Batheaston Parish Council
Performance Management and Review
FORM

Name ……

Job Title …… **Date** ……

General

The council's Annual Review is designed to promote both the development needs of the Council and your own in the context of reviewing your past priorities and achievements. In addition it allows you to consider obstacles to success and helps you to find ways of removing them. See the appendix for guidance notes.

The Objectives for the Scheme are:

- To enhance the quality of services we deliver and to contribute to the development of the Council by encouraging each person to achieve the mutually agreed priorities;
- To identify and provide the support that enables everyone to achieve those priorities;
- To help the Council's employees enjoy their work, and to help them grow in skills and confidence.

To the post holder

Please review your current job description and objectives and comment on the achievements you feel you have made this year and the problems that have occurred. Note any significant departures from the job description as written and why this has occurred together with any impact that it has had on attainment of your priorities.

Indicate where you feel that there are opportunity areas for developing your job and role with an explanation of the benefits to the Council as well as likely costs.

To the Appraiser/ Line Manager

Consider carefully what has been written and be prepared to explore fully any issues that have been raised, as well as those you wish to raise independently. Give adequate time for discussion.

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Section 1: Employee to Complete this Section

(Use your job description and previously agreed objectives to complete this section of the form. Please review your job description to ensure continued relevance)

Name:

Post:

Date Appointed to Current Job:

1. Performance Over the Review Year

1.1 How would you describe your overall performance in the past twelve months?

1.2 Which parts of your job have you performed most effectively?

1.3 Which parts of your job have not gone so well?

1.4 State any part of your job description that you are not doing.

1.5 State any areas of work which are not in your job description.

2. Your Skills and Expertise

2.1 What are your key strengths in your job?

2.2 What additional skills and expertise have you gained over the period?

2.3 Do you possess skills and strengths not fully used in your job?

3. Development Needs

3.1 What parts of your job do you find most difficult and why do you find them difficult?

3.2 Has a lack of a particular experience or skill affected your performance?

3.3 What additional training have you undertaken during the review period?

3.4 How effective has this training been?

3.5 What additional training or experience would now be of benefit to help you achieve future targets/objectives?

4. Objective/Target Setting

(Use your job description and any Council's aims and objectives to consider what you intend to achieve next year)

4.1 What potential individual objectives/targets do you want to discuss with your appraiser?

4.2 What potential objectives/targets have high priority?

4.3 Describe any particular help and/or support you feel you need to achieve your objectives/targets.

Section 2: Appraiser to Complete This Section

Name(s)

Date of Appraisal:

Period Covered From: **To:**

*Consider what the employee has written in Section 1 and make comments in this section (**Section 2**). When you have completed the appraisal interview and agreed objectives, training and development plans the overall summary and plans for the following year should be summarised in **Section 3**. You should obtain the employee's comments and signature in **Section 4** and give the employee a copy of the full document for their records.*

1. **Agreed Objectives** *(although there are no set number of objectives those set should cover key aspects of the employee's job and have direct relevance to any Council aims and objectives).*

1.

2

3

4.

5.

2. Comments

2.1 Comment on identified main achievements *(add anything else that was done particularly well)*

2.2 Comment on work or anything else which has not gone well

2.3 Comment on any tasks that should no longer be in the job description and any that should be included

2.4 Give your overall assessment of the employee's performance during the last twelve months (include strengths, weaknesses and any constraints to their work and the outcome of specific agreed objectives).

3: Future Plans

(this section provides an opportunity to record objectives for the coming year, agree training/development plans)

Agreed Objectives *(although there are no set number of objectives those set should cover key aspects of the employee's job and have direct relevance to any Council aims and objectives*.

4. Training/Development actions

Section 4: Employee Comments

(This section provides space for the employee to comment on the completed form and the appraisal process)

Signature of Appraisee _____

Signature(s) of Appraiser(s) _____

Date _____

APPENDIX 1 – SELF APPRAISAL FORM

Self Appraisal Form

A review of the appraisal period from your point of view to be used as preparation for an appraisal meeting. Your reviewing manager(s)/committee may also find this pre- review process to be helpful in preparing for the meeting.

- Which aspects of the job have been accomplished well?
- Which objectives have been fully met / partially met / not met?
- In which aspects of the job could you/the appraisee have performed better?
- What influences have made the job difficult to perform/been barriers to achievement?
- What strengths do you/does the appraisee bring to the job?
- What are the goals and challenges for the next review period?
- What training and development would help to achieve these goals?
- What skills and knowledge relevant to the role/career aspirations would the appraisee like to gain in the future?
- What improvements to the Council or the department can the appraisee suggest for the future?

