



Cabinet (Resources) Panel

30 June 2015

Report title	Refreshed Council Appraisal Scheme	
Cabinet member with lead responsibility	Councillor Paul Sweet Governance	
Key decision	Yes	
In forward plan	Yes	
Wards affected	All	
Accountable director	Keith Ireland, Corporate	
Originating service	Transformation	
Accountable employee(s)	Charlotte Johns	Head of Transformation
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Report to be/has been considered by	Strategic Executive Board	19 May 2015
	Executive Team	3 June 2015
	C3 Scrutiny Panel	16 June 2015
	Cabinet (Resources) Panel	30 June 2015

Recommendation(s) for action or decision:

Cabinet (Resources) Panel is recommended to:

1. Approve the new individual employee and team appraisal templates, the guidance notes for manager and the refreshed appraisal policy.

1.0 Purpose

- 1.1 The purpose of this report is to seek approval for the new appraisal documentation that supports the council in achieving the new corporate plan objectives and the organisational development strategy.

2.0 Background

- 2.1 The council last reviewed the appraisal scheme and the supporting documentation in March 2013. Since the introduction of the documentation there has been an increase in the number of appraisals completed but this has not resulted in the council achieving its expected 100% target.
- 2.2 Feedback received from managers was that the appraisal documentation was onerous to complete and a simpler recording document would help improve the process.
- 2.3 As a result, the appraisal templates, guidance and policy have been reviewed by the Transformation service. A simplified version of the paperwork with tick boxes has been developed and tested in pilot areas.
- 2.4 The review of the paperwork, guidance and policy has been done alongside the recent audit of compliance the appraisal scheme following poor performance in this area. The guidance and policy has been updated to respond to key findings in the audit – such as migration of the HR SharePoint appraisal data on to Agresso, which will be launched alongside this new paperwork.

3.0 Changes to the scheme

- 3.1 The appraisal recording templates that support the scheme have been reduced to two templates. One to record individual appraisals and one to record team appraisals. The team appraisal document can only be used by designated teams who have large numbers of employees who do the same job role. The manager's guidance and the appraisal policy have both be adjusted to state clearly when a team appraisal can be undertaken and this has been clarified and agreed with the relevant Heads of Service for the designated areas.
- 3.2 The appraisal templates have been simplified and now have tick boxes that assist managers and employees to rate performance in relation to their job role and the council's expected behaviours which are part of the new corporate plan.
- 3.3 The review of the current work plan and the new work plan within the document has been redesigned to mirror the corporate plan templates. This supports managers and employees to be able to evidence more clearly how the planned activities of the employees work role fit with the corporate plan objectives.
- 3.4 A number of senior managers have been consulted in the design of the new templates and they are currently piloting the documents within their own services. Initial feedback has been very positive.

- 3.5 The manager's guidance has been updated to reflect the changes to the templates and process and minor adjustments have been made to the appraisal policy to reflect the new proposed process and paperwork.
- 3.6 The suite of templates, guidance and policy can be found in appendix 1 and have undergone pre-decision scrutiny by the Confident Capable Scrutiny Panel on 16 June.
- 3.7 Work is also on-going to ensure an improvement in the council's performance in this area, responding to issues raised in the recent audit of this process.

4.0 Financial implications

- 5.1 The council appraisal scheme is part of the Future Performance work stream. The C3 programme is intended to deliver transformation, improve efficiency and the increase the quality of services and will, therefore, directly contribute towards the delivery of the Medium Term Financial Strategy, including challenging savings requirements.
[GE/27052015/W]

6.0 Legal implications

- 5.1 There are no legal implications arising from this report. [RB/21052015/Q]

6.0 Equalities implications

- 6.1 There are no equalities implications arising from this report.

7.0 Environmental implications

- 7.1 There are no environmental implications arising from this report.

8.0 Human resources implications

- 8.1 There have been no major significant changes to the policy and the documents have been shared with trade unions for information.

9.0 Corporate landlord implications

- 9.1 There are no corporate landlord implications.

Wolverhampton City Council Individual Appraisal Checklist and Record



Name		Period Covered	
Job Title		Telephone Number	
Service/ Team		Date of Appraisal	

Assessment of performance (tick as appropriate)

Measure	Well ahead of standard	More than satisfactory – slightly above job requirements	Less than satisfactory – needs slight improvement	Unsatisfactory – below the standard reasonably expected
Job knowledge Does the employee demonstrate the required knowledge to do the job role properly? Manager's Comments	<input type="checkbox"/> Employee <input type="checkbox"/> Manager Exceptionally high level of knowledge of own and related work	<input type="checkbox"/> Employee <input type="checkbox"/> Manager Has a good working knowledge of own job and related work	<input type="checkbox"/> Employee <input type="checkbox"/> Manager Lack of job knowledge sometimes hinders progress	<input type="checkbox"/> Employee <input type="checkbox"/> Manager Inadequate knowledge of own job role
Job skills Does the employee demonstrate required skills to undertake their role properly? Manager's Comments	<input type="checkbox"/> Employee <input type="checkbox"/> Manager Exceptionally skilled in own job requirements and can support others	<input type="checkbox"/> Employee <input type="checkbox"/> Manager Has very good skills in relation to own job requirements	<input type="checkbox"/> Employee <input type="checkbox"/> Manager Sometimes lacks the required skills to undertake the job role	<input type="checkbox"/> Employee <input type="checkbox"/> Manager Inadequate skill to undertake job role
Punctuality What is the employee's punctuality pattern? Manager's Comments	<input type="checkbox"/> Employee <input type="checkbox"/> Manager Very punctual	<input type="checkbox"/> Employee <input type="checkbox"/> Manager Punctual levels are acceptable, rarely late.	<input type="checkbox"/> Employee <input type="checkbox"/> Manager Lateness levels are higher than expected	<input type="checkbox"/> Employee <input type="checkbox"/> Manager Frequently late

Core Behaviours					
P.R.I.D.E.	Measure	Well ahead of standard	More than satisfactory – slightly above job requirements	Less than satisfactory – needs slight improvement	Unsatisfactory – below the standard reasonably expected
P -Put customers first- <i>be customer focused</i>	Customer Focused To what extent does the employee demonstrate they are customer focussed in their work?	<input type="checkbox"/> Employee <input type="checkbox"/> Manager Highly customer focussed on all occasions and encourages others, exceeds standards	<input type="checkbox"/> Employee <input type="checkbox"/> Manager Good customer focus meets standards goes the extra mile on occasions	<input type="checkbox"/> Employee <input type="checkbox"/> Manager Occasionally has to be reminded of customer standards and requirements	<input type="checkbox"/> Employee <input type="checkbox"/> Manager Disregards the needs of the customer or the standards
Manager's Comments					
R - Raise the profile of the City- <i>be positive</i>	Positivity To what extent does the employee demonstrate a confident and positive attitude to their work and work with partners?	<input type="checkbox"/> Employee <input type="checkbox"/> Manager Has a highly positive attitude in actions and words about their work and that of others, is a good role model	<input type="checkbox"/> Employee <input type="checkbox"/> Manager Is very positive about their own work role and how they can promote this positivity with others	<input type="checkbox"/> Employee <input type="checkbox"/> Manager Sometimes negative when there are difficulties and lacks the motivation to seek resolution.	<input type="checkbox"/> Employee <input type="checkbox"/> Manager Is negative and cannot see any positives in a situation.
Manager's Comments					
I - Inspire trust and confidence- <i>be open</i>	Openness To what extent does the employee recognise and value their own and others contribution to the work?	<input type="checkbox"/> Employee <input type="checkbox"/> Manager Remains open minded in difficult situations, is self-aware and fully values others contributions	<input type="checkbox"/> Employee <input type="checkbox"/> Manager Is self-reflective and is also able to see other point of view when resolving a problem	<input type="checkbox"/> Employee <input type="checkbox"/> Manager Can recognise own views and those of others to some extent when solving a problem but may not take them into account	<input type="checkbox"/> Employee <input type="checkbox"/> Manager Lacks self-awareness and is unable to see anyone else point of view.
Manager's Comments					

