

**TITLE OF REPORT:** Revised Appraisal and Development Framework

**REPORT OF:** Mike Barker, Strategic Director, Corporate Services & Governance

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### **Purpose of the Report**

1. To request Cabinet to recommend the Council to approve a revised Appraisal and Development (A&D) Framework, as set out in Appendices 2 and 3 to this report.

### **Background**

2. The Council's Workforce Strategy sets out a vision to have a workforce that is innovative, creative, diverse and inclusive. Performance management is also identified in the strategy as critical in ensuring we focus on the right things and that any issues around employee performance can quickly be addressed.
3. A&D is an established tool that can help all employees to perform at their best and access the right support and development; however, the employee survey in 2016 highlighted that only 47% of employees across the Council had an A&D review in the six months prior to the survey.
4. In addition, a number of employees highlighted through the survey that 'managers not dealing with underperformance' was an issue and it was affecting the morale of other employees. Performance management has also been identified as a gap through the Change Programme's Ways of Working workstream and through wider consultation of the workforce at Team Talk events. Having a focus on performance in A&D would help develop a strong culture of performance management across the Council.
5. As an outcome of these findings, and in order to address the need for a stronger approach to performance management of employees, the A&D process has been redesigned.
6. The revised A&D framework that includes a Performance Rating has been developed in consultation with employees, managers, senior leaders at various levels and the trade unions. This is to ensure that employees have a clear understanding of what is expected of them, are supported to be at their best, are able to meet ongoing challenges and deliver the best possible outcomes for Gateshead. Guidance for managers and employees has also been developed to support implementation of the framework.

7. The framework is designed around a set of principles and a simplified A&D review form that provides a flexible and adaptable approach to the delivery of A&Ds by enabling services to use existing review processes, such as supervision and 1-2-1s to review and evidence performance on an ongoing basis provided that the principles of A&D are met.
8. The principles of A&D are:
  - **Opportunity** - Every employee has the opportunity to meet regularly with their line manager to discuss their performance, development needs and aspirations.
  - **Performance and Competencies** - Employees are aware of what is expected of them in terms of their work priorities and targets for the coming year and the competencies they are expected to display which are set out in the Competency Framework.
  - **Development and Support** - Employees in consultation with their line manager will have the opportunity to identify their learning and development needs and any support they need to enable them to achieve their agreed work priorities, targets and competencies.
  - **Ongoing Review** - Review is ongoing throughout the year.
  - **Evaluation of Performance** - A final evaluation of employee performance will take place at the end of the year at their A&D meeting with their line manager.

## Proposal

9. It is proposed that the new A&D framework will be embedded across the organisation from April 2017. In order to achieve this implementation date, training will be delivered through the management structure from March 2017.
10. The first A&D meetings using the new framework will take place between April and July to allow for the delivery of training, and to accommodate services with large numbers of employees reporting to managers. This meeting will be to agree work priorities, targets and learning and development needs for the period to December 2017.
11. It is proposed that by December 2017 a full A&D review meeting for all employees will take place at which performance ratings will be awarded for the first time based on evidence gathered throughout the ongoing review process. Thereafter, it is proposed that A&Ds will be carried out annually by December of each year. Completion rates for A&Ds will be monitored and reported to SMG Services & Performance.

## **Recommendations**

12. Cabinet is asked to recommend the Council to approve:

- (i) the revised Appraisal and Development Framework is agreed by Cabinet; and
- (ii) the framework becomes operational from April 2017.

For the following reason:

To ensure the Council has a workforce which is fit for the future and can deliver the objectives of the Council Plan.

### Policy Context

1. The Workforce Strategy and Plan underpin the Council's Human Resources framework and will support the Council to achieve the objectives set out in the Council Plan.

### Background

2. Effective performance management is critical to delivering high quality services, efficiencies and value for money. An effective Appraisal and Development system should be at the core of personal performance management processes to ensure employees are aware of what is expected of them and are given the development and support needed to deliver on these expectations.
3. An *Achievement* and Development scheme was first introduced in 2007 but as the title suggests its focus was more on personal development than employee performance.
4. In September 2010 following extensive consultation with management, employees and the trade unions, the scheme was revised and replaced by the Appraisal and Development scheme, commonly referred to as A&D. This scheme attempted to balance performance with development by including a section designed to enable employees to self-reflect on how they have performed over the year.
5. Recent evidence from the employee survey in 2016, in particular around the low completion rates of A&Ds, combined with the need to have a more robust performance management framework in place for employees has led to the redesign of A&D and production of the revised framework.
6. Having a focus on performance in A&D will help develop a strong culture of performance management across the Council.

### Consultation

7. Consultation on the revised A&D Framework has been extensive.
8. The Trade Unions have also been consulted on the review and redesign of the A&D process. They have concerns that some employees are being disadvantaged as A&Ds are not carried out consistently across the Council. A&Ds as such should be a mandatory element of managers' responsibilities and should therefore be a mandatory component of the competency framework.
9. GMB welcome the aspiration from the Council to ensure all employees receive a fair and supportive appraisal. However they still have concerns that there will be some managers that either will not, or cannot deliver this. Whilst acknowledging the

Council need to make headway GMB request ongoing dialogue as to the progress (or lack of) and fairness of the appraisals.