APPENDIX 2 – POLICY GUIDANCE AND NOTES

Introduction

Appraisals are used in organisations to help employees achieve and full their potential and for the employer to continue to monitor performance in order to achieve its goals and improve the quality of the products/services which it provides. An appraisal interview is an opportunity to take an overall look at work content and volume, look back at what has been achieved, agree objectives for the future and consider what development needs the employee may have for the year ahead.

The main purposes of the appraisal system are as follows:

a) Performance: to provide a clear statement on how staff are performing, to see whether further progress can be made, and consider what help might be given to build on strengths.

b) Responsibilities: to record present and future responsibilities.

c) Personal development: to look at future work and identify opportunities for development and training, to benefit ones career and to maximize the contribution to the Company.

d) Communication: to ensure that ideas and views are shared.

e) Future work: to plan work priorities and objectives for the next year and consider solutions to problems.

WHO APPRAISES WHOM?

The Council should ascertain the appraisal structure i.e. who appraises whom? This usually correlates with line management structures as those in direct line management positions will be best placed to appraise an employee. It is usual for a Staffing or Personnel Committee to take responsibility for appraising the Clerk. It is not appropriate for the whole council to take part in the appraisal interview but views from stakeholders such as the staff, contractors, contacts, members of the public as well as the elected members can be sought to give a comprehensive summary of the Clerk's performance.

KEY FEATURES

An appraisal should take into consideration the following factors:

(a) Openness – The Council should provide guidance to employees on the appraisal scheme which it wishes to use. An appraisal should be open from both parties perspective and an employee should be privy to all comments made by an employer during or after an

Appraisal process. It is usual to provide the employees with details of the appraisal process, including any documentation to be used, well in advance of the process commencing, ideally by way of an employee handbook as introduced during an Induction period.

(b) Confidentiality - the appraiser(s) and appraisee only will normally see the appraisal record and this is certainly best practice for the fact that an appraisal has taken place to be reported to council but for the contents to remain confidential.

(c) Consistency – Whatever scheme the Council chooses to implement, all staff should be appraised according to the same scheme. It is also desirable that the same process is continued over a period of years so that comparisons can be made across timescales.

(d) Objectives – Objectives which are set during the appraisal should be objective and understood by both appraisers and appraisee their form and be based upon actual conduct and performance rather than personalities or subjective criteria.

(e) Forward-looking - the main value of reviewing past performance is to identify matters which can be built upon, problems that can be tackled by the Council or by training, and new opportunities.

(f) Positive - problems, difficulties and mistakes should be discussed openly so that solutions can be found, training offered or defective systems improved.

(g) Two way conversation - appraisees are encouraged to contribute frankly in assessing their performance and goals.

(h) No surprises – it is poor practice to introduce new information, particularly of a critical nature at an appraisal interview. If there are issues with conduct of performance then they should be raised with the employee at the time they occur, not held back to handle at an appraisal session.

(i) Contractual – any employee who is working under the National Agreement NALC:SLCC Model Contract will have a clause which states that there will be an annual appraisal which the employer will be obliged to undertake.

PROCEDURE FOR APPRAISALS

a) Agree a date: The Council and employee should agree between themselves a date for the appraisal to take place. It is advisable for at least 5 days preparation to be allowed. The date is often set at the previous performance review meeting which may have been months before, in that way all parties to the process have a commitment to the date/time.

b) Documents: the appraisee and appraiser should have at least the following documentation to hand at the appraisal:

- job description
- written objectives set previously (if any)
- record of previous appraisal (if any)

c) Preparation: both the appraisee and appraiser should spend time planning what they want to discuss. The appraisal format should form the basis of the appraisal. A self appraisal form is useful to be completed by the appraisee and sent to the appraiser prior to the appraisal.

The appraiser should also be familiar with the council's own strategic objectives for the coming year in order to ensure that the appraisal contributes to the council's own direction.

d) The venue: Both parties should be agreeable to the venue of the appraisal, which should ideally be in a quiet place and away from other distractions.

e) The interview: It should be conducted by the appraiser(s) in an informal atmosphere. The appraiser should begin by explaining the scope of the interview and then encourage the appraisee to comment on performance, training, development and future objectives and to suggest solutions to any problems. The appraiser should take notes.