<p>D-Demonstrate a can-do and tenacious attitude- <i>be a change agent</i></p>	<p>Change Agent To what extent does the employee take the initiative; own problems, see them through; challenge where appropriate. Decision making will need to be evidence led.</p>	<p><input type="checkbox"/> Employee <input type="checkbox"/> Manager Takes full ownership of a problem, will challenge where appropriate, seeks a solution and will see it through to positive conclusion making well informed decisions based on appropriate evidence</p>	<p><input type="checkbox"/> Employee <input type="checkbox"/> Manager Can identify an issue, may challenge and offer alternative solutions but may need some support to identify appropriate evidence to inform the decision and see it through.</p>	<p><input type="checkbox"/> Employee <input type="checkbox"/> Manager Can identify a problem based on anecdotal information; identifies a solution but cannot provide an evidence base; may not challenge or take any further action</p>	<p><input type="checkbox"/> Employee <input type="checkbox"/> Manager Views problems and issues as someone else responsibility. Wants to be told how to solve an issue or problem.</p>
<p>Manager's Comments</p>					
<p>E- Encourage teamwork- <i>be a team player</i></p>	<p>Teamwork How well does the employee work with others to accomplish the goals of the job, work group and council?</p>	<p><input type="checkbox"/> Employee <input type="checkbox"/> Manager Works together, sharing ideas, priorities and problem, actively seeks sustainable solutions to problems. Has a one council approach</p>	<p><input type="checkbox"/> Employee <input type="checkbox"/> Manager Recognises the value of and works co-operatively and flexibly with others across services to meet common council goals.</p>	<p><input type="checkbox"/> Employee <input type="checkbox"/> Manager Usually gets along reasonably well team colleagues but occasionally unhelpful</p>	<p><input type="checkbox"/> Employee <input type="checkbox"/> Manager Uncooperative, resists change</p>
<p>Manager's Comments</p>					

Review of current work plan

Responsible Officer

Period Covered

What?

Why?

When?

With What?

So What?

Corp. Plan Ref	Action/Activity	Anticipated Outcome/Result	Timescales		Resources/ Support needed	Performance Measures
			Proposed Start Date	Proposed End Date		
<i>Corporate Plan Activity Reference or 'Business As Usual' (BAU)</i>	<i>Please specify a description for the action or activity.</i>	<i>What is the expected outcome/result that will be experienced when the action has been completed successfully?</i>	<i>What date is the action anticipated to start?</i>	<i>What date is the action anticipated to be completed?</i>	<i>What resources, support or development is required to enable the delivery of this action/activity</i>	<i>What performance measures will be used to measure progress and assess the outcome of this action? Use the corporate plan reference where the measures feature in the corporate plan.</i>

Measure	Well ahead of standard	More than satisfactory – slightly above job requirements	Less than satisfactory – needs slight improvement	Unsatisfactory – below the standard reasonably expected
Overall marking score <i>(This must also include assessment of performance against current work plan objectives)</i>	<input type="checkbox"/> Employee <input type="checkbox"/> Manager Well ahead of standard team performance	<input type="checkbox"/> Employee <input type="checkbox"/> Manager More than satisfactory – slightly above team requirements	<input type="checkbox"/> Employee <input type="checkbox"/> Manager Less than satisfactory – needs slight improvement within team	<input type="checkbox"/> Employee <input type="checkbox"/> Manager Unsatisfactory – below the standards of the team than reasonably expected
Manager's Comments				

New work plan (*objectives to be set at or in run up to appraisal meeting*)

Responsible Officer

Period Covered

What?

Why?

When?

With What?

So What?



Corp. Plan Ref	Action/Activity	Anticipated Outcome/Result	Timescales		Resources/ Support needed	Performance Measures
			Proposed Start Date	Proposed End Date		
<i>Corporate Plan Activity Reference or 'Business As Usual' (BAU)</i>	<i>Please specify a description for the action or activity.</i>	<i>What is the expected outcome/result that will be experienced when the action has been completed successfully?</i>	<i>What date is the action anticipated to start?</i>	<i>What date is the action anticipated to be completed?</i>	<i>What resources, support or development is required to enable the delivery of this action/activity</i>	<i>What performance measures will be used to measure progress and assess the outcome of this action? Use the corporate plan reference where the measures feature in the corporate plan.</i>

Employee review of learning & development needs	Manager review of learning & development needs
<p><i>Have you completely these mandatory eLearning courses? For example:</i></p> <input type="checkbox"/> Protecting Information <input type="checkbox"/> Equality and Diversity <input type="checkbox"/> Customer Service- Every Contact Counts <input type="checkbox"/> Safeguarding Awareness <input type="checkbox"/> Dementia Awareness <input type="checkbox"/> Child Sexual Exploitation <input type="checkbox"/> Other <i>Other learning and development needs</i>	

Manager summary of performance

Comments by employee on this appraisal <i>(to be completed after appraisal meeting within three working days)</i>



Employee signature		Date	
Manager signature		Date	

City of Wolverhampton Council Team Appraisal Checklist and Record



Team name		Period Covered	
Job title/role		Date of Appraisal	
Service area		Location	

Assessment of performance (tick as appropriate)



Measure	Well ahead of standard	More than satisfactory – slightly above job requirements	Less than satisfactory – needs slight improvement	Unsatisfactory – below the standard reasonably expected
Job knowledge Does the team demonstrate the required knowledge to do the job role properly?	<input type="checkbox"/> Team <input type="checkbox"/> Manager High level of knowledge of team related work	<input type="checkbox"/> Team <input type="checkbox"/> Manager Has a good working knowledge of team related work	<input type="checkbox"/> Team <input type="checkbox"/> Manager Lack of job knowledge within team which sometimes hinders progress	<input type="checkbox"/> Team <input type="checkbox"/> Manager Inadequate knowledge of team job role
Manager's Comments				
Job skills Does the team demonstrate required skills to undertake their role properly	<input type="checkbox"/> Team <input type="checkbox"/> Manager Highly skilled and well-motivated team	<input type="checkbox"/> Team <input type="checkbox"/> Manager Very good skills within team	<input type="checkbox"/> Team <input type="checkbox"/> Manager Lacking certain skills within the team	<input type="checkbox"/> Team <input type="checkbox"/> Manager Inadequate skills within the team
Manager's Comments				
Punctuality What is the team's pattern of punctuality?	<input type="checkbox"/> Team <input type="checkbox"/> Manager Very punctual	<input type="checkbox"/> Team <input type="checkbox"/> Manager Punctual levels are acceptable, rarely late.	<input type="checkbox"/> Team <input type="checkbox"/> Manager Lateness levels are higher than expected amongst the team	<input type="checkbox"/> Team <input type="checkbox"/> Manager Frequently late
Manager's Comments				

Core Behaviours					
P.R.I.D.E.	Measure	Well ahead of standard	More than satisfactory – slightly above job requirements	Less than satisfactory – needs slight improvement	Unsatisfactory – below the standard reasonably expected
P- Put customers first- <i>be customer focused</i>	Customer Focused To what extent does the team demonstrate they are customer focussed in their work?	<input type="checkbox"/> Team <input type="checkbox"/> Manager The team is highly customer focussed on all occasions and above standard	<input type="checkbox"/> Team <input type="checkbox"/> Manager Good customer focus meets standards goes the extra mile on occasions	<input type="checkbox"/> Team <input type="checkbox"/> Manager Occasionally have to be reminded of customer standards and requirements	<input type="checkbox"/> Team <input type="checkbox"/> Manager Disregards the needs of the customer or the standards
Manager's Comments					
R- Raise the profile of the City- <i>be positive</i>	Positivity To what extent does the team demonstrate a positive attitude to their work?	<input type="checkbox"/> Team <input type="checkbox"/> Manager Have a highly positive attitude in actions and words about their work and are good role models	<input type="checkbox"/> Team <input type="checkbox"/> Manager Are very positive about their own work roles and how they demonstrate this to others	<input type="checkbox"/> Team <input type="checkbox"/> Manager Sometimes negative when there are difficulties and lack the motivation to seek a resolution.	<input type="checkbox"/> Team <input type="checkbox"/> Manager Are negative and rarely see any positives in their work
Manager's Comments					
I- Inspire trust and confidence- <i>be open</i>	Openness To what extent does the team recognise and value their own work?	<input type="checkbox"/> Team <input type="checkbox"/> Manager Remain open minded in difficult situations, are self-aware and fully value their work	<input type="checkbox"/> Team <input type="checkbox"/> Manager Are self -reflective and able to see other points of view when resolving problems	<input type="checkbox"/> Team <input type="checkbox"/> Manager Can recognise different views when problems arise but may not take them into account	<input type="checkbox"/> Team <input type="checkbox"/> Manager Lack awareness and are unable to see anyone else's point of view.
Manager's Comments					

