Standard Operating Procedure (SOP)

Escalation Procedures for Unresolved Performance Issues

This SOP details the **escalation procedures for unresolved performance issues**, outlining the step-by-step process to address and escalate performance concerns when initial interventions do not result in improvement. It includes guidelines for documenting performance issues, communication protocols between employees and supervisors, timing and criteria for escalating issues to higher management or human resources, and follow-up actions to ensure resolution. The procedure aims to maintain productivity, support employee development, and uphold organizational standards by ensuring performance challenges are addressed promptly and effectively.

1. Purpose

To establish a structured process for escalating unresolved performance issues, ensuring fair treatment, consistent documentation, and effective resolution.

2. Scope

This SOP applies to all employees and supervisory personnel within the organization.

3. Definitions

- **Performance Issue:** Any behavior or result that does not meet established job expectations or standards.
- **Escalation:** The act of taking a performance issue to a higher level of management or HR when prior corrective actions have not been effective.

4. Roles and Responsibilities

Role	Responsibilities
Employee	Engage actively in performance discussions, complete necessary actions, and respond to feedback.
Supervisor	Monitor performance, provide feedback, document issues, implement initial interventions, and escalate when necessary.
Manager	Review escalated issues, participate in follow-up actions, and support resolution efforts.
Human Resources (HR)	Facilitate formal escalation, mediate and document, and ensure process compliance with policies.

5. Procedure

1. **Initial Identification & Documentation**
   - Supervisor identifies and documents the performance issue, including dates, behavior, and impact.
   - An initial meeting is held with the employee to discuss concerns and agree on an improvement plan.
   - Improvement goals and timelines are documented.

2. **Follow-up & Monitoring (1-4 weeks)**
   - Supervisor provides regular feedback and monitors progress.
   - If sufficient improvement is not observed, a second formal meeting is held and documented.

3. **Escalation to Next Level Supervisor (Week 5)**
   - If performance has not improved, issue is escalated by informing the next-level supervisor/manager.
   - All documentation and previous communications are shared.
   - A joint meeting is conducted with the employee, current supervisor, and next-level supervisor/manager to discuss further action.

4. **Escalation to Human Resources (Week 6+)**
   - If no improvement, manager refers the case to HR with complete documentation and action history.
   - HR reviews the case, may conduct independent interviews, and recommends next steps (e.g., performance improvement plan, reassignment, or disciplinary action).
   - All actions are documented in the employee's file.

5. **Follow-up Actions & Resolution**
   - Follow-up meetings and regular reviews are scheduled to monitor changes.

- HR ensures resolution is achieved and documents the outcome.

6. Communication Protocols

- Ensure all communication is factual, respectful, and confidential.
- Use written and signed documentation for all formal meetings and action plans.
- Share updates only with parties directly involved in the process.

7. Documentation

- All performance issues, meetings, action plans, and escalations must be logged and filed with HR.
- Documentation should be detailed, timely, and objective.

8. Review and Continuous Improvement

- This SOP should be reviewed annually to incorporate feedback and best practices.

9. References

- Employee Handbook
- Code of Conduct
- HR Policy Manual