

PERFORMANCE & DEVELOPMENT APPRAISAL POLICY

This document applies to all Council employees except:

- Fire employees on Grey & Gold Book Terms & Conditions
- All school based employees

This document may not be applicable to employees who transferred into LCC under TUPE legislation and remain on the terms and conditions of their previous organisation.

Last Review	January 2018
Next Scheduled Review	January 2021
Last Updated	May 2019

CONTENTS

1.	INTRODUCTION	1
2.	POLICY	2
2.1	Top scale point arrangements	3
2.2	New starters	3
2.3	Internal moves within LCC.....	3
2.4	Change of manager during appraisal year.....	4
2.5	Temporary and fixed term contracts	4
2.6	Long term absences including maternity/adoption leave	4
2.7	Employees on single spinal column points	4
2.8	Multiple post holders	4
2.9	Job Share Arrangements	4
2.10	Secondments	4
2.11	Relief Staff	5
2.12	Agency Workers.....	5
2.13	Capability Policy	5
2.14	Mitigating Circumstances	6
2.15	Exceptions	6
3.	PERFORMANCE AND DEVELOPMENT APPRAISAL - CORE PRINCIPLES ...	6
3.1	General	6
3.2	Objective setting.....	6
3.3	Recording.....	7
3.4	Confidentiality.....	7
3.5	Support	7
3.6	Assessment	7
3.7	Performance criteria	8
3.8	Moderation	8
3.9	Appeals.....	8
4.	TAILORED PROCEDURES	8
5.	EVALUATION OF APPRAISALS	9
6.	FURTHER INFORMATION	9
7.	ADVICE AND SUPPORT	9

1. INTRODUCTION

Performance and development appraisals covering all employees are delivered throughout the organisation on an annual basis, with half yearly review meetings. This will be part of an overall performance and development programme.

The purpose of the Performance and Development Appraisal process is:

- to ensure that the organisation has the right skills in the right place at the right time and to the required capacity to deliver services to agreed standards
- to develop and support all employees to do their job well to deliver the Council's priorities for the benefit of our customers and communities
- to ensure that LCC is working as one Council and through its partners to deliver effective and efficient services
- to maximise the capacity, resilience and flexibility of our people and resources to deliver our key priorities
- to develop and retain professional skills through further development of career pathways

Individual performance and contribution will be recognised.

This document will be applicable from January 2018 which will mark the start of the new appraisal year. At the end of this appraisal year all performance and development appraisal reviews will include a rating of the appraisee's performance. This rating will be used to inform incremental pay progression decisions (award of scale points) for employees on GLPC grades which will be applicable from 1st April 2019.

The expected minimum level of performance for all employees is an overall performance and development appraisal rating of successful. The impact of ratings on incremental pay progression will only affect employees who are on GLPC grades and is not applicable to employees who transferred into LCC under TUPE legislation and remain on the terms and conditions of their previous organisation. For those on GLPC grades it will only affect those who have not reached the top of their current GLPC scale as at 31st March 2019. Therefore the pay of employees who are at the top scale point of their GPLC grade will not be affected.

To be eligible for a pay progression increment, employees must achieve an overall performance and development appraisal rating of successful or above. (i.e. 3 or above).

The Performance and Development policy will apply to all employees in scope but the pay progression process will not affect those on non GLPC roles.

Pay Progression increments will be awarded on 1st April each year following an annual review of performance over the previous year. This will be in addition to any annual nationally negotiated pay award applicable to the pay of all employees, with the exception of those on pay protection arrangements or TUPE transferred pay scales. For those who have transferred to LCC under TUPE they may have transferred in with a term and condition that links their pay to their performance. In

these circumstances increments will be applied in accordance with the terms and conditions applied to them. For those employees who start employment part way through the appraisal year, section 2.2 (New Starters) applies.

2. POLICY

Director/Service areas may devise, design, revise and implement their own approved tailored procedures of performance and development appraisal that meet the performance and development appraisal core principles (See section 3).

All performance and development appraisal procedures must ensure that the Council's vision, values and objectives are translated into personal, and, where relevant, team objectives to ensure that employees at all levels of the Council can see and understand that the objectives they are set contribute to the Council's success as a whole from the beginning of their employment. The process provides an opportunity to link development and objectives to professional accreditation requirements where appropriate.