<p>D-Demonstrate a can-do and tenacious attitude- <i>be a change agent</i></p>	<p>Change Agent To what extent does the team take the initiative; own problems, see them through; challenge where appropriate. Decision making will need to be evidence led.</p>	<p><input type="checkbox"/> Team <input type="checkbox"/> Manager Takes full ownership of a problem, will challenge where appropriate, seeks a solution and will see it through to positive conclusion making well informed decisions based on appropriate evidence</p>	<p><input type="checkbox"/> Team <input type="checkbox"/> Manager Can identify an issue, may challenge and offer alternative solutions but may need some support to identify appropriate evidence to inform the decision and see it through.</p>	<p><input type="checkbox"/> Team <input type="checkbox"/> Manager Can identify a problem based on anecdotal information; identifies a solution but cannot provide an evidence base; may not challenge or take any further action</p>	<p><input type="checkbox"/> Team <input type="checkbox"/> Manager Views problems and issues as someone else responsibility. Wants to be told how to solve an issue or problem.</p>
<p>Manager's Comments</p>					
<p>E- Encourage teamwork- <i>be a team player</i></p>	<p>Teamwork How well does the team work to accomplish their goals?</p>	<p><input type="checkbox"/> Team <input type="checkbox"/> Manager Work very well together and respond enthusiastically to new challenges</p>	<p><input type="checkbox"/> Team <input type="checkbox"/> Manager Co-operative and flexible team</p>	<p><input type="checkbox"/> Team <input type="checkbox"/> Manager Usually work well together with occasional lapses</p>	<p><input type="checkbox"/> Team <input type="checkbox"/> Manager Uncooperative towards each other and commonly resisting any changes within the workplace</p>
<p>Manager's Comments</p>					

Review of current team work plan

Responsible Officer		Period Covered	
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Corp. Plan Ref	Action/Activity	Anticipated Outcome/Result	Timescales		Resources/ Support needed	Performance Measures
			Proposed Start Date	Proposed End Date		
<i>Corporate Plan Activity Reference or 'Business As Usual' (BAU)</i>	<i>Please specify a description for the action or activity.</i>	<i>What is the expected outcome/result that will be experienced when the action has been completed successfully?</i>	<i>What date is the action anticipated to start?</i>	<i>What date is the action anticipated to be completed?</i>	<i>What resources, support or development is required to enable the delivery of this action/activity</i>	<i>What performance measures will be used to measure progress and assess the outcome of this action? Use the corporate plan reference where the measures feature in the corporate plan.</i>

Measure	Well ahead of standard	More than satisfactory – slightly above job requirements	Less than satisfactory – needs improvement	Unsatisfactory – below the standard expected
Overall assessment of current team work plan objectives	<input type="checkbox"/> Team <input type="checkbox"/> Manager Well ahead of standard team performance	<input type="checkbox"/> Team <input type="checkbox"/> Manager More than satisfactory – slightly above team requirements	<input type="checkbox"/> Team <input type="checkbox"/> Manager Less than satisfactory – needs improvement within team	<input type="checkbox"/> Team <input type="checkbox"/> Manager Unsatisfactory – below the standard expected
Manager's Comments				

New team work plan (*objectives to be set at or in run up to appraisal meeting*)

Responsible Officer

Period Covered

What?

Why?

When?

With What?

So What?

Corp. Plan Ref	Action/Activity	Anticipated Outcome/Result	Timescales		Resources/ Support needed	Performance Measures
			Proposed Start Date	Proposed End Date		
<i>Corporate Plan Activity Reference or 'Business As Usual' (BAU)</i>	<i>Please specify a description for the action or activity.</i>	<i>What is the expected outcome/result that will be experienced when the action has been completed successfully?</i>	<i>What date is the action anticipated to start?</i>	<i>What date is the action anticipated to be completed?</i>	<i>What resources, support or development is required to enable the delivery of this action/activity</i>	<i>What performance measures will be used to measure progress and assess the outcome of this action? Use the corporate plan reference where the measures feature in the corporate plan.</i>

Team review of learning & development needs	Manager review of team learning & development needs
<p><i>Have you completely these mandatory eLearning courses? For example:</i></p> <ul style="list-style-type: none"> <input type="checkbox"/> Protecting Information <input type="checkbox"/> Equality and Diversity <input type="checkbox"/> Customer Service- Every Contact Counts <input type="checkbox"/> Safeguarding Awareness <input type="checkbox"/> Dementia Awareness <input type="checkbox"/> Child Sexual Exploitation <input type="checkbox"/> Other <p><i>Other learning and development needs</i></p>	

Manager summary of overall performance of team



Comments by team on this appraisal <i>(to be completed by team on the same day of appraisal)</i>
<ul style="list-style-type: none"> <input type="checkbox"/> Are your objectives clear? <input type="checkbox"/> Do you understand your job role? <input type="checkbox"/> Do you understand how your job fits within the Council's vision? <input type="checkbox"/> Do you have any other comments?

Manager signature		Date	
Employee signature		Date	
Employee signature		Date	
Employee signature		Date	
Employee signature		Date	
Employee signature		Date	
Employee signature		Date	



Guidance for Employees and Managers
**Individual Performance Appraisal and Learning
Development Review**

Version	3.0
Published	June 2015
Review date	May 2016

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1. Introduction

These guidance notes are intended to be a quick and easy reference document for employees and managers involved in using the council's Performance Appraisal and Personal Development Review process. It provides an overview of the process including a summary of the main elements and some guidance on completing the appraisal documents.

All employees play their part in the council's ambitions and activities that underpin its mission – working as one to serve our city; and our priorities as set out in the Corporate Plan.

The appraisal process is an integral part of performance management in the council, and creating a 'golden thread' to all that we do. Through clear and accountable performance management the council will ensure its goals and objectives are being consistently met.

1.1 Council Commitment

The council remains committed to ensuring that all employees have access to an individual or a team appraisal (where appropriate). All appraisals must be conducted under the same conditions and to the same standards.

1.2 PRIDE: Our Core Behaviours

Wolverhampton is committed to working as one to serve our city. We have PRIDE in our work and this is underpinned by the council's five core behaviours which support the Corporate Plan.

It is essential that both the manager and employee(s) fully understand these behaviours and evidence them when completing the objectives in the Work Plan and the learning and development needs.

The appraisal meeting provides a good opportunity to reflect and discuss the behaviours; identifying examples of good practice and issues to be resolved. It is also the employee's opportunity to make suggestions that could improve the council's performance as an employer, provider of services and community body.

PRIDE: our core behaviours

Working as one to serve our city

How we will behave		
P	Put customers first - <i>be customer focused</i>	We deliver for our customers, satisfying their needs and empowering employees to do the right thing.
R	Raise the profile of the City - <i>be positive</i>	We are confident advocates for the city and the council. We are positive about what we do and work actively with our partners to build confidence.
I	Inspire trust and confidence - <i>be open</i>	We value each other's contribution, empathise with colleagues, are self-aware and remain open in difficult situations. We are flexible and open-minded in our approach. We listen and respond to new ideas.
D	Demonstrate a can-do and tenacious attitude - <i>be a change agent</i>	We take the initiative, take ownership of problems and see them through, challenging where appropriate and acknowledge uncertainties. Importantly, we will be evidence-led in our decision-making.
E	Encourage teamwork - <i>be a team player</i>	We work as one council, sharing ideas, each other's priorities and problems. We work together to develop shared, sustainable solutions to complex problems.

WCC 1216 04/15

1.3 Purpose of Appraisal

The appraisal is where employees have an uninterrupted one to one discussion with their manager in order to review performance and ensure that:

- achievements, strengths and areas for improvement are recognised and acknowledged;
- personal development needs are identified;
- Employees are confident they are fully engaged in planning for the future;
- Managers are providing the appropriate support at the right time.

Appraisal is not a disciplinary or grievance process, nor does it link to pay and grade. There are separate HR processes for these areas. The annual appraisal meeting should contain no surprises.

