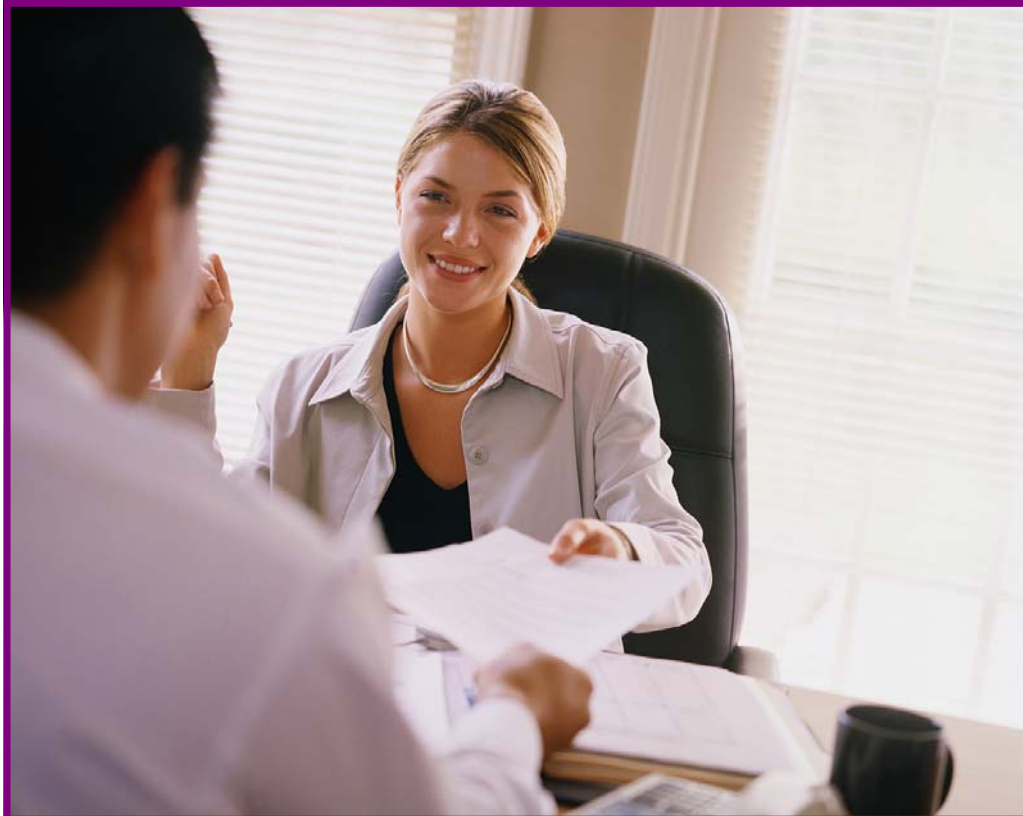


# Performance Appraisal Scheme



## Guidance



SCOTTISH  
**CHILDREN'S REPORTER**  
ADMINISTRATION

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# INTRODUCTION

Performance appraisal is a vital tool in helping to ensure that SCRA's strategic aims and objectives are delivered through our employees.

There are two main thrusts to the performance appraisal process, namely to **review the performance of employees** and to **develop employees**, with a view to achieving the organisation's key goals, as set out in the corporate plan.

This guidance aims to explain what the performance appraisal process is all about, how it works, and to provide practical guidance on participating in a performance appraisal meeting.

Also included are two checklists, one for line managers and one for employees, to help both to prepare adequately. Finally, for your convenience, the document contains copies of the forms you need to complete to maintain an accurate record.

## BACKGROUND

### What is a performance appraisal?

Performance appraisals regularly record an assessment of an employee's performance, potential and development needs. The appraisal is an opportunity to take an overall view of work content, loads and volume, to look back on what has been achieved during the reporting period and agree objectives for the next.

For SCRA, key strategic objectives are contained within the 3 year rolling Corporate Plan. From these objectives annual deliverables are developed to form the basis of the Business Plan. From the Business Plan, Group Plans and Team Plans are developed. Finally individual performance objectives agreed as part of performance appraisal are expected to link through all of these layers back to the organisational targets contained in the Corporate Plan. In this way performance appraisals help to ensure that individual staff members are focused in achieving the corporate direction.

### What does the performance appraisal scheme set out to achieve?

The main objectives of the performance appraisal scheme are to review individual performance, potential and identify training and career planning needs. In addition the appraisal system is used to determine the level of financial reward employees should receive for their performance.

Performance appraisals give managers and employees opportunities to discuss how employees are progressing and to see what sort of improvements can be made or help given to build on their strengths and enable them to perform more effectively. One-to-one discussions between employees and their line managers will provide an opportunity for both parties to share the responsibility for setting individual objectives and performance standards.

A review of potential and development needs predicts the level and type of work that employees will be capable of doing in the future and how they can be best developed for the sake of their own career and to maximise their contribution to the organisation.

Reward ratings determine the salary progression and non consolidated bonus that employees might receive for their past work.

SCRA's performance appraisal scheme encourages participation and discussion because it allows the employee to self-assess, and record this self-assessment alongside the reviewer's assessment. It also retains a high degree of impartiality because the emphasis is on statements of evidence of achievement.

## What are the benefits of performance appraisal?

For the individual, performance appraisal is an opportunity to: -

- understand your role and achieve clarity in terms of what is expected of you
- gain feedback on your performance, and recognition for good performance
- identify your strengths and how they could be best utilised
- plan your development with the support of the organisation
- improve your working relationships
- receive support to overcome any difficulties

For the organisation, performance appraisal is an opportunity to: -

- communicate organisational plans and objectives
- agree key targets for employees
- support improvements in performance
- develop potential
- help employees to overcome difficulties
- receive feedback which may help to improve organisational performance

## Does performance appraisal embrace equality & diversity?

SCRA is committed to equality and diversity. Everyone must be given the opportunity to demonstrate their abilities and develop their potential. We must reflect this in the way we operate the performance appraisal scheme, including ensuring that all staff have the opportunity to participate in our review and development processes.

