



This toolkit is to help you explain to your staff the context and background to the new processes. It is better to spend the time with your staff explaining this rather than just emailing it round.

In this toolkit are a series of slides with some headline bullet points and information. Under each slide are some explanatory notes to help you interpret the headlines, explain the context, structure, new forms and guidelines.

We recommend that you allow approximately 45 minutes to 1 hour for the session (including questions from your team).

### **Preparation**

We suggest that you work your way through the slides in advance of the session and determine how long you think is appropriate to spend on each section based on your understanding of the level of knowledge your staff have. Preparation is critical to running an effective session with your team.

- **Please ensure all staff have a copy of the Performance Development Framework.**
- **Please also have copies of individual's Job Description and Profile.**



## Purpose and Outcomes

### **Session Purpose:**

To provide an overview of the new Performance Development Framework (PDF) and appraisal process.

### **Session Outcomes:**

- You will understand the structural elements of the PDF (Clusters, Core Behaviours, Indicators and Levels)
- You will understand how the PDF will affect you
- You will understand how the PDF can assist with your career development
- You will understand what 'contribution' means
- You will understand the new appraisal cycle

Work through the points on the slide with your staff - and tell them that you will come back to this slide at the end to make sure you have covered what you said you would!

Tell your staff that you are providing them with an overview the new PDF and Appraisal process. There is more detailed information on all of these areas on the intranet and through training being run by the Corporate Learning and Development team.



Explain that the PDF is a key element that will feature in all stages of the employment life-cycle including, recruitment and selection, probation reviews, performance reviews, development, career planning, progression and reward.

Over the next 3 years HR will be doing a lot of work to align recruitment, development and the way talented staff are managed and supported. You will hear more about what is being done over the next few months. But to provide an example: Once we have identified which core behaviours are critical to driving successful performance in a particular role the process for recruitment would be to use the Core Behaviours in the assessment of candidates for the role.

It is important to remember that Core Behaviours is related to the job and not the individual.

Explain that the PDF is designed to bring greater clarity and transparency in the way staff are managed. It sets out the core behaviours that underlie effective performance at CoL for staff at all levels (From the Chief Executive to the front-line). The PDF replaces all other competency frameworks being used at CoL, and together with the revised appraisal system will ultimately underpin the new pay and grading structure (but this will not come in just yet)

## Clusters and Core Behaviours



The new PDF is a behavioural model, it is not a model designed to capture technical or professional role requirements - these requirements will be captured under the job descriptions, objectives and development activities set for staff. The PDF captures the **core behaviours** that are critical to driving high performance at City of London now and into the future.

Set the scene by advising staff that almost 200 people from across CoL contributed to the design of the new PDF through interviews, focus groups and feedback sessions. A lot of the priorities and language come from them, not HR or senior managers. Time has been taken to make sure that it fits the organisation.

Ask your team to **turn to page 5 of the PDF**

Explain that in the PDF there are 13 core behaviours, split into five clusters:

1. **Thinking** Cluster (3 core behaviours)
2. **Building Relationships** Cluster (2 core behaviours)
3. **Achieving** Cluster (2 core behaviours)
4. **Self-Managing** Cluster (3 core behaviours)
5. **Leading** Cluster (3 core behaviours)

On page 5 is a brief explanation of what each cluster is about and some examples of how they might be used to think about assessment or development. It would be useful to discuss these with your staff and check their understanding.

Explain that the clusters are a way of grouping core behaviours in a logical way and the colour coding is simply to help differentiate the clusters and help staff to navigate their way through the framework.

Explain that the **leading** cluster, in most circumstances, will only be relevant to staff with management responsibilities.

Explain that most staff will have strengths and development needs across the different clusters.



## Levels and Indicators

Each core behaviour is split into five **levels**

Each **level** corresponds with roles in our organisational structure and the new pay grades

At each level are

4 indicators of effective behaviour identified by a '✓',  
2 examples of ineffective behaviour identified by a '✗'.

These indicators are intended to provide a clear indication of the contribution expected from staff at different levels at CoL and a **focus** for performance, development and recruitment discussions. However note that these indicators are not a definitive checklist, other examples, evidence and feedback should also be used to inform an assessment about performance.

Ask your staff to turn to pages 6-7 of the PDF.

Explain that the **five levels are cumulative** which simply means that a staff member in a level 3 role would be expected to be demonstrating effective indicators from level 1 and level 2 as well as level 3. **However at the appraisal meeting, it is intended that the focus of the discussion for someone at pay grade E is at level 3.** You will not be working through each level for each factor mechanically.

Explain that the 5 levels link to pay grades in the new pay structure. I.e. Level 1 sets out expectations for staff occupying pay grades A and B, Level 2 - pay grades C and D etc

Example: '**Organisational Understanding**' will be a relevant core behaviour both for a director and an administrator - but the complexity associated with the behavioural expectations in each role will be quite different. Therefore the 5 levels provide a guide to the behavioural expectations for different roles. The ticks spell out these expectations.

Explain that the indicators (ticks and crosses) **are examples of effective performance and they should not be used as an 'absolute' checklist.** They give you a feel for what is expected at that level. However, staff demonstrating most or all of the 'effective indicators' on a consistent basis are likely to be performing to at least the expected standard for a given role, conversely where staff demonstrate 'ineffective indicators', this may suggest that a development need or performance issue exists. It would be normal for some staff to be demonstrating some of the effective indicators from a higher level than their pay grade might suggest. If they are consistently exceeding the expectations at their level (across all their core behaviours) it is likely they are high performing staff! This can be recognised through the eventual link to contribution pay or recognition payments.