A manager should be having regular 1:1 meetings where individuals can discuss specific problems affecting performance in order that resolutions can be identified, recorded and monitored.

1.4 Who is Appraised and when?

- Everyone who is directly employed by the council will need to complete an annual appraisal, this does not including agency staff.
- New employees and those who have been employed in a new job role will be required to successfully complete a successful induction and probation period before undertaking their first appraisal meeting.
- The council follows a cascade approach for example, the Leader appraises the Managing Director, Managing Director appraises Service Directors, Service Directors appraise their Heads of Service and they in turn appraise their managers and so on.
- Managers who have had their own appraisal must ensure that all their employees are appraised within a reasonable timescale to ensure all performance within the service / team is leading to the achievement of the Corporate Plan objectives.
- Managers should not defer carrying out their employees' appraisals even in rare circumstances where they have not received their own appraisal.

The process is cascaded down to ensure the objectives of the council run through the appraisals of all its employees. All employees should then be able to see how their team targets help the team, service and the directorate contribute to achieving the Council's Corporate Plan objectives.

2. Appraisal

2.1 Individual appraisal

There is a requirement for all employees to receive an individual appraisal unless the employee is employed in a team where a team appraisal has been agreed as the most expedient method of appraising a large number of employees who report to one manager and have the same job role. The groups defined as being eligible to undertake a team appraisal are set out in 2.2 below all other employees should undertake an individual appraisal.

2.2 Team appraisal

A service area may have a significant numbers of employees undertaking the same job role with the same performance level requirements. These employees are more often under the management of one manager or supervisor because of the nature and type of work role they undertake. Under these specific circumstances it is impractical for one manager to effectively undertake individual appraisals. In these circumstances **only** a team appraisal should be undertaken.

The teams that are allowed to participate in team appraisal are the following:

- **Operational Services** - Head of Operational Services
 - Bus Drivers
 - Passenger Assistants

- **Public Realm**- Head of Service Public Realm
 - Highways Operatives including street lighting;
 - Public Realm Environmental Operatives (staff that carry out predominately street cleansing and grounds maintenance works including schools);
 - School crossing patrols
 - Aboricultural Operatives
 - Rangers and Countryside Rangers
 - Car park Operatives

- **Facilities**- Head of Service- Facilities
 - Cleaners
 - Caretakers – community and relief
 - Meals on Wheels Drivers
 - Education drivers
 - General Assistants
 - Mobile cleaners
 - Mobile General Assistants

There are separate guidance notes for managers and employees who are engaged in a team appraisal process.

3. Roles in the Individual Appraisal process

3.1 The Manager

It is the manager's role to facilitate the appraisal process and encourage the employee to be able to speak openly and honestly. The manager needs to be confident in their own skills in giving open and honest evidence informed feedback, praise and recognition for targets achieved and activities well done. They also need to be adept in providing constructive feedback and providing guidance on areas for improvement or further development.

A manager should have detailed knowledge of the employee(s) job role or an overall lead role for the employee(s) area of work.

There may be occasions where an employee will report to more than one manager. In these circumstances the managers involved and the employee will need to agree who is the most appropriate manager to conduct the appraisal. It is likely to be the manager who is able to observe the employees performance on a regular basis and conducts the regular 1:1 or the Team Supervision. However both managers should be in a position to provide evidence to support the appraisal.

The manager is responsible for:

- Planning and communicating the date of the appraisal meeting to the employee.
- Arranging a time and place for the employee to carry out the self – assessment at least two weeks before the appraisal meeting.
- Requesting the completed self-assessment from the employee one week before the appraisal meeting if not already received.
- Prepare for the appraisal meeting which includes own assessment of employee performance with evidence gathered to support identification of employee’s performance levels.
- Leading the appraisal meeting discussion and completion of records including signatures.
- Transferring any learning and development requirements onto the service area learning and development plan.
- Submitting the confirmation appraisal record through the reporting tool on Agresso.
- Storing the appraisal records securely and ensuring the employee has a copy of the appraisal document.

3.2 The Employee

The role of the employee in the appraisal is to;

- Prepare for the meeting by carrying out a self –assessment against the checklists, reviewing previous objectives and identify future objectives and developments. The appraisal record document can be used as a template to guide the self- appraisal process.
- The self -assessment against the checklist should be sent to the manager one week before the planned employee appraisal interview.
- Contribute to the appraisal meeting including providing a description of the evidence that supports their assessment level, suggested objectives for the new work plan and identification of any development needs.
- At the conclusion of the appraisal meeting where objectives are agreed they will sign and return the appraisal to the manager within three working days.
- Employees are entitled to an individual copy of the final document at the conclusion of the appraisal.

3.3 The manager’s manager

The role of the manager’s manager is to review the appraisal process and the completed documentation in the event of a dispute. They should:

- assess the process and standard and consistency of the evidence presented when there is a dispute and mediate.
- identify any additional training requirements that the either the manager or employee may have and ensure that this is undertaken.
- request to see completed appraisal documentation for their direct reports within their service area from time to time so that they can audit and to ensure the quality and consistency of appraisals within their service.

4. The Individual Performance Appraisal Checklist and Record document and Assessment Process

The Individual Performance Appraisal Checklist and Record document is completed as part of the appraisal process. The document is divided up into three parts.

Part one- Assessment of Employee performance and behaviours against current work plan.

This comprises of a set of measures that the employee uses to self-assess their performance and behaviours prior to the meeting by completing the checklist boxes. They should assess themselves against their job role and current work plan. All self-assessments must be evidence informed this means that examples of why the assessment is judged to be at this level must be available if requested.

The manager also completes the same process for the employee and the assessments are fully discussed at the appraisal meeting. The manager is required to complete the comments box under each performance measure and behaviour in support of the final assessment.

Part two- Setting the new work plan and review of learning and development needs

The activities and actions and measures need to be identified within the new work plan and must relate to the employee(s) role and show how they link to service needs and the outcomes of the Corporate Plan objectives as appropriate. The employee needs to be able to understand how their objectives and performance contribute to the Corporate Plan and the manager needs to support this and provide guidance and record.

The employee will be responsible for reviewing their learning and development needs and ensuring that they have completed all mandatory training requirements. The manager will complete the final review of learning and development needs and record on the document.

Part three- Employee and Manager Comments

After the appraisal meeting the employee completes the section on comments on the appraisal process. The employee has three working days to complete and return to

their manager. The manager then completes the summary of overall performance within two weeks.

Once the appraisal process has been completed the document is signed by all parties and confirmation of completion is recorded by the manager on the HR intranet within three weeks of appraisal meeting.

Link to documents and flowchart can be found [here](#).

5. Reporting Mechanism

Once an appraisal is completed the manager will need to confirm that the employee appraisal has been completed on Agresso.

The manager needs to record the essential learning and development needs on the Service Development Plan.

The above appraisal logging arrangements enable reports to be run showing names of employees by service area and directorate who have received an appraisal in the last 12 months together with the dates of the next appraisal. This helps the council to monitor appraisal occurrence and set performance targets.

The Council's Internal Audit team will be responsible for auditing compliance with the Appraisal process. This is further outlined in the Appraisal Policy.

6. Storage

The appraisal is between the employee, the manager and the manager's manager (if there is a dispute). Completed appraisals must be stored securely either electronically or manually by the manager so that they are not accessible to others.

Each employee needs to retain a signed copy for their reference.

7. Learning and Development Support

The primary source of appraisal learning and development support for both managers and employees is the eLearning platform the Learning Hub which can be found [here](#). All mandatory eLearning courses that must be completed can be found [here](#).

For more information about development support please contact the Workforce Development Team on 01902 554085 or workdev@wolverhampton.gov.uk.

There are a range of eLearning modules and face to face development opportunities for additional support on the appraisal process.