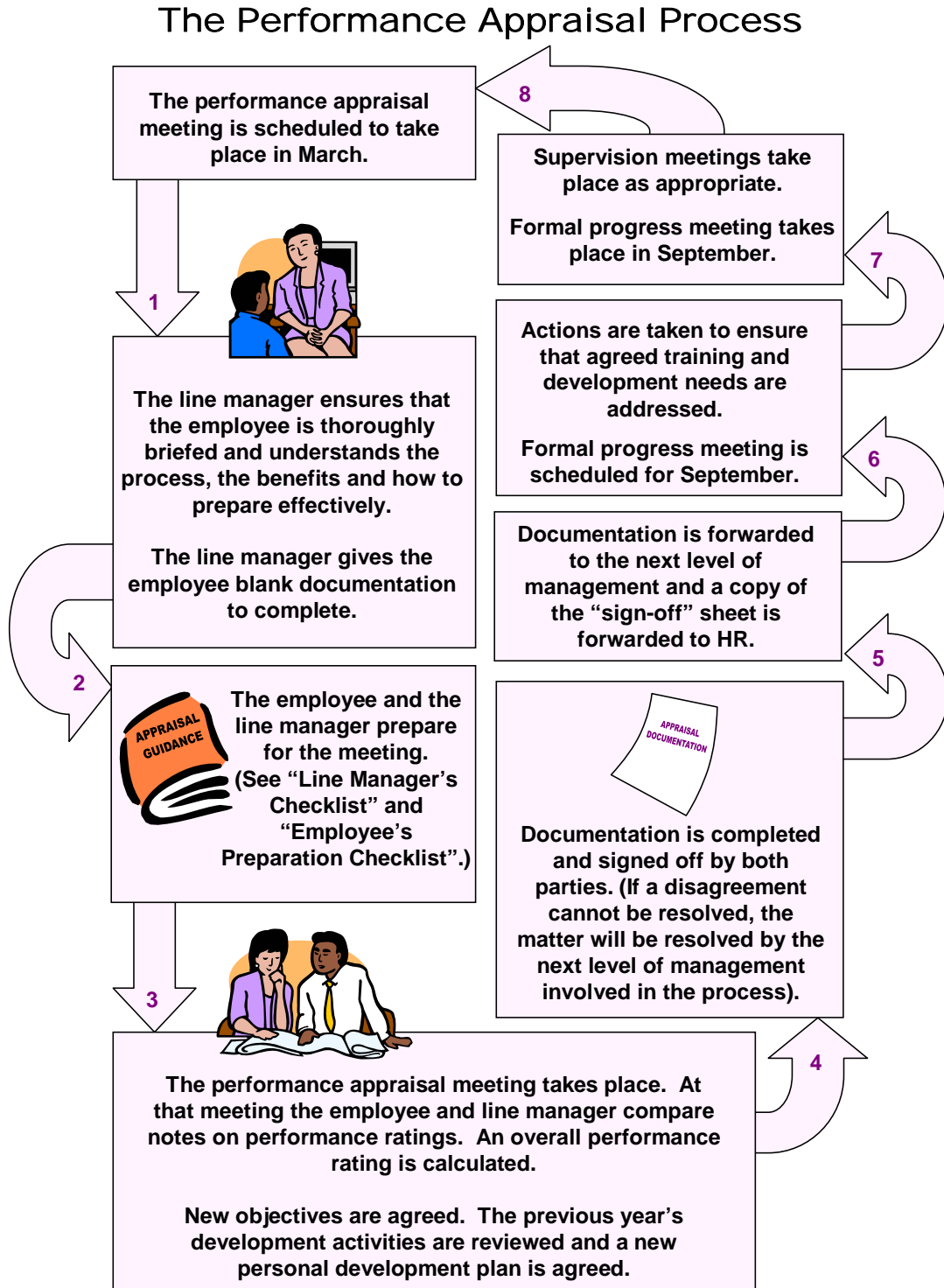
The advice given in the appraisal must be about performance only and should guard against discrimination on grounds of sex or marital status, on racial grounds, or on grounds of disability, age, sexual orientation, language or social origin, or of other personal attributes, including beliefs or opinions, such as religious beliefs or political opinions or indeed any other criteria not related to job requirements. Each employee's performance should therefore be considered honestly and impartially on the basis of evidence.

We must also be proactive when it comes to training and development planning. In undertaking this process a conscious effort must be made to build on potential, and to avoid making assumptions about an individual based on stereotyped views about the abilities or weaknesses of certain groups.

# GUIDANCE ON THE PROCESS

## How is the Performance Appraisal process carried out?

An overview of the process is given in the following flowchart.



## How often should performance appraisals take place?

SCRA’s performance appraisal scheme requires two meetings to take place each year. Each employee will have their performance assessed twice a year – once to assess progress and once to agree a final performance rating and set objects for the next appraisal year. The timescales for these meetings is outlined as follows.

MARCH	SEPTEMBER
performance appraisal meeting	progress meeting

Although a minimum of two meetings are required, in practice performance appraisal should be viewed as a continuous process and therefore the dialogue between employees and their line managers should not be limited to the formal meetings. It is important that within teams, line managers should undertake to monitor and review performance objectives set at the performance appraisal meeting. Supervision meetings may have to be scheduled to facilitate this process to take place periodically, for example monthly or quarterly. The exact frequency will depend on a range of factors, including the nature of the job, the size of the team, how experienced the employee is etc.

