



Performance Development Framework Appraisal Guidance Notes



Contents

Contents	Page Number
The Purpose of This Guidance Note	2
Why Are We Introducing The Performance development Framework?	2
What is the Performance Development Framework (PDF)?	2
What is an Appraisal Meeting?	2
Who Should be Appraised	3
What is the Appraisal Cycle	3
Identifying Core Behaviours	4
Setting Objectives	5
Learning and Development Plan	10
Preparing for the Appraisal Meeting	11
Preparing for the Mid Year Review Meeting	13
Preparing for the End of Year Review Meeting	13
Completing the Appraisal Documentation	14
Comments of Employee, Manager, and Other Managers	15
Assessing Performance Against Targets and Core Behaviours	15
Rating Assessing Objectives Assessing Core Behaviours	17
Moderation Process	19
Employees Who Disagree With Their Rating	19
Appendix 1- Preparing for Appraisals (staff form)	20
Appendix 2 – Appraisal Documentation	23

The Purpose of This Guidance Note

This guidance note has been written to support the Appraisal process. It sets out the intentions of the City of London Corporation in terms of managing and motivating staff. It is intended for staff and managers to use by setting out the process and the different stages. Please remember the focus of the exercise is about the quality of the discussion and not the process and paperwork.

Why are we Introducing The Performance Development Framework?

The City of London Corporation has been assessed as a high performing organisation by the Comprehensive Performance Assessment in September 2007 and this is attributable to the commitment of everyone and the services they deliver.

However, we recognise that there is a need to improve the way staff are managed, motivated and developed to reach their full potential, to maintain these high standards and to enable continuous improvement to the services delivered. The aim of the Performance Development Framework is to maximise the contribution, skills and capability of staff so that they can deliver the best possible services. This can only be achieved if managers meet regularly and provide timely feedback on performance so that individuals are clear about what is expected and how they are doing. This should be a continuous two-way process with staff also actively seeking feedback and acting on it.

What is the Performance Development Framework (PDF)?

The Performance Development Framework (PDF) is a document that sets out Core Behaviours in the City of London Corporation and has been designed to ensure a more structured and consistent approach to people management across the City of London Corporation. The PDF has been designed to support the development and performance manage staff and make any expectations explicit, open and transparent.

What is an Appraisal Meeting?

It is a two-way conversation which aims to maximise the contribution of each member of staff to the City of London Corporation by:

- Looking back at what happened in the previous year and assessing
 - the individual's achievement of Objectives,
 - Core Behaviours and
 - the impact and benefit of any learning and development activities that have been undertaken.
- Looking forward to the coming year and setting:

- Objectives and Performance Indicators,
- Core Behaviours and
- A Learning and Development Plan.

Who Should be Appraised?

Anyone who has worked for the City of London Corporation for more than 6 months by 1st April in each year will be Appraised. All staff must have Objectives, Performance Indicators and Core Behaviours along with a personal Learning and Development Plan agreed at the start of an Appraisal period.

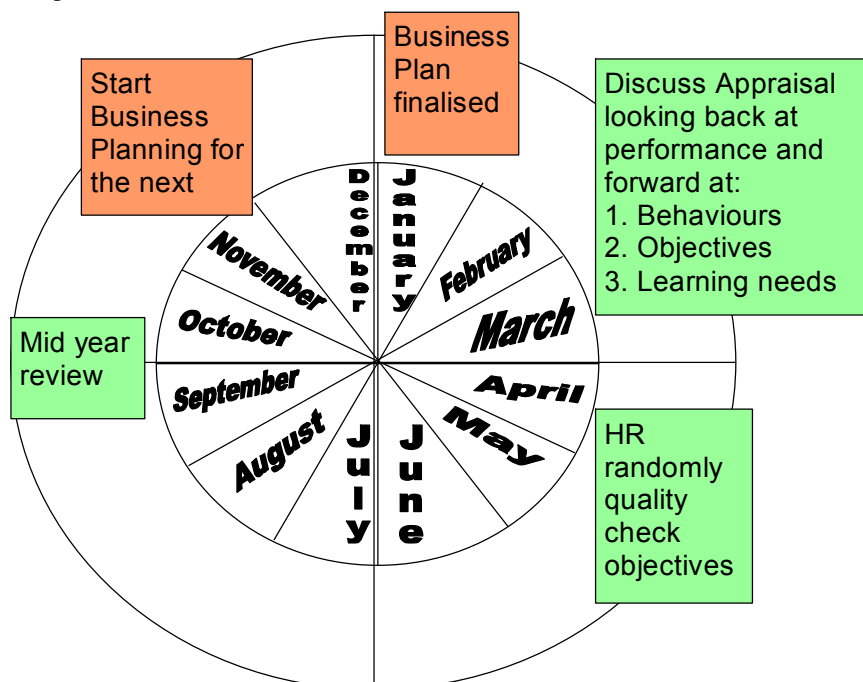
Anyone with less than six months service will have their initial objectives set during their induction period to take them through to the end of the Appraisal year. At the start of the next Appraisal year Objectives will be set for the coming year like anyone else.

What is the Appraisal Cycle?

The Appraisal Cycle will involve holding an Appraisal Meeting sometime from January to the end of April. Mid-Year Reviews should be scheduled to take place sometime from September to November and the End of Year Review will take place sometime during the period January to the end of April again. The End of Year review will provide a complete review of the previous year as well as the start of a new Appraisal cycle for the coming year.