10. Unison has confirmed that the vast majority of their members would see the merits of engaging with an effective A&D framework which all employees have equal access too. However they have raised various concerns regarding its initial implementation and application. Therefore in the spirit of embedding the policy, consistency of implementation and to allow for a clearer understanding and communication of the objectives, Unison maintain at this stage that this framework is kept separate from the organisation's formal policies including capability, disciplinary and redundancy procedures.

11. All Cabinet Members have been consulted.

### **Alternative Options**

12. There is the option to carry on using the existing A&D Framework; however, this is considered no longer fit for purpose in terms of supporting the Council's strategy for performance management and workforce development.

### **Implications of Recommended Option**

13. **Resources:**

- a) **Financial Implications** – There are no financial implications arising from the recommendations within this report.
- b) **Human Resources Implications** – The revised A&D Framework is designed to ensure that we have employees with the right skills effectively deployed to support attainment of the objectives set out in the Council Plan. It underpins the Council's overall human resources policy framework.
- c) **Property Implications** – There are no property implications arising from the recommendations within this report.

14. **Risk Management Implications** - The revised A&D Framework does not introduce any new risk. It will support the Council's Risk Management Strategy by ensuring that we have employees with the necessary skills and knowledge who are deployed effectively to deliver the best outcomes for our customers.

15. **Equality and Diversity Implications** – A&D supports the establishment of a diverse and inclusive workforce where accessibility barriers are actively challenged and addressed, and where employees are managed fairly and consistently.

16. **Crime and Disorder Implications** – There are no crime and disorder implications.

17. **Health Implications** – There are no health implications.

18. **Sustainability Implications** - There are no sustainability implications.

**19. Human Rights Implications** – There are no Human Rights implications arising from the revised framework.

**20. Area and Ward Implications** - There are no area and ward implications.

**21. Background Information**



## Appraisal and Development (A&D) Form

Employee Name:

Job Title:

Service:

Line Manager

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### PART A: My Performance - How did I do this year?

1. How did you perform against your work priorities and targets?

2. Were any work priorities or targets not met? If so, please explain

3. What learning and development opportunities did you complete?

4. How did you demonstrate the competencies expected of someone at your level?



## PART B: My performance rating

	Rating Categories	Employee Rating (please tick)
The employee has consistently excelled in their work, exceeding the expectations of their job role and consistently demonstrated competencies expected of someone at a higher level.	Exceeded	
The employee has fulfilled the requirements of their job role by achieving their agreed work priorities and consistently demonstrated the competencies expected of someone at their level.	Achieved	
The employee has achieved some but not all of their agreed work priorities and partially demonstrated the competencies expected of someone at their level.	Partially Achieved	
The employee has consistently failed to achieve the majority of their agreed work priorities and failed to demonstrate the competencies expected of someone at their level.	Not Achieved	