f) Gradings/ratings: The matter of Ratings is often a difficult issue when designing appraisal systems. The most important outcome of an appraisal is that a conversation takes place between employee and employer reflecting on the past and looking to the future. The inclusion of gradings/ratings to summarise the achievements of the year can sometimes become an end in themselves and by distilling the work of a year down to an A,B,C or a 1,2,3 rating can be counter-productive and leads staff to concentrate on the wrong aspect of the process. If gradings are to be used the following examples can be deployed; achieved - not achieved; fully achieved - mostly achieved - partially achieved - not achieved; outstanding – good – satisfactory – unsatisfactory; 1-2-3-4-5; A-B-C-D-E; *(this list is not exhaustive*)

g) Writing up: The appraiser should write up a report of the interview and give a copy to the appraisee at the conclusion of the appraisal or as soon as possible thereafter.

h) Signature: The completed form should be given to the appraisee to consider, adding any comment and to sign it and the appraisee should then return it to the appraiser.

i) Records: The appraiser will make three copies of the signed form and: give one copy to the appraisee to keep keep one copy for his or her own records one for the central confidential personnel records.

j) Follow up: The appraiser is responsible for ensuring that any further action is taken as agreed at the appraisal.

TIMING

The appraisal interview will be conducted annually and will usually coincide with the anniversary of the appraisee joining the Council OR be at some agreed time which suits the council at which point all employees are appraised. The latter can assist with planning training in the light of budget reviews

INTERIM REVIEWS

An interim review may be conducted between annual appraisals, often at the half year point or upon completion of a major project or where the council's strategy/overall objective change requiring review of all employees' objectives. There is no requirement to complete formal appraisal documentation at these reviews. However: agreed action points should be noted by the appraiser and a copy given to the appraisee; the appraisee's objectives may be revised.

QUESTIONS TO DISCUSS AT APPRAISAL

Appraisers and appraisees could use a checklist in preparing for, conducting, and recording the appraisal interview.

a) Basic Information : name, department, job title, date joined council, date appointed to current post (may not need be so formal for small councils where parties know each other well but can still be useful if there has been a change in elected members or changes to the staffing committee)

b) Review of Self Appraisal Form, example questions which could be used are as follows:

- Which aspects of the job have been accomplished well?
- In which aspects of the job could the appraisee have performed better?
- What influences have made the job difficult to perform?
- What strengths does the appraisee bring to the job?
- What are the goals for the next review period?
- What training and development would help to achieve these goals?
- What skills and knowledge relevant to the role/career aspirations would the appraisee like to gain in the future?

- What improvements to the Council or the department can the appraisee suggest?

c) Review of Job Description

Does the current JD adequately reflect the job the employee is actually being asked to do? Are there changes required? If so this is the right point to be making these observations.

d) Training and Development

The appraisee and appraiser should jointly identify training needs. Concentrate first on the areas of skill and knowledge needing development, and only after that on training solutions. Recommendations should relate to needs identified in reviewing past performance and/or to new objectives or additional responsibilities.

Getting the most out of the Appraisal Interview

The appraisal interview is a significant form of communication between an employee, their immediate boss and their employer. The basic purpose of any form of communication at work is to produce some form of action or activity. The Appraisal interview will cover a review of your objectives and attainments, a discussion about skills and knowledge as applied in the workplace, feedback from others in the organisation or significant external contacts, feedback from the employee to their line manager/elected members, future challenges and development needs and will seek to set new objectives for the coming year. The GROW model is a useful approach to exploring aspirations and direction when Training and Development as discussed:

G	Goals	what do you want?
R	Reality	what is happening now?
O	Options	what could you do?
W	Way Forward	what will you do?

Final Comments

The appraisee and the appraiser will have the opportunity to consider the appraisal record and add any comments.

Deficiencies /Unsatisfactory Performance

Any deficiencies or unsatisfactory performances noted will result in an action plan agreed between the appraiser and the appraisee. Continuing deficiencies or unsatisfactory performance will result in a review of that individual's competence to continue to carry out their particular type of work. It may be appropriate for such discussions to lead to a separate disciplinary process for poor performance but a disciplinary sanction is not an automatic outcome from a poor appraisal. The council's disciplinary procedure needs to be followed if the committee undertaking the appraisal believe that measures have been taken to assist the employee achieve but the role is still considered beyond the employee's capability.

360 degree appraisals

Many organisations, in the private sector in particular, favour the 360° approach to appraisals. This allows for the views and perspectives of many "stakeholders" to be taken into consideration and therefore does not just rely on a 'top down' assessment by management of their subordinates. Views from direct reports, contractors, customers, business contacts are often sought and incorporated into the appraisal. In the context of the council set-up this could involve opinion from all councillors, staff, contractors, parishioners, contacts at Principal Authorities etc. The council will need to decide whether the feedback sought is provided anonymously or not and also needs to provide parameters around which the feedback is given e.g. it needs to focus the review onto specific areas, not just allow a free-for-all and enable the feedback to be consistent.