## What should meetings consist of?

### Performance Appraisal Meeting

The performance appraisal meeting is a formal focused discussion between an employee and their line manager about how the individual has performed over the reporting period and how they have developed. Also how they can be supported to build on their performance over the forthcoming reporting period and how they can further develop their skills, knowledge and behaviours.

Some specific outcomes are required:

- An assessment of performance against a core set of required skills and behaviours. Ratings to be agreed by consensus and backed up with a narrative indicating where further evidence can be obtained if required and where appropriate.
- An assessment of performance against agreed performance objectives – rating to be agreed by consensus.
- A calculated overall performance rating.
- An agreed set of individual performance objectives for the forthcoming year.

- An agreed personal development plan.

It is important that the planning of individual performance objectives dovetails with and supports the delivery of corporate objectives. Indeed for some posts, certain individual performance objectives will be predetermined according to the priorities for the corporate plan. In practice the corporate planning process may not have been completed by the time the performance appraisal meeting is due to take place in March. In such circumstances it may be necessary to delay discussion about individual performance objectives (and any associated training requirements) until the corporate planning process is complete – a separate objective setting meeting should be scheduled. In any event the appraisal element of the performance appraisal meeting should not be delayed beyond March.

In practice it may be necessary to schedule a separate meeting to agree individual objectives to ensure that they dovetail with and support the delivery of the corporate plan.

### **Progress Meeting**

The progress meeting is a formal opportunity to take stock, exchange views on how the employee is doing, ensure that the personal development needs are being met and provide any necessary additional support. This, together with regular supervision, will help to ensure that there are no surprises when the performance appraisal meeting comes around and should pave the way towards reaching a consensus.

The format of the progress meeting mimics the performance appraisal meeting except that performance objectives and personal development plans are reviewed rather than set at this meeting. Performance ratings should still be agreed to give an indication of how the individual is currently performing. However these ratings will not be used in the calculation of a performance rating at the end of the year.

### **What happens if we can't reach an agreement or consensus?**

If the two parties fail to agree then this should be recorded on the form before it is passed on to the next level of management.

If the reason for the failure to agree is due to a difference of opinion, then the next level of management should examine the comments on the form, speak to both parties requesting evidence to back up comments where necessary, and then make a decision. They should record their comments on the form and their decision will be final.



If the employee feels that they are being discriminated against, or they have some other grievance, then they should be advised to follow the guidance laid out in the appropriate HR Policy/Procedure. In such cases the performance appraisal should be suspended until the issue is resolved. It is important that the employee understands exactly why the performance appraisal is being suspended. Equally, if the line manager cannot progress towards an agreement because there are serious disciplinary issues, then the performance appraisal should be suspended and the appropriate action should be taken under SCRA's disciplinary procedures. The performance appraisal is not itself a vehicle for enforcing discipline and it should not be used as such.

In practice, the situations described in the preceding paragraph will be rare, because issues of discipline or grievance need to be dealt with as and when they arise, and should not be left to the performance appraisal meeting.

### **Is further guidance available on how to write individual performance objectives?**

Yes. A booklet is available from Human Resources & Organisational Development entitled *How to Write Performance Objectives* which provides clear step-by-step guidance together with some specific examples tailored specifically for SCRA.

### **How does the ratings systems work and what are the implications for financial rewards?**

The revised scheme consists of two assessed parts:

- Skills and Behaviours
- Performance Objectives

#### **Skills and Behaviours**

A skills and behaviours framework has been developed which outlines 8 key skills and behaviours (10 for managers) which are important for individual and organisational performance. These are as follows:

- Team Working
- Relationships with Colleagues
- Communication
- Customer Focus
- Planning and Personal Organisation
- Commitment and Motivation
- Job and Professional Knowledge/Skills
- Problem Solving and Decision-Making

And in addition, for managers:

- Managing Objectives
- Managing People

Straightforward questions are posed about performance in relation to each of these skills and behaviours. Staff and managers are both required to give an initial performance against each skill and behaviour prior to the appraisal meeting. At the appraisal meeting a consensus rating is agreed where possible and then a total score calculated.

Further information about the definition of each skills and behaviours category is given at the end of the paperwork. This is expressed in terms of a summary statement and examples of “more effective” and “less effective” skills and behaviours.

The scoring mechanism is a 1 to 4 scale – where 1 represents the desired skill or behaviour never being demonstrated and 4 represents the desired skill or behaviour always being demonstrated. The final rating is then divided by the number of skills and behaviours applicable to the role.

### **Performance Objectives**

Instead of a rating for each objective, one overall rating is applied in relation to performance against agreed objectives. Again this is a 1 to 4 scale – where 1 represents a failure to meet all objectives and 4 represents achievement of all objectives and to an exceptionally high standard.

Objectives are set appropriately at all levels of the organisation, typically in relation to the core outputs of a particular role and/or to take into account specific projects or overriding business imperatives.

### **Overall Ratings Outcome**

An overall rating will be derived based on adding together the score against skills and behaviours with the score against objectives and dividing by two.

The overall score will result in a performance rating of one of the following:

- Unacceptable performance (Score of 1)
- Room for improvement (Score of 2)
- Acceptable (Score of 3)
- Exceptional (Score of 4)

## **Implications for Financial Rewards**

This is subject to collective negotiation for each pay remit with UNISON representatives.

## **Is further guidance available on how to prepare a personal development plan?**

Yes. A booklet is available from Human Resources & Organisational Development entitled *Personal Development Planning* which provides clear guidance and useful checklists.

## **Can a member of staff who has recently joined SCRA be part of the scheme?**

Every member of staff will be part of the scheme and will be scored in the same manner. However newer members of staff may not be entitled to bonus awards – details subject to negotiation.