Regular, random audits will be undertaken by the People Management team, including post appraisal evaluation forms, to review the quality of appraisals completed across the organisation.

Following the audits, reports will be produced and recommendations and actions to resolve any inconsistencies will be provided to managers.

The Council's values will be integrated into all performance and development appraisal procedures through the use of the [Core Values and Behaviours Framework](#) and will be linked to learning and development requirements. Some areas may also wish to use professional competencies or standards that are set by relevant professional bodies.

Appraisers must ensure that all appraisal processes are fair and equitable for all appraisees and that they are applied in line with the Council's [Equality and Diversity Policy and Guidance](#).

Formal disciplinary and grievance issues are not to be part of any performance and development appraisal procedure and will be dealt with separately. It is important that any issue concerning poor performance is recorded in the performance and development appraisal meeting documentation in order that any formal monitoring of performance (through the Capability Policy) is not undermined by contradictory messages being given to the employee.

The electronic, audio or video recording by any device of performance and development appraisal meetings will not be permitted, unless express authorisation has been received from the appropriate senior manager prior to any such recording taking place.

This policy aims to create a performance management framework to ensure that all employees:

- have an annual face to face performance and development appraisal meeting which is reviewed half yearly
- receive regular meetings with their line manager to discuss their performance during the year and discuss work activity, learning and development
- know what is expected of them in terms of the standard of their performance from the beginning of their employment
- will have an initial appraisal shortly after starting their employment or new post
- are set appropriate and SMART objectives with their appraiser to achieve over the following year
- are made aware of any areas in their work which are not to the required standard
- receive recognition for their achievements
- receive feedback on a regular basis which aims to improve and develop their performance
- identify with their line manager their learning and development needs and aspirations in a development plan
- have their performance assessed against the Council's values and behaviours
- are able to identify skills and knowledge development needs

2.1 Top scale point arrangements

When an employee has reached the top scale point of their grade for their current post they cannot receive another pay progression increment.

2.2 New starters

All new employees will be set objectives in their initial performance and development appraisal. These objectives will be monitored over the first 6 months of their employment through the [Probation Procedure](#). Increments will only be payable to new starters once they have had at least 6 months in post and completed a successful probation and performance and development appraisal review.

Pay Progression increments will normally be awarded on 1st April each year. Employees who are appointed after 1st October of any year (up to 31st March) will need a successful rating from their probation review meeting to be considered for an increment after 6 months in post. All other new starters (i.e. those who are appointed between 1st April and 1st October) will require both a successful probation review and a successful performance and development appraisal rating at the end of the appraisal year.

Managers must ensure that payroll are notified if an increment is to be withheld or if an increment is payable at a later date, for example if a probationary period has been extended.

2.3 Internal moves within LCC

When an employee moves to another role in the Council during the appraisal year, their performance against their objectives set at the beginning of the year should be reviewed before they leave. They should then be set new objectives in their new role which are achievable by the following January/February.

Employees who move to a new post after 1st October of any year (up to 31st March) will need an initial performance and development appraisal to set objectives for their first 6 months in the new post. These objectives must be reviewed and rated after 6 months to enable an increment decision to be made. This will be payable at the 6 month point where applicable.

Employees who move to a new post between 1st April and 1st October of any year will need to have objectives set at the beginning to be reviewed at the end of the appraisal year. Successful and above performance and development appraisal ratings at the end of the appraisal year will result in a pay progression increment payment on 1st April where applicable.

2.4 Change of manager during appraisal year

The old and new manager should discuss the best approach to ensure that the objectives remain relevant and that the performance over the full year is reviewed. This may mean the old manager providing relevant information to the new manager.

2.5 Temporary and fixed term contracts

All employees on temporary and fixed term contracts will be set objectives and a development plan which will be reviewed through performance and development appraisal meetings and which will be appropriate to the length of their employment. Where possible performance and development appraisal meetings will be aligned to the normal appraisal year to ensure consistency with permanent employees and pay progression increments.

2.6 Long term absences including maternity/adoption leave

If employees are absent during an appraisal year, objectives and timescales should be reviewed to accommodate the absence where possible. Absences due to a disability or maternity/adoption should not affect the overall outcome of the appraisal. If attendance in the appraisal year is less than 3 months and it is not possible to both set and review objectives within this period, the employee will be rated as 'successful' for the year. This does not apply during the probation period (see 2.2).

