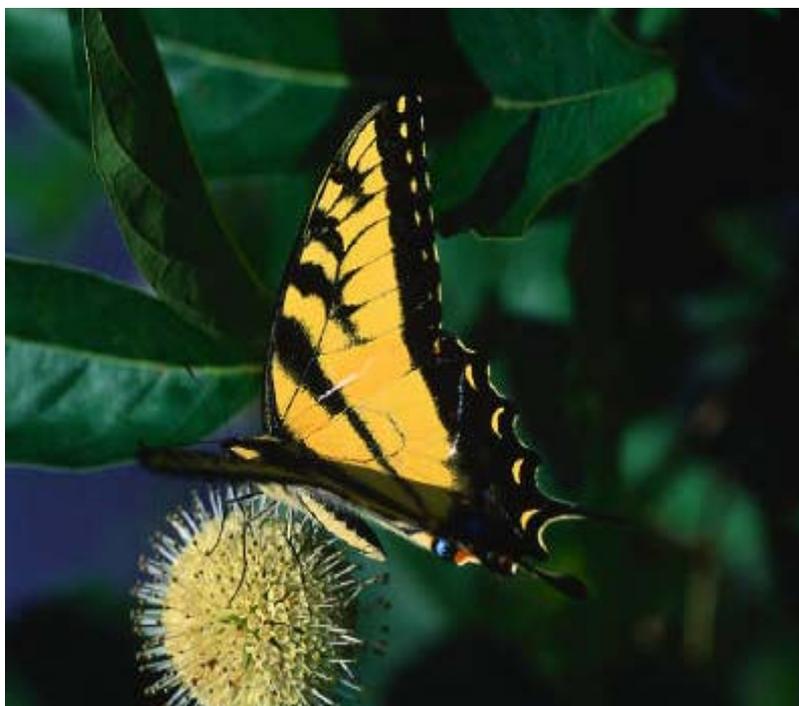


**The London Borough of
Barking and Dagenham**

**Performance Management
Appraisal Scheme**

Guidelines For Appraisees



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1 The Performance Management Process

Members, staff, and residents of Barking and Dagenham want the Council to deliver good services. The Council has corporate priorities for its service delivery: Strategic Corporate Priorities for Action 2005-2010.

These priorities have performance indicators (PIs), so that we can measure whether we are achieving good levels of service. The Council is judged on its performance against these indicators, or measures. Performance management is how we focus our efforts and manage our work to meet our PIs.

There are PIs for the whole Council, and for each service. Teams have PIs and/or objectives, while individuals have work objectives. These are all really the same thing: how we know we are doing a good job.

This means that each individual objective supports the achievement of a team objective or PI, each team objective or PI supports the achievement of a service PI, and each service PI supports a Strategic Corporate Priority.

Appraisal has a key role in this process, which is to:

- Help staff understand these links and how their work fits into the big picture
- Make sure individual staff objectives fit into the performance management structure properly
- Give staff feedback on their performance
- Help staff develop where needed in order to meet their objectives

2 One-to-Ones

Your manager should meet you for formal one-to-ones (or supervision), generally once a month.

The purpose of a One-to-One meeting is to discuss and:

- establish if you have any problems or issues you wish to raise and agree actions to resolve
- evaluate your performance and agree work targets
- review your personal development plan (PDP)
- exchange feedback between each other
- review how your work is going and to make sure it's done as smoothly as possible
- review your standards of behaviour against job competencies
- review issues raised at appraisal and/or appraisal reviews

In addition to these objectives, you should also share your desired outcomes from the meetings with your manager.

A typical meeting could cover:

- review and feedback of performance against agreed targets and work objectives
- review of work programmes / project plans / 'to do' lists
- review of PDPs including training and development/support required and the impact training attended has had on performance
- review of competency standards
- the setting of new actions and targets
- acknowledgement of specific achievement(s)
- clarification of job requirements and how these fit in with the team and the balanced scorecard
- changes affecting the role
- morale
- customer care issues
- welfare issues
- production time / attendance
- upward feedback

Your manager should keep a dated note, with key points, for each One-to-One meeting.

