

Performance and Development Appraisal Guidance

This document has been designed to support with the Performance and Development Appraisal process throughout the appraisal year.

The appraisal year



Setting objectives

The Performance and Development Appraisal gives an opportunity to review an appraisee's performance against previous objectives and behaviours, along with agreeing an overall rating for the year. The appraisee and appraiser should then discuss and set 3-6 SMART objectives for the coming year on the performance and development appraisal form which can be found within the Employment Manual (<https://www.lincolnshire.gov.uk/jobs/manuals/employment-manual/employee-appraisal-and-development/>).

The form can be completed electronically or handwritten.

SMART objectives are: Specific, Measurable, Achievable, Relevant, with Timescales.

Objectives may be given a percentage weighting if it is considered that one is more important or particularly challenging. This is not necessary if each objective is of equal importance.

Every year new service plans are set for that year and these inform the objectives that are set to ensure clear priorities for all within each service. The objectives set, along with the work carried out to achieve them, will assist Lincolnshire County Council to achieve their overall vision and objectives. For more information on setting objectives please refer to the Performance and Development Appraisal e-learning modules on Lincs2Learn.

The objectives should be captured under section 2 of the Appraisal form as shown below:

2) Objectives		
Your Objectives (the 'what') Please add SMART objectives below	Results achieved & impact Please give example(s) based on evidence and include any mitigating factors	Rating score (+optional weighting)
Click here to enter text.	Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Click here to enter text.

As well as setting objectives (the 'what') the appraiser and appraisee should discuss how the appraisee will be able to evidence their performance against the objectives and the Core Values and Behaviours (the 'how').

Reviewing objectives

At both the 6 month and end of year review meetings, progress will be reviewed against the objectives and the Core Values and Behaviours. Examples of the evidence collected should be written in the results achieved and impact box (see below) as well as any mitigating factors which have been agreed with the appraiser.

2) Objectives		
Your Objectives (the 'what') Please add SMART objectives below	Results achieved & impact Please give example(s) based on evidence and include any mitigating factors	Rating score (+optional weighting)
Click here to enter text.	Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Click here to enter text.

At the 6 month review it may also be useful to discuss the ratings as this will give the appraisee an opportunity to improve their score if needed.

At the end of year review meeting the completed objectives will be given a rating based on how well they have been achieved. If any objectives have not been completed by the end of year review, consideration should be given to any mitigating factors that may have prevented the appraisee from completing the objective. This should be taken into account when the rating is being assigned.

Overall rating for objectives

At the end of year review, a rating will need to be assigned to each objective and each behaviour, and added to the appraisal form, as shown below:

2) Objectives		
Your Objectives (the 'what') Please add SMART objectives below	Results achieved & impact Please give example(s) based on evidence and include any mitigating factors	Rating score (+optional weighting)
Click here to enter text.	Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Click here to enter text.

The ratings are:

- 5 = Outstanding
- 4 = Highly Accomplished
- 3 = Successful
- 2 = Inconsistent performance
- 1 = Low performance

The objective ratings should then be added together and divided by the number of objectives to give an average score for the objectives. If the average score is not a whole number then this needs to be rounded up or down, e.g. 2.5 should be rounded up to 3.

If objectives have been given weightings each score needs to be multiplied by the weighting percentage allocated to it; and then added together, rounded up or down if needed.

The overall rating for objectives should be entered on the form as shown below:

Objectives (the 'what') Please summarise SMART objective	Results achieved & value added	Rating score (+optional weighting)
Please summarise SMART objective Click here to enter text.	Please gives example(s) based on evidence Click here to enter text.	Click here to enter text.
Please summarise SMART objective Click here to enter text.	Please gives example(s) based on evidence Click here to enter text.	Click here to enter text.
Please summarise SMART objective Click here to enter text.	Please gives example(s) based on evidence Click here to enter text.	Click here to enter text.
Please summarise SMART objective Click here to enter text.	Please gives example(s) based on evidence Click here to enter text.	Click here to enter text.
Please summarise SMART objective Click here to enter text.	Please gives example(s) based on evidence Click here to enter text.	Click here to enter text.
Please summarise SMART objective Click here to enter text.	Please gives example(s) based on evidence Click here to enter text.	Click here to enter text.