2.7 Employees on single spinal column points

Incremental pay progression is not relevant to those employees appointed to a single spinal column point as a spot salary. However they will still be required to have performance and development appraisals and be given a rating in accordance with the rating scale.

2.8 Multiple post holders

Employees who have more than one post may receive more than one performance and development appraisal meeting where they report to more than one manager. Where it is reasonable to merge these meetings and objectives set, this should be considered.

2.9 Job Share Arrangements

Some objectives and outcomes can be shared by job share partners but the evidence and ratings should be based on personal impact on the outcome. Job share partners may also have individual objectives. Behaviours and development will be individually planned and evidenced.

2.10 Secondments

All employees who are due to start a secondment should have the progress against their objectives reviewed from their substantive post before they move. These objectives may be amended or reallocated as appropriate for the duration of the secondment.

Once the secondment commences the new manager will set new objectives through an initial performance and development appraisal.

Employees who start their secondment after 1st October of any year (up to 31st March) will need an initial performance and development appraisal to set objectives for their first 6 months in the secondment. These objectives must be reviewed and rated after 6 months to enable an increment decision to be made. This will be payable at the 6 month point where applicable.

Employees who start their secondment between 1st April and 1st October of any year will need to have objectives set at the beginning of the secondment to be reviewed at the end of the secondment or at the end of the appraisal year, whichever comes sooner. Successful and above performance and development appraisal ratings at the end of the appraisal year will result in a pay progression increment payment on 1st April where applicable.

If the employee returns to their substantive post before the end of the appraisal year the outcome of their secondment performance and development appraisal will be taken into account so that the end of year rating is a reflection of performance across the whole year.

When employees return to their substantive posts the number of increments achieved during the secondment period will be applied to the substantive post grade unless the top scale point has already been reached.

2.11 Relief Staff

It may be appropriate for Relief staff to have a performance and development appraisal if they work regularly and have done or are likely to do so for 6 months or more. In these circumstances it would be reasonable to set and review objectives and for the Relief staff to evidence how they have demonstrated the Core Values and Behaviours. However, where Reliefs work irregularly and for short periods of time, this may not be practical. The decision to hold a performance and development appraisal for Relief staff will be left to managers' discretion however all people working within the Council should be provided with a clear understanding of the work they are expected to complete and the Council's Values and Behaviours from their supervisor.

2.12 Agency Workers

The Agency worker guidelines state that agency workers are not entitled to an appraisal from the host organisation. However, all people working within the Council should be provided with a clear understanding of the work they are expected to complete and the Council's Values and Behaviours from their LCC supervisor.

2.13 Capability Policy

All employees who achieve less than a successful rating in their performance and development appraisal review (i.e. a rating of 1 or 2) could be subject to the application of relevant policies. The Capability Policy applies when an employee is failing to carry out their duties in a satisfactory manner due to capability. Where the Capability Policy is not applied, an informal development plan will be put in place to ensure that the employee's performance level is improved. Where this does not achieve an improvement, the formal capability procedure will be applied.

Under the Capability Policy an increment may be withheld as a formal action.

Employees on a performance improvement plan will not have increments withheld for more than a year if their performance improves to the required level.

2.14 Mitigating Circumstances

There may be occasions where an employee is unable to achieve an objective/objectives they have been set due to issues outside of their control. Managers need to take this into consideration when they are applying a rating and disregard that objective or objectives if there were issues outside of their control which meant they could not achieve the objective/objectives.

2.15 Exceptions

Where the manager considers that there are exceptional or mitigating circumstances which suggest that an employee, who has not reached the successful rating in their performance and development appraisal review, should still receive an increment, the manager can make a recommendation to their Director Area Moderation Panel.

3. PERFORMANCE AND DEVELOPMENT APPRAISAL - CORE PRINCIPLES

3.1 General

- All employees will take part in a formal annual performance and development appraisal process using either the Corporate Performance & Development Appraisal Procedure or a tailored procedure adopted by Director/Service areas which has been approved by People Management through the relevant Strategic People Management Advisor (SPMA) and by the Director (See Section 4).
- Director/service areas must ensure that performance and development appraisals are only carried out by managers who have received training in the use of the process adopted.
- The effective management of the agreed performance and development appraisal process should be included as an objective in the performance and development appraisal of all managers/appraisers.
- All appraisers must undertake the mandatory Performance and Development Appraisal e-learning for Appraisers.