## **Is the performance appraisal confidential?**

Information collated in the context of the process will be subject to the guiding principles of the Data Protection Act. It is essential that all records remain confidential. Access to information will generally be restricted to the employee, to the employee's line manager and to next person in the chain of management for review purposes only. The review by senior management should relate only to issues linked to performance management, training and development and reward ratings. In exceptional circumstances, where patterns of ratings appear to be unusual/unexpected, evidence may be forwarded to the Performance Appraisal Review Panel. In such circumstances the material presented will be anonymised.

## **Is the scheme monitored to ensure fairness and equity?**

To ensure that the scheme is applied in a fair and equitable manner, a Performance Appraisal Review Panel has been established. The key responsibilities are:

- To collate and review the initial objectives and ensure alignment to the corporate objectives.
- To challenge managers on patterns of ratings where these appear to be unusual/unexpected and ensure that there is sound evidence to substantiate the ratings. The material presented to the panel will be anonymised. Any action required will be progressed via the panel chair through the line management structure.

- To collate and monitor interim and ongoing performance ratings statistics, to ensure a fair and equitable approach to the management of the process. This will include examining distributions of ratings in terms of disciplines, geographies, gender, seniority etc.
- To monitor equal opportunities in line with Equal Opportunity Standards and provide feedback to management as appropriate.
- To review the overall process on an annual basis and make appropriate recommendations for improvement.
- To update the competency descriptions and collate real examples of SCRA manifesting the competencies at the various levels.

### **Who are the representatives on the Performance Appraisal Review Panel?**

It is important that the Performance Appraisal Review Panel comprises people who are representative, can contribute to the review and, where necessary, are able to challenge distributions of ratings. There is representation from the following groups:

- Chaired by Human Resources Manager
- Nomination from Unison
- Reporter Manager
- Authority Reporter
- Authority Support Manager
- Reporter
- Support Assistant
- HQ Representative

A quorum of five of the above is required to enable a Panel Meeting to proceed.

### **How should you prepare for the performance appraisal meeting?**

The following two pages contain two checklists – one for the line manager and one for the employee – to help you both prepare. The key to success is to view this process as a high enough priority and to set aside sufficient time to complete it properly.

## Line Manager's Preparation Checklist

- ❑ **Allow sufficient time for the meeting.** Arrange an appropriate setting.
- ❑ **At least two weeks before the meeting, brief the employee thoroughly** to ensure they understand the process, benefits and how to prepare effectively. Give the employee a blank copy of the documentation and instruct them to fill in the employee's ratings. Encourage the employee to draft some key objectives (guidance entitled *How to Write Performance Objectives* is available from Human Resources & Organisational Development). Ask them to reflect on their development. Ensure copies of the Corporate Plan, Business Plan and Group Plan/Team Plan are available to all staff during this stage of the process. You may also want to give them a copy of your key objectives for the coming year, if they are clearly linked.
- ❑ **Look out their last review** and consider if the performance objectives are still current and to what degree they have been met or exceeded. If this is not available (i.e. if this is the employee's first appraisal) then look out their job description. Refer to any notes you have made over the year. Ensure you have a balanced view over the whole year, and avoid focusing on recent events. Ask yourself the following questions:
  - *What is the overall purpose of the job and what are the main job responsibilities/objectives?*
  - *How have these been met? Do you have examples?*
  - *What were the job holder's achievements since the last review?*
  - *What aspects of the job holder's performance led to effectiveness and should be built upon?*
  - *In what ways has the job holder's performance changed since the September progress meeting?*
- ❑ **Consider skills and behaviours.** Ask yourself the following questions:
  - *What skills and behaviours demonstrated over the last year have contributed to excellent performance by the employee?*
  - *What skills and behaviours demonstrated over the last year have detracted from excellent performance by the employee?*
- ❑ **Complete the relevant parts of the blank documentation.**
- ❑ **Refer to the personal development plan.** Think through how the employee has developed since the last review.
  - *What support can you provide, that would lead to increased effectiveness or provide an opportunity for development?*
  - *What development was agreed at the last meeting? Has the training or self-development been effective and how has this impacted on the job?*
- ❑ **Develop ideas on what might appear as performance objectives** for the year ahead. Ensure you consider the Corporate Plan, Business Plan and Group Plan/Team Plan. Ask yourself the following questions:
  - *Are you making best use of their skills and abilities?*
  - *Would they benefit if they were provided further experience in other areas of work?*
  - *What direction might their career take?*
  - *What development, guidance and support do they need to help their work and further their career?*
- ❑ **Plan a clear structure for the Performance Review Meeting itself.** You may want to use the section of this guidance (pg 14), *Notes for Line Managers on How to Conduct a Performance Appraisal Meeting*, as a basis for the meeting.

## Employee's Preparation Checklist

### ❑ Consider Your Job

- Look out your completed appraisal documentation. Review your action points and clarify with your manager in advance if any have been superseded by legitimate service requirements. This will ensure that you will both go into the meeting in the full knowledge that the objectives to be reviewed are current.

### ❑ Assess Your Performance & Consider the Documentation

- List your main achievements since your last review.
- Make a note of examples that support this.
- List the aspects of your work that you have found the most satisfying.
- List the main challenges, frustrations or disappointments. For each, identify the steps you have taken to resolve them and/or suggestions for improvement.
- Consider your skills and behaviours. Which have contributed to, or detracted from, your performance? Make a note of examples to support this.
- Assess progress against last year's objectives.
- **Complete the relevant parts of the blank documentation.**
- Prepare a list of what you perceive as your key objectives for the year ahead.

### ❑ Reflect On Your Development

- How have you developed over the last year? Look at your development plan. How has it progressed? Have you been able to apply your training to your job? Think about new pieces of work you have completed or about new responsibilities.
- What additional skills or knowledge would you find useful in developing your performance?
- What skills or knowledge do you have that are not used in your present job but you would wish to use?
- Prepare a list of items for your development plan - ensure that any needs identified are precise, avoiding the use of generic terms such as 'writing skills', 'management training', 'computer training' etc.
- Consider how this development might be achieved. Remember there are various ways in which learning can occur e.g. classroom based, reading, secondment, on-the-job etc.

