



Committee: Joint Personnel Committee
Date: Thursday 4 October 2012
Time: 7.00 pm
Venue: Bodicote House, Bodicote, Banbury, Oxfordshire
OX15 4AA

Membership

Councillor Ken Atack	Councillor Caryl Billingham
Councillor Rebecca Breese	Councillor Mary Clarke
Councillor Rupert Fordham	Councillor Rosie Herring
Councillor Lynn Pratt	Councillor G A Reynolds
Councillor Leslie F Sibley	Councillor Barry Wood

Substitutes

Councillor Ann Addison	Councillor Norman Bolster
Councillor Stephen Clarke	Councillor George Parish
Councillor Blake Stimpson	Councillor Lawrie Stratford

AGENDA

1. **Apologies for Absence and Notification of Substitute Members**
2. **Appointment of Chairman for the Municipal Year 2012/13**
3. **Appointment of Vice-Chairman for the Municipal Year 2012/13**

Cherwell District Council
Bodicote House
Bodicote
Banbury
Oxfordshire
OX15 4AA

www.cherwell.gov.uk

South Northamptonshire Council
Springfields
Towcester,
Northamptonshire
NN12 6AE

www.southnorthants.gov.uk

4. Declarations of Interest

Members are asked to declare any interest and the nature of that interest that they may have in any of the items under consideration at this meeting.

5. Petitions and Requests to Address the Meeting

The Chairman to report on any requests to submit petitions or to address the meeting.

6. Urgent Business

The Chairman to advise whether they have agreed to any item or urgent business being admitted to the agenda.

7. Minutes (Pages 1 - 6)

To confirm as a correct record the Minutes of the meeting held on 3 April 2012.

8. Joint Chief Executive Appraisal Framework (Pages 7 - 36)

Report of Head of Transformation

Summary

To consider and approve the proposed appraisal framework for the post of Joint Chief Executive following the implementation of joint working arrangements between South Northamptonshire Council and Cherwell District Council.

Recommendations

The Joint Personnel Committee is recommended to:

- (1) Approve the proposed appraisal framework for the post of Joint Chief Executive.
- (2) Delegate responsibility for implementing the Joint Chief Executive appraisal framework to the Joint Appraisal Sub Committee.
- (3) Agree that with immediate effect, the appraisal of the Joint Chief Executive be supported by an external facilitator.
- (4) Agree that an external facilitator be commissioned by use of appropriate procurement procedures, and in consultation with the Joint Chief Executive and the Leaders of each Council, for a four yearly term, to provide continuity and consistency to the process.
- (5) Agree that the costs of an external facilitator be split equally between both Councils.
- (6) Agree that the Joint Appraisal Sub Committee be made up of a total of 8 members (including the Leaders from each Council), drawn from the Joint Personnel Committee.
- (7) Agree that the Opposition Group Leaders be fully consulted upon the performance of the Joint Chief Executive as part of the appraisal process.

- (8) Agree that all members of the Joint Appraisal Sub Committee are required to have been trained in conducting appraisals prior to any involvement in the formal Joint Appraisal Sub Committee meetings.
- (9) Agree that once this appraisal framework is approved, a Joint Appraisal Sub Committee meeting be set up as soon as possible to enable a 6 month review to take place for the Joint Chief Executive for the current year.

Information about this Meeting

The agenda, reports and associated documents for the above meeting are available at Bodicote House, Bodicote, Banbury, Oxfordshire OX15 4AA or at www.cherwell.gov.uk

Apologies for Absence

Apologies for absence should be notified to democracy@cherwellandsouthnorthants.gov.uk or 01295 221587 prior to the start of the meeting.

Declarations of Interest

Members are asked to declare interests and conflicts at item 2 on the agenda or if arriving after the start of the meeting, at the start of the relevant agenda item.

Evacuation Procedure

When the alarm sounds you must evacuate the building by the nearest available fire exit. Members and visitors should proceed to the assembly point as directed by Democratic Services staff and await further instructions.

Access to Meetings

If you have any special requirements (such as a large print version of these papers or special access facilities) please contact the officer named below, giving as much notice as possible before the meeting.

Mobile Phones

Please ensure that any device is switched to silent operation or switched off.

Queries Regarding this Agenda

Please contact James Doble, Democratic and Elections
james.doble@cherwellandsouthnorthants.gov.uk, 01295 221587

Sue Smith
Chief Executive

Published on Wednesday 26 September 2012

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Agenda Item 7

Cherwell District Council

Joint Personnel Committee

Minutes of a meeting of the Joint Personnel Committee held at Springfields, Towcester, Northants NN12 6AE, on 3 April 2012 at 7.00 pm

Present: Councillor Barry Wood (Chairman)
Councillor Mary Clarke (Vice-Chairman)

Councillor Ken Atack
Councillor Caryl Billingham
Councillor Rebecca Breese
Councillor Rupert Fordham
Councillor Rosie Herring
Councillor G A Reynolds
Councillor Leslie F Sibley

Substitute Members: Councillor Norman Bolster (In place of Councillor Victoria Irvine)

Apologies for absence: Councillor Victoria Irvine

Officers: Martin Henry, Director of Resources / Section 151 Officer
Kevin Lane, Head of Law and Governance / Monitoring Officer
Karen Curtin, Head of Finance and Procurement
Deborah Emery, Interim HR Manager
Gina Thomas, HR Manager
Natasha Clark, Team Leader, Democratic and Elections
Gavin Lane, Democratic and Elections Officer

71 **Declarations of Interest**

There were no declarations of interest.