SETTING OBJECTIVES

Objectives provide framework for the coming year's work. They should be agreed between appraiser and appraisee. The objectives need to reflect the employee's job description and the council's own objectives derived from its strategic and business plans. Such targets are sometimes referred to as Key Performance Indicators (KPIs). Often objectives will set a higher standard for performance than before, designate additional responsibility or assign new projects. It is usual to aim for around 6 to 8 main objectives, any more can be over- stretching. It is good practice to have one personal development objective within the set agreed in order to encourage CPD (continuing professional development) to occur.

Effective objectives should be **S.M.A.R.T**.:

1. **S**pecific: the objective should refer to a particular task or piece of work or specific aspects of behaviour or performance.
2. **M**easurable: There should be measures (quantitative or qualitative) which are clearly agreed and understood; these will enable progress and achievement to be monitored and recognised.
3. **A**greed: The objective should be agreed by appraisee and appraiser
4. **R**ealistic: The objective should be designed to be challenging for the appraisee but should not be so demanding that there is a high likelihood of failure.
5. **T**imed: All objectives should have a date by which they are to be achieved.

There are three steps in setting effective objectives:

1. Select the part of the job to which the objective will relate.
2. Agree what is the end result to be achieved within that area.
3. Settle how the end result will be achieved and the steps that the appraisee will need to take: these are standards of performance.

Purpose and Scope

This procedure is designed to help and encourage employees to achieve and maintain standards of job performance which are acceptable to the council. The aim is to ensure consistent and fair treatment for all.

This document:

- Supports both us and you to bring about positive changes in work performance and attitude, when needed, and,
- Explains how we will deal with instances of performance that fall below our standards, in a fair and consistent way.

It applies to all staff following successful completion of a probationary period, whether full time, part time or temporary. It does not apply to volunteers or agency staff.

Principles

- Informal coaching and supervision will be considered to improve performance
- No formal warnings will be given until the causes of poor performance have been considered
- For formal warnings you will be advised of the nature of the poor performance and will be given the opportunity to state your case at a formal performance improvement meeting before any decision is made
- You will be provided, where appropriate, with copies of examples of poor performance in advance of a formal performance improvement meeting
- At all formal stages of the procedure you will have the right to be accompanied by a fellow employee or trade union representative
- You will have the right to appeal against any formal warnings issued

Where poor performance is believed to be the result of deliberate negligence, or where serious errors have been made to the detriment of the council, we may decide to use our disciplinary procedure instead.

Informal feedback

Before this procedure is engaged, you will receive feedback setting out the concerns about your performance and how it must improve. This procedure is designed to be used when such informal discussions do not lead to an improvement in your performance to an acceptable level.

Process

Where informal discussions have not led to an improvement in performance, the council will follow the following procedure.

<u>First stage of formal procedure - first written warning</u>

You will be invited to a formal meeting during which your performance will be discussed. The letter inviting you to attend will give examples of what the council considers to be poor performance; and advise you of your right to be accompanied at the meeting.

At the meeting, you will be given the opportunity to respond; the causes of the poor performance will be considered; and where training and development is appropriate this will be considered.

Having listened to your response, you may be issued with a first written warning for unsatisfactory performance if your performance does not meet acceptable standards. This will set out: -

- The performance problem
- The improvement that is required
- The timescales
- Any help that may be given
- The right of appeal
- You will be advised that it constitutes the first stage of the formal procedure and
- That the warning will remain on your file for [12] months

A record of the warning will be kept on your file.

If your performance improves to an acceptable level following the first meeting, the council will meet with you to confirm that your performance is now satisfactory. This will be confirmed in writing to you. Providing that satisfactory improvement is sustained, the warning will be disregarded after [12] months for the purposes of providing an employment reference. However, the warning will be considered again if the poor performance re-starts.

Second stage of formal procedure - final written warning

If the concerns about your performance continue, you will be invited to a second formal meeting during which your performance will be discussed. The letter inviting you to attend will give examples of what the council considers to be poor performance; and advise you of your right to be accompanied at the meeting.

At the meeting, we will discuss the progress made following the first meeting and you will be given the opportunity to respond; and where training and development is appropriate this will be considered.

Having listened to your response, if your performance hasn't improved to a satisfactory level, you may be issued with a final written warning for unsatisfactory performance. This will set out: -

- The performance problem
- The improvement that is required
- The timescale
- Any help that may be given
- The right of appeal
- That the warning will remain on your file for [12] months
- Advise you that it constitutes the final written warning and will also warn that failure to improve may lead to dismissal

A record of the warning will be kept on your file.

