

BARTON PC APPRAISAL POLICY May 2014; reviewed June 2017; **review June 19**

Barton PC follows **one of the SLCC models** and the advice given by SLCC, as shown in the **Appendix**.

**STAFF ANNUAL appraisal**  
**Confidential when complete**

**Name**.....

**Position**.....

**Date**.....

**General**

The council's Annual Review is designed to promote both the development needs of the Council and your own in the context of reviewing your past priorities and achievements. In addition it allows you to consider obstacles to success and helps you to find ways of removing them.

**The Objectives for the Scheme are:**

- To enhance the quality of service delivery and overall development of the Council through encouraging each person to achieve the mutually agreed priorities;
- To identify and provide the support that enables everyone to achieve those priorities and at the same time gain satisfaction in the work.

**To the post holder**

Please review your current job description and objectives and comment on the achievements you feel you have made this year and the problems that have occurred. Note any significant departures from the job description as written and why this has occurred together with any impact that it has had on attainment of your priorities.

Indicate where you feel that there are opportunity areas for developing your job and role with an explanation of the benefits to the Council as well as likely costs.

Where you identify either a resource, support or knowledge-base issue as producing reasons for not achieving your priorities, be quite open and honest. In that way the Council can best consider how to offer the support that may be needed, or restructure the job.

**To the Appraiser/ Line Manager**

Consider carefully what has been written and be prepared to explore fully any issues that have been raised, as well as those you wish to raise independently. Give adequate time for discussion.

**Section 1**

**To be completed by the post holder.** Look at the most important aspects of your job description and note what the objectives and priorities were for the year. How did it go?

<b>Job description item</b>	<b>Objectives and priorities</b>	<b>What did you achieve?</b>	<b>What problems did you have?</b>

Job description item	Objectives and priorities	What did you achieve?	What problems did you have?

Consider your role. Do you feel that the job description adequately describes the job? What would you add or remove? Do you understand how your role contributes to meeting the council's overall objectives? What do you believe your objectives and priorities should be for the coming year? What help ( e.g. training) do you feel you need to achieve them? Use a separate sheet if you wish.

## Section 2

To be completed by the Appraiser/ line manager

Consider what the employee has written in Section-1 and make your own comments. Concentrate on areas where there are difficulties or disappointment noted, or where there is a specific wish to receive support in some form. The objectives should cover key aspects of the post holder's job. They should have direct relevance to the Society's aims and objectives for the next year.

**Comment here on the overall performance. How did it go from the council's viewpoint? Do you agree with the assessment of achievements and problems. Are there any other areas which you would like to discuss?**

**Do you agree with the proposed list of Objectives and Priorities? Are there any which you believe should be added or removed?**

### Section 3

**To be completed by the line manager and post holder following the review meeting**

- 1) We have reviewed the past year and agreed a set of objectives and priorities for the coming year. These are attached.
- 2) We have / have not revised the job description which is/is not attached.
- 3) We have/ have not agreed a plan of other development actions including training and this is/is not attached.
- 4) The post holder has/ has not made additional comments and these are/are not attached
- 5) The line manager has/has not made additional comments and these are/ are not attached.

**Signature of Post Holder.....**

**Signature(s) of Interviewer(s).....**

**Date.....**

### **A D V I C E \_ N O T E : \_ A p p r a i s a l s \_ T h e \_ S o c i e t y ' s \_ E m p l o y m e n t \_ L a w \_ A d v i s o r \_**

*This Advice Note should be read in conjunction with section 3, page 30 in the 'Being a Good Employer – a guide for councillors' publication 2010 also available in electronic format in the Advice Centre – Employee issues section of the Member Log-in of the SLCC website [www.SLCC.co.uk](http://www.SLCC.co.uk)*

#### **I n t r o d u c t i o n \_**

Appraisals are used in organisations to help employees achieve and full their potential and for the employer to continue to monitor performance in order to achieve its goals and improve the quality of the products/ services which it provides. An appraisal interview is an opportunity to take an overall look at work content and volume, look back at what has been achieved, agree objectives for the future and consider what development needs the employee may have for the year ahead.

The main purposes of the appraisal system are as follows:

- a) Performance: to provide a clear statement on how staff are performing, to see whether further progress can be made, and consider what help might be given to build on strengths.
- b) Responsibilities: to record present and future responsibilities.
- c) Personal development to look at future work and identify opportunities for development and training, to benefit ones career and to maximize the contribution to

the Company.

d) Communication: to ensure that ideas and views are shared.

e) Future work; to plan work priorities and objectives for the next year and consider solutions to problems.