72 **Petitions and Requests to Address the Meeting**

There were no petitions or requests to address the meeting.

73 **Urgent Business**

There was no urgent business.

74 **Minutes**

The Minutes of the meeting held on 3 February 2012 were agreed as a correct record and signed by the Chairman.

75 **Exclusion of Public and Press**

Resolved

That, in accordance with Section 100A(4) of Local Government Act 1972, the press and public be excluded from the meeting for the following items of business, on the grounds that they could involve the likely disclosure of exempt information as defined in paragraphs 1 and 4 of Schedule 12A of that Act.

76 **Business Case for Joint IT Service and other Joint Working Business Cases - Implementation of the Organisational Change Policy**

The Committee considered an exempt report of the Head of Finance and Procurement which provided an update on the implementation of the Business Case for a Joint ICT Service and sought consideration of two redundancies as set out in the exempt minute.

The report also sought consideration of the finalisation of other termination arrangements associated with subsequent business cases that were progressing.

Resolved

- (1) As set out in the exempt minute.
- (2) As set out in the exempt minutes.
- (3) That authority be delegated to the Director of Resources in consultation with the Head of Transformation, the Head of Law and Governance, the Chairman and Vice Chairman of this committee and the relevant portfolio holder and lead member for the service area to take all necessary steps to implement other termination arrangements (redundancy, leaving dates, PILON, terms of Compromise Agreement and so on) associated with any future joint working business cases subject to the requirement to report any consequential expenditure to be incurred over and above that contained in the relevant business case to CDC Executive arrangements and SNC Cabinet for approval.

The meeting ended at 7.40 pm

Chairman:

Date:

By virtue of paragraph(s) 1, 2, 4 of Part 1 of Schedule 12A
of the Local Government Act 1972.

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Joint Personnel Committee

Joint Chief Executive Appraisal Framework

4th October 2012

Report of the Head of Transformation

Purpose of Report

To consider and approve the proposed appraisal framework for the post of Joint Chief Executive following the implementation of joint working arrangements between South Northamptonshire Council and Cherwell District Council.

This report is public

Recommendations

The Joint Personnel Committee is recommended to:

- (1) Approve the proposed appraisal framework for the post of Joint Chief Executive.
- (2) Delegate responsibility for implementing the Joint Chief Executive appraisal framework to the Joint Appraisal Sub Committee.
- (3) Agree that with immediate effect, the appraisal of the Joint Chief Executive be supported by an external facilitator.
- (4) Agree that an external facilitator be commissioned by use of appropriate procurement procedures, and in consultation with the Joint Chief Executive and the Leaders of each Council, for a four yearly term, to provide continuity and consistency to the process.
- (5) Agree that the costs of an external facilitator be split equally between both Councils.
- (6) Agree that the Joint Appraisal Sub Committee be made up of a total of 8 members (including the Leaders from each Council), drawn from the Joint Personnel Committee.
- (7) Agree that the Opposition Group Leaders be fully consulted upon the performance of the Joint Chief Executive as part of the appraisal process.
- (8) Agree that all members of the Joint Appraisal Sub Committee are required to have been trained in conducting appraisals prior to any involvement in the formal Joint Appraisal Sub Committee meetings.
- (9) Agree that once this appraisal framework is approved, a Joint Appraisal Sub Committee meeting be set up as soon as possible to enable a 6 month review to take place for the Joint Chief Executive for the current year.

Cherwell District Council and South Northamptonshire Council

1. Introduction

- 1.1 It is part of the JNC Conditions of Service for Chief Executives (2008) (attached as Appendix 1) that all Chief Executives of Local Authorities should have an annual appraisal and that responsibility for such lies with elected members. It is a contractual obligation on the part of the Chief Executive and the Council to engage in a regular process for appraisal. There is currently no specific JNC guidance for appraisals for Chief Executives' operating in a shared/joint role.
- 1.2 At the time of appointment of the Joint Chief Executive an Appraisal Sub Committee was set up to be utilised for appraisal purposes. However no policy or process was clearly outlined or agreed. The purpose of this report and the proposed framework is to ensure there is a clear process in place for both sides and to ensure that it provides clarity about roles and responsibilities, what is to be expected, and fairness for the Joint Chief Executive as an individual employee.
- 1.3 Appraisals have taken place for the Joint Chief Executive to date by using current Council members, including those of the Joint Appraisal Sub Committee, supported by the Democratic Services team, however now recognising the further complexities of managing an appraisal process for the Joint Chief Executive, and the need to operate in a wider shared environment, it is accepted by all parties that a more appropriate appraisal process is required.

2. Details

2.1 External Facilitator

- 2.1.1 There is currently no provision for an external facilitator to support the Joint Chief Executive's Appraisal process, although South Northamptonshire Council has previously used such arrangements. It is recommended that such arrangements be reinstated for the future as it is recognised as being helpful to the integrity of the process. It is intended that the use of an external facilitator will offer reassurance to the Joint Chief Executive and members of the Joint Appraisal Sub Committee.
- 2.1.2 It is recommended that the external facilitator be appointed on a four yearly cycle in order to provide consistency, continuity and confidence amongst all parties involved in the process.
- 2.1.3 A procurement exercise will be required to ensure that a suitable external facilitator is appointed, in agreement with the Joint Chief Executive and the Leaders of each Council.

