



DRAFT POLICY AND GUIDANCE

Performance Appraisal and Learning and Development Review

1. Getting Started

This guide is for all Cherwell District Council and South Northamptonshire Council employees, permanent or temporary. It gives you the information and tools you need to make the most of the performance appraisal discussion. Each section focuses on a different stage of the performance appraisal.

2. What is a Performance Appraisal?

Performance appraisal is a two way discussion; when carried out well, it actively involves employees, helping them to understand what is expected of them. By setting agreed objectives and regularly reviewing progress, employees become responsible for their own performance. The process should be used to enable positive engagement between an employee and their manager to improve performance and provide appropriate support. It involves the following:

- Recognising achievements
- Considering development needs
- Monitoring and reviewing performance
- Setting clear objectives
- Reviewing achievement against objectives

The process should be robust, honest and fair, remembering that performance reviewing should reflect all levels of performance, both good and poor. The process is formal and, in is likely to be audited on a regular basis to ensure the process is utilised appropriately.

The key elements are annual and six monthly (mid year) formal meetings combined with other more informal discussions such as one to one meetings. There should be no surprises at the end of year review as performance monitoring should be a regular activity for managers.

Performance appraisal will be a key element in ensuring that:

- The Council's overall aims and objectives are translated into employee activities
- The impact of organisational change is managed at a personal level
- Every employee understands clearly what their role is and what they are expected to achieve
- Personal development needs are identified
- There is an opportunity for employees to discuss issues that prevent them from doing their job
- There is a clear mechanism for all employees to suggest innovation, improvement and development of their role

- In addition to continuous feedback during the year, all employees also receive detailed feedback on their performance
- The corporate learning & development plan is properly informed

3. Who Should have an Appraisal?

Every employee at both Councils with a permanent and a short-term contract should receive a performance appraisal, which includes a mid year review. New employees on probation will receive an appraisal during their first month of employment. With the increase in partnership and shared working, some team members may not be employed by either Cherwell or South Northamptonshire and therefore it is important to ensure that as a manager, performance is reviewed regularly and feedback is given to the employing agency.

4. Maternity/Sickness Absence

There may be occasions when the performance appraisal needs to be deferred. For example, if someone has recently returned from maternity leave and there is insufficient information about their performance to conduct a meaningful discussion. This does not mean that the discussion should never happen, but a new date arranged.

5. New Starters

For new starters, objectives should be set and key competencies identified during the induction period. An assessment of current competency should be made once the manager has had sufficient opportunity to observe employee performance.

6. Staff Who Change Posts

For those staff who move to a difference post in either council during an appraisal year then both posts will need to be appraised, at the beginning and end of the post. So a setting targets and assessing targets form should be completed for each post so that a full year has been appraised.

Administration Officer			
Start Date	Set Targets	End Date	Assess Targets
1/4/12	1/4/12	31/7/12	31/7/12
Senior Administration Officer			
Start Date	Set Targets	End Date	Assess Targets
1/8/12	1/8/12	31/3/13	31/3/13

7. Career Grades

Staff in career grades should be appraised in accordance with this policy.

8 When Should Performance Appraisal Happen?

During February and March each year, managers should ask employees to consider and note for discussion:

- Their performance over the last year
- Any notable achievements
- Achievement against last year's objectives
- Objectives for the coming year

A blank set of performance appraisal forms may assist this process.