### Manager's Comments

### Employee's Comments





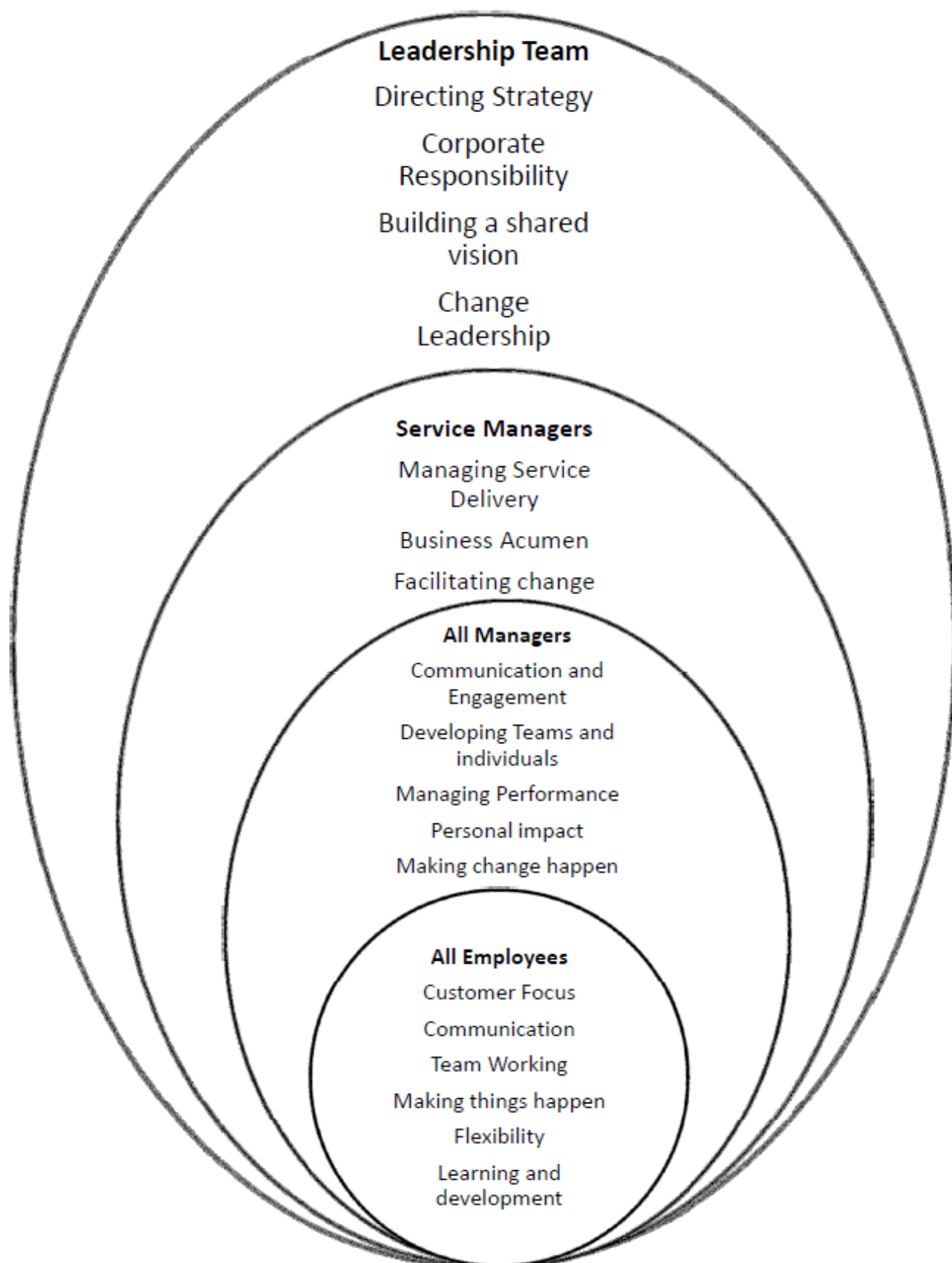
**PART C: My work priorities and learning and development for the year ahead**

**5. What are your work priorities and targets for the next 12 months?**

**6. What development do you need to help you achieve your work priorities, targets and ambitions?**

Signed (Employee)	<div></div>	Date:	<div></div>
Signed (Manager)	<div></div>		<div></div>
Countersigned (Manager’s line manager)	<div></div>		<div></div>

## Competency Framework



## **Competency Framework**

### **All Employees**

**Customer Focus** – Puts the customer first and provides excellent service to both internal and external customers

**Communication** – Uses appropriate methods to express information in a clear and concise way to make sure people understand

**Team Working** – Works with others to achieve results and develop good working relationships

**Making things happen** – Takes responsibility for personal organisation and achieving results

**Flexibility** – Adapts to change and works effectively in a variety of situations

**Learning and Development** – Actively improves by developing and applying new skills and knowledge and learns from past experiences

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### **All Managers**

**Communication and Engagement** – Shares and listens to information and ensures employees views are sought out; listened to and make a difference. Facilitates and empowers employees to make things happen. Treats individuals with respect and consideration

**Developing Teams and Individuals** – Promotes and supports team and individual learning and development and uses delegation to create a sense of ownership of high level organisational issues, and encouraging individuals to stretch beyond their current capabilities

**Managing Performance** – Effectively manages the performance of teams and individuals to ensure results are achieved

**Personal Impact** – Is self-aware, learns continuously and adapts behaviour in response to feedback. Makes things happen, operates with resilience, flexibility and integrity.

**Making things happen** – empowers people to initiate change. Supports innovative ideas and new ways of working

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### **Service Managers**

**Managing Service Delivery** – Focuses on the community and service users to develop responsive customer focused services. Promotes cooperation by working with internal and external partners to plan, develop and deliver excellent services and operates effectively within the political framework and corporate policies and guidelines.

**Business Acumen** – Understands and utilises financial and performance data to identify business strengths and weaknesses. Is quick to understand and deal with a business situation in a manner that is likely to lead to a good outcome.

**Facilitating Change** – Proactively leads and builds momentum for change and sees it through.

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## **Leadership Team –**

**Directing Strategy –** Establishes strategic direction to deliver future vision. Builds strategic relationships with internal and external partners to deliver vision. Makes effective strategic decisions to achieve positive outcomes.

**Corporate Responsibility -** Proactively promotes corporate responsibilities for self and others by ensuring adherence to corporate protocols in areas such as Member Development and Engagement Framework, Budgetary and Financial Management, Information Governance, Procurement, Safeguarding, and Health and Safety etc

**Building a Shared Vision –** Builds and communicates a collective vision of the future. Looks ahead, harnesses ideas and opportunities to achieve goals and make decisions to deliver the best outcomes for Gateshead.

**Change Leadership –** Challenges traditional thinking and ways of working. Develops new and innovative approaches to address organisational challenges and opportunities. Works at pace to deliver change initiatives and engages others in the process.