Average Score:
Click here to enter text.

Reviewing Core Values and Behaviours

Using the Core Values and Behaviours Framework which can be found in the Employment Manual (<https://www.lincolnshire.gov.uk/jobs/manuals/employment-manual/employee-appraisal-and-development/>), evidence should be provided on how the appraisee has demonstrated the values and behaviours. For examples of evidence please see the Performance and Development Appraisal e-learning modules. Evidence for each Core Value and Behaviour needs to be added to the form under section 3 as shown below:

3) Core Values and Behaviours (Please refer to the Core Values and Behaviour Framework within the Employment Manual for detailed guidance)		
Core Values and Behaviours (the 'how')	Demonstrated by Please give example(s) below based on evidence	Rating
Leading and Developing People	Click here to enter text.	Click here to enter text.
Be Future Focussed and Drive Positive Change	Click here to enter text.	Click here to enter text.
Political and Commercial Focus	Click here to enter text.	Click here to enter text.
Consistently Deliver Results	Click here to enter text.	Click here to enter text.
Building Relationships and Influencing Others	Click here to enter text.	Click here to enter text.
Grow Yourself	Click here to enter text.	Click here to enter text.

Average score:
Click here to enter text.

Overall rating for Core Values and Behaviours

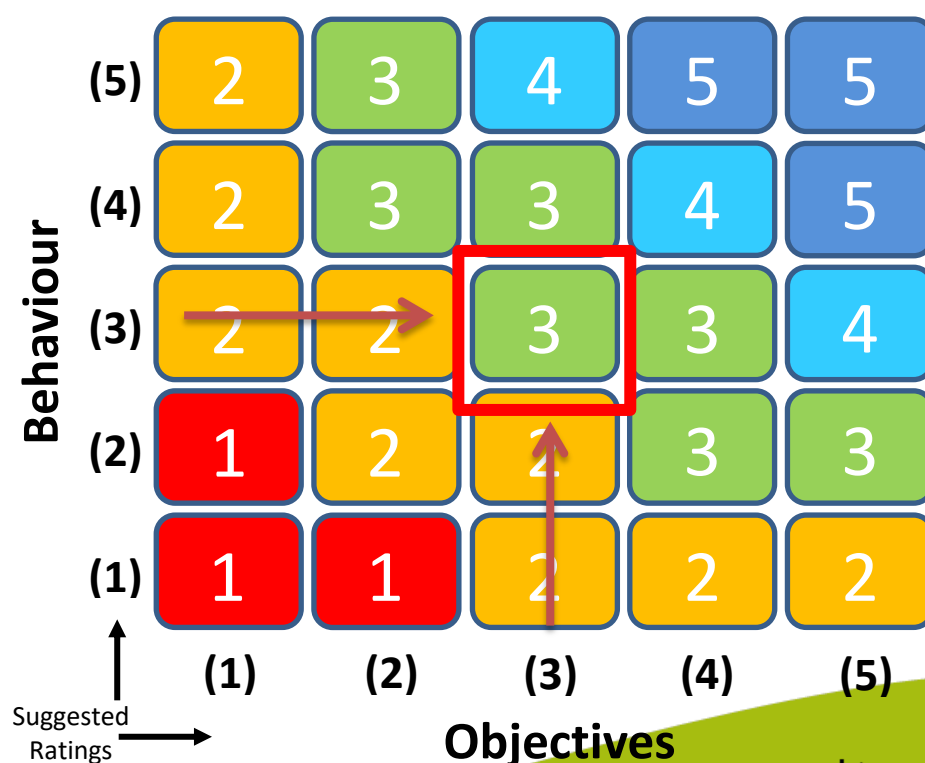
Ratings for the Core Values and Behaviours are based on the evidence collated using the examples within the Core Values and Behaviours Framework. A rating needs to be added for each behaviour. For managers a rating needs to be added for all six behaviours including Leading and Developing People. For those who don't manage staff, a rating is given against five behaviours. The ratings for Core Values and Behaviours are added to section 3 of the form, as shown below:

3) Core Values and Behaviours (Please refer to the Core Values and Behaviour Framework within the Employment Manual for detailed guidance)		
Core Values and Behaviours (the 'how')	Demonstrated by <i>Please give example(s) below based on evidence</i>	Rating
Leading and Developing People	Click here to enter text.	Click here to enter text.
Be Future Focussed and Drive Positive Change	Click here to enter text.	Click here to enter text.
Political and Commercial Focus	Click here to enter text.	Click here to enter text.