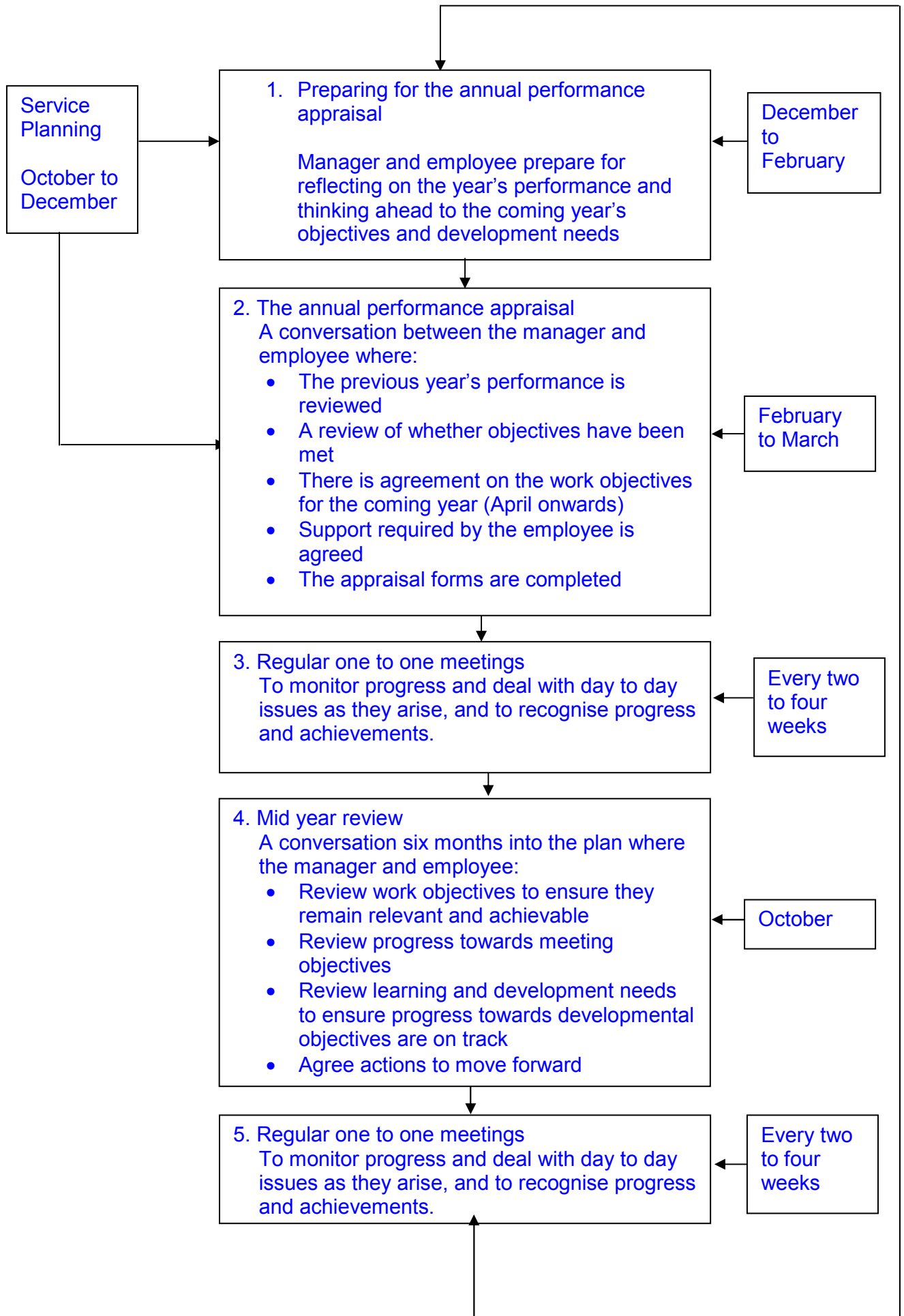
APPENDIX 1 - Looking Forward - Setting Targets

APPENDIX 2 - Mid Year Review

APPENDIX 3 - Looking Back – Assessing Targets

APPENDIX 4 - Self Assessment Form

APPENDIX 5 – Employee Evidence Log



9. Responsibilities

Too often, appraisals are seen as a one-off annual event unconnected to our everyday tasks. Successful appraisals are the outcome of ongoing, regular two-way discussions between the manager and employee during the year.

One way to ensure a positive discussion at the appraisal meeting is for everyone to understand their own role and responsibilities as outlined below.

If you are an Appraiser you are expected to:

Lead individual performance appraisal discussions with staff that you directly line manage. The discussions must include:

- review of past performance
- an agreed work plan with SMART objectives which will contribute to the delivery of your local service plan and the overall council plan
- competency and development needs assessment, with a plan to address agreed gaps
- ensure employees have sufficient opportunity to respond to feedback and raise points
- a written record of the discussion (using the appraisal forms) which is signed by the appraiser, appraisee and the reviewer (the review is the appraisers Line Manager).

Regularly review performance and progress by:

- revising and updating objectives, if necessary
- using one-to-one meetings to discuss development activity planned or undertaken

Give positive and constructive feedback:

- during one-to-one meetings
- informally, as part of day-to-day working

Tackle under-performance constructively and promptly by

- giving feedback
- setting targets for improvement
- providing support and development.

Sponsor agreed learning and development activities by:

- allocating time for the activities to be undertaken
- evaluating the impact on performance of individual development activities, bearing in mind that the effect may not be immediate

Ensure that the process is applied consistently and fairly by applying:

- the Council's Equal Opportunities policies, ensuring that issues of equalities and diversity are considered throughout the work objective setting and development planning process
- sensitivity and judgment when using the appraisal process to meet individual and service needs

Confirm appraisals have been completed by:

- ensuring that the date of the performance appraisal and mid-year review have been recorded on the appropriate HR/payroll system by sending a copy of the relevant appraisal form to HR
- providing a copy of the completed appraisal form to the reviewer and the appraisee

If you are receiving an appraisal, you are expected to take ownership of your development and performance during the year by:

- working towards meeting agreed objectives and standards
- actively monitoring your own progress against targets and keeping your manager informed of difficulties you may be facing
- listening to constructive feedback and acting on it
- participating fully in development activities and assessing the impact they have had on your performance

Prepare for and participate fully in performance appraisal discussions by:

- gathering evidence about your performance
- generating ideas for service improvement and your own development
- reviewing appraisal documentation in advance of the meeting and providing copies to your manager.

