

Performance Management (Appraisal) Scheme

NOVEMBER 2016



EAST CAMBRIDGESHIRE
DISTRICT COUNCIL

PERFORMANCE MANAGEMENT (APPRAISAL) SCHEME

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1.0 INTRODUCTION

The Council recognises that employees perform most effectively when they clearly understand the expectations of their job role and purpose, their own targets or objectives and the wider aims of the service and the organisation.

The Council will ensure that all employees attend an annual performance appraisal meeting with their line manager, at which performance and learning over the last twelve months will be reviewed and performance indicators for the future will be set. However, managing employees' performance is a continuous process and therefore managers are expected to meet regularly with their staff to discuss progress towards performance indicators set at the appraisal meeting, ongoing work programmes and to raise any other work-related issues.

The Council will ensure that all managers and employees receive appropriate training and development to enable them to carry out their roles effectively with respect to managing the performance of their staff.

The aims of the Performance Management (Appraisal) scheme are :-

- to create a framework for linking corporate and service objectives and priorities to individuals' jobs;
- to provide clarity of job responsibilities to postholders;
- to offer the opportunity for regular feedback to individuals on how they are performing in their job for their encouragement, improvement and personal recognition;
- to recognise the strengths and weaknesses of postholders to enable them and their line manager to identify training and career development needs;
- to enable development needs to be identified and remedied where possible, and where not possible, to facilitate appropriate action;
- to provide the means for keeping job accountabilities under regular review, recognising that roles and priorities change over time;
- to enhance the professional relationship between postholder and manager;
- to improve the ability of line managers and the whole organisation to monitor quality of work;
- to recognise and reward high performance by awarding an increment and/or a lump sum payment in accordance with the Council's Performance Related Increments (PRI) Policy.

Under-performance of employees will be addressed, as appropriate, through the Council's Employee Capability Policy & Procedure.

This performance appraisal process forms an important part of the Council's overall Performance Management Programme.

2.0 STEP 1 - SETTING PERFORMANCE INDICATORS

Performance indicators are ways of measuring the achievement of accountabilities as set out in the job profile for the post. Essentially, they answer the question 'how will I know if I am performing well?'

Performance indicators should be SMART, i.e. specific, measurable, achievable, realistic and time-based. As a guide, consider the following statements:

Specific	Indicators should clearly state what the employee is expected to achieve.
Measurable	Indicators should include a quality and/or quantity reference so that managers can measure whether or not employees have achieved them.
Achievable	Indicators should be agreed between the employee and their line manager, be relevant to their job and be driven by corporate objectives/priorities and departmental service plans.
Realistic	Indicators should be challenging but achievable i.e. they should not be unrealistic.
Time-based	Indicators should include a time reference, such as a specific deadline.

Performance indicators should focus on **outcomes** rather than **activities** and allow the employee to measure their own success.

SMART performance indicators enable the employee and their manager to focus the appraisal discussion on measurable performance outcomes and facilitate the discussion of the employee's development and career plans as part of the meeting.

Additional guidance on setting SMART performance indicators is attached as Appendix 1.

When setting SMART performance indicators, managers should consider the 'golden thread' and decide whether:

- a) any corporate priorities are relevant to the post and if so, ensure that SMART performance indicators are set that reflect the contribution expected from the postholder to enable the corporate priorities to be met.
- b) any service priorities contained in the Service Delivery Plan are relevant to the post and if so, ensure that these too are also covered by SMART performance indicators.
- c) there are any other important work/projects/standards that the postholder will be required to complete during the appraisal year.

The number of SMART performance indicators set per year should ideally be limited to five, although additional ones can be added if deemed essential for that particular year.

New Staff

New employees should be set performance indicators as part of their induction and within one month of them joining the Council. The performance management document can be used for this purpose (Section A). During the first six months of employment, performance will be monitored under the Council's Performance Review Form, although this does not negate the need to hold the annual appraisal meeting if this falls within the six month period.

All employees must have more than 6 months service in their current role with the Council, when the annual appraisal takes place to be eligible for the award of an increment, subject to their performance indicators being agreed and monitored for a minimum of six months prior to the appraisal meeting.

Employees who have transferred internally to a new post in the Council should also be set performance indicators as part of their induction into the new role. This information, together with the job profile should be used for the first appraisal which should take place in accordance with the appraisal timetable. Where an employee changes job internally during the performance year, including acting up and secondments, the current manager

should hold an interim review with the employee before the change takes effect and provide a provisional overall rating to the new manager (if appropriate). The new manager must set the new performance indicators and requirements within one month of the employee starting and make an assessment of the employee's overall performance at the end of the performance year taking into account the information from the previous manager.

The individual training and development plan (Section D of the appraisal form) should also be completed within one month of an employee joining or transferring between posts within the Council.

A copy of the Performance Management Record should be sent to the Council's HR Section.

3.0 STEP TWO – MID TERM REVIEW (SEPTEMBER/OCTOBER)

A meeting should normally be held to formally review progress against performance indicators and the individual training and development plan six months prior to the annual appraisal meeting.

The six month review is an opportunity to agree new or amend existing performance indicators if an element of the target may have changed (e.g. % or date change due to unforeseen issues, such as legislation being introduced later than expected). Any agreed changes should be recorded on the original appraisal form and a revised copy issued to the employee and HR.

4.0 STEP THREE – THE APPRAISAL MEETING (FEB/MAR)

Performance appraisals provide a formal, recorded review of an individual's performance, and a plan for future development. Each member of staff will meet his/her manager once a year for an appraisal meeting.