#### **W\_H\_O\_\_A\_P\_P\_R\_A\_I\_S\_E\_S\_\_W\_H\_O\_M\_\_?**

The Council should ascertain the appraisal structure i.e. who appraises whom? This usually correlates with line management structures as those in direct line management positions will be best placed to appraise an employee. It is usual for a Staffing or Personnel Committee to take responsibility for appraising the Clerk. It is not appropriate for the whole council to take part in the appraisal interview but views from stakeholders such as the staff, contractors, contacts, members of the public as well as the elected members can be sought to give a comprehensive summary of the Clerk's performance.

#### **K\_E\_Y\_\_F\_E\_A\_T\_U\_R\_E\_S\_\_**

An appraisal should take into consideration the following factors:

(a) Openness – The Council should provide guidance to employees on the appraisal scheme which it wishes to use. An appraisal should be open from both parties perspective and an employee should be privy to all comments made by an employer during or after an **A\_D\_V\_I\_C\_E\_\_N\_O\_T\_E\_\_**:

**A\_p\_p\_r\_a\_i\_s\_a\_l\_s\_\_T\_h\_e\_\_S\_o\_c\_i\_e\_t\_y's\_\_E\_m\_p\_l\_o\_y\_m\_e\_n\_t\_\_L\_a\_w\_\_A\_d\_v\_i\_s\_o\_r\_\_**

appraisal process. It is usual to provide the employees with details of the appraisal process, including any documentation to be used, well in advance of the process commencing, ideally by way of an employee handbook as introduced during an Induction period.

(b) Confidentiality - the appraiser(s) and appraisee only will normally see the appraisal record and this is certainly best practice for the fact that an appraisal has taken place to be reported to council but for the contents to remain confidential.

(c) Consistency – Whatever scheme the Council chooses to implement, all staff should be appraised according to the same scheme. It is also desirable that the same process is continued over a period of years so that comparisons can be made across timescales.

(d) Objectives – Objectives which are set during the appraisal should be objective and understood by both appraisers and appraisee their form and be based upon actual conduct and performance rather than personalities or subjective criteria.

(e) Forward-looking - the main value of reviewing past performance is to identify matters which can be built upon, problems that can be tackled by the Council or by training, and new opportunities.

(f) Positive - problems, difficulties and mistakes should be discussed openly so that solutions can be found, training offered or defective systems improved.

(g) Two way conversation - appraisees are encouraged to contribute frankly in assessing their performance and goals.

(h) No surprises – it is poor practice to introduce new information, particularly of a critical nature at an appraisal interview. If there are issues with conduct of performance then they should be raised with the employee at the time they occur, not held back to handle at an appraisal session.

(i) Contractual – any employee who is working under the National Agreement NALC:SLCC Model Contract will have a clause which states that there will be an annual appraisal which the employer will be obliged to undertake.

#### **P\_R\_O\_C\_E\_D\_U\_R\_E\_ \_F\_O\_R\_ \_A\_P\_P\_R\_A\_I\_S\_A\_L\_S\_ \_**

a) Agree a date: The Council and employee should agree between themselves a date for the appraisal to take place. It is advisable for at least 5 days preparation to be allowed. The date is often set at the previous performance review meeting which may have been months before, in that way all parties to the process have a commitment to the date/time.

b) Documents: the appraisee and appraiser should have at least the following documentation to hand at the appraisal:

☐ \_job description

☐ \_written objectives set previously (if any)

**A\_D\_V\_I\_C\_E\_ \_N\_O\_T\_E:\_ \_A\_p\_p\_r\_a\_i\_s\_a\_l\_s\_ \_T\_h\_e\_ \_S\_o\_c\_i\_e\_t\_y's\_ \_E\_m\_p\_l\_o\_y\_m\_e\_n\_t\_ \_L\_a\_w\_ \_A\_d\_v\_i\_s\_o\_r\_ \_**

☐ \_record of previous appraisal (if any)

c) Preparation: both the appraisee and appraiser should spend time planning what they want to discuss. The appraisal format should form the basis of the appraisal. A self appraisal form is useful to be completed by the appraisee and sent to the appraiser prior to the appraisal. The appraiser should also be familiar with the council's own strategic objectives for the coming year in order to ensure that the appraisal contributes to the council's own direction.