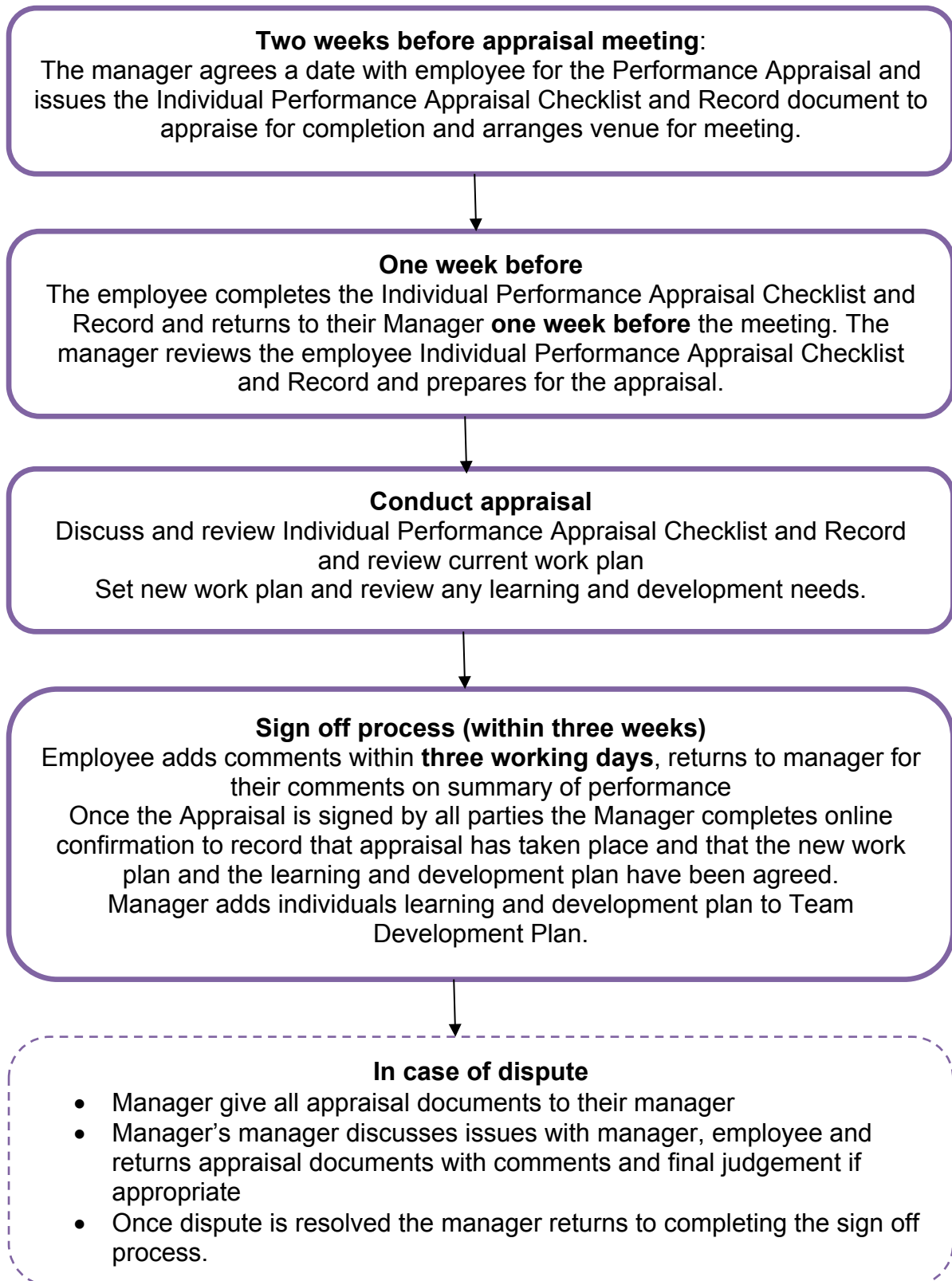
eLearning modules:

- Developing Performance Management skills
- Setting Performance objectives and Managing Performance
- Giving and Receiving Feedback

Face to face sessions offered:

- Preparing for your Appraisal
- Delivering an Appraisal
- Setting SMARTER Objectives
- Delivering Objective Feedback
- How to Create and Write Learning and Development Plans
- Managing Different People

8. Appraisal Process Chart



9. Glossary of Terms

Annual Appraisal

The yearly appraisal meeting where objectives are reviewed, new ones established and Personal development requirements are agreed within the team.

Confirmation Record

Once an appraisal is completed the manager will need to confirm that the employee appraisal has been completed. This can be completed through Agresso.

Council's priorities and objectives

These are detailed in the council's Corporate Plan.

Employee(s)

The employee who receives the performance appraisal or teams of employees who receive a team appraisal.

Facilitate

Facilitate means to help the employee to become fully involved in the appraisal process.

Manager

The manager or team leader is responsible for facilitating and managing the appraisal process.

Objectives

Objectives should be written so that the team knows what they are expected to do and the standard of performance that they will need to achieve.

One to one (1:1) or Team Supervision

This is sometimes referred to as supervision. One to one is a regular formal meeting between the manager and the employee or teams of employees. One to one or Team supervision should take place every four to eight weeks and should include a recorded review of the work and the development plan including achievements.



Guidance for Employees and Managers

**Team Performance Appraisal and Learning
Development Review**

Version	3.0
Published	June 2015
Review date	May 2016

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- 1.2 PRIDE: Our Core Behaviours
- 1.3 What is the purpose of an appraisal?
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2. Appraisal

- 2.1 Team Appraisal

3. Roles in the Appraisal Process

- 3.1 The manager
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9. Glossary of Terms

1. Introduction

These guidance notes are intended to be a quick and easy reference document for employees and managers involved in using the council's Performance Appraisal and Personal Development Review process. It provides an overview of the process including a summary of the main elements and some guidance on completing the appraisal documents.

All employees play their part in the council's ambitions and activities that underpin its mission – working as one to serve our city; and our priorities as set out in the Corporate Plan.

The appraisal process is an integral part of performance management in the council, and creating a 'golden thread' to all that we do. Through clear and accountable performance management the council will ensure its goals and objectives are being consistently met.

1.1 Council Commitment

The council remains committed to ensuring that all employees have access to an individual or a team appraisal (where appropriate). All appraisals must be conducted under the same conditions and to the same standards.

1.2 PRIDE: Our Core Behaviours

Wolverhampton is committed to working as one to serve our city. We have PRIDE in our work and this is underpinned by the council's five core behaviours which support the Corporate Plan.

It is essential that both the manager and employee(s) fully understand these behaviours and evidence them when completing the objectives in the Work Plan and the learning and development needs.

The appraisal meeting provides a good opportunity to reflect and discuss the behaviours; identifying examples of good practice and issues to be resolved. It is also the employee's opportunity to make suggestions that could improve the council's performance as an employer, provider of services and community body.

PRIDE: our core behaviours

Working as one to serve our city

How we will behave		
P	Put customers first - <i>be customer focused</i>	We deliver for our customers, satisfying their needs and empowering employees to do the right thing.
R	Raise the profile of the City - <i>be positive</i>	We are confident advocates for the city and the council. We are positive about what we do and work actively with our partners to build confidence.
I	Inspire trust and confidence - <i>be open</i>	We value each other's contribution, empathise with colleagues, are self-aware and remain open in difficult situations. We are flexible and open-minded in our approach. We listen and respond to new ideas.
D	Demonstrate a can-do and tenacious attitude - <i>be a change agent</i>	We take the initiative, take ownership of problems and see them through, challenging where appropriate and acknowledge uncertainties. Importantly, we will be evidence-led in our decision-making.
E	Encourage teamwork - <i>be a team player</i>	We work as one council, sharing ideas, each other's priorities and problems. We work together to develop shared, sustainable solutions to complex problems.

WCC 1216 04/15

1.3 Purpose of Appraisal

The appraisal is where employees have an uninterrupted one to one discussion with their manager in order to review performance and ensure that:

- achievements, strengths and areas for improvement are recognised and acknowledged;
- personal development needs are identified;
- Employees are confident they are fully engaged in planning for the future;
- Managers are providing the appropriate support at the right time.

Appraisal is not a disciplinary or grievance process, nor does it link to pay and grade. There are separate HR processes for these areas. The annual appraisal meeting should contain no surprises.

A manager should be having regular 1:1 meetings where individuals can discuss specific problems affecting performance in order that resolutions can be identified, recorded and monitored.