An appraisal aims to ensure that employees:

- know what is expected of them;
- know how they should do their jobs;
- receive positive recognition for their achievements;
- receive constructive feedback on their work;
- understand areas where improvement is needed;
- identify with their line manager their learning and development needs; and
- plan their career development.

It is a two-way process by which the appraiser can also gain feedback on how he/she has managed the postholder and identify any barriers to improved performance.

Formal disciplinary and grievance issues are not to be an objective of any performance appraisal procedure and should be dealt with separately. It is important that any issue concerning unsatisfactory performance is recorded in the meeting document in order that any formal monitoring of performance is not undermined by contradictory messages being given to the employee.

Appraisal supports, but does not replace, normal regular dialogue between managers and their employees, regular supervision, or good day-to-day management practice.

4.1 **Preparing for the Appraisal Meeting**

The Appraisal process starts from 1st **February** each year.

Both parties should prepare for the meeting beforehand if a successful outcome is to be achieved.

The **line manager** (as the Appraiser) should:

- a) **Agree with the employee** a suitable date, time and location for the appraisal, aiming to give the employee one month's notice of the meeting, **wherever possible**. The venue for the meeting must be private and free from interruptions. **Both the Appraisee and the Appraiser have a responsibility for getting the appraisal meeting arranged.**
- b) At that time, issue the employee with a Performance Management Record with the relevant performance indicators inserted at Section A.
- c) **Notify HR by mid February of the dates/times of your appraisal meetings for these to be logged and shared with Management Team.**
- d) Prepare for the appraisal meeting by:
 - assessing levels of performance against the performance indicators and requirements over the appraisal period;
 - consult other individuals/sections/Members as necessary on performance;
 - consider any factors that might have affected performance especially those outside the employee's control;
 - anticipate any difficult messages and ensure you have the facts correct;
 - identify future demands (from corporate or service priorities);
 - consider possible development needs for the individual;
 - write clear notes as reminders for the meeting.

The **employee** (as the Appraisee) should:

- a) **Agree with your manager a suitable date, time and location for the appraisal. Both the Appraisee and the Appraiser have a responsibility for getting the appraisal meeting arranged.**
- b) Upon receipt of the Performance Management Record from their line manager, Complete Section A identifying whether each performance indicator has been fully achieved, partially achieved or not achieved, together with their assessment of key achievements/personal strengths and any areas for improvement or lessons learnt whilst working towards the agreed performance indicators. Identify evidence wherever possible to support the comments made.
- c) Complete Section B of the Performance Management Record to assess performance against the general (and management if appropriate) performance requirements listed, identifying and evidencing (where possible) their personal strengths and any areas for improvement.
- e) Record any other significant achievements during the year (not mentioned in Section A) in table 3, particularly those that help to evidence any of the general or management performance requirements.
- f) Assess their performance against the rating matrix and enter the relevant code against the "overall rating by Appraisee" box.
- g) Complete Section C to suggest any changes that they think should be made to the performance indicators in the forthcoming year.

- h) Make a note of any training and development needs and have any relevant information to hand prior to the appraisal meeting. Development needs can be met in a number of ways, not just through training courses. If mentoring and coaching in a particular area of work would be useful then this should be discussed at the appraisal meeting and included on the training and development plan if agreed.
- i) Return the completed form to their manager at least one week ahead of the appraisal meeting.
- j) Prepare for the appraisal meeting by:
 - gathering evidence of any achievements since the last appraisal;
 - considering why any performance indicators were not achieved;
 - identifying what was enjoyable and how the role needs to develop;
 - consider any areas for improvement and development needs;
 - consider future aspirations
 - gather full details of any professional qualifications for consideration at the appraisal meeting.

If an Appraisee fails to submit their appraisal paperwork to the Appraiser in sufficient time for appraisal meeting, then he/she cannot be considered for 'Excellent' or 'Outstanding', the maximum rating that they can be awarded is 'Good'. Equally, if an Appraiser misses submitting the paperwork by the 31st March deadline, then the Appraiser can only be awarded a maximum rating of 'Good' by the Appraiser's manager.

4.2 How to Conduct the Appraisal Meeting

The five key elements of the performance appraisal are:

1. **Measurement** – assessing the employee's performance against agreed performance indicators and general/management performance requirements as appropriate.
2. **Feedback** – providing information to the employee on their performance and progress.
3. **Positive reinforcement** – emphasising what the employee has been done well and making only constructive criticism about what might be improved.
4. **Exchange of views** – having a frank exchange of views about what has happened, how the employee can improve their performance, and the support they need from their manager to achieve this.
5. **Agreement** – jointly coming to an understanding by all parties about what needs to be done to improve performance generally and overcome any issues raised in the course of the discussion.

4.3 Constructive Feedback

A central part of the appraisal is giving and receiving feedback. Feedback given should be clear, honest, helpful and constructive. It should be based on:

- behaviour rather than personality;
- observation rather than inferences;
- description and not judgement;
- specifics rather than generalisations;
- facts and not unsupported opinions; and
- suggestions for improvement which are capable of achievement.

