

Personal Performance Assessment



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Name of jobholder	
Job title	
Department	
Service	
Team	
Appraiser	
Date of appraisal meeting	
Overall performance rating	
Date of 6 months review	
Date of 12 months review	
Trent administrator	
Date entered on Trent	

Assessment of past performance

Comment on the jobholder's performance since the last review

Use this section of the form to jot down notes from your discussions of past performance. You should think about:

- Areas of strength over the past 12 months
- Areas for improvement
- Performance of tasks in job description
- Any 3rd party feedback you may have received (for more information on 3rd party feedback see the guidance notes on page 13).
- Performance against external standards/professional bodies relevant to the role

Assessment of past performance continued

Here you should assess the individual's performance against previous objectives set at the last PPA/6 month review or job tasks from the job description where the individual works in a front line service role.

Objective/Key Task	Outcome/Performance	Performance rating

Competency Framework

Please complete this part of the form with reference to the Luton Borough Council Competency Framework – Fundamental Strengths

Prior to the first PPA manager and individual should consider the important elements of the 12 core competencies and identify the expected examples of application.

Core Competencies	Examples of Application	Comments
Valuing People <ul style="list-style-type: none"> Communicating Effectively Working Together Respecting Others Health, Safety and Wellbeing 		
Achieving Excellence <ul style="list-style-type: none"> Developing Self and Others Customer Focus Continuous Improvement Personal Responsibility and Delivering Results 		
Working Smarter <ul style="list-style-type: none"> Minimising Waste Personal Planning and Organising Use of Resources Using Technology 		

Where applicable use the table below to assess the individual's performance against role related competencies relevant to their job and position in the Council.

Role Competencies	Comments

Competency Framework

Overall performance rating

In allocating the performance rating you should consider the jobholder's overall performance from the past year, considering the role requirements, objectives and the 3rd party feedback received.

1	2	3	4	5
Exceptional	Highly effective	Performing Well	Needs improvement	Under performing

Where a performance rating of 4 (needs improvement) or 5 (under performing) is allocated a performance improvement plan (PIP) should be used to improve performance to an effective standard. This must be reviewed monthly. See the intranet for a copy of the PIP.

Future actions

Set new work objectives for the year ahead

The space below should be used to set objectives for the coming year and identify key areas of work. For front line workers, key elements of the role should be identified from the individuals job description.

Objectives should be SMART: **S**pecific; **M**easurable; **A**chievable given the jobholder's ability, workload and resources; **R**elevant to their job; given a **T**imescale for completion.

Service or team objective	Individual objective/Task	Dates for completion and review
Here you should identify the purpose of the objective/task by linking to the high level plans in your service area.		
Have you discussed any obstacles/issues that may have an impact on achieving your objectives?	Yes/No	

Development

Does the jobholder require any development? How will this be met?

You need to think about the individuals learning and development needs. Consider any skills/knowledge that may be needed to complete their objectives or key elements of their role or to enable the individual to progress within the organisation. You should also think about improving behaviours related to the LBC competency framework and any mandatory, legislative or recurring refresher training needed.

Make sure the desired outcome is agreed first; only then consider a range of solutions to meet that need.

Development Need	How will this be met?	Dates for completion and review

PPA Agreement

If the jobholder and the appraiser both share responsibility for the successful outcome of the appraisal, it is unlikely there will be any unresolved issues at this point. If there are issues that cannot be agreed upon, the jobholder has the right to ask for a review.

This is also an opportunity to capture thoughts and discussions on the individuals aspirations and where appropriate, potential, if an interest has been highlighted, to progress within the organisation.

The job holder should receive a completed PPA form, with a performance rating, for agreement sign off within 2 weeks of the PPA meeting date.

Have there been any changes which affect the health & safety risk assessment or stressor assessment?	Yes / No	If yes, agree a date to review them
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Jobholder's comments

Jobholder's signature and date

Appraiser's comments

Appraiser's signature and date

Appraiser's manager's comments

Appraiser's manager's signature & date

Managers should score performance against objectives/key tasks and then, using the information discussed, give an overall performance assessment.

The performance improvement plan should be used when staff are assessed as (needs improvement: 4) or (under performing: 5) to improve performance to an effective standard. Managers must set explicit performance targets to be monitored on a monthly basis.

1 Exceptional People in this category far exceed performance expectations. They have continually over-performed across a sustained period of time and always strive to develop further. They will have made an outstanding contribution to achieving team, department or council objectives.

2 Highly effective People in this category always perform to a high standard and often exceed performance expectations. They are proactive, go the extra mile and achieve excellent results.

3 Performing Well People in this category will be performing well against the objectives set/key tasks and the competencies and are working effectively overall. They meet and sometimes exceed expectations and the quality of their work is good. They deliver on their objectives and contribute to team and service objectives.

4 Needs improvement People in this category sometimes fall below the expected standard. They can at times fail to meet the main requirements of their job and objectives. There will be evidence of efforts being made towards improvement with some tangible results, although there is further to go.

5 Under performing People in this category often perform below an acceptable standard and display little effort towards improvement. They fail to meet the main requirements of their role and make limited progress towards key objectives.

Notes

PPA guidance notes

KEY PRINCIPLES

- Managers and employees must communicate with each other honestly and openly, so that any issues are highlighted and addressed at an early stage
- PPA meetings will be held at least twice a year – unless otherwise agreed by Head of Service
- feedback given by either the manager or employee will be constructive and based on factual evidence
- managers and employees should actively engage in the process and ensure they are meeting their responsibilities
- reasonable time should be set aside for meetings
- managers and employees should also spend time preparing for meetings, making sure they have all the relevant information available
- training and support will be provided to managers and employees as required
- the discussions that take place are confidential between the employee and management

RESPONSIBILITIES

Line managers are responsible for:

- translating departmental and service objectives into personal targets
- agreeing job descriptions and targets with their teams
- undertaking regular discussion and six monthly formal appraisals with individuals on the achievement of objectives
- identifying training, development and other support needs and determining priorities for meeting these
- recognising and communicating achievements
- returning completed PPA form with performance rating to the employee for agreement and sign off within 2 weeks of the PPA meeting date

Employees are responsible for:

- performing to the best of their ability
- checking that their individual objectives fit with council, service and team objectives
- ensuring that their job meets service delivery needs and that any issues of concern are fed back to their manager
- communicating regularly with their manager
- identifying personal development needs and how to achieve them
- preparing for meetings and appraisals
- attending any training, development and other support opportunities that are offered
- reflecting on how development opportunities have improved the way they work and sharing this learning with others

PAST PERFORMANCE

This first section of the PPA is an opportunity to discuss the job holder's performance since the last review. Managers should look at individuals' performance in relation to their job role, how they have performed against any objectives that were set and any comments that have been collected from third parties.

PPA guidance notes

Third party feedback

Third party feedback is optional, but a helpful tool to use when a manager's visibility of an employee may be limited. Wherever possible, managers and employees should agree suitable people to provide feedback. Explanations should be given on why particular people have been chosen. If employee and manager think different people should give feedback, they must talk about this and reach an agreement; however, ultimately managers have the final say. There is a third party feedback form available to support this tool.

Comments

Managers should summarise the main points discussed in relation to the jobholder's performance and any additional feedback received in the box provided.

Objectives

Where individuals have been set objectives these should be reviewed. Managers should consider the jobholders performance against the objectives and detail the main outcomes. All objectives should be given a performance rating. It is important to be flexible with objective setting, given the pace of change the organisation can face. Objectives may need to be changed in order to be relevant and responsive to the needs of the team, service and organisation.

Individuals who work in front line services where objectives are not appropriate should be assessed and rated against key elements of their job description.