1.4 Who is Appraised and when?

- Everyone who is directly employed by the council will need to complete an annual appraisal, this does not including agency staff.
- New employees and those who have been employed in a new job role will be required to successfully complete a successful induction and probation period before undertaking their first appraisal meeting.
- The council follows a cascade approach for example, the Leader appraises the Managing Director, Managing Director appraises Service Directors, Service Directors appraise their Heads of Service and they in turn appraise their managers and so on.
- Managers who have had their own appraisal must ensure that all their employees are appraised within a reasonable timescale to ensure all performance within the service / team is leading to the achievement of the Corporate Plan objectives.
- Managers should not defer carrying out their employees' appraisals even in rare circumstances where they have not received their own appraisal.

The process is cascaded down to ensure the objectives of the council run through the appraisals of all its employees. All employees should then be able to see how their team targets help the team, service and the directorate contribute to achieving the Council's Corporate Plan objectives.

2. Team Appraisal

2.1 When do you undertake a team appraisal?

A service area may have a significant numbers of employees undertaking the same job role with the same performance level requirements. These employees are more often under the management of one manager or supervisor because of the nature and type of work role they undertake. Under these specific circumstances it is impractical for one manager to effectively undertake individual appraisals. In these circumstances **only** a team appraisal should be undertaken.

The teams that are allowed to participate in team appraisal are the following:

- **Operational Services** - Head of Operational Services
 - Bus Drivers
 - Passenger Assistants
- **Public Realm**- Head of Service Public Realm
 - Highways Operatives including street lighting;
 - Public Realm Environmental Operatives (staff that carry out predominately street cleansing and grounds maintenance works including schools);

- School crossing patrols
 - Aboriginal Operatives
 - Rangers and countryside Rangers
 - Car park Operatives
- **Facilities- Head of Service- Facilities**
 - Cleaners
 - Caretakers – community and relief
 - Meals on Wheels Drivers
 - Education drivers
 - General Assistants
 - Mobile cleaners
 - Mobile General Assistants

3. Roles in the Team Appraisal process

3.1 The Team Manager

To make a team appraisal manageable it is advisable to break team appraisals down into groups of six in an appraisal group. This allows for everyone to be practically involved in the appraisal process. This process would not however preclude an individual to seek an individual appraisal if specifically requested.

It is the manager's role to facilitate the appraisal process and encourage the employees of the team to be able to speak openly and honestly. The manager needs to be confident in their own skills in giving open and honest evidence informed feedback, praise and recognition for targets achieved and activities well done. They also need to be adept in providing constructive feedback and providing guidance on areas for improvement or further development.

The manager should only use a team appraisal to appraise the performance of a team overall. Any individual issues should be addressed through 1:1 meetings. The manager must identify prior to the team appraisal whether or not any team members need an individual appraisal. See the appraisal policy or Individual Performance Appraisal and Learning and Development guidance notes for more information.

A manager should have detailed knowledge of the job role or an overall lead role in the teams area of work to be able to conduct the appraisal.

There may be occasions where an employee will report to more than one manager. In these circumstances the managers involved and the employee will need to agree who is the most appropriate manager to conduct the appraisal. It is likely to be the manager who is able to observe the team's performance on a regular basis and conducts the regular Team Supervision. However both managers should be in a position to provide evidence to support the appraisal.

The manager is responsible for:

- Planning and communicating the date of the appraisal meeting to the team.
- Arranging a time and place for the team to come together to carry out a team self –assessment at least two weeks before the appraisal meeting.
- Requesting the completed self -assessment from the team spokesperson one week before the appraisal meeting if not already received.
- Prepare for the appraisal meeting which includes own assessment of team performance with evidence gathered to support identification of team’s performance levels.
- Leading the appraisal meeting discussion and completion of records including signatures.
- Transferring any learning and development requirements onto the service area learning and development plan.
- Submitting the confirmation appraisal record through Agresso.
- Storing the appraisal records securely and ensuring the team members has a copy of the appraisal document.

3.2 Employees within the team

The role of employees in team appraisal is to:

- Work together to prepare for the meeting by collectively carrying out a self – appraisal against the checklists, reviewing previous objectives and identify future objectives and developments. The appraisal record document can be used as a template to guide the self- appraisal process.
- The agreed assessment against the checklist should be sent to the manager one week before the planned team appraisal interview.
- Contribute to the team appraisal meeting including providing a description of the evidence that supports their assessment level, suggested objectives for the new work plan and identification of any team development needs.
- At the conclusion of the appraisal meeting where objectives are agreed they will sign the appraisal.
- Each employees involved in the team appraisal can ask for an individual copy of the final document at the conclusion of the meeting.

3.3 Team manager’s manager

The role of the manager’s manager is to review the appraisal process and the completed documentation in the event of a dispute. They should:

- assess the process and standard and consistency of the evidence presented when there is a dispute and mediate.
- identify any additional training requirements that the either the manager or employee may have and ensure that this is undertaken.

- request to see completed appraisal documentation for their direct reports within their service area from time to time so that they can audit and to ensure the quality and consistency of appraisals within their service.

4. The Team Appraisal Checklist and Record document and Assessment Process

The annual Team Appraisal Checklist and Record document is completed as part of the appraisal process. The document is divided up into three parts.

Part one – Assessment of team performance and behaviours against current work plan.

This comprises of a set of measures that the team works on together to self-assess team performance and behaviours prior to the meeting by completing the checklist boxes. They should assess themselves against their job role and current work plan. All self-assessments must be evidence informed this means that examples of why the assessment is judged to be at this level must be available if requested.

The manager also completes the same process for the team and the assessments are fully discussed at the appraisal meeting. The manager is required to complete the comments box under each performance measure and behaviour in support of the final assessment.

Part two- Setting of the new team work plan and review of learning and development needs.

The activities and actions and measures identified within the new work plan need to relate to the teams role and service needs to show how they link to the outcomes of the Corporate Plan objectives as appropriate. The team needs to be able to understand how their objectives and performance contribute to the Corporate Plan and the manager needs to support this and provide guidance and record.

The team will be responsible for reviewing their learning and development needs and ensuring that they have completed all mandatory training requirements. The manager will complete the final review of learning and development needs and record on the document.

Part three – At the appraisal meeting the team completes the section on comments on the appraisal process and the manager completes the summary of overall performance.

Once the appraisal process has been completed the document is signed by all parties and confirmation of completion is recorded by the manager on the HR intranet.

Link to documents and flowchart with timescales can be found [here](#).

5. Reporting Mechanism

Once an appraisal is completed the manager will need to confirm that the employee appraisal has been completed on Agresso.

The manager needs to record the essential learning and development needs on the Service Development Plan.

The above appraisal logging arrangements enable reports to be run showing names of employees by service area and directorate who have received an appraisal in the last 12 months together with the dates of the next appraisal. This helps the council to monitor appraisal occurrence and set performance targets.

The Council's Internal Audit team will be responsible for auditing compliance with the Appraisal process. This is further outlined in the Appraisal Policy.

6. Storage

The appraisal is between the team, the manager and the manager's manager. Completed team appraisals must be stored securely either electronically by the manager so that they are not accessible to others. Each employee from the team needs to retain a signed copy as reference.

7. Learning and Development Support

The primary source of appraisal learning and development support for both managers and employees is the eLearning platform the Learning Hub which can be found [here](#). All mandatory eLearning courses that must be completed can be found [here](#).

For more information about development support please contact the Workforce Development Team on 01902 554085 or workdev@wolverhampton.gov.uk.

There are a range of eLearning modules and face to face development opportunities for additional support on the appraisal process.

eLearning modules:

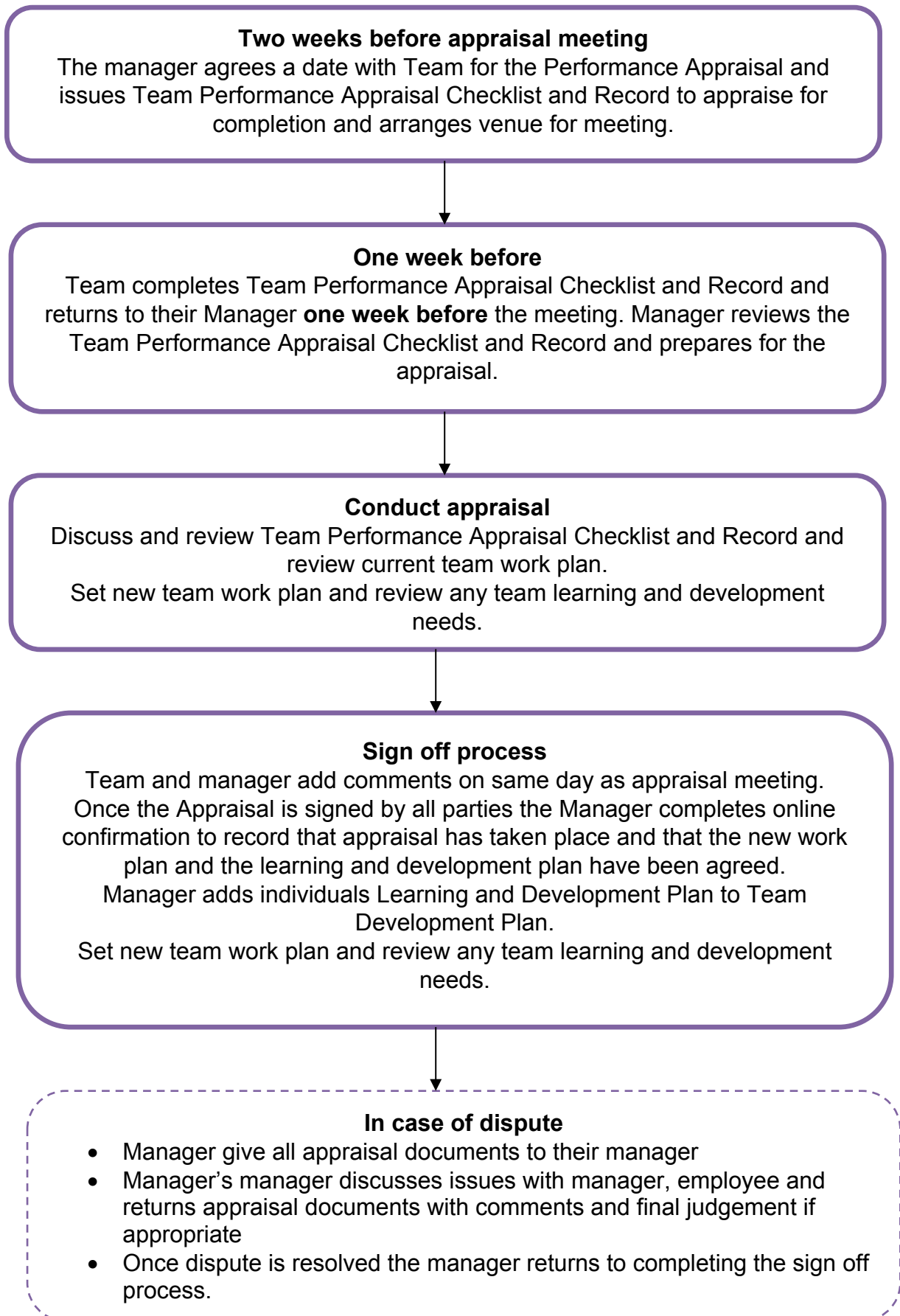
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- Giving and Receiving Feedback

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- Preparing for your Appraisal
- Delivering an Appraisal

- Setting SMARTER Objectives
- Delivering Objective Feedback
- How to Create and Write Learning and Development Plans
- Managing Different People

8. Appraisal Process Chart



9. Glossary of Terms

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The yearly appraisal meeting where objectives are reviewed, new ones established and Personal development requirements are agreed within the team.

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Once an appraisal is completed the manager will need to confirm that the employee appraisal has been completed. This can be completed through Agresso.

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The employee who receives the performance appraisal or teams of employees who receive a team appraisal.

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Facilitate means to help the employee to become fully involved in the appraisal process.

Manager

The manager or team leader is responsible for facilitating and managing the appraisal process.

Objectives

Objectives should be written so that the team knows what they are expected to do and the standard of performance that they will need to achieve.

One to one (1:1) or Team Supervision

This is sometimes referred to as supervision. One to one is a regular formal meeting between the manager and the employee or teams of employees. One to one or Team supervision should take place every four to eight weeks and should include a recorded review of the work and the development plan including achievements.

Performance Team Appraisal

The process that assesses the team's performance and achievements in relation to a set of agreed work objectives that support the delivery of the Council's Corporate Plan.

Team

A service area may have a significant numbers of employees undertaking the same job role with the same performance level requirements. These are defined in the Policy.

Team Development Plan

This is a summary document where a manager records the overall development needs of his or her team as a whole for planning purposes.

Logo

Human Resources Policy Framework

Performance Appraisal and Personal Development Review Policy and Procedure

Approved by:	<i>Cabinet Resources Panel (27.11.2012)</i>
<i>First Published:</i>	<i>01.04.2013</i>
<i>Reviewed:</i>	<i>06.05.2015</i>
<i>Decision Meeting:</i>	<i>Cabinet Resources Panel (30.06.15)</i>
<i>Review date:</i>	<i>30.06.2016</i>

CONSULTATION

The following officers and or bodies have been consulted on this policy:

Officers and or Bodies	From	To
HR	13.09.2012	30.10.2012
CDB	08.08.2012	30.10.2012
SEB	18.10.2012	
PGSS	30.10.2012	

The following Trade Unions have been consulted on this policy

	From	To
Unison	16.10.2012 20.05.2015	06.11.2012 20.05.2015
GMB	16.10.2012 20.05.2015	06.11.2012 20.05.2015
Unite	16.10.2012 20.05.2015	06.11.2012 20.05.2015

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Policy Statement

- 1.1 City of Wolverhampton Council (the council) is committed to ensuring that all employees receive an annual appraisal, including employees who are employed for a few hours a week or on a sessional basis.
- 1.2 It is a mandatory requirement of managers to undertake a performance appraisal with the employees that they manage on an annual basis as outlined in this policy. If an employee does not receive a performance appraisal and the employee feels unable to approach their manager they should raise this with the next level manager.

2. Scope

- 2.1 This policy and procedure applies to all employees of the council who have been directly employed by the council for six months or more (not including agency staff) and shall be followed in respect of conducting individual or team employee appraisals.
- 2.2 This process is cascaded down from Managing Director level to ensure that the objectives of the council are reflected through the appraisals of all its employees.
- 2.3 This includes employees in support roles based in schools such as teaching assistants, but excludes teachers who are covered by Schools performance appraisals policy and procedures. The policy and procedure are designed to ensure fair, reasonable and consistent treatment for all employees.

3. Exclusions

- 3.1 Matters which are excluded from being dealt with under this policy are:
 - Pay, salary gradings, terms and conditions
 - Allegations of bullying, discrimination or harassment on the basis of race (which includes colour, nationality and ethnic or national origins), sex and sexual orientation, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, religion or belief and age under the Equality Act 2010
 - Disciplinary or grievance matters
 - Changes to legislation

4. Principles

- 4.1 Employees who have responsibility for managing or supervising employees are required to hold an annual performance appraisal meeting with their employees.

- 4.2 The process of conducting annual performance appraisals is cascaded throughout the council to ensure that employee's performance is appropriately managed, that individual targets are set and met and contribute towards the council achieving its objectives as set out in the Corporate Plan.

The council is committed to the following principles, which underpin this policy;

- ensure that managers provide the appropriate support to employees within the performance management framework;
- provide all employees with an opportunity to have a one to one or group meeting with their manager to discuss and review their performance;
- acknowledge employees achievements and identify strengths;
- address areas for improvement;
- identify and plan learning and development needs;
- enable employees to fully engage in planning for the future;
- ensure that appraisal meetings are not unreasonably delayed, are conducted in a timely manner and in accordance with the timescales as set out in this policy;
- not to defer or avoid undertaking the appraisal if there are capability issues;
- failure to carry out an annual appraisal could result in disciplinary action;
- Senior managers should ensure that the quality and consistency of all appraisals carried out within their service areas meets the Council's agreed standards as set out in this policy and procedure and the Performance Appraisal and Personal Development supporting guidance <http://hrintranet/mgr/mpna/Pages/ManagingPerformanceandAppraisal.aspx>.