d) The venue: Both parties should be agreeable to the venue of the appraisal, which should ideally be in a quiet place and away from other distractions.

e) The interview: It should be conducted by the appraiser(s) in an informal atmosphere. The appraiser should begin by explaining the scope of the interview and then encourage the appraisee to comment on performance, training, development and future objectives and to suggest solutions to any problems. The appraiser should take notes.

f) Gradings/ratings: The matter of Ratings is often a difficult issue when designing appraisal systems. The most important outcome of an appraisal is that a conversation takes place between employee and employer reflecting on the past and looking to the future. The inclusion of gradings/ratings to summarise the achievements of the year can sometimes become an end in themselves and by distilling the work of a year down to an A,B,C or a 1,2,3 rating can be counter-productive and leads staff to concentrate on the wrong aspect of the process. If gradings are to be used the following examples can be deployed; achieved - not achieved; fully achieved - mostly achieved - partially achieved - not achieved; outstanding – good – satisfactory – unsatisfactory; 1-2-3-4-5; A-B-C-D-E; (*this list is not exhaustive*)

g) Writing up: The appraiser should write up a report of the interview and give a copy to the appraisee at the conclusion of the appraisal or as soon as possible thereafter.

h) Signature: The completed form should be given to the appraisee to consider, adding any comment and to sign it and the appraisee should then return it to the appraiser.

i) Records: The appraiser will make three copies of the signed form and:

☐ \_give one copy to the appraisee to keep

☐ \_keep one copy for his or her own records

☐ \_one for the central confidential personnel records

j) Follow up: The appraiser is responsible for ensuring that any further action is taken as agreed at the appraisal.

**A\_D\_V\_I\_C\_E\_N\_O\_T\_E: \_A\_p\_p\_r\_a\_i\_s\_a\_l\_s \_T\_h\_e\_  
\_S\_o\_c\_i\_e\_t\_y's \_E\_m\_p\_l\_o\_y\_m\_e\_n\_t \_L\_a\_w \_A\_d\_v\_i\_s\_o\_r \_**



**T\_I\_M\_I\_N\_G\_ \_**

The appraisal interview will be conducted annually and will usually coincide with the anniversary of the appraisee joining the Council OR be at some agreed time which suits the council at which point all employees are appraised. The latter can assist with planning training in the light of budget reviews

**I\_N\_T\_E\_R\_I\_M\_ \_R\_E\_V\_I\_E\_W\_S\_ \_**

An interim review may be conducted between annual appraisals, often at the half year point or upon completion of a major project or where the council's strategy/overall objective change requiring review of all employees' objectives. There is no requirement to complete formal appraisal documentation at these reviews.

However:

☐ \_agreed action points should be noted by the appraiser and a copy given to the appraisee;

☐ \_the appraisee's objectives may be revised.

**A\_D\_V\_I\_C\_E\_ \_N\_O\_T\_E:\_ \_A\_p\_p\_r\_a\_i\_s\_a\_l\_s\_ \_T\_h\_e\_ \_S\_o\_c\_i\_e\_t\_y's\_ \_E\_m\_p\_l\_o\_y\_m\_e\_n\_t\_ \_L\_a\_w\_ \_A\_d\_v\_i\_s\_o\_r\_ \_**

## **Q U E S T I O N S T O D I S C U S S A T** **A P P R A I S A L**

Appraisers and appraisees could use a checklist in preparing for, conducting, and recording the appraisal interview.

- a) Basic Information : name, department, job title, date joined council, date appointed to current post (may not need be so formal for small councils where parties know each other well but can still be useful if there has been a change in elected members or changes to the staffing committee)
- b) Review of Self Appraisal Form, example questions which could be used are as follows:

- ☐ \_Which aspects of the job have been accomplished well?
- ☐ \_In which aspects of the job could the appraisee have performed better?
- ☐ \_What influences have made the job difficult to perform?
- ☐ \_What strengths does the appraisee bring to the job?
- ☐ \_What are the goals for the next review period?
- ☐ \_What training and development would help to achieve these goals?
- ☐ \_What skills and knowledge relevant to the role/career aspirations would the appraisee like to gain in the future?
- ☐ \_What improvements to the Council or the department can the appraisee suggest?