Cherwell District Council and South Northamptonshire Council

2.2 360° Degree Feedback

2.2.1 Whilst 360° feedback is not currently used by either Council, work is currently underway to introduce this for all members of the Joint Management Team and it would be appropriate that this principle should also extend to the Joint Chief Executive. Clearly with the focus upon shared and partnership working it would be appropriate for internal and external partners to provide feedback the Joint Chief Executive as part of the appraisal process. Targets, achievements and personal development can then be truly measured and developed.

2.3 Composition of the Joint Appraisal Sub Committee

2.3.1 In accordance with the JNC conditions of service for Chief Executives, the composition of the appraisal panel is a matter for each Council (and therefore in this case both Councils), as long as the members of the appraisal panel ensure at all times that they consider that the Chief Executive is employed by each Council as a whole not just by a controlling group.

2.3.2 Across Cherwell District and South Northamptonshire Councils there is currently no requirement for the Leader of either Council to be involved in the appraisal of the Joint Chief Executive, however both have been invited to attend to contribute at previous appraisal meetings; their involvement is purely at the discretion of each Leader. The composition of the appraisal panel is currently 6 members (3 from each council).

2.3.3 The appraisal process for the Joint Chief Executive is not only a contractual requirement but is also essential in ensuring the delivery of each Council' priorities for which the respective Leaders play a key role in helping to shape. It is therefore recommended that both Leaders form an integral part of the process for appraising the Joint Chief Executive, and to that end are included in the composition of the Joint Appraisal Sub Committee going forward.

2.3.4 The appraisal will acknowledge that the Joint Chief Executive is responsible to all Members of both Councils; hence it is recommended that the composition of the Joint Appraisal Sub Committee be politically balanced to reflect this. It is also recommended that the composition of the Joint Appraisal Sub Committee is made up of the following:

- Four Members (including the Leader) from South Northamptonshire Council who are members of the Joint Personnel Committee
- Four Members (including the Leader) from Cherwell District Council who are members of the Joint Personnel Committee

Cherwell District Council and South Northamptonshire Council

- 2.3.5 It is recommended that all members of the Joint Appraisal Sub Committee are required to have been trained in conducting appraisals prior to any involvement in the formal Joint Appraisal Sub Committee meetings.
- 2.3.6 The makeup of the Joint Appraisal Sub Committee will potentially change from year to year depending on the membership of the Joint Personnel Committee as members of the Sub Committee will be members of that Committee too.
- 2.3.7 In order to reflect the fact that the Joint Chief Executive is appointed to serve the whole Council it is recommended that the Leaders of the Opposition, who may not be members of the Joint Appraisal Sub Committee, be formally consulted for feedback during the appraisal process.
- 2.3.8 The Chairman of the Joint Appraisal Sub Committee will be appointed by members of the Sub Committee on an annual basis, however the Leaders of either Council are excluded from this role, so they are able to fully participate in the appraisal process.

2.4 Appraisal Preparation

- 2.4.1 The external facilitator will ensure all required meetings take place and documentation prepared in agreed formats and timescales.
- 2.4.2 It is recommended that prior to each formal meeting of the Joint Appraisal Sub Committee that the two Leaders consult with members of their own Councils about the Joint Chief Executive's performance and, as outlined above, this should include Leaders of the Opposition and the Deputy Leaders. These informal meetings will offer feedback to the Leaders and will support any elements of the formal appraisal process such as 360° degree feedback. These meetings may be supported by the external facilitator, if required.
- 2.4.3 The Joint Chief Executive will be required to prepare a formal report consisting of two parts, one looking back at targets set and achievements, the other looking forward to what needs to be achieved, how that will be done, and in what timescales. There will also be an opportunity to respond to the 360° degree feedback as discussed with the external facilitator, and completion of the Appraisal Form (Appendix 3 of the attached policy). This form (with some minor variation) is used for other members of JMT and will ensure broad consistency, and provides for a similar process to be used to filter down to Directors and Heads of Service once the appraisal of the Joint Chief Executive has been concluded.
- 2.4.4 The external facilitator will support the Joint Chief Executive in preparation of this documentation for any meeting attendance, if required. They will also provide appropriate training to members of the

Cherwell District Council and South Northamptonshire Council

Joint Appraisal Sub Committee prior to their inclusion in the process itself.

2.5 The Joint Appraisal Sub Committee Meeting: The Appraisal

- 2.5.1 There will be two formal meetings per appraisal year. One to be held as soon as possible after the setting of both council's priorities for the coming year i.e. February/March, to look back at past agreed targets, performance and development, and to set new targets for the forthcoming appraisal year. The other will be a six monthly review meeting around October each year.
- 2.5.2 The Joint Appraisal Sub Committee will be supported by the external facilitator prior to and during the meeting. The external facilitator will also take notes during the appraisal meeting and write a report detailing the outcomes and any agreed actions.
- 2.5.3 The draft report prepared by the external facilitator will be circulated to all members of the Joint Appraisal Sub Committee and the Joint Chief Executive.
- 2.5.4 A committee clerk will attend the start and end of each formal Joint Appraisal Sub Committee meeting, but will leave during the period the meeting is in session.

3. Conclusion and Reasons for Recommendations

- 3.1 It is concluded that the proposed framework for appraising the Joint Chief Executive and its contents represent a robust and equitable process to ensure that the Councils meet their contractual obligations. It will also ensure that the Joint Chief Executive is treated no more or less favourably than any other employee, based on best practice and guidance from the JNC Conditions of Service for Chief Executives.