5. Procedure

Conducting the Performance Appraisal and Learning and Development Review

- 5.1 Any employee who has the responsibility for managing employees and carrying out appraisals is required to carry out an annual performance appraisal with all of the employees that they manage. The manager will agree a date and time for a meeting with the employee to be appraised.
- 5.2 The performance appraisal meeting provides both the manager and the employee with the opportunity to discuss the employee's performance, to review if objectives set have been met and to plan future targets; to recognise any achievements made since the last review, and address any weaknesses in performance. It is also the opportunity for the employee to identify opportunities for development, for the manager to provide support to the employee's needs and to identify how these needs can be met. It is the

manager's opportunity to have an open discussion about the employee's performance and any required improvements.

- 5.3 As part of managing performance, managers should be holding 1:1 or group supervision meetings with their employees on a regular basis. This should be consistent with both service and any designated professional supervision requirements. An employee should receive a one to one meeting on no less than a quarterly basis. These meetings enable both the manager and the employee to discuss performance as part of the 1:1 or group supervision process on a regular basis, and should enable the employee to have a constructive appraisal review meeting as they will have a good understanding of their level of performance prior to their appraisal interview.
- 5.4 The 1:1 or group supervision template on the HR intranet performance appraisal page can be used if there is no alternative form within your service area.
<http://hrintranet/mgr/mpna/Pages/ManagingPerformanceandAppraisal.aspx>

New Employees

- 5.5 Once a new employee completes their induction and probationary period they will receive their first performance appraisal. This is where they will agree their work plan objectives and the learning and development plan requirements for the next 12 months.
- 5.6 The performance appraisal process can take the following forms:

The Individual Appraisal

- 5.7 An individual appraisal should be held between the employee and their manager annually.

The Team Appraisal

- 5.8 The manager should only appraise the performance of the team overall. Any individual performance issues should be discussed and addressed through regular 1:1 and individual appraisal.
- 5.9 Some services have a significant number of employees (10 employees or more) who have the same job role and have similar performance requirements. In these instances only the manager may find it more appropriate and practical to carry out a team appraisal.
- 5.10 The manager must confirm with their manager which job roles meet the conditions of a team appraisal before setting up a team appraisal meeting with employees. The Team Performance Appraisal and Learning and Development review guidance assists with this.

- 5.11 The team appraisal template and learning and development requirements should be completed as part of the team appraisal process.
- 5.12 At manager's discretion or employee's request the individual appraisal can be used.

Preparing for the Performance Appraisal

- 5.13 To prepare for the appraisal meeting the manager and employee(s) will follow the process set out in the Individual Performance Appraisal and Learning and Development Review or the Team Performance Appraisal and Learning and Development Review guidance documentation.
<http://hrintranet/mgr/mpna/Pages/ManagingPerformanceandAppraisal.aspx>

This requires the manager to:

- Refer to the guidance for managers and employees on performance appraisal and development review to ensure an understanding of the process.
 - arrange a date, time and location for the employee (s) appraisal review.
 - issue the individual / team appraisal and performance development review record to the employee (s) two weeks before the appraisal meeting.
 - advise the employee(s) to complete their self - assessment and learning and development review.
 - Ensure that the employee has sufficient time to prepare for the meeting.
 - In respect of a team appraisal, ensure the team has sufficient time to prepare for the meeting and advise them to elect a team spokesperson for the appraisal review meeting.
 - Review the employee / team past performance, set targets/objectives using the SMARTER approach for setting future actions, review and identify any learning and development or support needs. Preparation should also include equalities and health and safety as areas for discussion.
 - Conduct the appraisal meeting discussion and completion of records including signatures within the designated timescales (see attached process chart for individual and team appraisal timescales).
 - Transfer any learning and development requirements onto the service area learning and development plan.
 - Record the successful completion of the appraisal on Agresso.
 - Store the appraisal records securely and ensuring that employees have a copy of the completed appraisal document.
- 5.14 Timelines for all stages of the appraisal process are provided in the Performance Appraisal and Personal Development Review Guidance and in the flow chart in appendix 1 of this policy and procedure.

Secure Storage

- 5.15 Appraisal documentation should be kept securely by the appraising manager until the next employee appraisal meeting.
- 5.16 Where an employee is being managed under the capability procedure the appraisal documentation can be used or referred to when managing an employee's performance.

6. Roles and Responsibilities

Roles and responsibilities of individual employees/ teams

- 6.1 The appraisal provides an opportunity for employees to discuss their performance with their manager on an annual basis in an uninterrupted 1:1 discussion or group supervision meeting as appropriate.
- 6.2 Under this policy all employees are required to:
- Refer to the guidance for managers and employees on performance appraisal and development review to ensure an understanding of the process.
 - fully engage in the appraisal process by preparing for the meeting. This includes completing their self-appraisal checklist prior to the appraisal meeting. For teams this would also include identifying a spokesperson who will present the teams agreed self-assessment and learning and development needs at the appraisal meeting.
 - attend the appraisal meeting and enter into dialogue about their performance against their job role, behaviours and work plan and identify any learning and development needs that they would propose to assist in improving their performance.
 - openly and constructively discuss their performance during the meeting and recognise areas that may require improvement as well as areas of achievement.
 - raise their concerns with their manager's manager if they do not receive an annual appraisal.

Roles and Responsibilities of Managers

- 6.3 Managers should be aware of their responsibilities and adhere to the procedures as set out in this policy and procedure when conducting appraisals and should refer to the performance appraisal and learning and development guidance before carrying out an appraisal with their employees.
- 6.4 Under these procedures managers have a responsibility to:

- ensure that any employee they manage receives an appraisal on an annual basis.
- conduct appraisals in a timely manner.
- Complete the standard templates as set out in the guidance.
- Record the completion of the employee / teams appraisal on Agresso.
- the manager's manager is required to check the quality of the appraisals carried out within their service area from time to time.
- the manager's manager may also be required to mediate as part of an informal process should the employee or manager be unable to reach an agreement about the outcomes of the appraisal.
- appraisals should be carried out whether or not there are capability issues and managers should not use this as a reason to defer an appraisal.
- managers should not defer carrying out their employees' appraisals even in rare circumstances where they have not received their own appraisal
- failure to carry out an appraisal could result in disciplinary action.

Roles and Responsibilities of HR

6.5 HR will provide operational support to managers in the application of this policy and procedure. Under this policy HR has the specific responsibility to:

- advise managers on using the standard appraisal templates and documentation including the guidance for managers and employees.
- provide support and guidance throughout all stages of this policy
- ensure the communication, maintenance, regular review and updating of this policy
- assess compliance and effectiveness
- monitor and review the delivery and impact of the policy

Role of Head of Transformation

6.6 In consultation with the recognised Trade Unions, the Head of Transformation will exercise delegated authority for and be responsible for the on-going review and updating of this policy to ensure compliance with changes in statutory requirements and operational delivery, including responsibility for identifying the appropriate process for the regular evaluation of the effectiveness of this policy. Any fundamental changes to this policy will be brought before Cabinet or Cabinet (Resources) Panel for approval.

Role of Audit

6.7 The role of audit shall be to provide compliance by:

- ensuring appraisals are carried out in a timely manner through random sampling on a quarterly basis.
- ensuring that appraisals are completed using the relevant templates.

- ensuring that any appraisals received comply with the Council's agreed standards as set out in this policy and procedure and the Performance Appraisal and Learning and Development Review supporting guidance.

Role of Trade Unions

- 6.8 Any review and revisions of this policy will be undertaken by the Head of Transformation or their delegate and will be in consultation with the Council's recognised trade unions.

7. Monitoring and Review

- 7.1 The appraisal policy and procedure will be reviewed and updated annually by the Head of Transformation or their delegate and will be available to managers and employees via the HR intranet.

8. Links to Other Policies and Procedures

Workforce Planning

Equal Opportunities Policy

Bullying and Harassment (Dignity at Work) Policy and Procedures

Capability Policy and Procedure

9. Equality

- 9.1 The annual appraisal is intended to be an objective and unbiased route to assessing an employee's performance within the workplace. The performance appraisal includes checks and balances throughout to ensure that all employees are treated reasonably, fairly and consistently within the process.
- 9.2 An Equality Analysis has been under taken on this policy and procedure.
- 9.3 The Council has a duty to monitor the application of the policy in relation to protected characteristics under the Equality Act 2010. This is reported annually in the Council's Equality Monitoring Report.
- 9.4 If any aspect of the appraisal policy and procedure causes you difficulty on account of any disability that you may have, or if you need assistance because English is not your first language, you should raise this issue with HR, who will make appropriate arrangements.