The Core Values and Behaviours ratings are added together and then divided by 5 or 6 depending on whether the number of core values and behaviours rated to give the average rating. If the average score is not a whole number then this needs to be rounded up or down, e.g. 2.5 should be rounded up to 3. The score is then added to the form under section 3 average score, as shown below:

3) Core Values and Behaviours (Please refer to the Core Values and Behaviour Framework within the Employment Manual for detailed guidance)		
Core Values and Behaviours (the 'how')	Demonstrated by <i>Please give example(s) below based on evidence</i>	Rating
Leading and Developing People	Click here to enter text.	Click here to enter text.
Be Future Focussed and Drive Positive Change	Click here to enter text.	Click here to enter text.
Political and Commercial Focus	Click here to enter text.	Click here to enter text.
Consistently Deliver Results	Click here to enter text.	Click here to enter text.
Building Relationships and Influencing Others	Click here to enter text.	Click here to enter text.
Grow Yourself	Click here to enter text.	Click here to enter text.
		Average score: Click here to enter text.

Once there is an average score for both the objectives and the Core Values and Behaviours, a final rating will need to be provided using the Performance Grid below, e.g. a score of 3 on objectives and 3 on Core Values and Behaviours, would give an overall rating of 3. This rating is then added to section 5 of the form by ticking the relevant box.



Personal and Professional Development Plan

The personal and professional development plan section of the form should be used as an opportunity to ensure a conversation is conducted about development and future career aspirations.

Section 4 contains boxes for strengths and career aspirations. These are to aid the discussion about development. It is important to concentrate on the appraisee's strengths and how these have been applied and ensure they have been recognised throughout the past year along with how these can be utilised in the upcoming year. The career aspirations box is not just about adding future career aspirations but also any future development opportunities the appraisee would like to complete.

4) Personal and Professional Development Plan	
Strengths (Please give consideration to the Core Values and Behaviours) Click here to enter text.	Career Aspiration (Potential opportunities and longer-term aspirations incl. mobility within the county) Click here to enter text.

In the personal development plan section add any areas of development that need recording for the next twelve months. Consider how these could be achieved and add that information in the "how development will be achieved" box. Areas for development can be achieved through a range of activities including learning from others, on the job training, reading an article, being part of a project group or face to face training event.

Appraisal Summary

If the appraisee needs any additional support to be able to perform the role this needs to be recorded in section 6, as shown below:

6) Appraisal Summary
Do you need any additional support or equipment to be able to perform your role effectively? (ICT, flexible working, reasonable adjustments) Click here to enter text.

Once the form is complete the appraiser and appraisee need to add comments and sign the form after both the 6 month and end of year review. The completed form may then passed to the appraiser's manager for their comments and signature if both agree this is required. Once completed, the form can either be uploaded to the employee record on Business World On! or to another secure location.

The employee's record on Business World On! should be updated with the details of the appraisal meeting (see Quick card on recording appraisals at <http://george/section.asp?docid=114674&ovt=1>). This should be done following the 6 month and 12 month meetings and the overall rating should be included after the 12 month review meeting.

All appraisal documentation should be stored confidentially and in accordance with Data Protection Regulations.

Appraiser's Checklist

Initial meeting:

1. Set 3 – 6 SMART objectives
2. Discuss opportunities that the appraisee may have to demonstrate the behaviours through their day to day work
3. Complete the development plan considering both required and desired development opportunities
4. Sign and date the document
5. Pass to your manager to sign and date
6. Update the appraisee's appraisal record on Business World On and either upload the completed form or save it in another secure electronic location.

6 month review meeting

1. Review performance, progress and supporting evidence against both objectives and the behaviours. Check relevancy and timescales, amend if necessary
2. Discuss the possible ratings against each objective and behaviour based on performance to date and ensure that any issues are discussed so the appraisee is given the opportunity to resolve them prior to the review meeting at the end of the appraisal period
3. Discuss and record progress against the development plan (including relevant comments). Amend as appropriate if any circumstances have changed
4. Sign and date the document
5. Pass to your manager to sign and date
6. Update the appraisee's appraisal record on Business World On and either upload the completed form or save it in another secure electronic location.