Options

The following options have been identified. The approach in the recommendations is believed to be the best way forward:

- | | |
|---------------------|--|
| Option One | To agree and approve the immediate use of the proposed Joint Chief Executive Appraisal framework. |
| Option Two | To continue with the current informal arrangements for the joint appraisal process. |
| Option Three | To develop individual appraisal arrangements for each Council to appraise the Joint Chief Executive. |

Cherwell District Council and South Northamptonshire Council

Consultations

Sue Smith, Joint Chief Executive Comments have been reflected in the report

Barry Wood, Leader of Cherwell District Council Comments have been reflected in the report

Mary Clarke, Leader of South Northamptonshire Council Comments have been reflected in the report

Key Considerations

(Financial, Legal and Risk and other implications e.g. Equalities, Human Resources, Data Quality, Risk, Crime and Disorder and Environmental where relevant)

Financial Implications: The cost of procuring an external facilitator to support the Joint Chief Executive appraisal process is expected to be in the region of £5000 per annum, split between the two councils.

Funding can be found from within existing budgets order to support this.

Karen Curtin

Comments checked by Karen Curtin, Head of Finance and Procurement
Karen.curtin@cherwellandsouthnorthants.gov.uk

Legal Implications: As identified in the body of this report the appraisal of the Joint Chief Executive is a contractual requirement. Failure to properly engage in an appraisal process for the Joint Chief Executive exposes both Councils to a potential claim of breach of contract. If such a claim was to be successfully brought against the Councils this would have both financial and reputational consequences.

Comments checked by Kevin Lane, Head of Law and Governance
Kevin.lane@cherwellandsouthnorthants.gov.uk

Cherwell District Council and South Northamptonshire Council

Reputational	implications as identified above.
Wards Affected	None
Corporate Priorities	None
Portfolio Holder	Councillor Barry Wood, Cherwell District Council Portfolio Holder for Human Resources Councillor Ian McCord, South Northamptonshire Council Portfolio Holder for Human Resources
Key Decision	No

Document Information

Appendix No	Title
Appendix 1	JNC Conditions of Service for Chief Executives
Appendix 2	Joint Chief Executive Appraisal Policy
Appendix 3	Appraisal Form
Background Papers	
None	
Report Author	Paula Goodwin, HR Projects and Policy Manager Cherwell District Council
Contact Information	Tel 01295 221735 paula.goodwin@cherwell-dc.gov.uk

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JNC - JOINT GUIDANCE ON APPRAISAL OF THE CHIEF EXECUTIVE

INTRODUCTION

This guidance is intended for use by senior elected members and the chief executive when agreeing a process for appraising the performance of the chief executive. The focus of this process should be on clarifying what the chief executive is expected to achieve and on identifying any continuing developmental needs which, if met, would maintain a high level of performance. The process of setting objectives should be by agreement and the result should be to identify objectives which are relevant and challenging but achievable.

The process should not become complex. At all times it needs to focus clearly on a few basic issues: what the chief executive's job is; what has been done well; what could have been done better; the major issues over the next year; and what developmental needs the process clearly identifies.

RESPONSIBILITY FOR APPRAISAL

The responsibility for appraising the chief executive lies with senior elected members. It is a contractual obligation on the part of both the chief executive and the employing council to engage in a regular process of appraisal.

It will be for local decision in the light of local circumstances whether the appraisal should be carried out by a small committee representing all political groups or by a senior representative or representatives of the controlling group. Whichever approach is adopted, those conducting the appraisal need to bear in mind at all times that the chief executive is employed by the council as a whole, not by the controlling group, and is therefore required to serve all of the council.

AIMS OF APPRAISAL

1. To identify and clarify the key objectives, priorities and targets of the council and appropriate timescales for their achievement over the next (e.g. twelve) months.
2. Agree what the chief executive should personally achieve over the next (e.g. twelve) months and identify required standards of performance, in order to deliver the council's key objectives, priorities and targets. Wherever possible standards of performance should be expressed in ways which can be monitored objectively.
3. Discuss positive achievements over the past (e.g. twelve) months and identify reasons for good performance.
4. Discuss instances over the past (e.g. twelve) months where targets have not been met, identifying the factors preventing the achievements of agreed goals.
5. Discuss developmental requirements. The chief executive will have strengths and weaknesses and the parties should identify the professional development

necessary to equip the chief executive with the requisite skills to meet the council's objectives. The parties should be proactive and anticipate future developmental needs in the context of the council's changing priorities. This discussion could lead to the design of a formal programme of continuous professional development (CPD). Equally this discussion may lead to agreement on changes to the working relationship between leading members and the chief executive. It should not be assumed that it is only the chief executive who may need to adjust his/her approach to the working relationship.

Appraisal should be set in the context of the council's objectives, priorities and targets, generally expressed in the community and corporate plans. Appraisal targets when taken as a whole should be related to agreed targets for the council as a whole.

THE APPRAISAL CYCLE

Appraisal should take place on a predetermined date, at least annually backed up by monitoring meetings on a regular basis at which targets can be reviewed for continuing relevance. A formal system of appraisal should not prevent the continuous review of progress and performance.

KEY ELEMENTS OF THE APPRAISAL PROCESS

1. Continuous two-way monitoring of performance against objectives.
2. Preparation for an appraisal interview.
3. An appraisal interview where recent and current performance, future objectives and development needs are discussed.
4. Agreement should be reached on action required from either party to ensure required performance is achievable.
5. The process of informal discussion regarding performance should continue.

The appraisal interview and afterwards...

1. Both parties should be well informed and prepared for the interview.
2. The process should be two-way.
3. The interview should be free from interruptions and notes should be taken when necessary.
4. The parties should concentrate as far as possible on established facts rather than unsubstantiated opinions.
5. Targets which are realistic and capable of being monitored should be agreed.
6. Any agreed development plans should be implemented within the agreed

timescale.