This cycle provides a framework in which managers are able to plan and carryout all their team's appraisals in order that the final assessment of performance can be made and fed in to a departmental overview of ratings (the cycle may vary slightly for schools). The diagram below illustrates the Appraisal cycle:

Appraisal Cycle

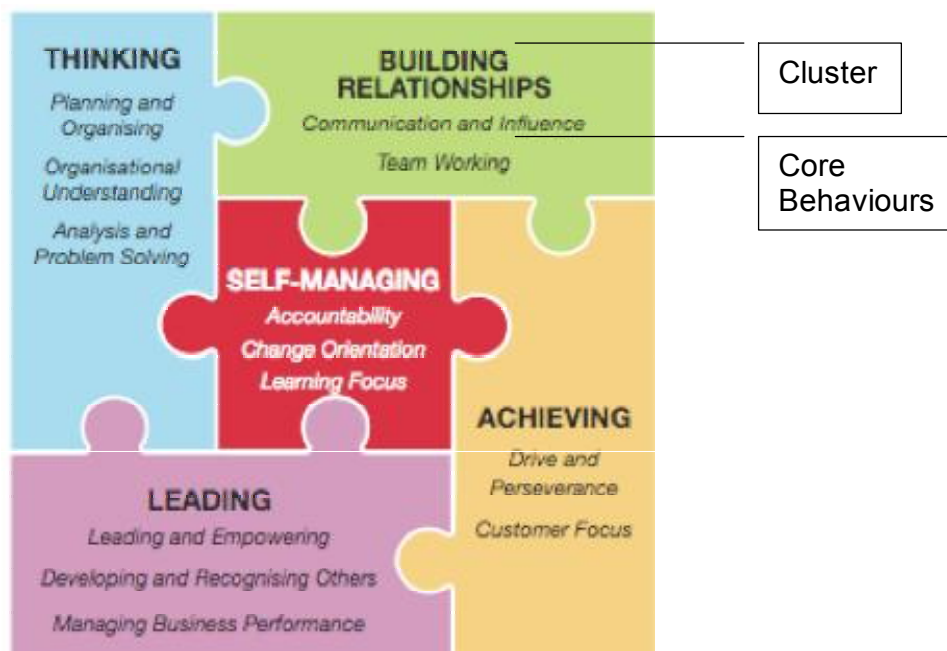


Identifying Core Behaviours for a Job

How individuals do things or their behaviour, is what really differentiates performance and can lead to successful performance. They help the individual understand what they need to do and how they should do it to succeed in their job and career.

The Performance Development Framework sets out the behaviours for the organisation. These are the same for all staff except teaching staff and City of London Police staff who use a Police national standard.

Within the Framework there are five clusters and under each of the clusters there are thirteen Core Behaviours. This is shown below:



For each Core Behaviour there is a definition and some indicators of effective and ineffective performance at five levels. The indicators are purely a guide to start describing the types of behaviours that should be exhibited by staff and are not prescriptive. The five levels equate to a grade as follows:

- Level 1 = Pay Grades A & B
- Level 2 = Pay Grades C & D
- Level 3 = Pay Grades E & F
- Level 4 = Pay Grade G, H & I
- Level 5 = Pay Grades J & SMG

Of the 13 Core Behaviours the manager, in discussion with the post holder, must identify six as essential to underpinning successful performance in the particular role. This will increase to eight for staff with supervisory or management responsibility. For jobs Graded J and SMG all thirteen Core Behaviours at level 5 should be applied.

To cover all thirteen behaviours and assess individual's against them can be time consuming and daunting so six to eight have been chosen as the appropriate number for jobs graded A to I. When choosing the six Core Behaviours there must be a spread across all the Clusters. Whilst six or eight are chosen it doesn't mean that the others aren't important and shouldn't be looked at, it just provides a manageable focus.

It is important to remember that the identified behaviours are about the role and not the person. The manager and the individual should discuss the Core Behaviours with a view to reaching an agreement, however, if an agreement can not be reached then the manager makes the overriding decision.

Where there are a number of similar posts managed by different managers then the managers and a number of staff can come together to determine the Core Behaviours for the role and share these with the other members of staff.

There is a toolkit provided at the training for managers which they should use to explain the Performance Development Framework and the Appraisal Process to their staff and this includes:

- a presentation to deliver either on an individual basis or at a team meeting and
- a set of Core Behaviour cards to use when selecting the Core Behaviours for a job.

The Core Behaviours should be reviewed annually to ascertain that they are still relevant. At this time they may be changed.

For more detail on the Core Behaviours see the City of London Corporation's Performance Development Framework on the intranet.

Setting Objectives

The purpose of setting Objectives is to ensure that the individual's priorities align with those of the team, department and organisation. Responsibilities for meeting the team, department, organisational business plans and operational plans are cascaded down through the workforce so that everyone contributes to the success of the City of London Corporation through their individual Objectives and Performance Indicators.

Objectives and Performance Indicators are intended to provide the individual with a mix of day to day and more challenging developmental activities to improve the overall performance of the team, the department and the business of the City of London Corporation.

Achievement of Objectives should result in quantifiable improvements to the performance of the team, the department and the City of London Corporation.