### **c\_) \_R e v i e w \_o f \_J o b \_D e s c r i p t i o n \_**

Does the current JD adequately reflect the job the employee is actually being asked to do? Are there changes required? If so this is the right point to be making these observations.

### **d\_) \_T r a i n i n g \_a n d \_D e v e l o p m e n t \_**

The appraisee and appraiser should jointly identify training needs. Concentrate first on the areas of skill and knowledge needing development, and only after that on training solutions. Recommendations should relate to needs identified in reviewing past performance and/or to new objectives or additional responsibilities.

## **A D V I C E N O T E : A p p r a i s a l s T h e** **S o c i e t y ' s E m p l o y m e n t L a w A d v i s o r**

## Getting the most out of the Appraisal Interview

The appraisal interview is a significant form of communication between an employee, their immediate boss and their employer. The basic purpose of any form of communication at work is to produce some form of action or activity. The Appraisal interview will cover a review of your objectives and attainments, a discussion about skills and knowledge as applied in the workplace, feedback from others in the organisation or significant external contacts, feedback from the employee to their line manager/elected members, future challenges and development needs and will seek to set new objectives for the coming year. The GROW model is a useful approach to exploring aspirations and direction when Training and Development as discussed:

**G** \_Goals what do you want?

**R** \_Reality what is happening now?

**O** \_Options what could you do?

**W** \_Way Forward what will you do?

## Final Comments

The appraisee and the appraiser will have the opportunity to consider the appraisal record and add any comments.

## Deficiencies / Unsatisfactory Performance

Any deficiencies or unsatisfactory performances noted will result in an action plan agreed between the appraiser and the appraisee. Continuing deficiencies or unsatisfactory performance will result in a review of that individual's competence to continue to carry out their particular type of work. It may be appropriate for such discussions to lead to a separate disciplinary process for poor performance but a disciplinary sanction is not an automatic outcome from a poor appraisal. The council's disciplinary procedure needs to be followed if the committee undertaking the appraisal believe that measures have been taken to assist the employee achieve but the role is still considered beyond the employee's capability.

## 360 degree appraisals

Many organisations, in the private sector in particular, favour the 360° approach to appraisals. This allows for the views and perspectives of many "stakeholders" to be taken into consideration and therefore does not just rely on a 'top down' assessment by management of their subordinates. Views from direct reports, contractors, customers, business contacts are often sought and incorporated into the appraisal. In the context of the council set-up this could involve opinion from all councillors, staff, contractors, parishioners, contacts at Principal Authorities etc. The council will need to decide whether the feedback sought is provided anonymously or not and also needs to provide parameters around which the feedback is given e.g. it needs to focus the review onto specific areas, not just allow a free-for-all and enable the feedback to be consistent. **A D V I C E N O T E :**

## Appraisals The Society's Employment Law Advisor

## **S E T T I N G   O B J E C T I V E S**

Objectives provide framework for the coming year's work. They should be agreed between appraiser and appraisee. The objectives need to reflect the employee's job description and the council's own objectives derived from its strategic and business plans. Such targets are sometimes referred to as Key Performance Indicators (KPIs). Often objectives will set a higher standard for performance than before, designate additional responsibility or assign new projects. It is usual to aim for around 6 to 8 main objectives, any more can be over-stretching. It is good practice to have one personal development objective within the set agreed in order to encourage CPD (continuing professional development) to occur.

Effective objectives should be **S . M . A . R . T .**:

1. **S**\_pecific: the objective should refer to a particular task or piece of work or specific aspects of behaviour or performance.
2. **M**\_easurable: There should be measures (quantitative or qualitative) which are clearly agreed and understood; these will enable progress and achievement to be monitored and recognised.
3. **A**\_greed: The objective should be agreed by appraisee and appraiser
4. **R**\_ealistic: The objective should be designed to be challenging for the appraisee but should not be so demanding that there is a high likelihood of failure.
5. **T**\_imed: All objectives should have a date by which they are to be achieved.

There are three steps in setting effective objectives:

1. Select the part of the job to which the objective will relate.
2. Agree what is the end result to be achieved within that area.
3. Settle how the end result will be achieved and the steps that the appraisee will need to take: these are standards of performance.

## **E X A M P L E   D O C U M E N T A T I O N** –

Please see a separate SLCC Advice Note entitled "Appraisals – example documentation" for illustrative formats for staff appraisals.

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Authors: Ellis Whittam, Bethan Osborne, Lis Moore

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