### ❑ Think About Giving Upward Feedback. Ask yourself the following questions to help you think through the feedback you want to give your manager:

- *What is working well? How can your manager continue to support you in the future?*
- *What could your manager do differently to help improve your performance? Use specific examples if possible.*

# NOTES FOR LINE MANAGERS ON HOW TO CONDUCT A PERFORMANCE APPRAISAL MEETING

Use the following guidance as a practical framework when conducting a performance review meeting.

## 1. **Set the scene.** Find ways to make the job holder feel at ease:

- Ensure the location is suitable for the meeting.
- Allow a few minutes to settle in to the discussion and create a relaxed atmosphere.
- Explain the format of the meeting, emphasising the benefits to the employee.
- Comment positively on their overall performance (or specific aspects of it if more appropriate).

## 2. **Self appraisal.** Ask open questions initially to explore how they feel the last few months have gone. Examples might include:

- *What have been your main successes?*
- *What have you found the most satisfying?*
- *What have you enjoyed the most?*
- *Where have you found the main challenges? To what degree have these been overcome?*
- *Where have the main frustration been?*

Do not get bogged down, you are looking for an overview at this stage. If necessary you can say, 'Let's look at that in more detail later.' and write it on the agenda.

## 3. **Review performance from the previous year.**

If one or two action points have been superseded and are therefore no longer relevant, acknowledge this early on to prevent the employee from worrying needlessly over the fact they have not been achieved.

Simply take one issue or objective at a time. Invite self-appraisal first then give your own feedback before attempting to reach a consensus. The accent is on the positive. Do not allow a satisfactory performance to become distorted by allowing a disproportionate amount of time to be spent on one or two shortfalls or frustrations. If they need a more thorough analysis, say 'This is important. Let's set some time aside to look into this in more detail.' Then diary some time and move on.

## 4. **Review the Personal Development Plan.** Explore to what degree any training and development has been actioned and how useful it has been. You might find the following questions helpful:

- *How useful did you find it?*
- *What expected outcomes were achieved?*
- *Did you gain any additional benefits?*
- *Were there any expected outcomes that were not achieved?*
- *How appropriate was this training method for you?*
- *Is there any further action or support that you need?*
- *Are there things that I could do to help you more?*
- *Are there things that we could change as a team that would help you more?*

## **5. Encourage Upward Feedback**

If this does not arise naturally in the discussion, encourage the job holder to give you feedback on what you could do differently to help improve their performance or the way you work together.

## **6. Agree Performance Objectives for the Coming Year**

You are aiming to ensure that the employee's personal objectives contribute to the overall team objectives which in turn are linked to service objectives and so on, all the way back to SCRA's Corporate. You need to familiarise yourself with all of the relevant planning documents. In addition you should have a feel for the following:

- Changing trends e.g. new services, legislation, systems and procedures coming on stream.
- Opportunities or areas for improvement (refer to any relevant performance indicators).
- The content of the employee's current job role (refer to the job description).
- How the employee's skills and behaviours are developing and what further development will assist.

In preparation for this meeting you will have developed some ideas on what might appear as key objectives, but ask the employee for their views first. You are aiming to ensure that the employee has a sense of ownership for their own key objectives.

Aim to agree a manageable number of action points for the coming year. These are specific objectives - don't fall into the trap of just setting out their job description.

Performance objectives need to be precisely written to ensure everyone understands exactly what is required. A booklet is available to help you entitled *How to write Performance Objectives*. This can be requested from Human Resources & Organisational development.

## **7. Support For Development**

It is important that the employee takes responsibility for their own personal development. Your role is to provide the necessary support for their development.



Three things need to be clear within the personal development plan:

- **The development area.** Ensure you are both clear on the desired outcome after the developmental activity takes place. Be very clear about the specific areas that need developed and why. Avoid the use of generic terms such as 'report writing', 'time management', 'management development' etc.

Consider what impact the learning outcome will have on the service, or the individual. Clarity at the outset will provide a more accurate focus for deciding the most effective solution and will also help in reviewing the effectiveness of the development after the event.

- **The most appropriate development activity.** Consideration should be given to the wide variety of training and development methods available. Individuals have particular learning styles that need to be balanced with considerations about availability, time, location and cost. So don't confine your thoughts to training courses, consider also on-the-job training, shadowing, mentoring, coaching, reading, distance learning, further education, secondment, job expansion etc.
- **Action required.** Ensure you reach an agreement and be clear who is going to do what at the end of your meeting. Agree a reasonable deadline and be clear about your joint expectations.

Further guidance on how to put together a personal development plan is available from Human Resources & Organisational Development entitled *Personal Development Planning*.

## 8. Conclude the meeting

- Thank the employee for their unique contribution to the organisation and the team.
- Highlight their key strengths, personal attributes and skills.
- Confirm the areas of improvement that have been agreed, and how these will be taken forward.
- Summarise any housekeeping details such as how you will record the main discussion points and when you will book training etc.