Managers should set between four and eight objectives for each member of staff with the ideal number being six. This should be undertaken jointly and should challenge the employee to improve their performance. It is important that managers are clear with their staff about what is expected from them at the beginning and make sure that this is achievable. Managers should take account of the individual's background, knowledge and skills when setting objectives and performance indicators and shouldn't set someone up to fail or make the targets so easy they become de-motivated. On the other-hand managers need to be fair and consistent across their team. There should be a balance of service delivery or routine, day to day objectives and improvement objectives which aim to develop or improve the service.

Expressing Objectives and performance Indicators can sometimes be hard so using the acronym SMART can help. SMART stands for:

Specific - What is expected?

Specific in the context of developing objectives means that an observable action, behaviour or achievement is described which is also linked to a rate, number, percentage or frequency. For example 'Answer the phone quickly' can be said to be a precise description of behaviour, it is possible to clearly see whether someone answers the phone or not, but there is no rate, number, percentage or frequency linked to it.

Refining the objective to 'Answer the phone within 4 rings' a rate has been added and makes the objective much more specific.

Measurable- How is the objective to be met- specific actions/targets?

A system, method or procedure has to exist which allows the tracking and recording of the action upon which the objective is focused.

Setting an objective that requires phone calls to be answered in four rings is acceptable, provided a system exists which measures whether this is actually being achieved. If none exists then steps should be taken to actually monitor the response rates to incoming phone calls.

Alternatively the member of staff with whom the objectives are being set could be asked to measure their own progress; in some cases and situations it may be

acceptable to do this, in others maybe not - common sense should be used to decide this.

Remember what gets measured gets done!

Achievable- can it be achieved within the time scale?

The objectives that are set need to be capable of being achievable, put most basically; there is a likelihood of success but that does not mean making the objective easy or too simple.

Setting targets that are plainly ridiculous does not motivate people. They will apply no energy or enthusiasm to a task that is futile and meaningless.

Realistic –is it a reasonable request?

This means two things; that the Objective being set is something the member of staff can actually impact upon or change and secondly it is also important to the organisation. For example: telling the cleaners that they need to contribute to the organisations efficiency savings for the full year of £3.6M. This is not actually something they have sole responsibility for- it's not relevant to them. However, asking them to reduce expenditure on cleaning materials by £50 over the next three months is entirely relevant to them. The manager has to be mindful of the wider picture and the contribution to the overall efficiency savings and make that relevant for the member of staff.

Timely – When does it need to be achieved?

In the objective somewhere there has to be a date (Day/Month/Year) for when the task has to be started and/or completed. Simply: No date = No good.

A simple example of a SMART objective might be:

Elements of the objective	Which element of SMART
Conduct a tender process and recommend.....	Achievable
....at the June 2008.....	Time bound
... Chief Officer Group meeting, the three providers...	Specific
... that offer the best and broadest recruitment coverage at a cost that is at least 10% less than the organisation's current spend on recruitment advertising."	Realistic and Measurable

The objectives need to be stretching and agreed by the parties involved.

The following are examples of language which should be avoided when setting SMART performance objectives since it is non specific and the outcomes can not be measured:

“aim to “, ‘discretion’, ‘provide efficient support’, ‘produce accurate and timely information’, ‘report appropriately’, ‘assist with the administration’ ‘contribute to achieving the targets’ ‘continue to work closely with’ ‘oversee the production’ ‘lead on’ ‘arrange’ ‘maintain high standards and the morale of the team’ ‘work within guide lines and legislation’ –this provides no description of which legislation and will be difficult to quantify/measure.

The following are EXAMPLES ONLY of SMART objectives which might apply for jobs at each of the new job grades. This is intended as a guide to generate ideas on what might be appropriate for a member of staff.

Job roles A-B - (level 1)

Examples only of SMART objectives:

- To clean the wash rooms on an hourly basis whilst using the appropriate cleaning materials and following all health & safety procedures 100% of the time.
- To answer all telephone calls within 20 rings whilst using the standard telephone greeting 100% of the time.
- To resolve all queries at first point of contact or escalate call to manager. All calls to be dealt with or escalated 90% of the time.
- To collect post from post room on an hourly basis and distribute the collected post to each department 85% of the time.
- To complete daily programme of maintenance tasks to time and to the satisfaction of customers 90% of the time.

Job roles C/D (level 2)

Examples only of SMART objectives:

- To pay all supplier invoices within 30 days in order to meet the requirements of standing orders
- To produce and distribute accurate minutes within a week of each meeting 90% of the time.
- To place orders for stationery every month so that the stationary needs of the department are met 100% of the time.
- Ensure staff meet programmed daily and weekly workloads 90% of the time.

Job roles E/F (level 3)

Examples only of SMART objectives:

- To implement a new IT system by 31st December 2007 to increase invoice payments from 30 days to 20 days
- To produce a new reports database by 31st December 2007 to improve committee paper circulation deadlines from 10 working days to 8 working days.
- To produce a Customer Charter for the department by 31st December 2007 to improve customer satisfaction ratings from 72% to 90%.
- To run a weekly report for outstanding invoices and send to each Section Head for discussion at team meetings to improve invoice payments from 30 days to 25 days.
- Devise annual programme of work (or events, or projects) in accordance with departmental objectives, and complete 95% of these within allocated budgets and timescales.