3 Aims of Appraisal

The **aims** of an appraisal are:

- to help all staff who work for the Council to see how their work contributes to their service and to the Council's corporate priorities and plans
- to help all staff to develop and increase their contribution
- to ensure that all managers, and the staff they manage, work together in appraisals to:
 - agree performance targets for staff which link to service plans through their service scorecard
 - agree a PDP for staff to develop and their work to improve
- for managers to rate how staff behave in doing their work and what staff have done in the past year
- for managers to tell staff what they do well, and what they need to do better
- for staff to tell managers what managers need to do to give them support

4 Principles of Appraisal

An appraisal is:

- a chance for managers to show that they value their staff
- supportive, open and constructive
- about staff doing their job and developing
- part of on-going management
- a formal process

Managers and staff are both responsible for appraisal.

It is a mandatory requirement that before undertaking any appraisals your manager must have attended the Council's appraisal training course 'Managing Performance: The Appraisal Process'. It is also a mandatory requirement that they then undertake refresher training every three years.

Appraisals should take place every 12 months between January 1st and March 31st, with a mid-year appraisal review between July 1st and September 30th (i.e. 6 months after the appraisal took place).

Appraisals should be held privately, without interruption.

As the Appraisee, you must prepare for your appraisals. Your manager (the appraiser) also needs to plan and prepare. (See [section 15](#)).

The Appraisal is **not** linked directly to pay, promotion, or discipline. Each of these needs a separate interview and process.

5 Equalities and Diversity

The Council's Corporate Equalities and Diversity policy is the context for the Council's appraisal scheme.

It is the responsibility of every member of staff of the Council to uphold and implement this policy and to challenge inappropriate behaviour. It is the responsibility of each individual manager, at all levels, to plan and provide their services to uphold and develop this policy.

All staff must have appraisals and have access to learning opportunities.

'Diversity' means we value the differences between people. Appraisal must be based on the recognition of differences, and be managed accordingly.

6 Competencies

Competencies are a way of having a standard for doing a job. They are mainly about how we behave, and also about the knowledge, skills, and abilities we need to do our jobs. Some characteristics and values are included. We need to know them well and act on them in doing our jobs.

The Council has three generic competency frameworks in place as follows:

1. Competencies for Leaders and Managers:

- The Council has nine [competencies for managers](#). They are based on previous Council leadership competencies and the competencies for all staff.

All nine apply to leaders and managers and each one has five levels of proficiency that managers can be measured against.

2. Competencies for all Non-management Staff:

- The Council has four **competencies for non-management staff**. These generic competencies have been in use for three years. Each one has three levels of proficiency that staff can be measured against. Each job description should have an indication of the basic minimum standard of behaviour for the job, expressed as a competency level. This is what appraisees should be measured against.

3. Leadership Competencies:

- These are additional **competencies** specifically for Heads of Service and above, and are used in Personal Performance Management interviews. Each one has five levels of proficiency that Heads of Service can be measured against.

You and your manager need to be aware of the competencies that apply to your job.

In the six months leading up to an appraisal or an appraisal review, you both need to gather examples of how you meet or do not meet the standards of behaviour specified in your relevant competencies and think about how you would rate your level of proficiency against each competency. This should be discussed regularly in One-to-One meetings. (See **section 2**).

7 Ratings

We all need to know how we are performing at work. Ratings are a way of giving you clear feedback from your manager as to how you are doing.

At the end of an appraisal, an overall performance rating must be given for you from the following:

- Well above the standard of performance required
- Above the standard of performance required
- At the standard of performance required
- Below the standard of performance required
- A long way below the standard of performance required
- Appraisal not Required (Probation, Long Term Sick, Maternity, etc). (See **section 12**)

This rating should be based on **evidence** about the following questions:

Have you met agreed performance targets?

Have you met agreed competencies?

Have you progressed your PDP?

Assessment must be based on specific examples of behaviour. That way, you know what behaviour to repeat and what to avoid. It must not be based on judgement about you.

Ratings aren't just about your managers' views on how you have performed. Before your appraisal, you should think about how you would rate yourself. During the appraisal, you both need to then discuss your ratings and try to reach agreement. However if this isn't possible, your manager must make the final decision.

8 New Staff

If you are new to Local Government you must go through a 6 month probationary period with monthly probationary review meetings with your manager.