4.4 Assessing Performance

The Council has a four-point rating matrix to be used to assess an employee's performance. Full use should be made of the whole scale. The ratings to be used are as follows:-

Rating	Evidenced By	
Outstanding (O)	Performance:	Significantly and consistently exceeds performance indicators and output is consistently of a very high standard.
	Performance Requirements:	Consistently demonstrates exceptional behaviours; serves as a role model and mentor.
Excellent (E)	Performance:	Consistently achieves and often exceeds performance indicators and output is frequently of a high standard.
	Performance Requirements:	Consistently demonstrates effective behaviours and often demonstrates exceptional behaviours.
Good (G)	Performance:	Achieves or partially achieves performance indicators and output generally meets expectations with problems or errors being corrected quickly.
	Performance Requirements:	Consistently demonstrates effective behaviours.
Needs Development/ Improvement (NDI)	Performance:	Achieves some but not all performance indicators and output is not without error and/or requiring considerable support from others; needs improvement.
	Performance Requirements:	Demonstrates some effective behaviours but not others, or behaviour is inconsistent; may be appropriate for employees in new or more challenging positions or for those that need development.
No overall Rating	Too early to assess or insufficient service due to absence. (see section 6 of the PRI Policy in Appendix 4)	

If an Appraisee fails to submit their appraisal paperwork to the Appraiser in sufficient time for appraisal meeting, then he/she cannot be considered for 'Excellent' or 'Outstanding', the maximum rating that they can be awarded is 'Good'. Equally, if an Appraiser misses submitting the paperwork by the 31st March deadline, then the Appraiser can only be awarded a maximum rating of 'Good' by the Appraiser's manager.

4.5 Personal Training & Development Plans

One of the most important features of the appraisal meeting is the identification of training and development needs. Every member of staff should have a personal training and development plan which provides a link between service and corporate priorities and career development. In this section, the Appraisee and the Appraiser will agree the employee's training needs for the next 12 months. Any professional/vocational training requests that arise and are supported by the line manager should be included. If the Appraiser's manager supports the professional/vocational request then full details (including costs) will be presented to Management Team for final consideration. The decision reached by Management Team will be confirmed in writing by HR.

4.6 Signing off the Appraisal Document

The appraising manager should complete the Performance Management Record and provide a copy to their line manager, normally no later than 10 working days after the appraisal meeting and by 25th March at the latest.

The Appraiser's line manager will then complete Section F of the form. This provides an opportunity for the Appraiser's line manager to review the content of the appraisal, provide further feedback on performance and behaviours, recognise the key achievements and add any additional comments that they may wish. The Appraiser's line manager will also give the Appraisee an overall performance rating in accordance with the rating matrix above. This rating is only provisional and is subject to review by the Council's moderation panel in accordance with the Performance Related Increments Policy.

The Appraiser's line manager has a responsibility to let the Appraiser know if they did not support the rating that they had provisionally agreed with the member of staff.

A copy of the form should then be returned to the employee, the appraising manager and the Council's HR Section. The deadline for return of completed Performance Management Records is 31st March each year.

Performance Management Records are treated as confidential documents and will generally only be available to the employee concerned, the line manager, the line manager's manager and members of the Moderation Panel, unless required in response to any employment relations issues. It is beneficial for an electronic copy of the completed form to be held confidentially by HR, the employee and the line manager for future reference and review.

Employees may invoke the Grievance Procedure in the event of serious concerns over the accuracy or the fairness of the appraisal record or meeting, in which case the senior manager hearing the grievance will have to have sight of the Performance Management Record.

5.0 Performance Related Increments

Increments are awarded based on the overall rating from the annual appraisal as confirmed by the Council's PRI Panel.

A copy of the Council's Performance Related Increments (PRI) Policy is attached as Appendix 4.

6.0 Monitoring & Review

Appraisal supports, but does not replace, normal regular dialogue between managers and their employees, regular supervision, or good day-to-day management practice.

Once an employee's performance indicators and training needs for the forthcoming year have been agreed, it is very important to ensure that they are regularly revisited through one-to-one meetings in addition to the six month review to ensure that they remain appropriate for the postholder's role.

7.0 Further Information

Further advice on performance management and appraisals is available from the Council's HR team. Please contact either:

Nicole Pema, HR Manager	616325
Oana Rebegea, HR Support Officer	616220

APPENDIX 1

**GUIDANCE FOR LINE MANAGERS ON
SETTING SMART PERFORMANCE INDICATORS**

Setting performance indicators is an integral part of the appraisal process. SMART is an acronym in common use which describes the key characteristics of effective performance indicators. If they are Specific, Measurable, Achievable, Relevant and Time-bound, they will provide a focus on the aims of the team, service and the Council as a whole and ensure that efforts are directed towards the achievement of these aims in a timely way.

A common problem when setting performance indicators is focussing on activities, rather than on the outcome or impact of these activities. SMART indicators focus on what it will look like when it is achieved. Sometimes the performance indicator has to be achieved in a particular way and therefore should include the actions that will have to be taken in order to achieve it. However, remember that the performance indicators should focus on the outcome.

Useful Hints and Tips

Getting started:

- identify what it is that you want to achieve
- write down what you want to achieve using a positive statement
- make it specific
- identify how you will measure achievement
- plan the steps you need to achieve it
- identify a realistic deadline
- consider how you will measure progress

Use action verbs:

It is helpful to be as specific as possible when selecting a verb. Use general terms such as 'manage' only when more precise action verbs will not do.