Job roles G/H/I (level 4)

Examples only of SMART objectives:

- To complete all projects within established budgets by 31st December 2007 and achieve the outcomes / performance measures identified in the project initiation documents.
- To complete the development and implementation of an IT system by 31st December 2007 to reduce staff absence from 10 average days to 8 average day's absence per individual.
- To undertake extensive consultation with residents and prepare a Service Level agreement by 31st December 2007 to increase resident satisfaction from 70% to 90%.
- To produce the departmental business plan and have it approved by committee by April 1st 2008 and to review performance measures quarterly to achieve all outcomes by March 2009.

Job roles J/ SMG (level 5)

Examples only of SMART objectives:

- As a member of the Senior Management team, direct and implement the strategic direction of the department, delivering on the overall objectives and performance targets within agreed timescales and budget allocation
- Research, formulate and implement short, medium and long term strategies by XXX for generating and maximising commercial income. Target: increase commercial income by 10%.

- Prepare annual and interim budgets and forecasts for the division: End of March xxx, end of October XXX to ensure the division delivers services within budget

Learning and Development Plan

During the Appraisal process a learning and development plan should be drawn up for each member of staff. At the beginning of the process the manager and the member of staff should identify learning and development opportunities that will assist the employee with the achievement of Objectives, Performance Indicators, the Core Behaviours and any other relevant learning and development.

The Learning and Development Plan should include details of any Continuous Professional Development (CPD), technical development, career development, skills development or any other forms of development.

At the Mid Year and End of Year meetings the manager and the member of staff must review the learning activities attended. Where possible consideration should be given to the:

- impact of any learning undertaken on the individual, the team and the organisation,
- benefits to the individual and the organisation,
- time spent,
- financial investment made, where known.

The manager and the member of staff should record examples of how the learning has been used and what difference it has made to the individual in their job, the impact this has on the way they work and the contribution this has made to achieving the Objectives. This is also the opportunity to identify how the learning and development undertaken by one person can be shared with others. The sharing of knowledge and skills is a core requirement for Investors in People.

In thinking about personal development needs the manager should consider the following:

- What learning or development activities did the individual participate in last year (include classroom and non-classroom based learning)? What did they learn? What was not covered?
- What knowledge, skills and experience does the individual require to achieve their Objectives?
- What knowledge and skills does the individual need to develop, which will quantifiably add value to the Department and the City of London Corporation?
- What learning and development will assist the individual to develop their Core Behaviours?
- Are there any professional or statutory requirements that need to be taken into account for the individual in relation to their post?

- What are the long term development needs for the individual?

When thinking about development needs, managers and staff need to consider the wider options besides attending a course! Further information on learning and development activities are available on the Learning and Development intranet site at: <http://colnet1/deptwww/TC/training/homeapp.htm>.

The Learning and Development programme will be developed over the medium term to align more closely with the PDF.

Learning and Development requirements do not need to be written in SMART terms but they should support the achievement of Objectives and Core Behaviours and should be listed in the learning and development plan.

Examples of L&D which supports the achievement of performance indicators are:

- Undertake a Word course in order to produce a report to submit to committee by end of July.
- Attend the leadership development course in order to become a more effective leader/role model Target: by 31st December
- Attend a CBIS course by 31st December in order to raise official orders and goods receipt deliveries
- Undertake Chainsaw training by 31st August in order to assist the clearing of fallen trees during the winter season.
- Shadow Joe to see how he deals with customers.
- Work with Sarah to develop project planning skills.

Having considered budgets and priorities across the team and the needs of the business, the agreed learning or development for the individual should be recorded in the learning and development plan on the Appraisal form and reviewed at the Mid Year and End of Year Review Meetings. Any adjustments can be made at any of these meetings and documented in the form.

Preparing for the Appraisal Meeting

Managers should arrange the Appraisal meeting notifying the individual of the date and time in advance of the meeting. They should also provide the member of staff with a copy of Preparing for Appraisal, Appendix 1 which the individual should complete beforehand and either bring to the meeting or send to the manager in advance. The meeting is a time for focused discussion and there should be no interruptions.

There needs to be a balance between the time involved and the complexity of the post, however, the discussion is the important factor not the process.

Before the meeting the manager may find it useful to gather some or all of the following information:

- A copy of the individual's job description;
- The last completed appraisal;
- Notes from one-to-one meetings;
- The probationary report (where applicable)
- The Service/Team Business Plan and/or Operational Plan;
- Other documentation that may be referred to during the meeting.

The manager may wish to look at the Appraisal documentation and prepare some notes prior to the meeting addressing the following:

- Has the duties of the post changed, if so what is the impact on the individual and their job?
- Which areas/projects does the individual contribute to?
- How does the individual contribute to the achievement on the Service/Team Business Plan or Operational Plan?
- What key challenges lay ahead for the individual?
- What skills, knowledge experience does the individual have and are there any areas for development to support them?

During the meeting the manager should:

- Ask how the individual thinks they are doing.
- Discuss Objectives, how to make them SMART, what Performance Indicators need to be undertaken and how they will be measured. Identify the link, where possible, to the Business Plan.
- Discuss with the individual how their role fits in to the Service/ Team/ Operational Plan, or the contribution they make to achieving the plan.
- Discuss the Core Behaviours and those that the individual exhibits and those that they don't and what they might need to do address this.
- Make sure the discussion is two-way, ideally, with the employee doing most of the talking.
- Discuss learning and development that may be necessary to support the individual's work and achievement of Objectives and Core Behaviours.
- Discuss any other activities that the individual is involved in or training that they have undertaken that may not directly relate to the job.
- Summarise what was discussed and agreed.
- Agree with the individual who will write up the appraisal.
- Agree the date for the Mid year Review.