### Recording the Meeting

- *The "reviewer" should make notes of key points during the meeting and should agree the content with the employee at the conclusion of the meeting.*
- *Agreement should then be reached as to which party produces the written record on the form and by when.*

## DOCUMENTATION

*Blank documentation is laid out on the following pages.*



SCOTTISH  
CHILDREN'S REPORTER  
ADMINISTRATION

## Performance Appraisal

Name:

Appraisal Year:

### APPRAISAL PART ONE - Skills & Behaviours

*PART ONE Ratings key:*

*1 = Never demonstrated*

*2 = Occasionally demonstrated*

*3 = Normally demonstrated*

*4 = Always demonstrated*

#### Team Working

*Does the post holder work well with others to accomplish the goals of the job and the team?*

employee's initial rating

line manager's initial rating

consensus rating  
(where possible)

*Employee's supporting comments.*

*Line manager's supporting comments.*

<b>Relationships with Colleagues</b> <i>Does the post holder contribute positively to the harmony of the work group?</i>	<b>employee's initial rating</b>	<b>line manager's initial rating</b>	<b>consensus rating (where possible)</b>
	<b>Employee's supporting comments.</b>	<b>Line manager's supporting comments.</b>	
<b>Communication</b> <i>Is the post holder's communication – written and verbal – open, clear, consistent and effective?</i>	<b>employee's initial rating</b>	<b>line manager's initial rating</b>	<b>consensus rating (where possible)</b>
	<b>Employee's supporting comments.</b>	<b>Line manager's supporting comments.</b>	

<b>Customer Focus</b> <i>Does the post holder provide good service when interacting with customers, either internal or external to the organisation?</i>	<b>employee's initial rating</b>	<b>line manager's initial rating</b>	<b>consensus rating (where possible)</b>
	<b>Employee's supporting comments.</b>	<b>Line manager's supporting comments.</b>	
<b>Planning &amp; Personal Organisation</b> <i>Does the post holder demonstrate the skills to plan their own work and manage their time?</i>	<b>employee's initial rating</b>	<b>line manager's initial rating</b>	<b>consensus rating (where possible)</b>
	<b>Employee's supporting comments.</b>	<b>Line manager's supporting comments.</b>	

<b>Commitment &amp; Motivation</b> <i>Does the post holder take personal responsibility for getting the job done and look for ways of developing and improving their own performance?</i>	<b>employee's initial rating</b>	<b>line manager's initial rating</b>	<b>consensus rating (where possible)</b>
	<b>Employee's supporting comments.</b>	<b>Line manager's supporting comments.</b>	
<b>Job &amp; Professional Knowledge/Skills</b> <i>Does the post holder demonstrate all of the skills/knowledge required to perform effectively in the job?</i>	<b>employee's initial rating</b>	<b>line manager's initial rating</b>	<b>consensus rating (where possible)</b>
	<b>Employee's supporting comments.</b>	<b>Line manager's supporting comments.</b>	

<b>Problem Solving &amp; Decision Making</b> <i>Does the post holder exercise sound judgement and deal with problems effectively?</i>	<b>employee's initial rating</b>	<b>line manager's initial rating</b>	<b>consensus rating (where possible)</b>
	<b>Employee's supporting comments.</b>	<b>Line manager's supporting comments.</b>	

*The following two categories apply to management posts only.*

<b>Managing Objectives</b> <i>Does the post holder utilise resources appropriately and effectively to deliver the required level of service?*</i>	<b>employee's initial rating</b>	<b>line manager's initial rating</b>	<b>consensus rating (where possible)</b>
	<b>Employee's supporting comments.</b>	<b>Line manager's supporting comments.</b>	

*\*Within this statement it is assumed that the manager will have regard to safety rules, occupational risk and financial prudence.*

<b>Managing People</b> <i>Does the post holder lead and manage people effectively, having regard not only for service delivery but also for employee development, equality, health and welfare?</i>	employee's initial rating	line manager's initial rating	consensus rating (where possible)
	Employee's supporting comments.	Line manager's supporting comments.	

**Consensus Rating for Part One - Skills & Behaviours**

*for managers:*  
*for all other employees:*

*rating for part one = sum of all consensus ratings / 10 or 9 (where no people management responsibility applies.)*  
*rating for part one = sum of all consensus rating / 8*

--



## APPRAISAL PART TWO – Performance Objectives

Performance objectives (to include target dates)	Employees' comments on progress.	Line manager's comments on progress.
1.		
2.		
3.		
4.		
5.		

### Consensus Rating for Part Two – Objectives

*(Note: whole numbers only – fractions not permitted for this part)*

*PART TWO Ratings key:*

*1 = Fails to meet any objectives.*

*2 = Fails to meet some objectives.*

*3 = Meets all objectives.*

*4 = Meets all objectives and to an exceptionally high standard.*

## Overall performance rating for appraisal year

(Rating for Part One + Rating for Part Two) / 2

*OVERALL Ratings key:*

*1 = unacceptable*

*2 = room for improvement*

*3 = acceptable*

*4 = exceptional*

*Round up/down decimal points e.g. 2.4 = 2*

*2.5 = 3*

**PERSONAL DEVELOPMENT REVIEW DOCUMENT**

<b>What did I need to learn? (from current appraisal year)</b>	<b>How did I attempt to achieve this?</b>	<b>By when?</b>	<b>Comment on success and perceived reasons for this.</b>
1.			
2.			
3.			
4.			
5.			
6.			

**AGREED PERFORMANCE OBJECTIVES FOR NEXT APPRAISAL YEAR**

*Note: Performance objectives to include target dates*

1.

2.

3

4.

5.

## PERSONAL DEVELOPMENT PLAN

What do I need to learn?	How will I achieve this?	By when?
1.		
2.		
3.		
4.		
5.		
6.		

## SUMMARY & SIGN OFF

*Name of Employee:*

*Appraisal Year:*

### *Summary*

*Consensus Rating for Part One – Skills & Behaviours:*

*Consensus Rating for Part Two – Objectives:*

*Overall Rating:*

### *Employee Sign Off*

- I have agreed the performance ratings noted above.
- I was unable to agree performance ratings for the following reason(s):

*Signed:*

*Date:*

### *Line Manager Sign Off*

- I have agreed the performance ratings noted above.
- I was unable to agree performance ratings for the following reason(s):

*Signed:*

*Name:*

*Date:*

### *Senior Manager Sign Off*

- I endorse the performance ratings noted above.
- I note the failure to reach agreement and will commence a formal review.
- I am unable to endorse the performance ratings noted above at this time and will commence a formal review.

*Signed:*

*Name:*

*Date:*

## Skills and Behaviours Summary Description and Definitions

### Summary Description

- **Team Working** – Working effectively with others within own team and across the wider organisation to achieve results in the job, team goals and organisational objectives.
- **Relationships with Colleagues** – Building and maintaining productive and harmonious working relationships within own team and across the wider organisation.
- **Communication** – Effectively communicating appropriate information through a range of mechanisms to ensure clarity and understanding and achieve organisational objectives.
- **Customer Focus** – Responding proactively to customers’ needs, both internal and external, to ensure the delivery of high quality, efficient services.
- **Planning and Personal Organisation** – Maximising efficiency, prioritising workload appropriately and focusing on the right areas to ensure the achievement of own/team and organisational objectives.
- **Commitment and Motivation** – Taking personal responsibility for your own development, demonstrating self-motivation and commitment towards achieving results and applying yourself in a positive manner to the work of the organisation.
- **Job and Professional Knowledge/Skills** – Developing and maintaining a high level of job and professional knowledge/skills and using these to provide an excellent service and achieve organisational objectives.
- **Problem Solving and Decision-Making** – Analysing problems and evaluating options and risks to identify most appropriate solutions and taking effective action through sound judgement.

### **Additional Skills and Behaviours for Managers**

- **Managing Objectives** – Making the best possible use of your resources at work, prioritising appropriately, consulting with others and ensuring resources and efforts are focused on key organisational objectives and goals.
- **Managing People** – Effectively leading and managing a team, dealing with team and individual problems, counselling and coaching others to achieve results and encouraging and supporting the team in their activities.

## Definitions

### **Teamworking**

#### **More Effective**

- Offers assistance and support without prompting
- Pleasant, obliging and responsive
- Willing to listen and offer help/advice when needed
- Communicates well with all team members
- Encourages input from others and acknowledges their work
- Contributes to team to best of ability
- Prepared to listen and responds well to advice/guidance
- Emphasises common goals and shared objectives
- Sees own team within the context of the wider organisation
- Pulls together cross functional teams
- Represents the team effectively, internally and externally
- Publicly credits others who have performed well
- Speaks in positive terms about other team members

#### **Less Effective**

- Fails to offer assistance when required or when others clearly struggling
- Blames others within the team for problems
- Only concerned with doing own job, ignores needs of others
- Creates a negative atmosphere within the team
- Talks about team members behind their backs
- Fails to contribute to team when capable of doing so
- Puts own agenda ahead of team/organisational needs
- Assumes that everyone sees issues in his/her terms
- Poor representative for the team
- Pays no attention to impact on colleagues of how own work is delivered and at what pace



## **Relationships with Colleagues**

### **More Effective**

- Sensitive and respectful towards all colleagues
- Challenges poor behaviour among colleagues
- Actively builds working relationships at all levels
- Deals effectively with conflict
- Tackles and resolves issues appropriately to achieve best outcomes
- Listens well and respects the opinions of colleagues

### **Less Effective**

- Insensitive or disrespectful towards colleagues
- Talks inappropriately about colleagues
- Behaves unreasonably towards colleagues
- Forms cliques, gossips about or undermines colleagues
- Fails to challenge poor behaviour among colleagues
- Has difficulty handling conflict
- Has difficulty seeing other points of view

## Communication

### More Effective

- Open, clear and consistent communication style
- Passes relevant information on to colleagues
- Actively listens and lets others speak, encourages open discussion
- Clarifies information and asks questions
- Checks understanding
- Keeps others informed
- Explains things clearly and concisely, gives clear instructions
- Writes well, uses appropriate tone, avoids unnecessary jargon and ensures information is accurate and complete
- Ensures communication is a two way process
- Adapts style to the situation, uses language appropriate to the audience
- Communicates in a planned way

### Less Effective

- Confused communication style, difficult to understand
- Fails to pass on relevant information/withholds information
- Interrupts others and does not listen
- Fails to obtain all relevant information
- Passes on inaccurate information
- Gossips and talks behind others backs
- Misinterprets information
- Fails to keep others informed
- Does not explain things well, verbal communication unstructured/rambling
- Communicates excessive information/too much detail
- Poor written communications, uses jargon/poor English, information inaccurate, incomplete, misleading
- Fails to adapt style to audience and gauge understanding

## **Customer Focus**

### **More Effective**

- Shows willingness to help customers
- Responds effectively to queries, provides accurate information
- Adopts a pleasant, helpful and professional manner
- Delivers on time for the customer, whether internal or external
- Effective at drawing out information and understanding customer needs
- Keeps the customer informed of any changes to arrangements etc.
- Explains problems/issues to customers
- Adjusts style to suit the audience - formal/informal
- Calms volatile situations
- Deals effectively with angry customers e.g. defuses the situation, calls for assistance
- Sensitive to pressures on customers and acts to ensure problems quickly resolved
- Looks for ways to improve service delivery

### **Less Effective**

- Unhelpful attitude towards customers
- Provides wrong information, makes errors/ mistakes in communications
- Fails to respond to queries within reasonable timescales
- Fails to understand customer needs and explain issues
- Reacts only to specific requests, fails to be pro-active
- Fails to appreciate or respond to the needs of internal customers
- Sees customer expectations as unreasonable
- Fails to draw out relevant information
- Fails to keep the customer informed
- Blames problems on others

## Planning and Personal Organisation

### More Effective

- Focuses resources/effort appropriately
- Understands need for change, willing to change working practices
- Prioritises workload appropriately
- Adaptable and flexible approach
- Plans ahead, sets timescales and deadlines and adheres to them
- Perseveres when faced with difficulties, tenacious and determined
- Focuses on achieving results
- Checks and critiques own work performance
- Prepared to tackle major challenges
- Anticipates problems and responds effectively