Policy Making/Objective-Setting	Approve; Authorise; Co-ordinate; Define; Determine; Develop; Direct; Establish; Plan; Prepare
Specialist and Support Tasks	Analyse; Appraise; Assist; Enable; Forecast; Interpret; Justify; Liaise; Propose; Recommend; Reconcile; Support
Execution of Management Tasks	Achieve; Administer; Assess; Attain; Control; Co-ordinate; Ensure; Evaluate; Gain acceptance for; Identify; Implement; Improve; Increase; Install; Judge; Liaise; Limit; Maintain; Manage; Monitor; Review; Set; Specify; Standardise; Supervise
Specific/Junior Tasks	Assist; Check; Collate; Distribute; Gather; Issue; Liaise; Make available; Obtain; Operate; Perform; Present; Produce; Progress; Provide; Submit; Supply

Avoid woolly phrases and jargon, for example:

- 'Liaise with xxxxxx' – why are they liaising with xxxxx? What is it that the liaison will achieve?
- 'Contribute to xxxxx' – why is it important to contribute to xxxx? What are you hoping to achieve?
- 'Learn about xxxxx' – why are you learning about it? What will you be able to do when you have learnt about it?
- 'Continue with xxxx' – why do you need to continue with it? What will this achieve?

Don't just restate the 'day job'. Performance indicators should be longer term (up to 1 year) and focus on what is new, or needs to be improved or done differently.

Don't set too many objectives. Focus on priorities, starting with the corporate and service priorities in the Service Delivery Plan to ensure that energy and effort is being directed in the right direction. Having too many performance indicators dilutes their impact and makes it hard for employees to prioritise their time. It also makes them less achievable.

The performance indicators of supervisors and other staff must be properly related to each other. A single performance indicator of a manager may give rise to several distinct ones among staff.

EXAMPLES:

Example 1

✗ Performance Indicator: "work with colleagues in Education Services to achieve service improvements."

This is really an action, not a performance indicator. It may be relevant, but it is not specific, measureable or time-bound. It is impossible to say if it is achievable because we do not know what is to be achieved.

To turn it into a performance indicator, you could consider a particular service priority that will be achieved by closer working. Or, if the closer working relationship is the performance indicator, what that will look like when achieved. The following are examples of how a SMART performance indicator might be written:

✓ "By the end of March, reduce the average time to arrange a child protection conference to xx weeks or less by streamlining administrative and communication processes with Education colleagues".

✓ "Set up quarterly action-planning group with relevant Education colleagues to identify and tackle joint service improvements; hold inaugural meeting by end December".

Example 2

✗ Performance Indicator: “Represent the service on the Council’s Equal Opportunities Working Group”.

Again, this is an activity not a performance indicator. Consider why you are to represent the service and what outcomes you expect to see as a result. This could be written as a SMART objective like this:

✓ “Ensure that the service complies with the Council’s Single Equality Scheme by representing the service on the Equal Opportunities Working Group, carrying out actions arising and updating your Service Lead on a quarterly basis”

Example 3

✗ Performance Indicator: “Improve absence levels in the administrative team”.

This is specific but not measurable. You need to quantify the expectation, ensuring that it is realistic (achievable). It could be rewritten like this:

✓ “Reduce short term sickness absence in the administrative team by 5% by the end of March, by coaching and supporting supervisors in rigorous implementation of the Council’s absence management procedure, including use of Occupational Health advice”.

Example 4

✗ Performance Indicator: “Complete review of xxxx project and make recommendations for efficiency savings”.

This is specific but not measurable. It could be rewritten like this:

✓ “Complete review of xxxxx project and present report to CMT by end September with recommendations for actions to achieve efficiency savings, together with estimated financial savings, risk assessments and equality impact analysis”.

**GUIDANCE FOR LINE MANAGERS ON
ASSESSING PERFORMANCE REQUIREMENTS
(GENERAL & MANAGEMENT)**

This guide has been developed to help Appraisers assess the performance of their staff under the general and management performance requirements as set out in the Performance Management Record.

GENERAL REQUIREMENTS

Quality of Work: Work quality refers to the efforts that consistently achieve desired outcomes with a minimum of avoidable errors and problems. Does the employee's work meet the requirements, expectations or desired outcomes? How accurate and complete is the work? Is it completed in a timely manner? Is the work done in an efficient and effective way?

Job Knowledge: Does the employee exhibit job-related knowledge and skill needed to perform the duties and requirements of the post? Does the employee exhibit knowledge of the methods, practices and equipment needed to do the job? Consider knowledge gained through experience, education and specialised training. Does the employee seek to maintain current knowledge of changes in policies and procedures? Does the employee keep abreast of new developments and major issues in their field (where appropriate)? Is the employee consulted at times by others for guidance?

Communication: Does the employee exhibit a good level of interpersonal skills and have a good working relationship with most of his/her peers, subordinates, supervisors, customers and the general public? Does the employee listen to other's views and opinions and take time to evaluate before dismissing? Does the employee raise concerns that they have about operational issues with appropriate officers? Does the employee communicate effectively in writing and/or verbally? Is written work communicated in a concise, organised and appropriate manner for the relevant audience (where appropriate)?

Individual Effectiveness: Consider the level of respect and courtesy the employee shows to others, how the employee's behaviour affects the work area and the willingness of the employee to accept supervision, change and ownership of their work. Does the employee exhibit willingness to comply with all reasonable requests? Is the employee open to new ideas and ways of working and exhibit a "can do" attitude when something new or a change in process is required? Does the employee have good interpersonal skills and the ability to work well within a team? Do they exhibit tact and sincerity with others?

Service Focus: Does the employee exhibit appropriate supportive behaviour towards the Council and its customers? Does the employee show respect and courtesy to Members, customers, colleagues, partners, and members of the public? Does the employee keep others informed of progress and seek to provide a prompt, efficient, high quality service that supports the Council's "open for business" priority? Is due consideration given to the needs of service

users? Does the employee understand what good customer care looks like for their service? Is the employee aware of and focused on the Service Delivery Plan for their service area?

