

FLINTSHIRE COUNTY COUNCIL

(Excluding staff employed by School
Governing Bodies)

Appraisal Guidelines



The employee appraisal process forms part of the Flintshire County Council's overall Performance Management system.

Appraisals are an opportunity to encourage and develop employees, review performance, agree objectives (linking in with the aims of the Council through the Improvement Plan) and highlight any learning and development requirements.

Aim

These guidelines provide an overview of the main principles of the appraisal process and gives detailed guidance on how to complete the appraisal form. This document should be read in conjunction with Flintshire's Behavioural Competency Framework.

Principles

The purpose of the appraisal is, through discussion, to:

- give and receive feedback
- assess performance against objectives set the previous year
- assess performance against the Council's Behavioural Competency Framework
- look forward and agree objectives for the coming year
- identify development and training needs
- discuss any other key areas/issues
- agree a date for the appraisal review meeting

Competency Based Appraisal

All employees must have an appraisal using the competency based appraisal model.

The annual appraisal should be supplemented by a six month mid year review and regular one to ones/updates.

Objectives must be set at the beginning of each year and measured throughout the year via regular updates/reviews.

The emphasis within the appraisal must be on improving performance, not as an opportunity to raise other issues outside of the appraisal. Any performance or behavioural issues should be addressed throughout the year.

Clear actions to address performance must be given, where there is exceptional performance, this should be reflected in comments within the 9 box grid relating to talent management.

9 Box Grid Talent Management and Succession Planning

In addition to the appraisal and agreed competency rating, all employees should have a conversation relating to the 9 Box Grid for Potential and Talent Management.

The aim of the 9 Box Grid is to stimulate discussion and to identify potential, this should be motivational. Feedback given should be positive and be based on potential, and development plans to help employees acquire new skills to move forward should be discussed.

The focus for this discussion should be on the employee to rate themselves and for the manager to discuss their view.

The Appraisal Process

Employees must be informed of the date, time and place of the appraisal meeting at least two weeks before it is held. Employees must be sent the appraisal documents a minimum of one week before the appraisal.

There is a preparation form available to assist both the manager and the employee to prepare for the meeting.

A sufficient amount of time should be set aside for the appraisal, and equal amounts of time should be provided for feedback to employees and responses from employees.

The appraisal will be recorded using the Appraisal Form. The line manager and the employee must agree that the written record is accurate when signing the appraisal form.

Feedback given should be clear, honest, helpful and constructive.

Objective Setting

Objectives should be set using the using the Corporate Objectives from the Improvement Plan as a basis, and led by the manager's set objectives from their appraisal.

All objectives must be SMART – Specific, Measurable, Achievable, Realistic and Timed.

Development Needs

All managers should identify development needs to improve performance. These needs can be sourced through Learning and Development, or via alternative methods e.g. on the job training, coaching/mentoring.

All employees must have an assessment against Welsh Language level of competence and agree steps to improve level of ability.

Recording Appraisal Dates and Ratings

The line manager must record the date of the appraisal and the overall appraisal rating in the relevant fields on iTrent via manager self service. This should be updated as soon after the appraisal is carried out as possible.

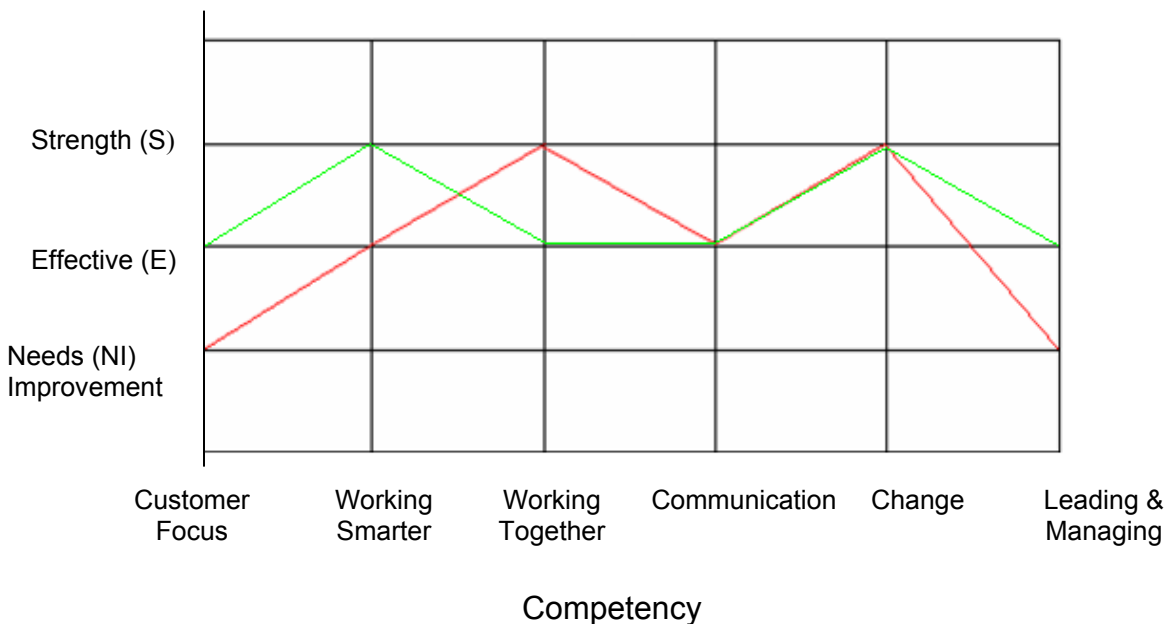
A copy of the individual appraisal record will be kept confidentially by both the line manager and the employee. Where possible, this will be held electronically.