7. The chief executive should be given a reasonable opportunity to correct any shortfalls in performance.

8. A date for the next review should be agreed.

EXTERNAL ASSISTANCE

External assistance in facilitating the appraisal process can be helpful in providing an independent perspective.

Within the local government 'family', it may be sought from Local Government Employers (LGE) jo.fowles@lge.gov.uk or by contacting the Employers' Secretary sarah.messenger@lge.gov.uk or from the appropriate Regional Employers' Organisation www.lge.gov.uk/lge/core/page.do?pagelid=120016 or ALACE www.alace.org.uk/ or SOLACE www.solace.org.uk

Such assistance from the aforementioned organisations may take the form of them either directly participating in the process for which a fee may be requested to cover staff time or the recommendation of, for example, a suitably experienced recently retired senior officer or other independent individual.

Alternatively such assistance may be available from commercial services, such as consultancy firms eg. SOLACE

Note: If external assistance is sought, it must have the agreement of both sides.

OTHER MATTERS

The content of appraisal interviews should be treated as confidential to the participants.

However, it may be useful to report to an appropriate committee meeting that an appraisal interview has taken place.

This may be useful in acting as a reminder that the chief executive and members need to ensure that chief officers are in their turn appraised.

It should, however, not be assumed that the process for appraising the chief executive should be followed in precise detail for other staff. There is a fundamental difference between elected members appraising the chief executive and managers appraising subordinates. The principles, nevertheless, are the same.

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APPRAISAL OF THE JOINT CHIEF EXECUTIVE – POLICY AND PROCEDURE

1. Introduction

- 1.1 The Joint Negotiating Committee (JNC) for Chief Executives of Local Authorities is the national negotiating body for the pay and conditions of service of Chief Executives in England and Wales.
- 1.2 Guidance created by the JNC for Chief Executives of Local Authorities is incorporated into this document which is intended for use by elected members responsible for appraising the performance and identifying the development needs of the Joint Chief Executive of Cherwell District Council and South Northamptonshire Council.
- 1.3 The focus of this process will be on clarifying what the Joint Chief Executive is expected to achieve and on identifying any continuing developmental needs which, if met, would maintain a high level of performance. The process of setting objectives shall be to identify those which are relevant and challenging but achievable.
- 1.4 According to the JNC the appraisal process should not become complex. At all times it needs to focus clearly on a few basic principles: what the Chief Executive's job is; what has been done well; what could have been done better; the major issues over the next year; and what developmental needs are identified.

2. Scope

- 2.1 This procedure applies only to the role of Joint Chief Executive of Cherwell District Council and South Northamptonshire Council. All other employees of the two councils are covered by different appraisal arrangements, and separate processes are in place.
- 2.2 It is part of the JNC Conditions of Service for Chief Executives (2008) that all Chief Executives of Local Authorities should have an annual appraisal and that responsibility for such lies with elected members. It is a contractual obligation on the part of the Joint Chief Executive and the Council to engage in a regular process for appraisal. However the process and policy followed for appraisal is deemed to be non contractual.

3. The Purpose of the Performance Appraisal

- 3.1 Performance appraisals usually look forward as well as backwards and provide the opportunity to reflect on the past 12 month's performance. They are equally important in establishing a basis for setting SMART targets and objectives for the future. SMART targets are those which are Specific, Measurable, Achievable, Realistic, and Time Related. Some achievements

may be less easy to measure and a more subjective means of assessing success may be required.

4. Key Elements of an Effective Appraisal Process

- Preparation for an appraisal interview by appraisers and appraisee.
- An appraisal discussion where recent and current performance, future objectives and development needs are agreed and where achievements are recognised.
- Agreement should be reached on action required by either party to ensure required performance is achievable.
- Documentary evidence of the appraisal and any other supporting evidence throughout the year should be recorded and maintained as agreed by all parties in a confidential way.

5. Responsibility for the Joint Appraisal

- 5.1 The responsibility for appraising the Joint Chief Executive lies with elected members appointed to the Joint Appraisal Sub Committee.
- 5.2 As described in section 2.2. the JNC for Chief Executives requires both the Joint Chief Executive and the employing councils to engage in a regular process of appraisal.
- 5.3 An annual appraisal meeting will be held to provide a structured review of the performance of the Joint Chief Executive and to set relevant and challenging objectives for the year ahead. This will be held as soon as possible after the setting of both Councils priorities for the coming year.
- 5.4 The annual appraisal will be supplemented by a six monthly review meeting, held around October.
- 5.5 In both cases the annual appraisal and the six monthly review meeting will be a two way process, and will be facilitated by an external third party to be agreed by the Joint Chief Executive and Chairman of the Joint Appraisal Sub Committee.
- 5.6 The role of the external facilitator is detailed in section 7 of this procedure.
- 5.7 The Joint Personnel Committee will delegate responsibility to a panel of members (drawn from the Joint Personnel Committee) to carry out the Joint Chief Executive's appraisal on behalf of both Councils to be known as the Joint Appraisal Sub Committee.

6. Joint Appraisal Sub Committee

- 6.1 The appraisal will acknowledge that the Joint Chief Executive is responsible to all Members of both Councils; hence the composition of the Joint Appraisal Sub Committee will reflect this. The Joint Appraisal Sub Committee will consist of the following Members:

- Four Members (including the Leader) from South Northamptonshire Council who are members of the Joint Personnel Committee
 - Four Members (including the Leader) from Cherwell District Council who are members of the Joint Personnel Committee
- 6.2 All members of the Joint Appraisal Sub Committee are required to have been trained in conducting appraisals prior to any involvement in the formal Joint Appraisal Sub Committee meetings.
- 6.3 The members of the Joint Appraisal Sub Committee will be supported by an External Facilitator (in an advisory role). S/he will attend the meetings.
- 6.4 A Chairman for the Joint Appraisal Sub Committee will be appointed by the Joint Appraisal Sub Committee at its first meeting. The Chairman should not be the Leader of either Council so that they can fully participate in the appraisal process.
- 6.5 Once agreed the Chairman will be required to ensure that the appraisal process is undertaken in accordance with the agreed policy and for agreeing and confirming the date of the annual appraisal and 6 monthly review with the Joint Chief Executive. Once dates have been agreed, the Chairman will notify the Head of Transformation and the Democratic and Elections Manager. The Chairman will be supported by the external facilitator in relation to all other preparatory work for the appraisal.
- 6.6 The Chairman of the Joint Appraisal Sub Committee may require support and assistance from the Head of Transformation regarding the appraisal process of the Joint Chief Executive.
- 6.6 The Democratic and Elections Manager (or his/her nominated Committee Clerk) will attend the opening and closing of any Joint Appraisal Sub Committee meeting but will not participate or attend any further part of the meeting.

7. The Role of the External Facilitator

- 7.1 The external facilitator will be appointed in line with appropriate procurement rules and in agreement with the Joint Chief Executive and the Leaders of each Council (generally this will be on a four yearly basis to provide continuity consistency and confidence). The contract will include a review and break clause for the two Councils and Joint Chief Executive.
- 7.2 The external facilitator will support the appraisal process for the Joint Chief Executive in line with the requirements of this policy. The appointed facilitator will facilitate and attend any preparatory meetings with the Joint Appraisal Sub Committee prior to each formal appraisal meeting and where required will undertake training for the Joint Appraisal Sub Committee on the process to follow.
- 7.3 The external facilitator will also meet with the Joint Chief Executive prior to each appraisal meeting to identify her/his individual expectations of the

appraisal process and to agree how documentation will be provided to the facilitator and the Joint Appraisal Sub Committee.

7.4 Documentation will include:

- 360° degree feedback on the Joint Chief Executive's performance in written form
- A written report for each formal Joint Appraisal Sub Committee meeting along with any supporting evidence
- The appraisal form (Appendix 1).

7.5 The external facilitator will be required to ensure all documentation is prepared prior to the meeting of the Appraisal Sub Committee, and to ensure submission to the Chairman of the Sub Committee or Head of Transformation for inclusion at the Joint Appraisal Sub Committee meeting.

7.6 The external facilitator will attend all meetings held by the Joint Appraisal Sub Committee as well as any agreed pre meetings. This will ensure the process is adhered to and will take notes as a record of the discussion and actions.

7.7 The external facilitator will also write a final report following the two formal Appraisal Sub Committee meetings. These will be issued to each member of the Joint Appraisal Sub Committee and the Joint Chief Executive to outline what has been agreed. This report will form an exempt annex to the minutes.

7.8. The external facilitator will support the process to ensure discussions are properly conducted and that they also reflect the priorities and business direction of both councils, and assist in setting SMART targets that are relevant and challenging for the Joint Chief Executive.

7.9 The external facilitator is responsible for ensuring that copies of any appraisal documentation are provided to the Head of Transformation for inclusion on the Joint Chief Executive's personal file. A further copy will be held confidentially by the Democratic and Elections Manager with the minutes of the meeting.

8. **Preparation for Year End Appraisal (February/March)**

8.1 **360° Degree Feedback**

8.1.1 The external facilitator will take responsibility for ensuring 360° degree performance appraisal feedback is obtained in relation to the Joint Chief Executive, to obtain a rounded perspective of her/his performance over the past year.

8.1.2 It is proposed that there should be no more than ten respondents. The actual makeup and number of respondents will be selected by the external facilitator in consultation with the Chief Executive and the two Leaders. 360° feedback must include the Leaders of the Opposition Groups of both Councils', a selection of Directors/Heads of Service, other nominated staff and external partners. Exact numbers may vary from year to year and will be agreed in consultation with the Joint Chief Executive, Leaders of the Councils and the external facilitator. The makeup of the respondents should vary from year to year where possible.

8.1.3 The external facilitator will feed back the outcome of the 360° degree process to the Joint Chief Executive in person using a brief summary of the main points from the total of the original feedback ahead of the appraisal meeting with the Joint Appraisal Sub Committee. The Joint Chief Executive will then be allowed to respond to the feedback in advance of the appraisal meeting.

8.1.4 The external facilitator will share the Joint Chief Executives' report about the 360° degree feedback with the Joint Appraisal Sub Committee ahead of the formal appraisal meeting. Both the summary report and the Joint Chief Executive's feedback will be used as input into the main end of year appraisal meeting.

8.2 **Joint Chief Executive's Input**

8.2.1 The Joint Chief Executive will prepare a written report in two parts for the end of year appraisal in February/March.

8.2.2 **Part 1**

8.2.3 Part one of the Joint Chief Executive's report will outline her/his achievements against targets as agreed with the Joint Appraisal Sub Committee. It will also identify any issues or learning that has been experienced by the Joint Chief Executive.

8.2.4 **Part 2**

8.2.5 Part two of the report will outline suggestions for her/his proposed targets, how these might be achieved, resource implications and how these might be measured for the coming year. It will also detail any self identified development needs.