Initiative: Does the employee see things to be done and take appropriate action without being directed? Consider ability to contribute, develop and/or carry out instruction? Consider the degree of supervision required and the willingness to take on responsibilities and be accountable for them. Consider ability of the employee to be a self-starter, to offer suggestions, to anticipate needs and to seek additional tasks as time permits. Does the employee consider value for money and efficiencies when carrying out their day to day tasks? Does the employee actively seek opportunities to expand knowledge and skills through learning from others, research and/or training activities?

MANAGEMENT REQUIREMENTS (line managers only)

Leading and Inspiring Others: Is the manager able to get employees to carry out required tasks willingly and to their best ability? Consider the ability to get work done while being sensitive to the morale and satisfaction of those doing the work; the ability to function consistently and effectively in an objective and rational manner regardless of pressures. Is the manager able to effectively communicate the corporate objectives and priorities to their staff in an inspiring way that gains ownership of the priorities and ensures achievement of the agreed goals (where appropriate)? Does the manager involve his/her team in the development of the service (including the development of Service Delivery Plan where appropriate), encouraging others to share their ideas and thoughts in a supportive environment and providing explanation of any decisions reached? Does the manager demonstrate ability to select, train and provide opportunities for development of employees by recognising and improving their abilities? Does the manager evaluate situations and make decisions and use reasoning to identify, solve and prevent problems? Does the manager demonstrate knowledge of Council policies and procedures and demonstrate adherence at all times? Does the manager ensure that adequate support, praise and recognition is shown to others at the appropriate times?

Managing and Developing Others: Has the manager carried out effective appraisals of their staff? Has the performance of their staff been objectively appraised and areas for improvement identified (where appropriate) with details of support to be provided being recorded to assist the employee in meeting expectations? Does the manager have regular dialogue with their staff to feedback on performance and corporate issues that may affect the delivery of the service? Are general staffing issues confronted and resolved constructively? Are conduct, capability and grievance issues dealt with promptly and in accordance with Council policies and procedures? Does the manager regularly review the learning and development needs of their staff/team and ensure that these are effectively met within available

resources? Does the manager exhibit fairness and impartiality with employees when assigning tasks and assessing performance? Does the manager give due consideration to the Health & Safety of their staff, ensuring that staff work in a safe manner that prevents accidents and injuries? Are H&S risk assessments reviewed each year and communicated with their staff?

Adaptability/
Management of
Change:

How does the manager adapt to change? Does the manager initiate or recommend beneficial changes in work procedures? Does the manager readily accept new assignments or temporary assignments outside their regular responsibilities and present them positively to members of their team? Consider willingness to learn quickly, to accept and adapt to change in working practices, methods, staff or surroundings. Does the manager effectively evaluate situations and make sound decisions based on facts and advice from others where required and use reasoning to identify, solve and prevent problems? Are decisions made clearly communicated with others at the appropriate times?

Planning &
Organisation

How effective is the manager in setting effective goals, planning ahead and establishing priorities for themselves and the rest of the team? Is the team working "as one team"? Does the team clearly understand what is expected of them on a day to day basis? Consider their ability to make the most effective use of time, facilities, materials, equipment, employees' skills and other resources to provide the service. Does the manager effectively monitor the workload of their staff and avoid placing unnecessary stress on their staff through effective planning and delegation? Consider the ability of the manager (where appropriate) to prepare and administer budgets effectively.



EAST CAMBRIDGESHIRE DISTRICT COUNCIL

Appraisee's Name: _____

Appraiser's Name: _____

Accountability Year: _____

PERFORMANCE MANAGEMENT RECORD

Section A: Review of Performance over the Year (all staff to complete)

1. To what extent have you achieved the agreed performance indicators/measures?

Performance Indicator/Measure - Can be recurring and non-recurring - Must relate to corporate/service priorities - Must be SMART (see Appendix 1)	Performance Against Indicator/Measure (please tick)	Key Achievements/Personal Strengths	Areas for Improvement/Lesson's Learnt
	Fully Achieved <input type="checkbox"/> Partially Achieved <input type="checkbox"/> Not Achieved <input type="checkbox"/> <u>Additional Comments/ Evidence Available?</u>	<u>Appraisee's Comments:</u> <u>Appraiser's Comments:</u>	<u>Appraisee's Comments:</u> <u>Appraiser's Comments:</u>
	Fully Achieved <input type="checkbox"/> Partially Achieved <input type="checkbox"/> Not Achieved <input type="checkbox"/> <u>Additional Comments/ Evidence Available?</u>	<u>Appraisee's Comments:</u> <u>Appraiser's Comments:</u>	<u>Appraisee's Comments:</u> <u>Appraiser's Comments:</u>
	Fully Achieved <input type="checkbox"/> Partially Achieved <input type="checkbox"/> Not Achieved <input type="checkbox"/> <u>Additional Comments/ Evidence Available?</u>	<u>Appraisee's Comments:</u> <u>Appraiser's Comments:</u>	<u>Appraisee's Comments:</u> <u>Appraiser's Comments:</u>

	<p>Fully Achieved <input type="checkbox"/></p> <p>Partially Achieved <input type="checkbox"/></p> <p>Not Achieved <input type="checkbox"/></p> <p><u>Additional Comments/ Evidence Available?</u></p>	<p><u>Appraisee's Comments:</u></p> <p><u>Appraiser's Comments:</u></p>	<p><u>Appraisee's Comments:</u></p> <p><u>Appraiser's Comments:</u></p>
	<p>Fully Achieved <input type="checkbox"/></p> <p>Partially Achieved <input type="checkbox"/></p> <p>Not Achieved <input type="checkbox"/></p> <p><u>Additional Comments/ Evidence Available?</u></p>	<p><u>Appraisee's Comments:</u></p> <p><u>Appraiser's Comments:</u></p>	<p><u>Appraisee's Comments:</u></p> <p><u>Appraiser's Comments:</u></p>

Please use an additional form if more than 5 **Performance Indicators**.

Section B: General Performance Requirements – All Staff

2. Comment on your performance against the requirements listed, identifying and evidencing (where possible) personal strengths and any areas for improvement.

Performance Requirements (All Staff)	Personal Strengths	Areas for Improvement
<p>Quality of Work</p> <ul style="list-style-type: none"> ▪ Work is complete, accurate and to the required standard. ▪ Work is completed in an organised manner within an established timeframe. ▪ Tasks are seen through to the end while taking into account responsibilities and workload. 	<p><u>Appraisee:</u></p> <p><u>Appraiser:</u></p>	<p><u>Appraisee:</u></p> <p><u>Appraiser:</u></p>
<p>Job Knowledge</p> <ul style="list-style-type: none"> ▪ Keeps professional skills and knowledge up-to-date. ▪ Demonstrates comprehensive understanding of processes and procedures necessary to perform the job. 	<p><u>Appraisee:</u></p> <p><u>Appraiser:</u></p>	<p><u>Appraisee:</u></p> <p><u>Appraiser:</u></p>
<p>Communication</p> <ul style="list-style-type: none"> ▪ Conveys information to managers, Members, colleagues and customers in a timely, clear and concise manner. ▪ Information is in an appropriate format and is suitable for the particular audience. ▪ Listens to others and evaluates suggestions from others. 	<p><u>Appraisee:</u></p> <p><u>Appraiser:</u></p>	<p><u>Appraisee:</u></p> <p><u>Appraiser:</u></p>

<p>Individual Effectiveness</p> <ul style="list-style-type: none"> ▪ Displays a co-operative, respectful and positive attitude in the workplace. ▪ Accepts ownership of assigned tasks and works effectively with other teams. ▪ Exhibits a can do approach in their work and interactions with others. 	<p><u>Appraisee:</u></p> <p><u>Appraiser:</u></p>	<p><u>Appraisee:</u></p> <p><u>Appraiser:</u></p>
<p>Service Focus</p> <ul style="list-style-type: none"> ▪ Delivers good customer care to both internal and external customers. ▪ Treats customers courteously and fairly and takes appropriate action and/or works effectively as a team to meet customer needs. 	<p><u>Appraisee:</u></p> <p><u>Appraiser:</u></p>	<p><u>Appraisee:</u></p> <p><u>Appraiser:</u></p>
<p>Initiative</p> <ul style="list-style-type: none"> ▪ Completes work with the expected level of supervision. ▪ Searches out new tasks or ways of working for the benefit of the service/customers whilst mindful of value for money and open for business considerations. 	<p><u>Appraisee:</u></p> <p><u>Appraiser:</u></p>	<p><u>Appraisee:</u></p> <p><u>Appraiser:</u></p>

General Performance Requirements – MANAGERS ONLY (please delete from form if not appropriate for post)

Performance Requirements (Managers ONLY)	Personal Strengths	Areas for Improvement
<p>Leading and Inspiring Others</p> <ul style="list-style-type: none"> ▪ Uses personal skills to guide and inspire others towards achieving goals. ▪ Promotes continuous improvement. ▪ Provides opportunities for others to grow and develop. ▪ Shows support, praise and recognition to others. 	<p><u>Appraisee:</u></p> <p><u>Appraiser:</u></p>	<p><u>Appraisee:</u></p> <p><u>Appraiser:</u></p>
<p>Managing and Developing Others</p> <ul style="list-style-type: none"> ▪ Gives regular and honest feedback to improve performance. ▪ Provides coaching and training to individuals and teams. ▪ Deals effectively with any staffing issues (including conduct, capability and grievances). 	<p><u>Appraisee:</u></p> <p><u>Appraiser:</u></p>	<p><u>Appraisee:</u></p> <p><u>Appraiser:</u></p>
<p>Adaptability/Management of Change</p> <ul style="list-style-type: none"> ▪ Responds confidently to changing circumstances. ▪ Manages/solves problems and provides appropriate solutions in consultation with others. 	<p><u>Appraisee:</u></p> <p><u>Appraiser:</u></p>	<p><u>Appraisee:</u></p> <p><u>Appraiser:</u></p>
<p>Planning and Organisation</p> <ul style="list-style-type: none"> ▪ Communicates a clear vision and measures of success. ▪ Plans, organises and prioritises workload and that of the team. ▪ Balances resources, skills, priorities and timescales to achieve objectives. 	<p><u>Appraisee:</u></p> <p><u>Appraiser:</u></p>	<p><u>Appraisee:</u></p> <p><u>Appraiser:</u></p>

3. Are there any other areas of your work (not mentioned above) that you feel have been particularly significant and effectively demonstrate your use of the personal requirements listed in Section B? Any positive feedback received from customers/colleagues that you wish to share?

Appraisee's Comments	Appraiser's Comments

Rating - Self Assessment & Provisional Rating from Appraiser (please refer to the Guide to the Council's Performance Management (Appraisal) Scheme)

Overall rating by Appraisee:

Provisional rating by
Appraiser:

Please note: The final rating will be confirmed by HR following assessment by the Appraisers Manager and the Council's PRI Panel.

If an Appraisee fails to submit their appraisal paperwork to the Appraiser in sufficient time for appraisal meeting, then he/she cannot be considered for 'Excellent' or 'Outstanding', the maximum rating that they can be awarded is 'Good'. Equally, if an Appraiser misses submitting the paperwork by the 31st March deadline, then the Appraiser can only be awarded a maximum rating of 'Good' by the Appraiser's manager.

Section C: Setting your Performance Indicators for the next 12 months

Performance indicators are ways of measuring the achievement of **targets/goals**. They can be recurring (i.e. the same every year) or non-recurring (i.e. a job or task that only needs to be completed in that particular year).

Performance indicators must be SMART – Specific, Measurable, Attainable, Relevant, Time bound – and produced in line with the requirements of the Service Delivery Plan for your service area.

It is ESSENTIAL that this section of the form is completed.

4. Will there be any changes to your performance indicators for the new year? YES NO

5. If YES, what do you and your line manager agree are:

a) Your out-of-date performance indicators to be REMOVED, or UPDATED for the next 12 months?

Performance Indicator No.	Performance Indicators to be REMOVED/UPDATED

b) Your NEW performance indicators for the next 12 months?

Performance Indicator No.	NEW Performance Indicators

These revised performance indicators will be used to update Part A of your Performance Management Record and will form the basis of discussion for your next year's appraisal.

Section D: Personal Training and Development Plan

6. What do you and your line manager agree are your training needs for the next 12 months?
 Please note that any requests for professional/vocational training that result in some form of certificate/award (e.g. Diplomas, NVQs, Degrees, Masters, will be subject to Management Team approval. Please ensure that you send all of the relevant supporting documentation to HR for consideration.

Related Service/ Corporate Objective	Training/Development Required	Delivery Method <i>e.g. in-house/external course, e learning etc</i>	Duration	Course Provider and Location	Approximate Cost	Date Required By

Section E: Final Approval

Please confirm the contents of this record are an accurate reflection of the views and matters discussed at the interview (although you may not agree with all the comments made).

Appraisee

Name [please print]: _____ Position: _____ Date: _____

Appraiser

Name [please print]: _____ Position: _____ Date: _____

Section F: Overall Assessment/Feedback – TO BE COMPLETED BY THE APPRAISER’S MANAGER

Ratings:
Outstanding (O)
Excellent (E)
Good (G)
Needs Development/Improvement (NDI)
No Overall Rating (NOR) - too early to assess or insufficient service due to absence

RATING AWARDED BY THE APPRAISER:

Do you support the rating awarded by the line manager?

YES/NO

RATING AWARDED BY THE APPRAISER’S MANAGER:

(subject to confirmation by the PRI Panel)

Comments:

Name [please print]: _____ Position: _____ Date: _____

PLEASE RETURN COMPLETED APPRAISAL FORMS TO THE HR SECTION BY 31ST MARCH EACH YEAR.

Performance Related Increments (PRI) Policy**1. Introduction**

This policy will provide the opportunity each year to recognise and reward high performance by:

- a) Providing an opportunity for staff to achieve an additional 1% of their basic salary where they achieve an overall “Outstanding” rating (regardless of whether they are at the top of their pay scale or not). This will be paid as a one-off lump sum payment, each and every time an award of “Outstanding” is achieved.
- b) Awarding an increment to those who are not at the top of their pay scale and achieve an overall ‘Excellent’ or ‘Outstanding’ rating at their annual appraisal;

Employees will still receive any nationally determined cost of living increase each year.

2. Scope

This policy applies to all Council employees. It does not apply to employees who are covered by TUPE regulations, unless otherwise agreed by all parties.

3. How the PRI Scheme Operates

Employees will be awarded an increment based on the overall rating from their annual appraisal.

All ratings will be subject to a moderation process (see section 9). All increments awarded will be paid in **May** each year (following the moderation process) and will be backdated to 1st April.

The table below outlines the increments awarded for performance appraisal ratings:

Performance Appraisal – Overall Rating	Increment Status	
	Within Salary Scale	On Maximum Point of Salary Scale
No overall rating - too early to assess; or No overall rating - insufficient service due to absence	No increment	-
Needs Development/ Improvement	No increment	-
Good	No increment	-
Excellent	1 increment	-
Outstanding	1 increment + 1% of basic salary	1% of basic salary

4. New Starters

All employees must have more than 6 months service in their current post with East Cambridgeshire District Council, when the annual appraisal takes place to be eligible for the award of an increment, subject to their performance indicators being agreed and monitored for a minimum of six months prior to the appraisal meeting.

Where employees have 6 months or less service they will be rated as 'No rating - Too early to assess' and will have to wait until the following performance year to be eligible for an increment.

5. Achieving an Increment and/or Lump Sum Payment

Increments and/or lump sum payments will be awarded each year in accordance with the rating matrix above.

Where an employee is awarded a rating below 'Excellent', the manager will need to identify with the employee what support is required in order for the employee to achieve an 'Excellent' in the following years. Any agreed training and support should be included in an employee's Personal Development Plan and associated objectives/performance indicators.

Employees will not be eligible for an increment if:

- a) They are being managed under the formal performance capability process.
- b) A formal performance improvement plan is in place.

6. Managing Absence within the Performance Year

6.1 Long Term Sickness and Career breaks

An employee will need to accrue more than 6 months in their role during the performance year to receive a performance rating for that year. The same principle applies if someone has had a number of absences due to sickness over the year, in which case there must be more than 6 months cumulative at work for an assessment to take place. If an employee is off for more than 6 months cumulative in a performance year then a rating of 'No rating - insufficient service due to absence' will be entered for that performance year, unless the absence is linked to a recorded disability as detailed in 6.2.