If your performance improves to acceptable level following the second meeting, the council will meet with you to confirm that your performance is now satisfactory. This will be confirmed in writing to you. Providing that satisfactory improvement is sustained, the warning will be disregarded after [12] months for the purposes of providing an employment reference. However, the warning will be considered again if the poor performance re-starts.

Final stage of formal procedure – dismissal

If the concerns about your performance continue, you will be invited to a formal meeting during which your performance will be discussed. The letter inviting you to attend will give examples of what the council considers to be poor performance; and advise you of your right to be accompanied at the meeting. The letter will also advise you that dismissal may be considered.

At the meeting, we will discuss the progress made following the second meeting and you will be given the opportunity to respond. Having listened to your response, if your performance hasn't improved to a satisfactory level, dismissal will be considered, or where appropriate redeployment to an alternative role.

Any offer to redeploy you will be entirely at the council's discretion. Such an offer will be made only where there is a vacancy that we are confident you would be able to perform to a satisfactory level. The alternative job may be on different terms of employment. It will normally be offered only as an alternative to dismissal in circumstances in which we are satisfied that you should no longer be allowed to continue to work in your current role. While you will be free to refuse any offer of redeployment, the only alternative available will usually be dismissal.

If the council believes that there is no alternative role available and suitable for you, but that you have not met an acceptable standard of performance, we may decide to dismiss. Any dismissal will be with full notice or payment in lieu of notice.

If the decision to dismiss is taken, you will be provided in writing with;

- Reasons for dismissal
- The date on which the employment will terminate
- The right of appeal

Appeals

If you wish to appeal against a formal warning or dismissal you must do so by writing to the Clerk within five working days. The Clerk will arrange for an appeal meeting to take place. Wherever possible, your appeal will be heard by a more senior officer or a subcommittee made up of councillors who have not previously been involved in the matter.

You have the right to be accompanied at the appeal meeting by either a work colleague or a trade union representative. At the appeal hearing, the decision to impose the sanction will be reviewed and you will be entitled to make representations about the appropriateness of that decision.

The outcome of the appeal will be confirmed to you in writing, explaining the grounds on which the decision was reached. The outcome of the appeal will be final.

Rescheduled meetings

If you fail to attend a scheduled Performance Improvement Meeting without satisfactory reason, we will reschedule the meeting. We will advise you that if you do not attend the rescheduled meeting without a satisfactory reason, we reserve the right to make a decision in your absence. We will however confirm that if you do not wish to attend the hearing, you may send written representations, join the hearing by telephone or send a representative on your behalf.

Right to be accompanied

You have the right to be accompanied by a work colleague or a Trade Union representative to all formal meetings in this procedure. The council will also consider requests to be accompanied to any investigation meetings.

A work colleague will be allowed time off to accompany you to the meeting and the council will support any work colleague who agrees to be a companion. A companion must feel able to agree to the request on the basis that they will not be treated to any detriment if they accept. However, the companion can decline a request.

It is your responsibility to ensure your companion is aware of the meeting arrangements and that they have any documentation in good time. If your chosen companion is not available at the time proposed for the meeting, you must provide us with alternative dates that you are both able to meet. These dates must be within the following five working days unless the council can agree to alternative arrangements.

If you and your representative are unable to meet with the council within a reasonable time, we will discuss alternative arrangements to enable you respond to the concerns. If we are unable to meet with you personally, this may mean that the council considers the concerns in your absence with your companion attending on your behalf or considering a written response.

Confidentiality and data protection

We aim to deal with performance improvement matters sensitively and with respect for the privacy of the individuals involved. All staff must treat as confidential any information communicated to them in connection with a performance improvement matter.

A written record of all meetings conducted under this procedure will be made, either by the person holding the meeting or by an additional person arranged by the council to take notes.

The council processes any personal data collected during the performance improvement procedure in accordance with its data protection policy and privacy notice as issued to our employees. Any data collected is held securely and accessed by, and disclosed to, individuals only for the purposes of completing the performance improvement procedure.

Inappropriate access or disclosure of employee data constitutes a data breach and should be reported in accordance with the organisation's data protection policy immediately. It may also constitute a disciplinary offence, which will be dealt with under the disciplinary procedure.

This is a non-contractual procedure which will be reviewed from time to time.

Date of policy:

Approving committee:

Date of committee meeting:

Policy version reference:

Supersedes: [Name of old policy and reference]

Policy effective from:

Date for next review: