



# **WARWICK TOWN COUNCIL**

## **STAFF APPRAISAL POLICY AND PROCEDURE**

## SECTION 1 - POLICY STATEMENT

### 1. Introduction

- 1.1 The Council is committed to the support and development of all staff (employees and volunteers) in order that they can perform and reach their full potential in the role that they have with the Council.
- 1.2 The Council sees this being achieved by supervisors and managers having regular meetings and conducting an annual appraisal review with all staff. The annual appraisal will be underpinned by regular review meetings to measure progress against set objectives and the agreed personal development plan
- 1.3 The Council is committed in developing a culture in which, job objectives, performance, capabilities, strengths, and the potential for development can be discussed openly and honestly
- 1.4 The Council believes that by having these processes in place will enhance communications between managers, supervisors and staff and can help to improve the quality of working relationships, staff's motivation, job satisfaction and personal development.

### 2. Aims and Objectives

- 2.1 Develop a clear understanding between supervisors, managers and staff about their job role and performance.
- 2.2 Reinforce good performance.
- 2.3 Initiate corrective action in relation to poor or unacceptable performance.
- 2.4 Help staff to develop their professional skills and maximise their potential for growth and development to benefit the Council and service delivery to users of our services.
- 2.5 Assist managers/supervisors in making responsible objective assessments by the identification of training and development needs. Staff development includes professional development and judgements about priorities outlined in the Council's business plan and overall strategy.

### 3. The Council's philosophy behind appraisals

- 3.1 All staff should be entitled to seek and receive responsible and balanced reviews and feedback on their performance in their role.
- 3.2 Appraisal reports will always be maintained in the written form and will be "open" between the two parties concerned with no confidential parts.  
**Attached, as Appendix 1, is the pro forma that should be used to maintain written records of employee appraisal reviews.**

- 3.3 There will be a formal annual review undertaken between staff and their immediate manager/supervisor, to refer to points covered at the appraisal interview and agreed action plan.
- 3.4 Review of job performance should be related to clearly stated objective targets that should be measurable and achievable and agreed between both parties.
- 3.5 Individuals are entitled to seek and receive counselling and guidance on career development and their future with the Council in the formal review sessions.
- 3.6 The Council, in making judgements about investments in providing training or development facilities, and opportunities for individuals and deciding priorities, has legitimate need for information on training and development needs identified in the appraisal interview.
- 3.7 A statement of training and development needs produced by managers should be based on the periodic reviews with their members of staff and training needs agreed between everyone and their manager/supervisor.
- 3.8 It is the responsibility of every supervisor and manager within the Council to be involved in undertaking appraisals which are designed to improve individual and organisational performance.
- 3.9 The Council is committed to providing support in terms of training and development of skills required by managers/supervisors to be able to undertake appraisal reviews.
- 3.10 The appraisal records are official Council records and therefore will be retained on individual personnel files by the Town Clerk.
- 3.11 In between the formal appraisal meetings review meetings must be held to monitor progress against objectives set between the formal appraisal reviews.

#### **4. Responsibility for Implementation**

- 4.1 The Finance and Policy Committee has responsibility of ensuring that the Town Clerk has an appraisal interview and that regular review meetings are undertaken to ensure that the agreed organisation strategy and business objectives are being delivered and that the Town Clerk receives appropriate training to implement this policy.
- 4.2 The Town Clerk is responsible for ensuring that managers/supervisors undertake staff appraisals in line with the above policy. This will include appropriate training and development of managers/supervisors with the skills that they require to conduct review/appraisal meetings

- 4.3** The Town Clerk is also responsible for ensuring that all managers/supervisors have an appraisal interview and regular review meetings are undertaken and ensuring that all staff are aware of this policy and the responsibility that it places on all the Council Staff.
- 4.4** Managers/supervisors are responsible for conducting appraisal for employee directly reporting to them, that written records are maintained and filed on staff's personnel files.
- 4.5** All staff are required to participate in individual appraisal and regular review meetings with their identified manager/supervisor.

## **SECTION 2- PROCEDURE AND GUIDANCE**

### **5. Appraisal procedure**

- 5.1** The appraisal scheme is made up of five key elements, namely
- self-assessment
  - an annual appraisal meeting
  - jointly agreed tasks, objectives and training and development activities for the following year
  - Mapping progress through agreed review meetings throughout the year.
  - Maintaining the ongoing link between the outcomes and benefits of the annual appraisal and review meeting and to the Council's corporate aims and objectives.

The whole process and the new objectives and training and development plans will derive and flow from objectives that have been previously set and the Council's ongoing corporate objectives, values, standards and priorities.

- 5.2** The appraisal meeting will take place annually and be conducted with the Town Clerk/manager/the appraiser on behalf of the Council who will report on the outcome of the appraisal to their immediate manager.

In preparation for the appraisal meeting, the employee or volunteer (the appraisee) must complete the self-assessment included in the Appraisal Review Form and some key issues to be considered are: -

- what has been achieved over the past twelve months and what benefit and/or contribution has been made to the business;
- how the job could have been performed better - thinking of the things which might have been done more efficiently or effectively i.e. what could have been done to improve performance;
- the most important personal and technical skills used or needed in the job;

- whether the current skill range and level is appropriate to the job or could the job be done better if further knowledge, skills and training were developed;
- whether any relevant skill, knowledge or expertise which is not now being used in the job but could be used;
- what obstacles have arisen during the last year that got in the way of performing the job as might have been wished;
- whether, and in what ways, more support and guidance to resolve such issues, develop skills or change things to enable the job to be done even better are needed;
- whether there are any matters outside of work that are affecting performance;
- what are the main job tasks and priorities over the next year; and
- What training and other personal development needs exist or are desired.

The appraisee should give due emphasis in the above to the spread of tasks that they must perform and where relevant consider examples of work issues (positive and negative) in support of the responses to ensure that there will be an open and constructive discussion at the appraisal meeting.

- 5.3** All appraisal meetings must be ‘open’ and ‘two way’ which means that the appraisee will be expected to contribute fully to the discussion and take the opportunity to comment on, for example, the level and type of support received from the Council and their manager/supervisor.

The appraisal meeting should be structured as follows: -

**(a) Introduction**

The purpose, scope and format of the appraisal meeting will be explained by the manager.

**(b) Self-Assessment**

Prior to the appraisal meeting the appraisee will have reviewed their performance over the past year and be able to comment on: -

- what went well during the year?
- how far you met the objectives for the year?
- what, of note, did you achieve during the year?
- what did you enjoy most/least in respect of the work undertaken?
- what did you consider to be your key strengths and weaknesses?
- what additional support do you require from the Council?
- any outstanding performance problems that require attention.

The appraisee will be forwarded the appraisal form at Appendix 1 and they should complete Section 2 of the Self-Assessment form, and return this to their manager/supervisor at least two weeks before the date of the appraisal meeting.

### **(c) Job Review, Key Tasks and Objectives**

The appraisee's job description will be jointly reviewed and any necessary changes agreed as part of the meeting and the opportunity should be taken to clarify any tasks of which they are unsure or might like to lose.

In addition, the previous year's objectives will be reviewed and the achievements or learning opportunities from the previous year identified along with the reasons behind them.

### **(d) Feedback on Performance**

Feedback on performance during the year will be given by the manager which will include any significant achievements, strengths and, where relevant, any weaknesses that have prevented the completion of objectives. Where agreed weaknesses are identified, solutions or steps that can be taken to overcome barriers to more effective performance will be agreed, which may include identified training need.

The feedback will be factual, supportive, honest and constructive. At the end of the feedback the employee or volunteer will be given an opportunity to comment and record any mitigating circumstances or obstacles that have prevented them from completing key tasks or objectives. An opportunity will also be taken to identify how the Council can better support and help the individual to realise their potential and performance.

### **(e) Training and Development**

Any training and the development needs will be discussed in respect of both the existing job and the future needs of the Council. Development opportunities may include training, work experience and new responsibilities.

### **(f) Future Targets and Objectives**

A new set of objectives or key tasks will be jointly agreed for the following appraisal year which will be: -

- understandable
- achievable
- measurable
- timetabled
- prioritised
- challenging; and
- limited in number.

### **(g) Conclusion of Meeting**

The appraisee should have an opportunity to ask any further questions at the end of the meeting and the key outcomes of the meeting will be summarised to ensure that there is common understanding of the objectives and the action points.

- 5.4** Shortly after the meeting, the main outcomes of the meeting and the agreed objectives and tasks for the following year will be summarised in writing in Section 3 of the Appraisal Review Form and a copy given to the post holder for agreement. The Plan will be signed off by both parties and a copy of the form given to the appraisee whilst the original is held on the Personnel File.

The employee or volunteer and the manager/supervisor supported by their immediate manager will be responsible for ensuring that the agreed tasks are implemented, training is provided and objectives are then met during the following review period.

Progress on these points will be discussed or reviewed at regular review meetings during the year.

- 5.5** Any questions on the appraisal procedure in general should be addressed to the Town Clerk.

**Approved by the Finance  
and Policy Committee** .....

## **WARWICK TOWN COUNCIL**

### **Guidance on completing the Appraisal Review Form**

#### **1. Section 1 General**

The purpose of the appraisal meeting is for the appraisee, to discuss their job performance both looking back over the last year and looking forward to the future. The meeting should aim to clarify: -

- (a) the main scope and purpose of your job;
- (b) your targets, objectives and key tasks;
- (c) how effective your performance is and any areas for improvement;
- (d) your training and development needs for the next year.

To prepare for the appraisal meeting the appraisee must complete Section 2 of this form and the appraiser must then consider the responses positively before the rest of the form and the plan for the following year is agreed at the appraisal meeting.

To help with this the following guidance has been provided for both the appraisee and the appraiser

## **2. Section 2 – Self Assessment (To be completed by the Appraisee)**

The following guidance relates to and should be cross-referenced (see question numbering below) to the relevant questions in the Appraisal Review Form.

### **Job Role and Performance**

#### **(a) Looking Back**

Thinking about the last twelve months: -

- 2.1** Are you clear about the 'Council's aims and objectives and your role in their achievement?

*(Be honest about your understanding of the 'Council's aims, objectives and goals and whether you see clearly how your role fits in to the successful achievement of these goals.)*

- 2.3** Do you understand all the responsibilities and requirements of your job as set out in the job description or placement objectives?

*(Check with your current job description or placement objectives and list anything which is not clear.)*

- 2.5** Are there any parts of your job description placement objectives that you are not currently doing?

*(Check with your current job description and list any key tasks and responsibilities which you have not done in the last year.)*

- 2.7** Are there any tasks that you undertake but which are not in your current job description or placement objectives?

*(Check with your current job description and list any key tasks and responsibilities which you undertake but which are not included.)*

- 2.9** What aspects of your work or objectives (referring to the previously agreed objectives for this year) have gone well this year and have been your major achievements?

*(These can be general or specific e.g. the tasks or projects of which you felt proud, any problems you overcame or particular increases in productivity. Give evidence of any situations in which you were pro-active e.g. where you were able to develop or suggest a change or improvement to a service or procedure/system.)*

- 2.10** Which aspects of your job or objectives have given you most difficulty and why?

*(Describe the tasks or projects that, on reflection, you could have handled or done better or where productivity has slipped and the reasons you feel were responsible for this.)*

- 2.11** How well are you working with others in the team and managing to prioritise your workload?

*(List any inter-personal problems experienced in the workplace and how it has affected focusing on key activities.)*



**2.12** Have there been any obstacles outside your own control that have prevented you from performing effectively or achieving your agreed objectives?

*(List the tasks or objectives you have not met and give an honest assessment of the reasons that prevented you doing so e.g. did you not have the right skills or knowledge? Did you not receive sufficient support or training? Was there not enough time or resources?)*

**2.13** Have you had sufficient regular opportunities to discuss your work and progress with your Line Manager?

*(Give details of the level and effectiveness of the review meetings during the last year and the effectiveness or otherwise of the style and approach used.)*

**2.14** What training courses, conferences or other events have you attended in the past year which you found useful?

*(List the training courses or other learning events you have attended or research you have done to give you additional knowledge or any other on the job training you received in the last year and why they were useful (or not) to you.)*

**2.15** What have you done personally to improve your performance?

*(Detail here the things you have personally done e.g. change in your attitude, approach or commitment, obtained more support, undertaken more responsibility, mentoring, coaching etc.)*

**2.16** What do you find most or least interesting in your job?

*(List the things in your role that you enjoy and/or find most or least interesting.)*

## **(b) Looking Forward**

**2.17** What do you consider to be your key strengths in your current role?

*(Describe in terms of your **skills** e.g. interpersonal, technical, organisational problem-solving etc., **experience** e.g. tasks or events that have been useful to you in your post or from which you have learnt, **personality/attitude** e.g. how it influences **your work**, your commitment or motivation etc. and **leadership style** – if appropriate.)*

**2.18** Have you any skills, aptitudes or knowledge not fully utilised in your job? If so, what are they and how could they be used?

*(List any skill, ability or attribute you have which is under-utilised in your present job.)*

**2.19** What could be done to overcome or diminish any of the obstacles listed earlier?

*(Describe how your manager and/or the Council has or has not helped you carry out your job successfully in the last year and how this could improve in the future. Comment on the regularity and usefulness (or otherwise) of meetings with your manager to discuss your progress and deal with any concerns you may have had.)*

**2.20** Can you suggest any specific training or other guidance or support that would help your performance and/or personal development?

*(Detail here the training or other learning events that you feel would bridge any gaps in your skills, knowledge and experience.)*

**2.21** Are there any areas of work or tasks where you would like to become involved?

*(List any tasks or projects with which you feel you would like to be involved and why you feel this would help your development.)*

**2.22** Are there any tasks you would like to drop or have less involvement?

*(List any current tasks or projects which you feel you would like to drop and why you consider that this should be agreed.)*

**2.23** What further resources would make achieving your aims and objectives easier?

*(Detail here any additional resources that your Line Manager or the Council should consider providing to help your job and you to achieve your objectives.)*

### **3. Aims and Objectives**

**3.1** Using your job description or placement details and last year's performance plan what key objectives do you intend to achieve in the coming year?

*(Having worked through your self-appraisal, list here your personal objectives and the learning events you would like to take place over the next year - include your own self learning or personal action plan as well as those with which The Council could assist.)*

*(List the tasks and/or objectives you expect to increase or develop in the next year and those that may diminish in extent or importance. Include those where you personally may need to make improvement or change your attitude or approach.)*

*(Consider the tasks and/or objectives you expect to increase or develop in the next year and those that may diminish in extent or importance and include those where you personally may need to make improvement or change your attitude or approach.)*

*(Objectives should be clear and achievable but there are no set number of objectives however those set should cover the key aspects of your job/role and be demanding enough to stretch the appraisee.)*

### **4. Organisational Development**

**4.1** What improvements or change do you think would be of most benefit in the next year to:-

(a) The Council ?

(b) your area of responsibility?

*(List here any practical actions or policies The Council could consider for the benefit of everyone or to improve your performance.)*

### **5. Other Matters**

**5.1** What other matters do you feel could be usefully discussed at your appraisal meeting?

*(Add here anything else you want to say about the job, the Council or the people you work with. You can also include here any none work related issue that may affect your future performance and what help and support you may require)*

### **6. Section 3 -Appraisal Review Form 'Outcomes and Development Plan' (to be completed by the appraiser and agreed with the appraisee)**

This Section allows for the appraiser to consider and comment on what the appraisee has included above and/or at the appraisal meeting.

*(The appraiser should concentrate on where the employee/volunteer would benefit from challenge or needs support and the agreed objectives and training and development needs should be included in the plan for the next review year.)*

- 6.1** Comment on the employee's/volunteer's main achievements and anything else that was done particularly well.

*(Comment on the appraisee's response and ensure that all praiseworthy tasks or achievements are included.)*

- 6.2** Comment on work which has not gone so well for employee/volunteer or objectives that have not been met.

*(Comment on the appraisee's response and ensure learning opportunities are discussed and ensure that you agree why this has happened.)*

- 6.3** List any tasks that should no longer be in the job description or which should now be included.

*(Comment on the appraisee's response and agree any changes ensuring that these changes are practical and link appropriately to the 'Council's aims and objectives.)*

- 6.4** Outline your overall assessment of the employee's/Volunteer's performance during the last twelve months including any particular strengths, weaknesses or constraints to their work and the achievement of agreed objectives.

*(Comment on the appraisee's response as well as ensuring that you include any gaps or obstacles that currently limit the appraisee and any action that is agreed to be taken to improve matters.)*

- 6.5** Outline any agreed gaps in skills, knowledge and/or experience that need to be developed or supported.

*(Comment on the appraisee's response and agree the ways in which you or the Council can help bridge the identified gaps and address any ongoing concerns.)*

- 6.6** Schedule meetings for the year and training and development that will be provided in the coming year.

*(Comment on the appraisee's response and add any events that the person may have missed or may not consider to be a learning experience.)*

- 6.7** Outline agreed aims and objectives for the next twelve months.

*(Objectives should be clear and achievable but there are no set number of objectives, however, those set should cover key aspects of the appraisee's job/role and be demanding enough to stretch the appraisee.)*

*(Ensure that you include what you feel the employee's/volunteer's key personal and work objectives should be and the way the Council can assist in their achievement.)*

## **7. Acceptance**

This section provides space for the appraisee to comment on the completed form and the appraisal process in general.

*(Comment on how you feel the appraisal process and your appraisal meeting went and particularly include any benefits you believe will result or alternatively any changes that could be considered to improve the process.)*

# WARWICK TOWN COUNCIL

## APPRAISAL REVIEW FORM

<b>NAME:</b>	
<b>POST:</b>	
<b>DATE:</b>	

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### SECTION 1. PURPOSE OF THE APPRAISAL MEETING

The purpose of the appraisal meeting is to enable you, as the appraisee, to discuss your job performance both looking back over the last year and looking forward to the future. The meeting should aim to clarify: -

- (a) the main scope and purpose of your job;
- (b) your targets, objectives and key tasks;
- (c) how effective your performance is and any areas for improvement;
- (d) your training and development needs for the next year.