6.2 Disability

Where an employee is absent from work for a reason relating to a recorded disability, which is covered within the Equalities Act 2010, and the absence spans the whole performance year or the employee is at work for less than 6 months of the performance year, then the employee should be awarded a rating based on their performance over the previous performance year.

6.3 Maternity, Paternity & Adoption Leave

If Maternity, Paternity or Adoption leave starts during the performance year, but the employee has completed more than 6 months in their role then their performance rated up to the point of leaving should be used to award the overall year end performance rating. This will be paid in **May** and backdated to April. If Maternity/Paternity or Adoption leave spans the whole performance year or the employee is at work for less than 6 months of the performance year, then the employee should be awarded a rating based on their performance over the previous performance year.

7. Changing roles mid-year

If an employee changes job internally during the performance year including acting-up and secondments, the current manager should hold an interim review with the employee before the change takes effect to agree and provide a provisional overall rating to the new manager (if appropriate). The new manager must set the new performance indicators within one month of the employee starting and make an assessment of the employee's overall performance at the end of the performance year taking into account the information from the previous manager.

8. Fixed Term Contracts

Where a fixed term contract ends and an employee is immediately employed on a further fixed term contract, within the same or another department, providing the employee has more than 6 months service, a rating will be awarded. The process will follow as detailed above in 'Changing roles mid year'. If the fixed term contract ends before the end of the performance year the process ceases with the contract.

9. The PRI Process

9.1 Setting Performance Indicators

The annual performance management cycle starts with the setting of performance indicators and requirements. This should be completed within one month of an employee starting in post or at the end of the previous year's appraisal process, which is **31st March** each year, with any changes being clearly set out in Section D of the appraisal form. All performance indicators must be SMART (i.e. specific, measurable, achievable, realistic and time-based). The award of an increment and/or lump sum payment will not be confirmed by the PRI Panel if the performance indicators set are not SMART.

9.2 Mid Year Review – November/December

Mid year reviews will be undertaken for all employees. The purpose of the mid year review is to assess how the employee is performing against the performance indicators and requirements; to identify whether any short falls are occurring and what support and guidance is required to assist the delivery and achievement of performance indicators and requirements. The mid year review should also be used to ensure that the performance indicators set at the beginning of the cycle are still up-to-date and are amended (where appropriate) if

any aspects of the performance indicator has changed due to no fault of the employee (e.g. legislation being introduced later than expected).

9.3 End of Year Appraisal – February/March

At the end of the annual cycle, managers will conduct the appraisal and provide feedback to the appraisee on their performance against the agreed indicators and requirements. The discussion will seek to identify the individual's strengths and achievements, any lessons learnt/new skills developed and any areas for improvement. The Appraisee will be able to self assess their own rating for the performance year prior to the appraisal meeting. The manager will confirm the provisional rating during the meeting. Once the appraisal document has been finalised a copy will be sent to the Appraiser's Manager for them to add their general assessment/feedback for the Appraisee, together with their provisional rating based on the content of the whole appraisal document.

9.4 Moderation Process (PRI Panel) - April

It will be the responsibility of the PRI panel to review provisional ratings by the end of April each year, to ensure that there has been a consistent and fair approach to the awarding of ratings. Any concerns of the panel will be raised with the appraising manager prior to final scores being announced. This may result in a review of the performance appraisal score in consultation with the appraising manager and their line manager (where appropriate). The panel will also be responsible for monitoring decisions made for equality purposes.

The panel will comprise of the Chairman or Vice Chairman of the Regulatory and Support Services Committee, the HR Service Delivery Champion, and a representative from Management Team and HR.

9.5 Linking Overall Ratings to Pay

Increments will be awarded as follows:

9.5.1 "Outstanding" rating (employee not at the top of the grade for the post)

If an employee receives an 'Outstanding' rating and is not at the top of their grade, they will move one increment to the next spinal column point (scp) and receive a one off lump sum payment of 1% of their basic pay.

9.5.2 "Outstanding" rating (employee at top of the grade for the post)

Employees at the top of their grade, where an increase of a spinal column point is not possible, will receive a one off lump sum of 1% of basic pay.

9.5.3 "Excellent" rating

If an employee receives an 'Excellent' rating and they are not at the top of their grade, they will move one increment to the next spinal column point.

9.5.4 Lump Sum Payment

The one off non consolidated lump sum payment will be paid in **May** and will be pensionable and subject to tax and national insurance deductions. It is not a permanent increase to salary.

The lump sum payment will be based on pay as at 1st April each year. For employees on reduced pay (e.g. Sickness, Maternity etc) as at that date, the basic salary which applied immediately before the absence shall be used for the basis of the calculation.

9.5.5 Pay Protection

Where an employee is on pay protection, any payment made for an “Outstanding” rating will be based on actual pay in the role for which the “Outstanding” rating was achieved, not on their protected pay. The payment will be made in **May** as a one off payment, paid in addition to the protected pay.

Any changes to PRI as a result of any delay in a nationally negotiated pay award will automatically be backdated. This includes the non consolidated payment for an “Outstanding” rating.

10. **Raising Concerns Regarding the PRI Process**

Employees may invoke the Council’s Grievance Procedure in the event of a serious concern over the accuracy or the fairness of the appraisal record or meeting. The grievance will be considered by a senior manager who has not been involved in the appraisal process. However, employees are encouraged to discuss their concerns with the manager who conducted the appraisal, their line manager or HR in the first instance.