8.2.6 The attached Appraisal Form (at Appendix 1) will be used as a record of what targets and outcomes have been agreed, what has to be achieved and how. All reports along with the appraisal form will be submitted to the Democratic and Elections Manager at least 10 working days in advance of the February/March Joint Appraisal Sub Committee meeting (or an agreed date suitable with both parties).

8.2.7 The contents of these outline reports, along with the 360° appraisal feedback summary report will be issued to the Joint Appraisal Sub Committee to assist the discussions between Committee members at a pre meeting to form a shared view of the major challenges facing the Councils and, subsequently, to translate these into personal objectives for the Joint Chief Executive.

8.2.8 The Joint Chief Executive will have the opportunity to discuss his/her submission with the external facilitator prior to the appraisal meeting.

8.2.9 The Joint Appraisal Sub Committee will similarly have the opportunity to discuss the process of performance management with the external facilitator ahead of the appraisal meeting, in order to make the meeting as meaningful as possible.

9. **The Joint Appraisal Meeting**

9.1 The following advice represents best practice for formal appraisal meetings:

- The process should be two-way.

The parties should concentrate as far as possible on established facts rather than unsubstantiated opinions.

- **SMART** targets should be agreed.

S Specific: clear and unambiguous, 'What needs to be achieved?'

M Measurable: state how success will be measured quantitative and qualitative.

A Achievable: is it actually achievable, identifying any potential constraints or problems

R Relevant: to the role and the service plan and organisational priorities

T Time-bound: realistic time when the objective should be complete or milestones.

- Any agreed development plans should be implemented within the agreed timescale.
- The Joint Chief Executive should be given a reasonable opportunity to correct any shortfalls in performance.
- A date for the next review should be agreed.

9.2 The annual appraisal meeting held in February or March shall have the following key items of business:

9.3 **360° Feedback on Joint Chief Executive Performance**

The external facilitator responsible for the 360° degree process will provide feedback to the Joint Appraisal Sub Committee on the outcomes of this, and in particular will consider and discuss issues revealed by the 360° degree feedback.

9.4. **Report of the Joint Chief Executive**

9.4.1 A report by the Joint Chief Executive of the achievements, or otherwise, of their major objectives for the period under review as well as their understanding of the objectives which need to be achieved in the next performance period.

9.4.2 The report should concentrate on outputs and outcomes against the agreed personal targets of the Joint Chief Executive and should include discussions on successes, and consideration of lessons learned for the previous year. For the future year this should include a short list, concentrating on the "big picture" of what needs to be achieved. The personal actions and targets for the Joint Chief Executive in this context should be listed, for consideration by the Joint Appraisal Sub Committee.

9.5 **Feedback to the Joint Chief Executive**

9.5.1 An opportunity for the Joint Appraisal Sub Committee to provide feedback to the Joint Chief Executive and on any related issues, as well as any successes identified requiring further action and attention.

9.5.2 Agreement/amendment/addition of objectives and personal targets for the Joint Chief Executive by the Joint Appraisal Sub Committee, and by the Chief Executive.

9.6 **Identification of Training/Development Needs**

9.6.1 An opportunity to discuss and agree any training/development needs the Joint Chief Executive may have.

10. **After the Appraisal Meeting**

10.1 Immediately following the annual appraisal meeting a confidential document stating the outcomes of the meeting will be produced by the external facilitator, and will be shared with the Joint Appraisal Sub Committee and the Joint Chief Executive. These papers will be held by the Head of Transformation on the Joint Chief Executive's personal file. A copy will also be held by the Democratic and Elections Manager and filed with the minutes.

10.2 The Joint Chief Executive will also prepare an action plan outlining how each objective will be achieved for the following year, including timescales, dependencies and key milestones. The Appraisal Form at Appendix 1 should be used for this task. This will be circulated to members of the Joint Appraisal Sub Committee and amendments forwarded to the Chairman to coordinate a final agreed plan. Once agreed, this will be formally issued to the Joint Chief Executive. The document must then be agreed and signed by the Chairman and the Joint Chief Executive within 15 working days of the appraisal meeting.

10.3 The priorities set for the Joint Chief Executive will be used to cascade to other members of the JMT as appropriate during their appraisals, who in turn will set priorities for their line managers, allowing the process to cascade throughout the whole of both councils at appraisal time.

11. **Review Meeting – October**

11.1 Although formal appraisals are normally an annual event, it is usual to review progress against key targets during the year; a six month review being the most commonly used practice.

11.2 The Joint Appraisal Sub Committee will meet with the Joint Chief Executive to discuss progress against specific targets, which might cover any issues arising either politically or in terms of either council which were already, or might, have the potential to affect both the scope or achievement of the objectives as originally set. This review meeting will again be supported by the external facilitator.

11.3 There may also be a series of informal meetings between the Councils' Leaders and the Joint Chief Executive to review progress and provide direction on a quarterly basis, or more regularly if necessary.

12. **Confidentiality**

- 12.1 The content of appraisal meetings and any supporting documentary evidence will at all times be treated as confidential to the participants and those required to provide support to the appraisal process.
- 12.2 The two Council's will ensure that access to all paperwork associated with the Joint Chief Executive's appraisal will normally be restricted to the following:
- Members' of the Joint Appraisal Sub Committee
 - The external facilitator
 - The Head of Transformation
 - The Democratic and Elections Manager (Deputy Monitoring Officer)
 - Learning and Development Manager (in relation to training needs only)
13. **Appeal Process**
- 13.1 Should the Joint Chief Executive wish to appeal any elements of the appraisal process this should be done in writing to the Democratic and Elections Manager outlining the reasons for the appeal and any remedy requested. Appeals should be made within 28 days within the date of issue of the appraisal report. The appeal will be heard by the Joint Appeals Committee.