After the meeting the manager should:

- Ensure that there is an agreed record of the Appraisal.
- Ensure copies of the completed Appraisal form are given to the individual and Human Resources.
- Retain a copy of the form for themselves.

Preparing for the Mid Year Review Meeting

The member of staff should review the Preparing for Appraisal form, Appendix 1 and the section covering Mid year Review which they should complete beforehand and either bring to the meeting or send to their manager in advance.

The manager should review the Appraisal documentation and prepare some notes on how the individual has performed based on the Objectives, Performance Indicators and the Core Behaviours.

During the meeting the manager should:

- Ask how the individual thinks they are doing.
- Discuss the Objectives and performance indicators and how they are going.
- Record any changes to the original Objectives and any new Performance Indicators.
- Discuss the Core Behaviours and how the individual is doing.
- Make sure the discussion is two-way ideally with the individual doing most of the talking.
- Discuss any learning and development that has been undertaken and the benefits and impact this has had on the individual's work. Where possible identify any costs associated with the training and discuss whether it was good value for money.
- Discuss any learning and development that is planned for the next six months and what benefits and impact the individual should expect to get from this.
- Discuss any new learning and development requirements that may be required to support the individual achieving their Objectives and exhibiting the Core Behaviours for the job.
- Discuss any other activities that the individual is involved in or training that they have undertaken that may not directly relate to the job.
- Agree the date for the End of Year review which will also cover the next Appraisal year.

After the meeting the manager must ensure that there is a record of the Mid Year Review. Copies of the completed Appraisal form (the Mid Year Review sections) should be retained by the individual, Human Resources and the manager.

Preparing for the End of Year Review Meeting

The End of Year Review has a dual purpose in that it looks back over the previous year and assesses performance but also looks forward to the next Appraisal year.

The manager should remind the individual of the End of Year Review meeting notifying the individual of the date and time in advance of the meeting.

The member of staff should review the Preparing for Appraisal form, Appendix 1 and the section covering End of Year Review. They should also start a new Preparing for Appraisal form, Appendix 1. Both forms should be completed beforehand and either brought to the meeting or sent to their manager in advance.

The meeting is a time for discussion and there should be no interruptions. The End of year Review Meeting will be an opportunity to look back at the previous year and look forward to the start of a new Appraisal year.

The manager should look back at the Appraisal documentation and prepare some notes on how the individual has performed based on their Objectives, performance indicators and the Core Behaviours over the year. Review the period following the Mid Year Review.

At the meeting the manager should review the individual's performance against their Objectives, Performance Indicators and the Core Behaviours. The questions set out in the Mid Year review can be used during the discussion.

Having concluded the review of the previous year and the documentation the meeting then focus's on the coming year and a new Appraisal form should be completed starting off another cycle. The guidance under the Section "Preparing for the Appraisal Meeting" can be used to structure this part of the meeting.

After the meeting the manager should ensure that there is a record of the End of Year Review. At this stage the copies of the completed Appraisal form for the End of Year Review should be given to the individual. The manager needs to provide proposed Ratings for the individual based on their achievement against their Objectives and Core Behaviours using the Ratings set out in this document. These Ratings and a copy of the Appraisal form should be sent to Human Resources. It is good practice that the process and assessment has been undertaken fairly and consistently.

Copies of the Appraisal form, for the next year, should be retained by the individual, Human Resources and the manager.

Completing the Appraisal Documentation.

Following the Appraisal, Mid Year Review and End of Year Review Meeting the Appraisal documentation, at the appropriate points, should be completed so that there is a written record of the process. The documentation can be completed either by the manager or the individual, but this should be agreed at the meetings. It is intended to be a concise record and should not take hours to

complete but needs to be relevant and useful. It may be useful to bullet point the key factors discussed.

The manager and the individual should both sign the form. The manager should forward the appraisal form to the second line manager line to sign off too, highlighting any disagreements which might need to be resolved. The second line manager will also need to check the Appraisal form for consistency, equality and fairness and use it in any moderation purposes.

A copy of the form should be sent to the local Human Resources Manager for them to moderate and ensure consistency and fairness across the department and for placing a copy on the individual's personal file.

It is expected that the documentation should be completed and copies issued no more than 5 working days after the meeting. If a longer period is anticipated (e.g. because of holidays etc) this should be made known and a revised timescale agreed.

Comments of Employee, Manager and Other Managers

There are tables in the Appraisal documentation to complete at the Mid Year and End of Year Review Meetings. This will normally just be signed off by the member of staff and the manager with comments being entered by exception. By exception means that comments are provided if the individual is doing extremely well or there is concern about their performance. If the individual is doing very well then the manager should record why they are doing so well and in what. If they are not doing so well the manager should provide details of why this is case and the measures that are being taken to improve performance and address the Core Behaviours as necessary. If appropriate the manager may record any additional points that should be highlighted about the individual's performance e.g. Objectives have changed.

The Appraisal Documentation will also need to be reviewed by the second line manager and other manager's depending on the management structure. The direct line manager should ensure that the individual is aware of which managers will be seeing their Appraisal form. The other managers may wish to comment on either very good performance or poor performance and what might be done.

Assessing Performance Against Targets and Core Behaviours

In preparing for the Mid Year and End of Year Review the manager should identify examples to support assessment against each of the Objectives and Performance Indicators and the Core Behaviours and have a clear view of how they think the individual performed in relation to what was agreed at the beginning of the Appraisal process and recorded in the Appraisal form. Manager's can review what was discussed in any one to one meetings and any

documentation e.g. emails to reach a view about the individual, what they have achieved, and the behaviours they have exhibited.

Evidence should be recorded to demonstrate whether the Objectives and Performance Indicators have been achieved in full, partially or not at all. The appropriate boxes on the form should be used to record the evidence based on examples that you discuss. Where Objectives have not been met provide evidence as to why that is including any mitigating circumstances. It is not the intention to record so much evidence that this detracts from the purpose and value of appraising. There needs to be a balance.

If the Objectives and Performance Indicators have changed then this should be recorded, setting out why. If it is necessary to add new Objectives and Performance Indicators then these can be added and the reason included as to why they have been added. The individual's performance will then be assessed against these new Objectives and Performance Indicators rather than the old ones.

In assessing performance against the Core Behaviours the manager should review the behavioural indicators for the level of the job using these as a guide since they are indicative and not exhaustive. The manager should identify examples of the behaviour they have observed the individual exhibiting and whether these are effective or ineffective behaviours. If an individual is exhibiting behaviours at a lower level the manager will need to discuss ways of developing the individual to reach the appropriate level for the job. An individual exhibiting behaviours at a higher level should have this recognised, and a comment made as to what they are exhibiting, however, they must still demonstrate the behaviours for the level of their job as well. The Core Behaviours are associated to the post and not the person, and therefore an individual exhibiting higher levels of behavioural should have that recognised in their Appraisal but it does not mean that the Grade of the job changes.

In most situations the manager and the individual will agree on the assessment of their performance against their Objectives and Performance Indicators and the Core Behaviours. There may be exceptional cases where agreement cannot be reached. If agreement cannot be reached then the manager should refer the matter to the second line manager. However the issues need to be explicitly set out and justified and the second line manager will take a view as to a fair and reasonable way forward.

The manager should inform the individual of how they are doing at the Mid year Review, but not any rating. The manager should be clear about any areas for improvement and how this should be achieved.

At the End of Year Review each Objective and Core Behaviours should be Rated individually based on the evidence and examples. The manager should:

- Review the evidence and examples to support what has been achieved and what hasn't.
- Assess whether the employee achieved what was expected of them and whether they have developed the behaviours required for the post.
- Record the Ratings for the individual, but these are not to be shared with the individual until after moderation.

If the employee has performed beyond what was expected then this should be recognised in the Rating.

The Rating by the manager is a recommendation only at this point. The manager will need to assess the performance of one individual against that of others in the team to ensure that they have been fair and just in each assessment relative to others. The Ratings will need to go through a moderation process to ensure consistency and fairness across the department and the whole organisation.

Rating

To reach a Rating a manager should review the individual's performance against the Objectives and Performance Indicators and how well they have exhibited the Core Behaviours required for the post. The evidence that has been recorded in the Appraisal documentation should clearly demonstrate why a particular Rating was recommended. If any dispute arises or the manager needs to justify a decision then the proper documentation that demonstrates that the process and findings are fair, consistent and equitable will be necessary.

The Ratings being used by the City of London Corporation are

- A- Outstanding Contribution,
- B- Excellent Contribution,
- C- Good Contribution
- D- Improvement Required

Assessing Objectives

The achievement of Objectives can be influenced by a huge number of variables (personnel changes, financial constraints, changes to the political context, organisational climate, unforeseen obstacles, other internal or external influences etc) and whilst the manager is encouraged to update objectives and performance indicators throughout the year to keep them relevant – taking a common sense approach and applying knowledge of the local work context in an assessment of each objective is expected. Managers should make sure the objective is achievable by the individual.

Assessing Core Behaviours

Managers should use the Performance Development Framework (PDF) to guide their assessment against each Core Behaviour, but should not feel restricted to

that document alone. Whilst the PDF provides a good steer regarding the necessary behaviours for the post, the following may be used to inform the assessment:

- the other behaviours not selected,
- other feedback and
- observations made.

Managers should use the following scale to rate the individual against each **Objective** and each **Core Behaviour**. Rate each Objective and each Core Behaviour with an A, B, C or D. Do not use a split Rating e.g. A/B, it can only be an A, B, C or D.

Rating	Rating Individual Objectives	Rating Individual Core Behaviours
A – Outstanding Contribution: Consistently exceeding performance expectations	Objective met in line with all performance indicators. Additional actions which significantly improve outcome have been achieved, or expected performance outcome of objective has been significantly exceeded.	Consistently demonstrating behaviours beyond that required of the role, demonstrated through: <ul style="list-style-type: none"> ▪ Operating consistently at a higher level of the PDF than role requires (i.e. A level 2 post holder working consistently at level 3); and/or ▪ Being recognised as a role model for a particular behaviour
B – Excellent Contribution: Consistently meeting performance expectations in all areas	All actions required to meet objective delivered as expected. Outcome or level of performance is as expected or better	Consistently achieving the level required and often demonstrates behaviour expected at the next level. No adverse examples
C – Good Contribution: Consistently meeting performance expectations in the majority of areas	Majority of actions required to meet objective delivered as required. Outcome or level of performance is as expected, or just below for acceptable reasons.	Usually achieving the level required. A small number of adverse examples or performance at the next level might be demonstrated.
D - Improvement Required: Expectations not being met in some or many areas	Some actions required to meet objective delivered as required. Outcome or level of performance is below that expected.	Sometimes achieving level required but adverse examples often demonstrated.

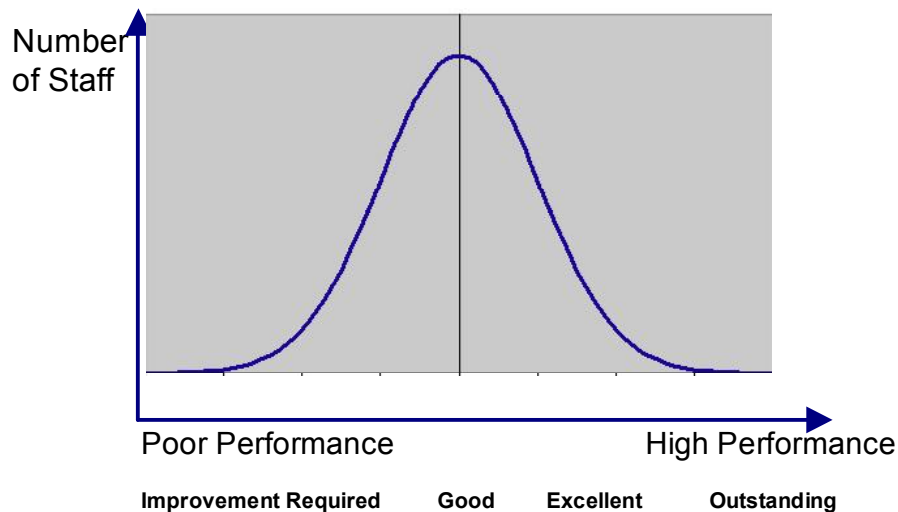
Moderation process

Once a manager has completed their assessment and Rated an individual against each Objective and each Core Behaviour they should send the completed form to the second line manager for signing off and then HR. The HR team will need to know the Ratings for each employee so that they can undertake an initial consistency check and prepare proposed Appraisal Rating Spreadsheets for use in the Moderation Process.

Moderation will take place at several levels within the organisation to provide a consistency, fairness and equity check in terms of the application and approach to Appraisals and Rating of employees. The Ratings will be Moderated across teams, services, departments and the organisation as a whole before staff are advised of their Rating.

It is expected that when taking an overview of the Ratings for each department and the organisation as a whole it will reflect a “normal distribution curve”, however, sometimes in practice it can be skewed.

Normal Distribution Curve for Illustration Purposes



Employees Who Disagree with their Rating

Ratings at the end of the year should not come as a surprise to an employee. However, if they are unhappy with their rating then they can seek recourse through the Employee Complaints Procedure. This should be dealt with as quickly as possible.

Note this is a condensed form for inclusion in the Guidance. A form for completion can be found on the Learning and Development intranet site.

Preparing for Appraisals

This form is for the employee to complete prior to the appraisal and either bring along to the meeting or send to their manager/supervisor in advance. You can use it to prepare you for the Appraisal meeting and help you to prompt discussion. It is advisable to keep a copy of this for your own record.

Name of post holder:	Name of Appraising manager:
Job title:	

Preparing for your Appraisal meeting

In order to maximise the time with your manager /supervisor during the appraisal meeting, the following questions should be considered as part of your preparation. If any of the questions are “no”, you should raise these with your manager at the meeting and discuss what actions need to be taken.

	Yes	No	Comments
Do you have an up to date job description?			
Are you aware of the team plan?			
Do you have one to one meetings with your manager?			
Have you been involved in the team planning process?			
Have there been any changes to your role in the past 12 months?			

What is going well?

What isn't gone so well and what should be done to make it go well?

How can you improve your personal performance?

What support do you need from your Manager/Supervisor/colleagues?

Learning & Development Plan

Give some thought to what learning and development you may need in order to do your job effectively and to take account of any areas of the core behaviours that you think you may wish to develop. Remember learning and development isn't always about attending a training course. Look on the learning and development intranet site for more details.

Consider what learning and development opportunities would be particularly useful for you to undertake in the coming year and why?

--

What are your longer term career aspirations/development (consider the next 1-3 year's- where do you see yourself?

--

You may undertake activities or be trained to do something that may not be directly related to your job please detail these below e.g. You are a First Aider, a Mediator etc.?

--

Preparing for the Mid-Year Review and End of Year Review

In order to maximise the time with your manager /supervisor during the Mid Year Review meeting and the End of Year Review Meeting , the following questions should be considered as part of your preparation. You can either bring the form along to the meeting or send it to your manager/supervisor in advance. It should help you to participate in the discussion. It is advisable to keep a copy of this for your own record.

For the Mid Year Meeting - consider your objectives and core behaviours for your post which do you think are going well and which aren't going so well, and why is that? Provide as much evidence and examples to support your comments as appropriate.