Completing the Appraisal Form

Section 1 – Performance against Flintshire Behavioural Competencies

This section provides a tool for the basis of the discussion of employee performance against the competencies. The employee will need to complete this section prior to the appraisal.

Example



Example above – this employee has self assessed against the framework: Customer Focus as needs improvement, Working Smarter as effective, Working Together as strength etc.

The line manager will also use the chart to assess and plot and this will be a visual discussion tool of performance against the competency framework.

Section 2 – Competency Based Assessment

This page is used to record the conversation and key discussion points when assessing performance against the competencies. Any areas for improvement can then be identified as an objective for the coming year.

A final rating of performance against the competency is recorded here.

Please note: - it may be suitable to choose either Section 1 or Section 2 (or both) to assess performance against behavioural competencies, based on the role.

Section 3 – Review of performance against objectives

Review the objectives set in the last appraisal. Objectives will have been discussed during mid year reviews/supervisions/one to one meetings, but the appraisal allows for an overall review of the year. It will mainly be the employee's responsibility to provide evidence to support the achievement of the objectives or reasons why the objective has not been met, including any factors affecting performance.

Section 4 – Objectives for next Review Period

The line manager and the employee will jointly discuss objectives for the year ahead. Suitable review dates and a completion date should be recorded and agreed by both parties. Ideally objectives should be stretching – they should not be day to day, familiar tasks unless there is a substantial change involved. Objectives should be SMART and a reasonable, achievable number of objectives should be set, e.g. 4-6. As a minimum, objectives should be based around People Strategy, Budget Setting, Financial Planning and Attendance Management.

Example of a SMART objective.

Activity	Objective	Targets	Timescale
People Strategy	To manage employee performance and identify succession for all Chief Officers.	All Chief Officers and Managers will identify a successor for their role, or identify the gap and steps to have a potential successor within 12 months.	Completion within 12 months.

Section 5 – Personal Development Plan

In order for employees to successfully achieve their objectives, they may require training, coaching or personal development. This may relate to classroom or online training, one to one support, coaching, mentoring or opportunities to work with other colleagues.

This section allows the line manager and the employee to review previous development targets and agree development needs going forward.

Section 6 – Other Discussion Points

This section should record any relevant issues raised during the meeting which do not fit into the previous sections. This includes a record of whether the employee requires any additional support or equipment in order to perform their role effectively.

Health & Safety – A discussion around the employees own personal welfare and responsibilities; check whether relevant certificates are up to date, identify any additional training and safety risks have been identified. Further information on the Health & Safety requirements can be found on the Infonet and by contacting your departments Health & Safety Advisor.

Working Arrangements / Attendance – A discussion about the suitability of existing working arrangements including flexible and / or agile working. Discuss the employee's attendance record and ensure awareness and understanding of the related policies and procedures.

Other policy areas – A discussion on Welsh language levels, ensuring Itrent is up to date and whether any training is required to support performance.

Data Protection – ensure relevant training is up to date, if applicable. Ensure the date of the training is recorded on iTrent.

Welsh Language – use the Welsh Language Skills Proficiency Framework in order for the employee to identify their welsh language skills. Once these have been identified, the skill levels need to be recorded onto iTrent.

Further information regarding Welsh Language and Data Protection can be found on Flintshire's Infonet.

Career aspirations – If applicable, please use the Career Conversations and 9 box grid guide to identify the key points to discuss during a talent management conversation, within the appraisal meeting.

Section 7 – Overall Annual Performance Rating

This section allows the line manager and the employee to agree on overall performance rating. This rating should be mutually agreed. This rating should be based on assessment of performance against both competencies and objectives.

The line manager and the employee both have an opportunity for additional written comments and are required to sign the appraisal record confirming they agree with everything recorded in the document.

There are four possible rating, as detailed below.

1. Exceeding service delivery expectations – consistently exceeds expectations of the role. Objectives met and competencies more than fully demonstrated. Demonstrates role model behaviours and performance.

2. Achieving service delivery expectations – consistently meets expectations of the role. Objectives met and competencies fully demonstrated at required levels.

3. Approaching service delivery expectations – meets some expectations of the role. Demonstrates commitment to learn and develop in the role. Most objectives met but development required to fully meet all objectives.

4. Not achieving service delivery expectations – struggles to meet the principal objectives of the role. Competencies not demonstrated. Performance unacceptable.