If you are a reviewer, you are responsible for:

Reviewing the completed performance appraisals that your subordinate managers have carried out. With each form, you should ensure that:

- SMART objectives have been set
- performance has been assessed fairly, using evidence
- the appraisal is of a good quality in that it will effectively contribute to improving performance
- the process is being carried out and used fairly and consistently; and that equality and
- diversity issues are considered when setting work objectives and in planning development activity.
- feeding identified development needs into the training plan.

The Human Resources directorate will:

- Ensure managers have access to the blank performance appraisal documents and provide advice on how to use them.
- Advise and coach managers on the performance appraisal process.
- Remind managers of the timetable and monitor implementation.
- Use the data from appraisals to inform the Service Plans and guide Directorates.
- Monitor performance appraisals to ensure good quality and consistent application of assessment criteria.

10. How Should We Prepare?

To get the best out of an appraisal meeting, both the manager and employee need to prepare.

Remember an appraisal meeting is a two-way discussion and an ongoing process, not an annual event.

Managers and employees both have responsibilities for ensuring that appraisals are successful. Providing feedback is critical to improving performance.

11. Reviewer's Checklist

Below is a checklist of what to check in each section of the appraisal form to ensure it has been carried out effectively.

- Has the employee received regular one-to-ones e.g. in a six month period a full-time employee should have at least four one-to-ones. If not, how have evaluations of performance been made?
- Are objectives taken from the service objectives plan? If not, objectives should be revisited.
- Are tasks measurable? If not suggest appropriate tasks.
- If mid-year, have comments been added?
- If end-year, has an assessment been made?
- Have competencies requiring development been identified?
- Does the assessment appear fair in comparison to other members of the team?
- Have short-term learning objectives been set to address competency development needs?
- Has the impact of development activities been evaluated (has the activity made any difference to performance)?
- For longer-term development: could the employees' aspirations be incorporated into the future of the service?
- Are there any comments to suggest any issues that may need intervention?
- If you find that the quality of what is recorded is unsatisfactory, you may need to coach the relevant manager to address any issues, and advise that part of the meeting may need to be carried out again.

12. Employee Preparation

Employees should:

- • Gather evidence about your performance by seeking feedback from colleagues and customers, where appropriate and review your own one-to-one notes
- • Review appraisal documentation prior to the meeting and if deemed appropriate forward to the manager before the appraisal meeting

13. Self-Assessment Form

You should complete **Appendix 4** before your appraisal meeting. Your answers to these questions will help both you and your manager to start thinking about your achievements, key learning points and development needs.

Try to be specific when answering the questions so that you can clearly identify what your strengths are, what you have developed and what you need to develop. During your performance appraisal meeting, you will discuss the answers you have provided and your manager will give you feedback on your performance throughout the year.

14. Manager Preparation

Prior to the appraisal meeting managers should:

- Gather evidence to ensure a fair assessment
- Consider what objectives, competencies and development should be set
- Review the information provided to you by the employee for self-assessment
- Agree a date for the appraisal meeting
- When providing constructive feedback to an employee, ensure that you have more than one example to support your view. If the particular behaviour only occurred once, this may need to be highlighted but is not necessarily a developmental issue

15. Sources of Evidence

There are several sources of evidence which you may use to help you make an objective assessment of performance. Some options might include:

WORK SAMPLES – such as project reports, project plans.

OBSERVATIONS – Noted by the employee during the appraisal year

COLLEAGUES – Information and comments from work colleagues and others (although please note that feedback received from other colleagues should be treated with caution, especially if negative, as an employee is unable to provide first hand evidence of any event or behaviour).

CUSTOMERS – This could be collected in a range of formats but depends on the job undertaken and the customer contact.

16. If an Employees is Under-Performing?

The most effective way to tackle underperformance is to approach the individual as soon as the situation arises. Constructive feedback should be used to highlight the area of concern, and include suggestions on how the situation can be better handled next time. Guidance on giving feedback is in Section 19. A record of the discussion should be kept, along with the development to be undertaken to improve. You should monitor improvement, and discuss with the employee as necessary.

Discussions about under-performance should not be left until the annual appraisal meeting. The appraisal discussion should contain no surprises or feel uncomfortable for you or your team member.

Where performance or conduct continues to be an issue, it may be necessary to take formal action. Consult the relevant Council Policy for further guidance.

17. What Should be Discussed at the Appraisal Meeting?

The appraisal discussion focuses on reviewing past performance (**Appendix 1**) and setting new work objectives for the coming year (**Appendix 2**). Remember this is a two-way process, with both the manager and employee contributing to ensure the process is both fair and effective.

A good way to start the discussion is to review what information has been provided in the self-assessment (**Appendix 4**). Managers can give their own thoughts on what has been written. At the end of the appraisal year, when making assessments of whether objectives have been met and development of competencies achieved, feedback should also be given.