Explain that the PDF isn't just a management tool - it's a tool that staff can use to start thinking about career development.

i.e. If you are at pay grade D (or level 2 of the PDF) you can see what is expected of you at Pay Grade E (Or level 3 of the PDF) and have a discussion with your manager about developing your skills so you can operate more effectively at the next level up so you have good examples when you want to apply for promotion. See the intranet for more development ideas.

Remind your staff that the PDF forms an important part of describing what we expect from them but is not the complete picture. Effective performance is about the tasks and activities we carry out day to day and how well we do these, the knowledge and skills we bring to the job as well as effective behaviour. So to assess performance or 'contribution' we need to look at **what** we do as well as **how** we do it. **The PDF focuses on the 'how'.** We will cover the **What** later.

## Selecting Core Behaviours for Your Post

- With you I will discuss which **six** core behaviours apply to your post.
- What we chose will be relevant for the post
- Core Behaviours will be drawn from across the Thinking, Building Relationships, Achieving and Self-Managing clusters (at least 1 from each of the clusters for all positions)
- The **Leadership cluster** is only relevant to roles with management / supervisory responsibilities
- Indicators are intended to provide a **focus** for performance & development discussions
- Remember that the indicators provide a guide and are **not 'definitive'** and don't provide an 'exhaustive' list - (however they should help guide appraisal and development discussions)

You may wish to hand out a job description to each of your staff and then ask them to think about which of the 6 Core Behaviours they feel are the **most critical** to driving successful performance in their particular post. This would be the start of the process and that you will meet with them individually to agree the final set of Core Behaviours.

Eventually the Core Behaviours that have been selected for all roles at CoL will be recorded on the Trent HR system. Every single manager and staff member at CoL will be going through this process in the next few weeks.

### **By this point your staff should understand the following:**

- What Core Behaviours are
- How many Core Behaviours there are
- How many clusters there are and what they are
- What behavioural level they will be assessed against
- The process for agreeing their own **6 critical core behaviours**
- What effective and ineffective indicators are



## The Performance Appraisal Process and 'Contribution'

**Contribution:** Made up of the **WHAT** and the **HOW**.

Staff at CoL will be recognised for the total contribution they make, not just the targets they reach. Put another way, staff are to be assessed on the basis of both **how** they go about their work and **what** they achieve.

At CoL the '**how**' is defined through core behaviours and the '**what**' is expressed through objectives and performance indicators.

Principles/Component Parts of Performance Management:

- Defining expectations
- Sharing expectations
- Continuous/Ongoing/2-way
- Recognition
- Professional/Personal and Interpersonal Development

Use the explanation on the slide to draw out the distinction between the '**WHAT**' and the '**HOW**'

Explain the principles of the new appraisal system:

**Sharing expectations:** I will clarify what I expect you and the team to do; in the same way that you and the team can communicate their expectations of how they should be managed and what tools and support they need to do their jobs effectively

**Defining Expectations:** Expressed as objectives and performance indicators

**Continuous/Ongoing/2-way:** That there should be no surprises at the formal mid-year and end of year reviews. These meetings should be an extension of ongoing discussions about performance

**Recognition:** That all staff will be recognised for the contribution they make at work. This is not just about what they do – but how they do it.

**Professional/Personal Development:** That development will be linked to Continuous Professional development, technical, career, skills and any other forms of development.



## The Performance Cycle at CoL

### 0. End of Year Review - Jan/April 2008 (Using old forms and processes)



### 1. Beginning of new Performance Year - Jan/April 2008 (Using revised forms and process)

- Role expectations outlined for year ahead (including **core behaviours**)
- SMART objectives with measurable performance indicators agreed
- Standards of expected performance agreed
- Development needs identified and agreed (professional, technical and competency-based)

### 2. Mid Year Review(s) - Aug/October 2008

- Performance against both objectives and core behaviours reviewed. (Objectives amended if required)
- PDP reviewed
- Formal recognition, praise and acknowledgement
- Development activity actioned as required

### 3. End of Year Review - Jan/April 2009 Beginning of new Performance Year

- Formal review of contribution undertaken
- Formal performance discussion and evaluation
- Contribution rating and link to pay determined
- Recognition/Praise
- Development needs reviewed and carried forward to new year if required

Explain the performance cycle at CoL using the slide above.

Explain to your staff that during the period between January and April 2008 all CoL managers are expected to review staff performance for the 2007/2008 performance year using the old forms and processes. But that the new performance year for 2008/2009 should be based on the new forms and processes (including the agreement of 6 core behaviours for each post)

Explain that the key focus is what the person needs to do and how they do it, and it is not the process

Check that your staff understand the cycle and the key components involved.

For more information about setting objectives, agreeing core behaviours, how objectives and behaviours will be assessed - refer to the Appraisal guidelines.

## Participating in the Appraisal Process

When preparing for the revised process:

- (the first time round) Think about which of the 6 or 8 core behaviours are most relevant to your post
- What you think your objectives could be so you can discuss these with your manager
- Think about the development you might need or want to meet your objectives or demonstrate the core behaviours really effectively
- When you review performance think of examples which demonstrate how you have performed against the core behaviours – this is your chance to discuss how well you've done the job not just what you've done, e.g. good customer feedback etc.
- Think about how you can demonstrate you have achieved your objectives and performance indicators

Talk to your staff about how you want them to participate in the process and refer them to the guidance for more details of how they can prepare/contribute.