Competency Framework

Managers should assess individual's performance against the competency framework and this will contribute to allocating a overall performance rating. The competency framework guide should be used to inform manager and individuals of the expectations of each competency.

Managers and individuals should use the fundamental strengths document to agree performance expectations and examples of application relevant for each core competency.

Performance rating

Managers should then allocate an overall performance rating to the jobholder taking all the information into account. Performance rating definitions are given on page 9.

A performance improvement plan should be used when staff are assessed as 4 (needs improvement) or 5 (under performing) to improve performance to an effective standard.

FUTURE ACTIONS

Setting new objectives

Everyone should be set new work related objectives that are clearly linked to the council's priorities. The PPA form requires managers to identify the divisional/service or team objectives that directly link to the individuals work objectives.

All objectives should be SMART (**S**pecific; **M**easurable; **A**chievable given the jobholders ability, workload and resources; **R**elevant to their job; given a **T**imescale for completion). Further information about setting SMART objectives can be found in the supporting materials available on the intranet.

PPA guidance notes

Key tasks and duties for the coming year should be noted here for front line workers, reaffirming roles, responsibilities and setting expectations for the year ahead.

Requirements for the equalities standards should also be addressed here: managers should be assessed against service equality objectives and all objectives need to be considered in terms of equalities impact. Both the manager and the individual should consider aspects such as whether reasonable adjustments or further support is required in relation to DDA legislation or caring responsibilities.

Future development

Any development needs should be addressed here. Managers, along with the individual should discuss how each need can be met and commit to a development plan which should be reviewed regularly. This is also an opportunity to discuss the goals and aspirations of the individual for example, their progression within the organisation or retirement plans in the next 3-5 years. The comments box on the back of the form is an opportunity to record such discussions if the individual has raised an interest in progressing within the organisation and may have the potential to do so in the future.

PPA AGREEMENT

Health and Safety

Stressors and the health and safety risks within the job need to be constantly reviewed to ensure Job Holders are working safely and effectively. This must be completed annually and the appraisal meeting is a suitable time to do this.

If there have been changes, circle 'Yes' and book a further meeting to review the health and safety risk assessment and the stressor assessment.

The completed PPA form should be approved and signed by the jobholder and the manager. It should also be signed for quality assurance purposes the manager's manager.

PERFORMANCE IMPROVEMENT PLAN

A performance improvement plan should be used when individuals are given an overall performance rating of 4 (needs improvement) or 5 (under performing). This tool allows managers to monitor the jobholder's performance against specific tasks in an effort to improve performance to an effective level. The improvement plan should be monitored and reviewed on a monthly basis until the jobholder's performance is rated as a level 3 (performing well).

If an individual's performance does not improve to an acceptable standard in three months, they will be progressed to formal performance management through the council's employee performance procedure.

PPA guidance notes

REVIEWS

Performance improvement plans should be reviewed on a monthly basis until the individual's performance rating has improved.

Every employee should have a six monthly PPA review with a full PPA once a year, unless otherwise agreed by Head of Service.

It is important to remember that PPA and all performance reviews are part of a continuous performance improvement cycle and any 'issues' should be dealt with immediately and not put on hold till the next review date. Likewise, managers should not wait till a review to show positive recognition to individuals who have performed well.

APPRAISAL RECORDING

To allow PPAs and performance ratings to be monitored, all managers should ensure that every PPA and review is recorded on iTrent.

Details recorded on page 1 of the PPA form should be sent to HR services to update employee records. It is the manager's responsibility to ensure this is done.

REVIEW

Every employee is entitled to a review of their PPA if they are not satisfied with the outcome. Employees should write to their appraiser's manager within ten working days of the meeting, requesting a review and stating in full their reasons for making such a request.

The resulting decision of the appraiser's manager is final; this review supersedes the grievance/problem resolution policy.

FURTHER SUPPORT

Additional support is available for managers and individuals. Please see the intranet for further advice and guidance.