If an appraisal/appraisal review period falls within your 6 month probationary period, an appraisal/appraisal review does not have to be undertaken and a '0 rating' will be recorded on your record to indicate this.

However, if your 6 month probationary period ends within an appraisal/appraisal review period then an appraisal/appraisal review still needs to be undertaken. In this instance, the rating given needs to be based on your performance throughout your probationary period.

For all other new staff (ie. those not new to Local Government), objectives should be set and a PDP agreed within your first month. A full appraisal or appraisal review should then be done in the next period.

9 Temporary Staff

Temporarily employed staff (excluding Agency staff and consultants) that have been with the Council for over a year should have an appraisal.

10 Staff on Secondment

If you are on secondment within an appraisal/appraisal review period, the manager that manages you in your secondment role is responsible for undertaking your appraisal/appraisal review and will have access to all your previous appraisal records.

They will also be able to delegate your appraisal to your previous manager for input and comments however they will still be responsible for completing your appraisal.

11 Staff Excluded from Appraisal

All staff excluding teachers and those in schools (other arrangements apply to teachers and school staff) and on claims payroll should have an appraisal and a 6-month appraisal review under this scheme.

Staff who should usually have an appraisal can only be excluded if:

- the appraisal/appraisal review period falls within their probationary period (see [section 8](#))
- they are on maternity leave throughout the whole appraisal/appraisal review period
- they are on long term sickness throughout the whole appraisal/appraisal review period

If an exclusion applies to you then this should be recorded by your appraiser within the Oracle Performance Management (OPM) as an '**Appraisal not Required (Probation, Long Term Sick, Maternity, etc)**' rating. This then will be passed to the counter-signatory for approval and will be recorded in Oracle for statistical purposes.

12 Skills for Life

These are skills in listening, speaking, reading, writing, and using maths, including ESOL (English for Speakers of other Languages). They range from participating in meetings, to meeting customers' needs verbally and in writing, to communicating in a team.

The Council wants staff to be able to develop these skills. They underpin the competencies so any needs should be addressed through the appraisal process.

For further advice, please contact the Adult Basic Skills Initiative team.

13 The Appraisal Process - Checklist

An Appraisal Process Flowchart to support this checklist can be found at [Appendix 1](#).

Before the Appraisal:

Your manager is responsible for arranging your appraisals.

The following is a checklist of what must be done at least 2 weeks before each appraisal:

Your manager (the appraiser) should:

- Ensure you are aware of the appraisal process and have seen or been briefed on the 'Guidelines for Appraisees'
- Ensure you have a copy of your last appraisal so you can prepare
- Give you the date, time and place of the meeting
- Gather information about your performance over the past year on an online appraisal form and share this with you prior to the appraisal meeting.

You also need to prepare for the meeting. Think about:

- How your work has gone over the past year?
- Have you met your targets?

- Has the learning set out in your PDP happened?
- How you think you match up to the competencies for your job?

Assess and rate yourself and think of evidence to support your rating.

Take any notes you may have made along with you to the appraisal meeting.

During the Appraisal:

The following is a checklist of what you must do during each appraisal:

- Take an active role in the process
- Talk fully with the appraiser
- Discuss your targets, your ratings, and your PDP
- Reach agreement with the appraiser on any future actions
- Make sure you are clear about feedback
- Give your appraiser feedback as a manager and as an appraiser

After the Appraisal:

Following the appraisal, your manager should make any adjustments to the online appraisal form and then send it to you for approval via an Oracle workflow management email. (See [sections 19.2](#) for guidance on how to view and approve your appraisal).

If you do not have Oracle access your manager should print off a copy and get you to sign the bottom as approval. You and your manager should then keep a copy for your records.

If training courses have been specified in your PDP then your online appraisal will include the setting up of a learning path within the Oracle Learning Management (OLM) system that will include the relevant courses. (See [section 19.4](#) for guidance on how to access your learning path and enrol on the courses via OLM). If you do not have Oracle access your manager can enrol you.

14 The Referral Process

If you are not satisfied with an appraisal, you should discuss your reasons with the counter-signatory (your appraiser's line manager), with your appraiser's knowledge.

Changes should be made only after full discussion between all parties.

If after this discussion a resolution is still not reached, a HR representative can be requested to act as mediator.