To prepare for the appraisal meeting you should complete Section 2 of this form and bring to the meeting a list of the current and future activities and/or projects on which you are working.

## **SECTION 2. SELF ASSESSMENT (To be completed by the appraisee)**

You should complete the following questions in an open and honest way and refer to any previously agreed objectives to help complete this part of the form and your job description to ensure its continued relevance. When completed you should submit it to

By .....

### **2. Job Role and Performance**

#### **(a) Looking Back**

Thinking about the last twelve months: -

**2.1** Are you clear about 'Council's aims and objectives and your role in their achievement?

**Yes/No**

**2.2** If no, why is this?

**2.3** Do you understand all the responsibilities and requirements of your job as set out in the attached job description? **Yes/No**

**2.4** If no, which ones are not clear?

**2.5** Are there any parts of your job description that you are not currently doing?

**Yes/No**

**2.6** If yes, which ones and why is this?

**2.7** Are there any tasks that you undertake but which are not in your current job description?  
**Yes/No**

**2.8** If yes, what are they?

**2.9** What aspects of your work or objectives (referring to the previously agreed objectives for this year) have gone well this year and have been your major achievements?

**2.10** Which aspects of your job or objectives have given you most difficulty and why?

**2.11** How well are you working with others in the team and managing to prioritise your workload?

**2.12** Have there been any obstacles outside your own control that have prevented you from performing effectively or achieving your agreed objectives?

**2.13** Have you had sufficient regular opportunities to discuss your work and progress with your Line Manager? **Yes/No**

**2.14** What training courses, conferences or other events have you attended in the past year which you found useful?

**2.15** What have you done personally to improve your performance?

**2.16** What do you find most or least interesting in your job?

**(b) Looking Forward**

**2.17** What do you consider to be your key strengths in your current role?

**2.18** Have you any skills, aptitudes or knowledge not fully utilised in your job? If so, what are they and how could they be used?

**2.19** What could be done to overcome or diminish any of the obstacles listed earlier?

**2.20** Can you suggest any specific training or other guidance or support that would help your performance and/or personal development?



**2.21** Are there any areas of work or tasks where you would like to become involved?

**2.22** Are there any tasks you would like to drop or have less involvement with?

**2.23** What further resources would make achieving your aims and objectives easier?

### **3. Aims and Objectives**

**3.1** Using your job description and last year's performance plan what key objectives do you intend to achieve in the coming year? *(Objectives should be clear and achievable but there are no set number of objectives however those set should cover key aspects of the appraisee's job and be demanding enough to stretch the appraisee.)*

**4. Organisational Development**

4.1 What improvements or change do you think would be of most benefit in the next year to:-

(a) The Council as a whole?

(b) Your area of responsibility?

**5. Other Matters**

5.1 What other matters do you feel could be usefully discussed at your appraisal meeting?

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

**SECTION 3. OUTCOMES AND DEVELOPMENT PLAN (To be completed by the Appraiser)**

6 This Section allows for the appraiser to consider and comment on what the appraisee has included above and/or at the appraisal meeting.

*(The appraiser should concentrate on where the staff member would benefit from challenge or needs support and the agreed objectives and training and development needs should be included in the plan for the next review year.)*

**6.1** Comment on the employee's/volunteer's main achievements and anything else that was done particularly well.

**6.2** Comment on work which has not gone well for employee/volunteer or objectives that have not been met.

**6.3** List any tasks that should no longer be in the job description or which should now be included.

**6.4** Outline your overall assessment of the employee's/volunteer's performance during the last twelve months including any particular strengths, weaknesses or constraints to their work and the achievement of agreed objectives.

**6.5** Outline any agreed gaps in skills, knowledge and/or experience that need to be Developed or supported.

**6.6** Schedule training and development will be provided in the coming year.

**6.7** Outline agreed aims and objectives for the next twelve months. *(Objectives should be clear and achievable but there are no set number of objectives however those set should cover key aspects of the appraisee's job and be demanding enough to stretch the appraisee.)*

**Appraiser's Signature:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**SECTION 4. ACCEPTANCE (To be completed by the Appraisee)**

**7.** This section provides space for the appraisee to comment on the completed form and the appraisal meeting and process in general.

(a) I agree to the comments and objectives for the following year as part of my development plan as set out in Section 3 above.

(b) My views on my appraisal meeting and the process in general are that:-

**Signature:** \_\_\_\_\_

**Date:** \_\_\_\_\_