment

6.5.3 The employee will be expected to make every attempt to cooperate with the option to redeploy them within the business; this includes attending interviews and retraining. The Redeployment process can be viewed [here](#).

6.5.2 Any offer of alternative employment will be made only if the employee can demonstrate their suitability by complying with the essential job criteria for the role.

6.5.3 If an alternative is identified it may be necessary to offer the employee a trial period. The duration of trial period will be dependent upon the needs of the job as well as the level of training required. The terms and conditions will be those associated with the new role. The Company will not be required to create a new role.

6.6 Appeals

6.6.1 If an employee wishes to exercise their right of appeal, they must:

¹ Dismissal **without** notice will be appropriate in cases of serious incompetence / incapability (see Section 8.1)

- submit their appeal in writing, within 14 calendar days from the date the outcome decision was communicated to them;
- address their appeal to the Employee Relations Manager and send it to the employeerelations@anglianwater.co.uk mail box;
- clearly state their grounds of appeal, which must be about:
 - a failure in the process;
 - a misinterpretation of evidence or events;
 - the availability of new evidence; and / or
 - a belief that the outcome/sanction was unreasonable, inconsistent or erroneous in the circumstances;
- not use the appeal procedure to raise new, unrelated, issues that have not been mentioned previously; and
- indicate whether they wish their appeal to be heard face to face or through correspondence.

6.6.2 The [Appeal Procedure](#) will be followed; any Improvement Notice and SIPP or decision to dismiss remains in place unless and until it is changed by the Appeal Manager.

6.6.3 The decision by the Appeal Manager will constitute the Company's final response.

7. RIGHT TO BE ACCOMPANIED

7.1 Employees have the right to be accompanied by a recognised trade union representative or workplace colleague at formal meetings under this Procedure.

7.2 It is the responsibility of the employee to arrange their own companion and provide their companion with any relevant information.

7.3 If the employee wishes to take up their right to be accompanied, they must notify the Company who they have chosen to accompany them without unreasonable delay and as far as possible at least 3 days in advance of the meeting.

7.4 If the chosen companion is unable to attend a meeting, another date for the meeting can be suggested, as long as it is reasonable and not more than 7 calendar days after the date originally proposed by the Company. The Company will make reasonable efforts to agree an alternative time and date.

7.5 The chosen companion may address the meeting, put forward and sum up on behalf of the employee, respond on behalf of the employee to any views expressed at the meeting and confer with the employee during the meeting. The chosen companion is not permitted to answer questions on behalf of the employee, address the meeting without the employee's express permission, or prevent them from offering explanations.

8. OVERLAPPING POLICIES AND PROCEDURES

8.1 Under the Company's Disciplinary Policy an employee may be suspended whilst allegation/s of potential gross misconduct are investigated. Where the disciplinary investigation concludes that the action or omission of the employee is a performance capability issue rather than a conduct issue, the employee will be referred to a Final Performance Capability meeting. The employee may remain suspended and at this meeting the employee may be dismissed, without previous Improvement Notices and

without notice (i.e. summary dismissal) if the action or omission is considered to be so serious as to render the continued employment of the employee impossible.

- 8.2 Where an employee raises a grievance, is being investigated under the Company's Disciplinary Policy or is absent from work due to illness during the Company's Performance Capability procedure, it may be appropriate to manage the issues concurrently, particularly if they are related. Normally, the Performance Capability policy and procedure will not be delayed by any other Company policy or procedure.

9. PERFORMANCE CAPABILITY CONCERNS WITH TRADE UNION REPRESENTATIVES

- 9.1 When the formal procedure at [Step 2](#) of this procedure is being considered for an employee who is a trade union representative, the position will be discussed with their relevant trade union official at an early stage, as long as the Company has the express permission from the employee concerned. The Head of Employee Relations (or nominated deputy) will be notified.

10. RECORDS

- 10.1 It is the Company's standard practice that normally all written correspondence will be sent by email. Where this is not possible (i.e. the employee does not have a Company email account), it will be sent by standard mail.
- 10.2 All information will be held on the employee's record in accordance with the Company's Data Retention [Policy](#).

11. FURTHER ASSISTANCE

Further assistance is available from your Employee Relations Manager/Employee Relations Adviser. Details of the areas covered by each ERM/ERA can be accessed [here](#).

Templates for a SIPP can be accessed here – [Informal](#) SIPP, [Formal](#) SIPP.

LAST REVIEWED

October 2025