In the event that the parties are still unable to agree, the counter-signatories version will be the recorded version.

15 The Appraisal Review Process

Your manager is responsible for arranging appraisal reviews 6 months after the appraisals take place.

Before the Review:

Your manager (the appraiser) should:

- Ensure you are aware of the appraisal review process
- Ensure you have a copy of your current work objectives so you can prepare
- Give you the date, time and place of the meeting
- Gather information about your performance against your work objectives and PDP over the past 6 months on the online appraisal form and share this with you prior to the appraisal review meeting.

You also need to prepare for the meeting. Think about:

- How your work has gone over the past 6 months?
- Have you met your targets?
- Has the learning set out in your PDP happened?

During the Review:

The following is a checklist of what you must do during each appraisal review:

- Take an active role in the process
- Talk fully with the appraiser
- Discuss your objectives, targets, and your PDP
- Reach agreement with the appraiser on any future actions

Please Note: A rating does not need to be given at the appraisal review.

After the Review:

Following the appraisal review, your manager should send the amended online objectives to you for approval via an Oracle workflow management email.

If you do not have Oracle access your manager should print off a copy and get you to sign the bottom as approval. You and your manager should then keep a copy for your records.

16 Confidentiality

All ratings, PDPs and review comments will be confidential between you, the appraiser and the counter-signatory. Your Head of Service or any other manager within your direct hierarchy will also be able to view the appraisal should they wish to do so.

Please note that, under certain circumstances, auditors and industrial tribunals can view appraisal information.

Access to Oracle records will be restricted to HR staff for reporting purposes only. HR staff will not be able to view individual appraisal records, only final ratings.

Work objectives will not be confidential. Nothing of a personal nature should be written in them.

It should be noted that misuse of HR information by HR and IT staff contravenes data privacy clauses in their employment contracts and would be subject to disciplinary procedures.

17 Responsibilities and Administration

Appraisers are responsible for arranging appraisals and appraisal reviews, co-ordinating learning opportunities for appraisees and ensuring that PDPs are implemented. **Appraisees** are also responsible for their PDPs. Appraisers should

provide coaching, and look at the whole range of learning opportunities in addition to courses.

Learning needs and PDPs will be summarised anonymously by divisions. This is the responsibility of the **Head of Service**, who should pass the information to the senior training consultant for their department.

Counter-signatories will check that all appraisals are done by the line managers they manage. They will check and sign off the forms. They will be held responsible for the completion of appraisals, PDPs and forms. They are responsible for ensuring fair and consistent application of the appraisal system. HR will ask them to provide feedback on how the scheme is operating. They should let HR know of any concerns they have, or any changes in ratings. However, changes should be made only after full discussion with all parties

Departmental Management Teams are responsible for ensuring that appraisals are done in their departments, keeping and monitoring statistics and monitoring quality.

HR is responsible for supporting line managers in implementing appraisal and in providing relevant learning and development opportunities. HR will keep appraisal ratings on Oracle, and, as already said, there will be restricted access to this data.

The data will allow monitoring both that appraisals are being done, and also that the ratings do not show any bias.

18 Evaluation of the Appraisal Scheme

In terms of training, but much more in terms of people's time, the Council puts a huge amount of money into appraisal – perhaps as much as a million pounds a year. The Chief Executive and Directors will evaluate whether we are getting a return on that investment by setting specific and measurable success criteria for the scheme, and then seeing if these have been met at the end of a year.

You may also be asked to evaluate the appraisal process from time to time in order to monitor the quality of appraisals undertaken.

HR will provide monthly statistical reports on the number of appraisals completed throughout each appraisal window in order that managers and Heads of Service can monitor the level of appraisals completed in their service.

Your manager can also run a report an oracle appraisal progress report which provides them with a list of the staff in their hierarchy and their appraisal status's.

19 Step-by-step Guide for Appraisees to using Oracle Performance Management (OPM) - Online Appraisal System

19.1 Menu access points

OPM sits within HR Self Service.

You can access any notifications you may receive regarding your appraisal via the 'Notifications' option from your Oracle LBB&D HRSS Employee menu.

19.2 Viewing / Approving your appraisal

If you have access to Oracle Employee Self Service, then you act as an 'approver' for the appraisal that your manager completes. In other words, when your manager has finished writing up the appraisal and submits it, you will get an email containing the appraisal details, similar to the one below.