18. Assessing Specific Objectives

The appraisal discussion requires all objectives that have been set to be reviewed against the appropriate scoring mechanism as seen below:

FA = Fully Achieved – Score 4

Using this grade means that the specific objective has been successfully achieved in all aspects

PA = Partially Achieved - Score 3

This grading can be applied when the specific objective has not been fully achieved for a particular reason but the achievement is 50% and over. It does mean that there has been a recognisable level of achievement

SA = Some Achievement - Score 2

This grading can be applied when the specific objective shows some achievement above 25% of the objective but below 50%.

NA = Not Achieved – Score 1

If a specific objective has not been achieved or minimal movement has been made toward achieving it then this grade should be used. As with PA it does not necessarily mean a performance failure as there may be many reasons why it wasn't met. These reasons should be outlined on the form, and where non achievement is outside of the employee's control this objective should be agreed to be removed for assessment purposes. For example funding for a project is no longer available and the project is ceased.

19. Assessing Competencies

The focus of the competencies is to look at what makes performance effective and excellent.

0 = Performs Poorly

An assessment at this level indicates that the employee has not performed at an acceptable level over the previous year in relation to the specific indicator. This may be for several reasons but highlights there is a need for improvement or continued improvement. Following an assessment of 0 it is essential that an action or

development plan is or has been put in place to show how and when improvement will occur.

1 = Performs unsatisfactorily

An assessment at this level indicates that the employee is performing at a level that is below what would be acceptable to the organisation.

2 = Perform Satisfactorily

An assessment at this level indicates that the employee is performing at a level that is acceptable to the organisation, but would indicate that the behaviours are not consistently demonstrated.

3 = Performs Well

To perform well requires an employee to be consistently working to a high standard of behaviour as required by the competency, and will always be over and above the satisfactory level.

4 = Performs Exceptionally

An employee who is performing exceptionally in relation to the specific indicator means they have consistently demonstrated that they 'go the extra mile' significantly better than -3- (performs well). To give an assessment at this level will require clear evidence and will generally be an exceptional assessment.

See Appendices 6 and 7

20. Assessing Performance Fairly

Once evidence has been gathered a manager will need to be able to use it to make an assessment of the employee's performance. Consideration should be given to the following questions:

- How does the individual's performance compare to the expected standard?
- What was the impact of the employee's performance?
- If as a manager you don't work in close proximity to your employees because of their location consider different ways in which you can make observations and obtain feedback.
- What other factors may be affecting an employee's performance? Such as issues at home or work, health issues, learning and development needs, and motivation.

An effective performance appraisal system is one that is fair. This means ensuring that as a manager you fulfil your obligation to assess your employees' performance and learning and development needs in a consistent and fair manner. This includes ensuring no discrimination is made on equality grounds. With disabled staff it is important to ensure appropriate reasonable adjustments have been made in their roles and that these are taken into consideration when assessing their performance. This is important to ensure that an acknowledgement is made of differences in how the role may be performed and does not mean that duties are not fulfilled. For further information please see the relevant Council's equalities policies.

21. Feedback

Most people would agree that feedback is a good thing to give and receive, even though it may sometimes feel uncomfortable. Meaningful feedback is an essential part of effective performance appraisal. Feedback increases motivation, supports development and helps individuals to be clear about how to be effective in their role.

Motivation describes the drive a person has to work towards certain goals or objectives, By giving feedback, you are highlighting what a person can do more or less of to help them succeed. This makes feedback a powerful tool.

Learning and development is about building on an existing ability. By providing feedback you can signpost where changes in behaviour can be made to further development.

22. How to Give Feedback

The table below can be used as a method to help structure feedback:

OBSERVE	
Use only observable behaviours or actions	What did the person say/do or not say or do? What did you see or hear?
DESCRIBE	
What impact does the behaviour create in your own mind or other people's minds?	It leads me to think/the impression this creates is.....
CONSEQUENCES	
Describe the consequences that the behaviour creates for other people or the organisation.	And the result (or likely results) is/are.....
SUGGESTIONS	
Make and invite positive and constructive suggestions on how the person can act on the feedback. Agree any actions required.	What do you think is the best way of tackling this issue? What I'd like you to do differently is

The key thing to remember is that feedback should be constructive, whether the message is a positive or negative one. The receiver of the feedback should know exactly what it was they did well and not so well, so that they can understand the impact of their behaviour.

Throughout the discussion, the aim is to seek agreement so that both parties can agree and move forward.

23. Receiving Feedback

An employee should feel encouraged to respond to the feedback received. There may be occasions when an employee does not agree with the feedback received, and they have the right to say they don't agree and why they don't agree. A key purpose of feedback is to be able to decide on any action to be taken.

Tips for receiving feedback:

- Ask questions if you are unclear about what is being said.
- Prompt for constructive feedback to be given if felt wanted or needed.

24. Learning and Development

The Council's take the view that investing in the development of all its employees is a priority, and should be planned, implemented and evaluated to ensure it is effective. Development planning is a key component of performance appraisal, as it provides the opportunity to discuss the support an individual needs to meet their objectives.

The learning and development planning discussion has two parts: short-term and long-term.

Short-term development should be focussed on supporting the achievement of business objectives and development of competencies for the coming year. Where as longer term development will go beyond the initial year of the appraisal cycle. Consideration at this point should also be made to available funding and how this can be used to meet the learning requested.

25. Planning Learning and Development

Answers to the self-assessment questions can be used as a basis for discussion about the learning and development plan. It is important that the employee is made aware of all learning and development needs and consideration be fully given to how they can be addressed.

Development activities will be most effective if learning is applied to the work be undertaken. An employee should discuss with their manager how to make the most of the development undertaken.

Achievement of any learning and development plans remains the responsibility of the employee but should be reviewed on a regular basis to ensure that they are appropriate.

Short term development should include details of:

- The development objective
- Why it is needed
- How the objective will be achieved and by when

Remember- development takes time! No-one becomes an expert overnight. The conscious-competence model is useful for outlining the process that individual's go through when they are learning something new.

26. Evaluation of Learning

Following the completion of any development activity, you should discuss the impact it has had on the employee during subsequent one-to-one meetings. The level of impact also needs to be noted on the appraisal form. This may also be an opportunity for you to provide feedback on any changes you have observed in the employee's behaviour as a result of the activity.

To increase the effectiveness of development activities further still, try to discuss how the employee's development can continue to be built upon. For example, if they have attended a course on project management, it may be useful to consider which projects they could become involved in over the course of the year.

27. Setting Objectives

Effective objective setting is crucial to the performance appraisal process. This part of the discussion clarifies to employees exactly what is expected from them. It also provides the opportunity to agree what support managers need to provide in order to help the employee achieve their objectives. Objectives should contribute to the delivery of the service plan and organisational priorities and encourage the employee to recognise how their role fits into the bigger picture.

Objectives should:

- Be tailored so that they consider an individual's abilities, experience and aspirations
- Be stretching/challenging so that the individual has an opportunity to develop new skills and experiences (this refers to the quality of the work not quantity)
- Be supported by the individual's development plan
- Be reviewed regularly
- Be amended if circumstances arise that affect the business objectives, e.g. new policies/priorities, changing customer needs
- Be in line with each Council's values
- Be SMART (Specific, Measurable, Achievable, Realistic and Resourced, Time-bound)

An example objective for a Directorate Support Officer role could be:

Service Plan Objective - To ensure best use of available resources by improving cost and efficiency

SMART Objectives (what this means to me) - Produce a budget monitoring report every month for the manager and for team meetings, and highlight any issues especially those showing improved value for money or increased costs.

How Many Objectives?

No more than 8 objectives should be set for employees. Fewer objectives may be set if employees:

- Work part-time hours
- Are part of a team where there are several others fulfilling the same role
- Are not office-based

It may be appropriate for you to set the objectives for these employees in advance of the appraisal meeting, especially if you have a number of employees fulfilling the same role.

28. Comments and Sign-off

The final section of the performance appraisal form can be used to make additional comments that the manager, employee or reviewing manager may have. If for any reason an employee is unhappy with the outcome of their performance appraisal or would like to record any mitigating circumstances that may have affected performance, this should be recorded in the comments section. Once the appraiser and the appraisee comments have been made, the form should be passed to the reviewer.

29. What Reviewers Need to Check

Performance appraisals are only effective if both the manager and employee act on what has been agreed. Throughout the year, one-to-one meetings should be used to review objectives, which may need to be amended to reflect a change of circumstance, e.g. a new service is being delivered. Once completed, the appraisal should reflect the evidence that has been gathered throughout the year.

30. Ensuring Quality

To ensure that performance appraisals are being conducted to a good standard, each completed appraisal should be checked by a reviewer. The reviewer is responsible for checking that:

- suitable objectives have been set
- performance has been assessed fairly, using evidence
- the performance appraisal is of a good quality in that it will effectively contribute to improving performance
- assessments are consistent between individuals
- equality and diversity issues are considered in work objectives and personal development planning

31. General Advice for the Appraiser

1. Take notes of what occurred during the discussion. Notes are important for providing evidence for auditing, data protection, equality and fairness.
2. Take action. The time spent on agreeing objectives and planning development is only effective if both the employee and manager are committed to carrying out what is agreed.
3. Review, review, review. Performance appraisal should never be a surprise. You should remind yourself and your employee of their objectives and the progress they are making towards those at one-to-one's.

32. Documents

On completion of the appraisal a copy of the form should be retained by the employee and manager and also forwarded to:

- CDC; forwarded electronically to the HR Team
- SNC; forward a copy of the training section of the form to the Human Resources Team

Note: For the February/March appraisal a looking back (assessment form) and looking forward (setting targets) form should be completed and for the mid year review only this form needs completion. The relevant forms should be returned to HR upon completion however copies of all three forms do not need to be sent on each occasion.

33. Appeals

If there is a disagreement relating to any part of the process that cannot be resolved between the employee and the reviewer then an appeal can be made to the Head of Service (or Director if the line manager is the Head of Service). Appeals for members of JMT with the exception of the Chief Executive (where a separate policy applies) will be heard by the Joint Appeals Committee.

Please refer any queries about this policy or the general appraisal process to your HR team.

APPENDIX 1 - Future Objective Setting and Contribution to Council Plans and Directorate/Service/Team Plans

Year 1st April 20 to 31st March 20

Employee Name:	Post Title:	Department:
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Is the JD up to date for this role? Yes No (if no what action is being taken to update it and in what timescale)

If the Employee claims mileage has the required vehicle documentation been checked by the line manager Yes No

If the Employee is a lone worker have the necessary forms been completed, is the employee aware of the Lone Working Policy Yes No

Are there any health and Safety issues that need to be addressed for the employee Yes No

What are the specific objectives/targets for the coming year?	How will your success in achieving these objectives be measured?	When will these objectives be achieved by?	How do these objectives relate to Council, and Directorate/Service/Team Plans?
1)			
2)			
3)			
4)			
5)			
6)			
7)			
8)			

Personal development to enable competencies and objectives to be met – required for next 12 months

Guidance note: Learning and Development is much more than attendance at training courses and conferences, this might also include e-learning, work shadowing and coaching or on the job training as well as qualifications.

Learning and development should be 'top down' and 'bottom up' i.e. 'Top down' learning is that which is allocated by an employee or line manager that flows from Corporate, Directorate and Service plan needs. 'Bottom up' learning will come from an employees ideas about what they needs to learn to improve their own performance and career aspirations.

Describe the learning and development activity requested for the next 12 months.	How will this be delivered and when?	How will this learning impact on individual performance and on service delivery?

Sign Off

I have discussed this with my supervisor/manager and wish to make the following comments:

Signed Appraisee

Date

Manager comments:

Signed Appraiser (Supervisor/Line Manager)

Date

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

Signed Reviewer

Date

Please return a copy of this form to your HR team as soon as possible after your appraisal date.

APPENDIX 2 - Mid Year Review Form

Year 1st April 20 to 31st March 20

Employee Name:

Post Title:

Department:

(Should you wish to add, delete or amend objectives/targets set in Part A please record this information here)

Are there any additional, changed or deleted specific objectives/targets for the coming year? Please state.	How will your success in achieving these objectives be measured? (if deleted objectives please write N/A).	When will these objectives be achieved by if applicable?	How do these objectives relate to Council, and Directorate/Service/Team Plans?
1)			
2)			
3)			
4)			
5)			
6)			

Personal development to enable competencies and objectives to be met – review of previous 6 months			
Describe the learning and development activity undertaken last year.	How was this delivered and when? (please give dates)	How did this learning impact on individual performance and on service delivery?	Assessment of value for money and comments 5-very good 4-good 3-satisfactory 2-poor 1-very poor

Sign Off

I have discussed this with my supervisor/manager and wish to make the following comments:

Signed Appraisee

Date

Manager comments:

Signed Appraiser (Supervisor/Line Manager)

Date

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

Signed Reviewer

Date

Please return a copy of this form to your HR team as soon as possible after your appraisal date.

APPENDIX 3 – Looking Back Assessment Of The Year

Year 1st April 20 to 31st March 20

Employee Name:

Post Title:

Department:

Looking Back

**Review of the years' performance against the specific objectives/targets set for the previous year as stated above.
Please use the assessment of:**

<p>FA: Fully achieved Using this grade means that the specific objective has been successfully achieved in all aspects</p> <p>Score 4</p>	<p>PA: Partially Achieved This grading can be applied when the specific objective has not been fully achieved for a particular reason, but over 50% of the objective has been achieved</p> <p>Score 3</p>	<p>SA: Some Achievement This grading can be applied when the specific objective has shown some achievement above 25% but under 50%.</p> <p>Score 2</p>	<p>NA: Not achieved If a specific objective has not been achieved or minimal movement has been made toward achieving it then this grade should be used. As with PA it does not necessarily mean a performance failure as there may be many reasons why it wasn't met. These reasons should be outlined on the form, and where non achievement is outside of the employee's control this objective should be agreed to be removed for assessment purposes. For example funding for a project is no longer available and the project is ceased.</p> <p>Score 1</p>
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Scores must be 1, 2, 3, or 4 - half scores will not be accepted.

What were the main objectives for the year?	Assessment (FA/PA/SA/NA)	Score	Appraisee Comment	Appraiser Comment
1)				
2)				

3)				
4)				
5)				
6)				
7)				
8)				

Looking Back - Competencies

This section reviews the agreed employee competencies that should enable employees to achieve their work objectives successfully. Your manager should review you against all of these competencies.

Note: The 3 management competencies should only be used for line managers or supervisors.

Please use assessment of: 0 = Performs poorly 1 = Performs unsatisfactorily 2 = Perform satisfactorily 3 = Performs well 4 = Performs exceptionally (No half scores)	Assessment 0,1, 2, 3, 4 (One score per box)	Appraisee Comment	Appraiser Comment
Communicating with Others <ul style="list-style-type: none"> ○ Regularly communicates with colleagues effectively ○ Allows others to contribute to discussions ○ Can communicate at an appropriate level for the role ○ Respects colleagues and treats them with dignity and fairness 			
Customer Focus <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 			
Team Working <ul style="list-style-type: none"> ○ Contributes positively to team working ○ Completes their role fully and effectively ○ Always supports everyone in the team 			
Innovation & Problem Solving <ul style="list-style-type: none"> ○ Brings problems and issues to the attention of supervisors when appropriate ○ Makes suggestions to improve the team performance ○ Accepts responsibility at the appropriate level ○ Offers solutions to identified problems using creativity and innovation 			
Technical Expertise <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			
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Competencies for use when assessing supervisory/management roles only	Assessment (1,2,3,4)	Appraisee Comment	Appraiser Comment
Supervisory Skills <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 			
Managing Change <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 with them ○ Considers all options and make good decisions 			
Leadership & management <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 			

Personal development to enable competencies and objectives to be met – review of previous 12 months			
Describe the learning and development activity undertaken last year.	How was this delivered and when? (please give dates)	How did this learning impact on individual performance and on service delivery?	Assessment of Value for Money 5-very good 4-good 3-satisfactory 2-poor 1-very poor

What has gone well this year? What have been the notable achievements?

What has been difficult to achieve or problematic?

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

General comments

Sign Off

I have discussed this with my supervisor/manager and wish to make the following comments:

Signed Appraisee

Date

Manager comments:

Signed Appraiser (Supervisor/Line Manager)

Date

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

Signed Reviewr

Date

Please return a copy of this form to your HR team as soon as possible after your appraisal date.

Appendix 4 – Self Assessment Form

Year 1st April 20 to 31st March 20

Employee Name:

Post Title:

Department:

Self-Assessment Form

You should complete this form and forward it your manager before your performance appraisal meeting. Answers to these questions will help both you and your manager prepare for the meeting. Use evidence such as meeting notes and feedback from others to support your comments.

1.Has the past year been good/bad/satisfactory or otherwise for you, and why? Discuss high & low points.

2.What were your most important job activities and responsibilities over the last year? And what skills or learning did you gain?

3.What areas of your job do you enjoy the most, and which the least?

4.What are you best at?

5.What do you think you need to develop? How do you think this could be realistically achieved?

6.What if anything, stops you doing your job well?

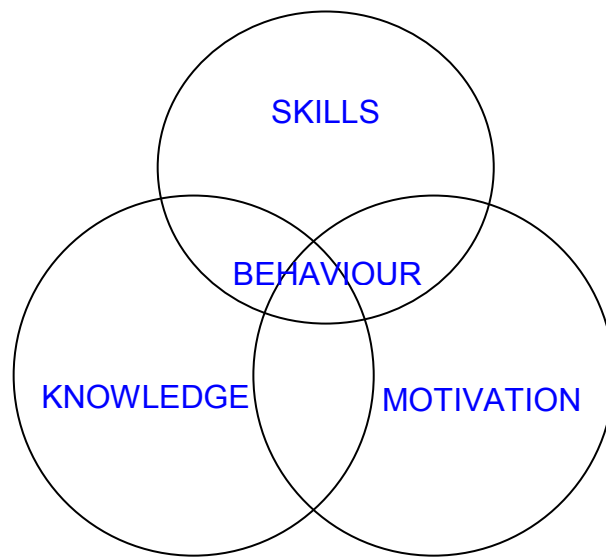
Appendix 5 – Employee Evidence Log

Appendix 5 – Employee Evidence Log	
Competencies	Evidence
Communicating with Others	
Customer Focus	
Team Working	
Innovation & Problem Solving	
Technical Expertise	
Competencies supervisory/management roles only	Evidence
Supervisory Skills	
Managing Change	
Leadership & management	

objectives/targets	Evidence
1)	
2)	
3)	
4)	
5)	
6)	
7)	
8)	

Appendix 6 - Competencies

Competencies describe the behaviour that is performed given the skills and knowledge we have acquired and the motivation we have (see following diagram). A competency affects how an action is performed, not just what is done.



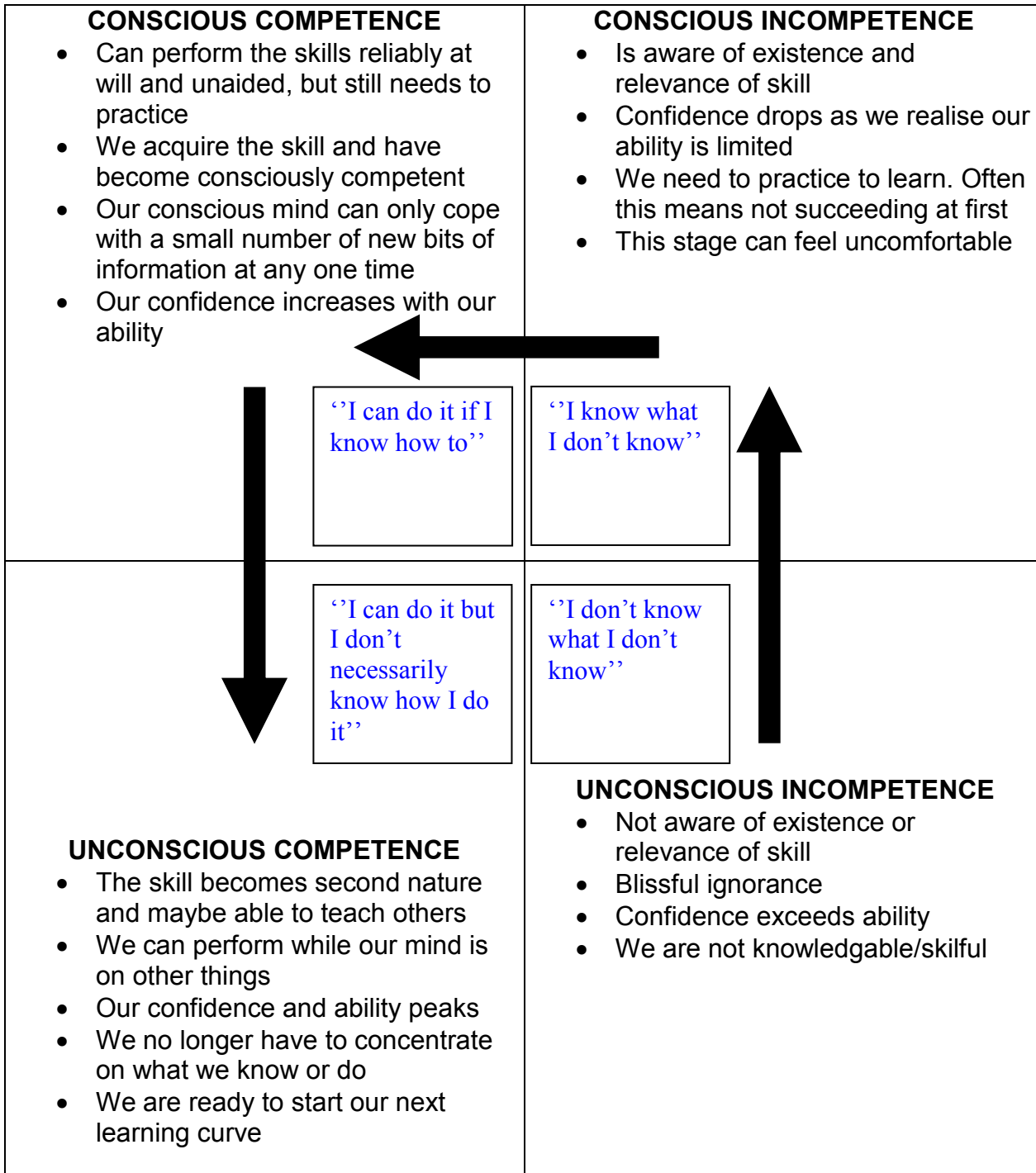
For example, an individual may know how to send an email, but this does not necessarily mean they are able to communicate effectively. They may have the technical skill to be able to use the software, and knowledge of the English language, but they may not write the email in a way that clearly communicates its purpose i.e. asking for information.

The purpose of the competency assessment is to identify whether the competencies have been achieved to a required standard and whether any areas require improvement for the future year. Any score marked lower than a 4 should be considered for future improvement, but this may depend on individual circumstances.

- Performs poorly
- Performs satisfactorily
- Performs well
- Performs exceptionally

Appendix 7 - Conscious Competence Learning Model

As we learn a new skill, behaviour, ability or technique, we go through different stages of competence. The model below illustrates how someone may feel as they move through each stage. By providing feedback and opportunities for practice, you can help someone progress through the stages of learning.



When selecting development activities, try to avoid focusing only on training courses, as there are many ways that an individual can develop (see diagram below).

Attend a conference or seminar	Shadowing	Development Programmes
Attend a short course	DEVELOPMENT OPTIONS	Become a mentee or mentor
Increased responsibility		Become a coach or receive coaching
Secondment opportunities	Reading or researching a particular area	Change of Duties

In supporting any long-term development, consideration should be given to the following:

- What could be learnt or developed in the employee's current role that could contribute to their aspirations?
- Could shadowing in another directorate/service help the employee?
- How could the development activities benefit the service/organisation in the long-term?

By the end of the discussion you should be able to establish what actions both you and your employee will take in order to work towards those objectives. Long-term development remains the responsibility of the employee, but should be supported by managers where possible.