### Less Effective

- Focuses effort/resources inappropriately
- Unwilling to accept change, inflexible, operates in “comfort zone”
- Fails to prioritise workload, has to be directed
- Fails to plan ahead
- Unstructured and unfocused working style
- Fails to set clear goals and targets
- Gives up when faced with obstacles
- Fails to achieve results
- Lack of insight into own work performance
- Fails to anticipate problems
- Pays no attention to organisation/team objectives in prioritising work

## **Commitment and Motivation**

### **More Effective**

- Takes personal responsibility for own development
- Looks for ways of improving job performance
- Self-motivated and committed to achieving results
- Positive and enthusiastic approach
- Sensitive and respectful towards others
- Takes responsibility to resolve difficult issues
- Handles conflict well
- Tactful and diplomatic
- Understands and is sensitive to organisational culture
- Keeps emotions under control
- Fair minded and even handed in approach to others
- Responds well to pressure

### **Less Effective**

- Fails to accept personal responsibility for own development
- Lack of interest in improving job performance
- Lacks self-motivation, does minimum to get by
- Indecisive when approached for advice/decision
- Negative attitude and approach
- Unwilling to take tough decisions
- Lacks self-confidence and appears anxious in dealings with others
- Insensitive/abrupt when dealing with others
- Appears emotionally volatile/moody
- Aloof and unapproachable
- Fails to confront and resolve difficult issues
- Fails to understand organisational culture/climate
- Shows favouritism in dealings with others

## **Job and Professional Knowledge/Skills**

### **More Effective**

- Develops and maintains a high professional knowledge base
- Is aware of best practice and constantly seeks ways to apply it
- Keeps up to date with internal and external changes affecting job
- Demonstrates commitment to continuous professional development
- Quickly assimilates new information/knowledge
- Able to fully utilise job-related technology
- Attends all relevant training
- Willing to admit to current capabilities and work to improve them
- Sets high professional and personal standards
- Effective networker
- Able to fulfil health and safety responsibilities

### **Less Effective**

- Fails to develop and maintain professional knowledge base, allows skills to erode over time
- Fails to keep up to date with relevant changes affecting job
- Displays lack of commitment to continuous professional development
- Fails to attend relevant training
- Unwilling to admit to current capabilities
- Ineffective at networking

## **Problem Solving and Decision-Making**

### **More Effective**

- Willing to accept personal responsibility for finding and implementing solutions
- Uses initiative appropriately to find practicable/workable solutions
- Demonstrates patience and common sense
- Seeks advice and consults others appropriately
- Works through problems, analyses well, assesses risks and seeks out information
- Exercises sound judgement and applies knowledge
- Refers to line manager where appropriate
- Takes an unbiased and objective approach
- Able to provide rationale for decision
- Able to detect patterns and trends
- Anticipates impact and consequences and takes appropriate action
- Keeps problems in perspective
- Responds quickly to urgent issues
- Has the confidence to decide when no action is necessary
- Explores alternative outside familiar territory
- Looks for personal and organisational learning points arising from problem situations
- Willing to take unpopular/tough decisions
- Regularly review decisions to see if they are still working

### **Less Effective**

- Unwilling to accept personal responsibility for finding and implementing solutions
- Fails to use initiative
- Fails to seek advice and consult appropriately
- Does not elicit all relevant information, looks at problem in isolation
- Fails to think the problem and risks through logically
- Jumps to conclusions, makes snap decisions, over-reacts
- Goes for a quick fix when this is not appropriate
- Judgement lacking or flawed
- Refers issue to line manager inappropriately
- Lack of objectivity in decision-making
- Procrastinates or fails to make a decision
- Fails to incorporate learning points from problem situations
- Concentrates on detail and fails to tackle the big issue
- Unwilling to take unpopular/tough decisions

# Management Skills and Behaviours

## Managing Objectives

### More Effective

- Focuses resources on appropriate issues
- Sees the important underlying issues
- Strong critical awareness about what needs doing
- Knows what to tackle personally or to delegate
- Views objectives as part of the organisational whole
- Recognises the importance of aligning efforts with colleagues
- Seeks to get involved in wider initiatives and projects
- Effective at planning, monitoring and reviewing
- Competent to fulfil health and safety management responsibilities

### Less Effective

- Tends to prioritise actions according to immediate demands
- Neglects longer-term or wider organisational implications
- Unlikely to network
- Unlikely to engage with organisation-wide initiatives or projects
- Focuses on tackling tasks rather than co-ordinating others
- Not critically minded in appraisal of what needs doing
- Ineffective time manager



## Managing People

### More Effective

- Strong insight into managing people
- Understands how to build and maintain strong relationships
- Strong insight into how to motivate others
- Provides strong leadership and direction
- Demonstrates coaching/counselling skills
- Communicates and consults on change
- Considers impact of actions on ongoing relationships with staff
- Takes a pro-active approach to dealing with staff issues
- Non-judgemental approach to dealing with people
- Deals positively and constructively with problems
- Leads by example, positive role model
- Concerned for the wellbeing of staff
- Promotes equality of opportunity
- Manages change effectively and concerned for impact on team/individuals

### Less Effective

- Needs to improve handling of staffing issues and problems
- Needs to reflect on own view of team and ensure all staff treated with respect
- Tends to dismiss problems, be judgemental or react negatively to issues
- Lack of insight into managing people
- May have demotivating impact on team/individuals
- Offers less support/coaching
- Unwilling to tackle team motivation/performance issues
- Fails to lead by example, poor role model
- Unconcerned for the wellbeing of staff
- Fails to manage change effectively
- Fails to promote equality of opportunity