From **Millmore, Martin** Attachments
 To **Sahay, Alok**
 Sent **10-Dec-2007 14:52:13**
 Due **09-Dec-2008 14:52:13**
 ID **1047873**

Overall Rating and Comments
 Overall Rating
 Overall Comments
 Appraisee Feedback

Advancement Potential
 Readiness Level
 Short-Term Work Opportunity
 Long-Term Work Opportunity
 Potential Details

Details Shared with Appraisee
 Additional Details ⓘ
 Participant Names
 Participant Ratings
 Overall Rating
 Overall Comments

Appraisee Feedback
 Provide Feedback on Overall Rating

Competency Ratings
 Total Score
 Comments

[Show All Details](#) | [Hide All Details](#)

Details	Competency	Current Proficiency Level	New Proficiency Level	Score
▶ Show	Non-Management. Communication			
▶ Show	Non-Management. Customer Focus			
▶ Show	Non-Management. Equalities / Valuing Diversity			
▶ Show	Non-Management. Team Working			

Objectives
 Total Score
 Comments

Details	Objective Name	Start Date	Target Date	Achievement Date	Comments	Score
No results found.						

Participants

Full Name	Participation Type	Questionnaire Name	Last Notified Date	Date Completed
No results found.				

Action History

Num	Action Date	Action	From	To	Details
1	10-Dec-2007 14:52:13	Submit	Millmore, Martin	Sahay, Alok	

Related Applications
[View Action](#)
[Return For Correction](#)

Response
 Note

[Return to Worklist](#)
 Display next notification after my response

If you are happy with what has been written, press the 'Approve' button.

This will then automatically send the appraisal to the counter-signatory (your manager's line manager) for final approval. The appraisal is then marked as 'complete' and you can then view it online (see [section 19.3](#))

If you are **not** happy, then select the 'Return for Correction' link near the bottom of the screen. This will give you an opportunity to add your comments and then send the appraisal back to your manager for amendment.

Please note: DO NOT SELECT THE 'REJECT' BUTTON at the top or bottom of the form as this does nothing.

19.3 Viewing your 'completed' appraisal

Your completed appraisals can be viewed as follows.

Access OPM by selecting the 'Appraisals' option from your Oracle HRSS Employee menu.

Select the relevant 'Go to Task' icon which will take you to the following screen.

The screenshot displays the Oracle HRSS Employee Self-Service interface. At the top, there is a navigation bar with links for Home, Logout, Preferences, and Help. Below this, there are tabs for Talent Management and Appraisals. The main content area is titled 'My Appraisals | Participant' and shows a table of appraisals for 'Sahay, Alok'. The table has columns for 'Appraisal Date', 'Main Appraiser', and 'View Appraisal Details'. Below this, there is a section for 'Completed Appraisals' with a search prompt and a table showing one appraisal for 'Millmore, Mr. Martin' on '01-Aug-2008' with a 'View Appraisal Details' link.

Completed appraisals can be viewed by pressing the relevant 'View Appraisal Details' icon.

Please note: you can only ever view *Completed* appraisals in this view.

19.4 Accessing and enrolling on your learning path

Begin by selecting 'Learning and Development Course Directory' from your Oracle HRSS Employee menu.

This will open up the following screen:

Home Catalog Learning History

Current Learning | Requested Learning | Forums and Chats

Search Course Exact Phrase [Advanced Search](#)

Employee Name **Adrian Hunter** Employee Number **4010565**
 Organization Email Address Business Group **LBBB Business Group**

Learning Paths

A learning path is a collection of courses you should have taken by a given date or within a specific time period. Unsubscribing from a learning path does not unenroll you from any classes.

Learning Path Name	Source	Mandatory Courses Completed	Start Date	Due Date	Completion Date	Update	Move to History	Unsubscribe
Appraisals	Manager	0 of 2	10-Dec-2007	01-Dec-2008				

Browse Catalog

- ['Done in One'](#)
- [Added Value Legal Training](#)
- [Adult and Community Services](#)
- [Children's Services \(Safeguard...](#)
- [Corporate Induction](#)
- [Domestic Violence Training](#)
- [Equalities and Diversity](#)
- [Get on at Work](#)
- [Health and Safety Training](#)

Your learning path should appear in the 'Your Learning Paths' section of this screen.