South Northamptonshire Council



DISTRICT COUNCIL
NORTH OXFORDSHIRE

Joint Chief Executive (Name):	
Joint Appraisal Sub Committee Chairman (Name):	
Independent Facilitator (Name)	
Date of Appraisal:	Date of Mid-year Review:

Part A – Looking Back	
Review of performance against the specific objectives/targets set for the previous year. Please use the assessment of:-	
FA: Fully achieved	PA: Partially Achieved
NA: Not achieved	Assessment and Comment
1)	
2)	
3)	
4)	
5)	
6)	

Employee Performance and Development Review for the Joint Chief Executive APPENDIX 1

Review in relation to performance against indicators for previous year.	
Please use assessment of:	Assessment & brief comment
<p>1 = Performs poorly 2 = Performs satisfactorily 3 = Performs well 4 = Performs exceptionally</p>	
<p>Communicating with others</p> <ul style="list-style-type: none"> ○ Regularly communicates with members, colleagues and external partners effectively ○ Allows others to contribute to discussions ○ Can communicate at an appropriate level for the role ○ Respects colleagues, members and external partners and treats them with dignity and fairness 	
<p>Customer Focus</p> <ul style="list-style-type: none"> ○ Regularly responds positively to customers and the public ○ Is proactive in ensuring customers' needs are met ○ Calmly deals with negative customer reactions 	
<p>Health & Safety</p> <ul style="list-style-type: none"> ○ Always uses safe working practices ○ Looks out for and reacts to people not complying to H&S 	
<p>Team Working</p> <ul style="list-style-type: none"> ○ Contributes positively to team working ○ Completes their role fully and effectively ○ Always supports everyone in the team 	
<p>Innovation & Problem Solving</p> <ul style="list-style-type: none"> ○ Brings problems and issues to the attention of key stakeholders when appropriate ○ Makes suggestions to improve the team performance ○ Accepts responsibility at the appropriate level ○ Offers solutions to identified problems using creativity and innovation 	
<p>Technical Expertise</p> <ul style="list-style-type: none"> ○ Clearly demonstrates possession of appropriate level of specialist knowledge ○ Provides the right level of specialist skills ○ IT skills – able to use the tools to get the job done 	
<p>Supervisory Skills</p> <ul style="list-style-type: none"> ○ Completes appraisal process honestly focusing on developing performance ○ Holds regular 1 2 1 meetings ○ Deals with poor performance and inappropriate behaviour ○ Acts as a role model ○ Actively engages with employees to promote performance development 	

<p>1 = Performs poorly 2 = Performs satisfactorily 3 = Performs well 4 = Performs exceptionally</p>	<p>Assessment & brief comment</p>
<p>Managing Change</p> <ul style="list-style-type: none"> ○ Is positive and supportive of change ○ Uses the skills and abilities of the team effectively ○ Is pro-active in managing change, taking the team and key stakeholders with them ○ Considers all options and make good decisions 	
<p>Leadership & management</p> <ul style="list-style-type: none"> ○ Sets a clear example and acts as a role model ○ Delegates and uses people in the team ○ Manages people effectively ○ Demonstrates an open-minded approach, encourages innovation & creativity ○ Has the respect and credibility of the team they lead/manage ○ Recognises achievement and success 	
<p>What have been the notable achievements?</p>	
<p>What has been difficult to achieve or problematic and why?</p>	
<p>What training/development needs have been identified?</p>	

What training/personal development has been completed and how did this help achieve the objectives?

Has the individual settled into the role contributing comfortably and effectively in all aspects?
Has the individual contributed towards the effective achievement of the joint management team's overarching objectives?
Has the individual contributed readily and positively across both councils?
Has the individual demonstrated leadership and been a positive ideal role model for both councils, internally and externally?

Has the individual behaved in a 'corporate' and 'strategic' manner?
Has the individual effectively shared their time, effort and output equally across both councils?

For use at Joint Management Team level
Individual dimension
Has the individual delivered the corporate objectives for which they are responsible?
Has the corporate plan and improvement strategy been largely delivered (Not applicable for first appraisal)?
Has the individual demonstrated leadership and corporate & strategic direction when required?
Has the original personal development plan (attached) been largely delivered?

Employee Performance and Development Review for the Joint Chief Executive APPENDIX 1

Has the individual embraced the geographic area of responsibility role and how has this been demonstrated?

General assessment and comment

Employee Performance and Development Review for the Joint Chief Executive APPENDIX 1

Part B – Looking Forward

Is the JD up to date for this role? Yes No (if no what action is being taken to update it & timescale)

How will success be measured & what is the timeline?	What are the specific objectives/targets for the coming year?
1)	
2)	
3)	
4)	
5)	
6)	
7)	
8)	
9)	

Employee Performance and Development Review for the Joint Chief Executive APPENDIX 1

Part C - Personal development to enable objectives to be met/personal development	
Describe the development activity required and how it will be provided	Who is responsible and when is it anticipated to be completed
Part D Sign Off	

I have discussed this with the Joint Appraisal Sub Committee and wish to make the following comments:

Signed Joint Chief Executive

:

Date

I have read this appraisal and agree with the content/make the following comment:

Signed Chairman of Joint Appraisal Sub Committee:

Date:

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