For the End of Year Meeting - Consider your objectives and core behaviours for your post which do you think have gone well and which haven't gone so well, and why is that? Provide as much evidence and examples to support your comments as appropriate.

Note: six Core Behaviours will be identified as essential to underpinning successful performance in the role. This will increase to **eight** for staff with

supervisory or management responsibility. For those graded I and SMG all 13 will apply.

Objectives and Core Behaviours		
	Mid year	End of year
Core Behaviour 1		
Core Behaviour 2		
Core Behaviour 3		
Core Behaviour 4		
Core Behaviour 5		
Core Behaviour 6		
Core Behaviour 7		
Core Behaviour 8		

Add extra Core Behaviours as necessary

Management 1		
Management 2		
Management 3		

Learning and Development

Review the learning and development you undertook in the last 6 months and how this has impacted on your work? Consider the time, costs, benefits and impact of the activities as appropriate. What learning and development are you going to undertake in the next 6 months?

At the End of year review the learning and development you undertook during the year. What has been the most useful to you and why?

Appendix 2

Note this is a condensed form for inclusion in the Guidance. A form for completion can be found on the Learning and Development intranet site.

Appraisal Documentation

This form is to be used during the Appraisal Process and can be completed by the manager or the individual, whatever is agreed. Copies should be retained by both parties and Human Resources.

Name of post holder:	Job title:
Team and Department:	Employee Number:
Name of Appraising manager:	
Appraisal Year:	Date of Appraisal Meeting:
Date of Mid Year Review:	Date of End of Year Review:

Objectives and Performance Indicators

To be completed at the Appraisal meeting following discussion with the employee. This section should set out specific objectives for the individual for the coming year in relation to the Service/Team Business Plan and/or operational plan . There should be between 4-8 Objectives with the ideal being 6 which should have SMART principles. Examples of how to formulate SMART objectives are detailed in the guidance notes. The performance indicators will set out how the objective will be measured.

At the mid year review and end of year an assessment of each objective should be made.

Objectives and Performance Indicators -		
Objective - description	Performance Indicator(s)/ Milestones - <i>What needs to be achieved</i>	Date due for Completion
Mid Year Review - Comments on performance		
End of year review - Comments on performance		
		Provisional Rating

Objective - description	Performance Indicator(s)/ Milestones - <i>What needs to be achieved</i>	Date due for Completion
Mid Year Review - Comments on performance		
End of year review - Comments on performance		
		Provisional Rating
Objective - description	Performance Indicator(s)/ Milestones - <i>What needs to be achieved</i>	Date due for Completion
Mid Year Review - Comments on performance		
End of year review - Comments on performance		
		Provisional Rating
Objective - description	Performance Indicator(s)/ Milestones - <i>What needs to be achieved</i>	Date due for Completion
Mid Year Review - Comments on performance		
End of year review - Comments on performance		
		Provisional Rating

Add additional objective boxes as appropriate.

Outline how the employee's role contributes to the achievement of the Service/Team Business Plan or Operational Plan as appropriate?

Core Behaviours (CB)

The level required for the job is shown below but only **six** will be identified as essential to underpinning successful performance in the role. This will increase to **eight** for staff with supervisory or management responsibility. For those graded I and SMG all 13 will apply. Refer to the Performance Development Framework document.

Level for the post:		
Add the Behaviours identified for the job	Mid Year/End of Year	Comments on Performance and Rating
CB1	Mid Year Review	
	End of Year Review	Provisional Rating:
CB2	Mid Year Review	
	End of Year Review	Provisional Rating:
CB3	Mid Year Review	
	End of Year Review	Provisional Rating:
CB4	Mid Year Review	
	End of Year Review	Provisional Rating:
CB5	Mid Year Review	
	End of Year Review	Provisional Rating:
CB6	Mid Year Review	
	End of Year Review	Provisional Rating:
Add any comments on additional Core Behaviours exhibited		

Management 1	Mid Year Review	
	End of Year Review	Provisional Rating:
Management 2	Mid Year Review	
	End of Year Review	Provisional Rating:
Management 3	Mid Year Review	
	End of Year Review	Provisional Rating:

Learning & Development Plan

This should be drawn up following discussion with the individual at the Appraisal meeting. Consideration should be given to previous performance and achievements as well as support for achieving current objectives.

What is required and why?	How is it to be implemented?	Benefits /Impact expected	Target date	Resources Required, time, cost, support from others etc.
Mid Year review (impact/ benefits)				
End of Year review (impact/ benefits)				

What is required and why?	How is it to be implemented?	Benefits /Impact expected	Target date	Resources Required, time, cost, support from others etc.
Mid Year review (impact/ benefits)				
End of Year review (impact/ benefits)				

Add more boxes as appropriate

Detail any activities, achievements or training undertaken that may not be directly related to the job e.g. First Aider training, a Mediator training, volunteering undertaken etc.?

Comments and Sign Off on the Mid Year Review

Complete this following the discussion.

	Mid year review	
	Comments on performance of the individual by exception	Signed
Employee		
Manager		
Second - Line Manager		

Add extra management levels if required

Comments and Sign Off on the End of Year Review

	End of Year review	
	Comments on performance of the individual by exception	Signed
Employee		
Manager		
Second - Line Manager		

Add extra management levels if required