Clicking on the 'Learning Path Name' link takes you to the following screen:

Home: [Current Learning](#) >

Learning Path: Appraisals

To complete this learning path, you must complete the total number of mandatory courses within the path. To complete a course, find an offering in the courses table below, and enroll in one of its classes.

Employee Name **Adrian Hunter** Employee Number **4010565**
 Organization Email Address Business Group **LBBB Business Group**

Mandatory Courses Completed **0 of 2** Progress **On Schedule**

Courses

Course	Completion Target	Notification before Target (Days)	Status	Enrollment Details	Find Offerings	Performance Status	Play
Adoption and Children's Act 2002	01-May-2008		Not Enrolled				
Child Development and Attachment Theory	01-Dec-2008		Not Enrolled				

Here, you can check the 'status' column to see if you are enrolled already in any of the courses.

If not, press the picture of the torch in the 'Find Offerings' column.

This will take you to a screen where you can review the course content:

Home Catalog Learning History

Current Learning | Requested Learning | Forums and Chats

Search Course Exact Phrase [Advanced Search](#)

Home: [Current Learning](#) > [Learning Path](#) >

Course: Adoption and Children's Act 2002

Use this page to view the course details. To find a class in which to enroll, click an offering name.

Employee Name **Adrian Hunter** Employee Number **4010565**
 Organization Email Address Business Group **LBBB Business Group**

Search for Scheduled Classes

Offering Name	Delivery Mode
Adoption and Children's Act 2002	In Class

Who should apply?

Social Workers who work in the Care management and Adoption Teams, Adoption Panel (members and advisers) Independent review panel (members and advisers) Child care lawyers and CAFCASS officers and other local agencies serving vulnerable children, particularly in health and education.

How will it help?

The Adoption and Children Act 2002 is the largest piece of social legislation for over a century. The Adoption and Children Act is not just relevant for adoption specialists. A significant proportion of the act is about planning for permanence for looked-after children and working with birth families whose children will not be returning to their care. It is vital that managers and social workers in children and family teams are aware of and understand the changes in their work that will occur with the implementation of the new legislation.

What will it cover?

- The Adoption and Children Act 2002
- Looking at planning for permanence for looked after children
- Skills associated to work with birth families. All

Click on the link for the Class name and you will see what Classes are available to enroll in;

Offering: Adoption and Children's Act 2002

Use this page to view and enroll in a class. To cancel your enrollment, click the class name, then click Unenroll.

Employee Name **Adrian Hunter** Employee Number **4010565**
Organization Email Address Business Group **LBB Business Group**

Classes

Filter by Name

Class Name	Location	Start Date	Start Time	Duration	Class Status	Enrollment Status	Enroll
Adoption and Children's Act 2002				1 Day(s)	Planned	Not Enrolled	

Press the 'Enroll' icon to enroll; your manager must approve the enrolment before you are guaranteed a place.

20 Frequently Asked Questions

<p>What happens if I don't have access to Oracle?</p>	<p>Your manager can still complete your appraisal online but will need to print off the completed forms for you to agree and sign, instead of sharing it online with you.</p>
<p>My manager doesn't have access to Oracle, how do they get my appraisal information online?</p>	<p>If this is the case they should contact Samantha Eaton in the Learning and Development Team who will be able to advise them of the process and provide them with a spreadsheet template to record the information on. This can then be uploaded into the Oracle system.</p>
<p>Can my objectives be updated outside of the appraisal period?</p>	<p>Objectives cannot be updated once an appraisal has been approved however you can review and update them on a regular basis with your manager at One-to-One meetings (see section 2).</p> <p>Your objectives can then be updated online when the appraisal review is undertaken between July-September.</p>
<p>Does anyone in HR or IT have access to any of the comments written on the online appraisal form?</p>	<p>Access to Oracle records will be restricted to HR staff for reporting purposes only. HR staff will not be able to view individual appraisal records, only final ratings.</p> <p>Misuse of HR information by HR and IT staff contravenes data privacy clauses in their employment contracts and would be subject to disciplinary procedures.</p>

The Appraisal Process Flowchart