12 month review meeting:

1. Review the objectives, discuss and record the appraisee's evidence. Complete the rating column using the 1 to 5 scale for each objective
2. Review the Core Values and Behaviours and record appropriate examples based on evidence provided. Complete the rating score column using the 1 to 5 scale
3. Discuss and record progress against the development plan
4. Calculate and record in the rating scale section the total rating for the objectives and the behaviours
5. Using the Performance Grid use the Objectives and the Behaviours total ratings to inform the overall rating
6. Add comments in the relevant summary boxes and sign and date the document
7. On a new form record the objectives and development for the next appraisal year (following 'initial meeting' description above)
8. Sign and date the documents
9. Pass to your manager to sign and date
10. Update the appraisee's appraisal record on Business World On! including the overall rating and either upload the completed form(s) or save them in another secure electronic location.

Appraisee's Checklist

Initial meeting:

1. Think about 3 – 6 possible SMART objectives to discuss with your appraiser and agree objectives in your appraisal meeting
2. Think about how you can gather evidence for the objectives set and the Core Values and Behaviours
3. Consider any development and further career aspirations you may have for the next 12 months
4. Sign and date the document with your manager
5. Gather evidence throughout the year

6 month review meeting

1. Review with your manager performance, progress and supporting evidence against both objectives and the behaviours.
2. Discuss with your manager the possible ratings against each objective and behaviour based on performance to date and ensure that any issues are discussed so you have the opportunity to resolve them prior to the review meeting at the end of the appraisal period
3. Discuss and record progress against the development plan (including relevant comments). Agree any changes with your manager e.g. if any circumstances have changed
4. Sign and date the document with your manager

12 month review meeting:

1. Review with your manager the objectives, discuss and record the evidence.
2. Review the Core Values and Behaviours and record appropriate examples based on evidence provided.
3. Discuss and record progress against the development plan
4. On a new form your manager will record the objectives and development for the next appraisal year (following 'initial meeting' description above)
5. Sign and date, and add comments for the end of year review and send to your appraiser

Notes on completing the recording of appraisals on Business World On!

For those employees in relief positions (no contracted hours) these positions do not need to have any appraisal record recorded against them.

The below notes explain the reason for the need to complete each field.

Fields and importance:

Position – Shows the position the appraisal applies to. This field is important for if someone is in more than one position or moves positions during the year the record can be connected to a particular position *See note below.

Review Type – Without this field being completed with the relevant type we cannot calculate completed appraisals.

Status – This field needs to be completed in order to calculate completed appraisals. Status options are:

- *Complete*. When the meeting is concluded with objectives reviewed/set and outcome agreed (where applicable) the 'Complete' status should be selected.
- *Not required*. Where an appraisal is due but hasn't taken place such as for absence then 'Not Required' should be selected and a provisional 'next review date' entered (see 'Next review date' below).

Meeting Date - This field needs to be completed in order to calculate completed appraisals in a certain period. Even if an appraisal has a 'Not Required' status this field still needs to be completed with the date the meeting would have taken place in order to exclude it from the completed appraisal calculations.

Appraiser – In some cases the appraiser may not be the current line manager, completing this field allows capture of complete details for the appraisal.

Outcome – The outcome will be the deciding factor in whether a pay increment is awarded or not.

Next review date – Completing this field will enable the system to send alerts to the manager nearer the next review date. Where an appraisal/review has not been able to take place for some reason, such as absence, if a return date is known then a provisional date for the meeting can be entered here which will enable an alert to be sent as a reminder nearer the time. If they do not return when expected this date can be updated.

Comments – Enables you to record a reason why an appraisal would not be required (e.g. maternity, long-term sick leave) and/or add manager's notes.

Documents loaded – Ticking this box indicates that related documents have been loaded to the document archive within Business World On!.

*Position number

To find an employee's position number go to the employee record > employment tab > click on position > employment detail opens below > copy the position number that shows under position detail > paste into Appraisal field