3.2 Objective setting

- Individual performance objectives should relate to the overall objectives of the service area.
- Objectives set will be in line with the responsibility level and scope of work outlined in the appraisee's current, up to date job description (and role descriptor where this exists)
- Significant changes to objectives and action plans should be discussed with the individual employee and confirmed as and when they arise.
- Performance against objectives, targets and values should be assessed by objective evidence and both appraiser and appraisee share the responsibility for monitoring progress on the agreed objectives.

- All appraisers will demonstrate consistency of objectives set across their team to their line manager.
- Long term planned absences will be factored into the objective setting timescales and, where appropriate, a performance and development appraisal will be held before the absence starts.

3.3 Recording

- A record of all performance and development appraisal meetings will be kept. They can be typed into the MS Word Performance and Development Appraisal form or written on a printed copy. This will then be scanned and either uploaded to the employee record in Business World On! or other secure location. Information about the performance and development appraisal meeting will be recorded on Business World On! by the appraiser.
- A record of appraisals needs to be completed on Business World On! to enable reporting.
- At the end of the appraisal year, the rating will be recorded by the manager and, from April 2019, the manager will also indicate (for GLPC employees) whether the next available increment will be paid.

3.4 Confidentiality

- The appraisal document will remain confidential between the appraisee, the appraiser and the grandparent manager.

3.5 Support

- Appraisers will ensure that they ask the appraisee if they need any additional support or equipment in order to perform their role effectively. This may be ICT equipment, flexible working arrangements or whether any reasonable adjustments are needed or are still appropriate, if already in place, to support a disability.

3.6 Assessment

- All appraisees will be assessed against their objectives and the Core Values and Behaviours (which may be merged with professional competencies in a tailored scheme).
- Appraisers should give an overall performance and development appraisal rating in line with the ratings guidance provided. The benefit of using a rating scale is that it provides a standard measure by which to assess performance based on the evidence available.
- All appraisers will demonstrate consistency of assessment across their team to their line manager.
- Pay increments will be awarded to employees on GLPC grades, who have not reached the top point of their grade, if their performance rating is successful or above (from April 2019).

- The appraiser's manager will be responsible for ensuring that the performance and development appraisals in their area are being completed consistently by all appraisers across their area of responsibility.
- Senior managers will be responsible for ensuring consistency of objectives and assessment across their service.

3.7 Performance criteria

The minimum acceptable level of performance is defined as:

- A performance rating of successful taking into account behaviours and objectives set under the Performance & Development Appraisal policy and procedure
- Should not have received a disciplinary sanction of withholding an increment
- Should not have been in capability action within the previous year as per current policy

Where behaviours and objectives have not been met and there are no mitigating circumstances, consideration should be given to application of the capability policy.

3.8 Moderation

- Appraisal records of employees will be subject to a moderation process as outlined in the Corporate Performance and Development Appraisal Procedure.

3.9 Appeals

- Employees who are not awarded an increment as a result of their Performance and Development Appraisal rating will have the right of appeal as outlined in the Corporate Performance and Development Appraisal Procedure.

4. TAILORED PROCEDURES

A tailored procedure may be created for an entire Director Area or Service area and may be based on the corporate procedure with amended forms.

Any tailored procedure must be assessed by an LCC Strategic People Management Adviser to ensure the Performance Appraisal Core Principles are met. It must then be approved by the relevant Director.

Professional competencies may be used alongside the corporate procedure without the need to create a tailored procedure. Use of professional competencies must still be approved by the relevant Director.

Where the intention is to change the corporate procedure or to merge professional competencies with the [Core Values and Behaviours Framework](#) this will mean that a tailored procedure is required and People Management must be involved as outlined above.

Unless a tailored procedure has been assessed and approved, it will be assumed that the corporate procedure has been adopted.

5. EVALUATION OF APPRAISALS

Following their performance and development appraisal meeting, appraisees will be encouraged to complete a performance and development appraisal evaluation form which can be accessed through the intranet.

6. FURTHER INFORMATION

[Corporate Performance & Development Appraisal Procedure](#)
[Core Values and Behaviours Framework](#)
[Performance and Development Appraisal Form](#)
[Performance and Development Appraisal Guidance Notes](#)

7. ADVICE AND SUPPORT

HR Advisers