

Performance Review and Development Process

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Performance review is a joint collaborative process between managers and staff members which should take place both formally and informally throughout the year. Continuous dialogue throughout the year between the manager and the staff member should inform the agenda of the meeting and the outcome of the meeting should be a clear plan for both participants in terms of taking action to ensure that the staff member is enabled to achieve their full potential in the work that they carry out for the organisation.

1.0 Objectives

The objectives of the Performance Review & Development Process are as follows:

- To provide a platform for managers and their staff members to review aspects of job performance to enable them to perform their job to the best of their ability and to make the best contribution.
- To recognise the staff member's contribution to the delivery of services and to the achievement of the Ombudsman's aims and objectives.
- To add value in identifying individual training, development and career needs and set out and agree a personal development plan. Discussions on such needs should focus upon genuinely assisting the staff member in acquiring the relevant skills, knowledge and behaviours (competencies) for them to perform well in their current role. These should be considered in the context of the attached Development Assessment document. Opportunities for advancement or alternative work may also be on the agenda.
- To review methods of working and associated work related issues.
- To provide an opportunity for staff members to raise any other concerns they may have and to make suggestions for improvements to their manager.

2.0 Annual Performance Review Procedure

Formal performance review meetings will take place annually between April and June. Managers should arrange a meeting with staff members to review their overall performance development and to agree and set objectives over the next year. All sections of the form should be reviewed and completed jointly during this meeting.

3.0 Interim Review Procedure

There should be at least one interim review, to be completed in the middle of the year. Additional interim reviews can be arranged where there are changes to objectives or roles.

A note should be made of the interim review(s) (using Section A of the form) and any changes to objectives should be noted on the Review Form. Where there are no changes to objectives the Review Form can simply be annotated to refer to the note of the interim review discussions, which should record progress against objectives. Where objectives are changed or deleted, or new ones are added, at an Interim Review, the update and (where appropriate) the revised objective should be added below the objective it replaces. This should be dated. New objectives can be added and these should also be dated.

Current/Completed Year: /

Interim and Annual Review Form

This form should be used for interim (current year) and annual (completed year) review meetings.

Employee's name	
Job title	
Manager	
Date of interim review	
Date of annual review	

SECTION A – INTERIM AND ANNUAL	
Objectives	
Please use this section to review agreed objectives set at the last Interim Review or Annual Performance Review.	
Objective 1: [Add text of objective]	
Revisions to Objective 1	Date:
Staff member's interim or annual commentary on the results:	Status <input type="checkbox"/> Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Revised
Manager's interim or annual commentary:	
Objective 2: [Add text of objective]	
Revisions to Objective 2	Date:
Staff member's interim or annual commentary on the results:	Status <input type="checkbox"/> Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Revised
Manager's interim or annual commentary:	

Objective 3: [Add text of objective]	
Revisions to Objective 3	Date:
Staff member's interim or annual commentary on the results:	Status <input type="checkbox"/> Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Revised
Manager's interim or annual commentary:	
Objective 4: [Add text of objective]	
Revisions to Objective 4	Date:
Staff member's interim or annual commentary on the results:	Status <input type="checkbox"/> Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Revised
Manager's interim or annual commentary:	
Objective 5: [Add text of objective]	
Revisions to Objective 5	Date:
Staff member's interim or annual commentary on the results:	Status <input type="checkbox"/> Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Revised
Manager's interim or annual commentary:	
Any other comments on matters discussed or to be taken forward (Interim or Annual)	
Interim only – Progress on Personal Development, Learning and Training (For Annual Reviews please see Section B)	
Staff member's signature for Section A (Interim only):	
Manager's signature for Section A (Interim only):	
Date:	

SECTION B - ANNUAL

Review of overall (i) performance and (ii) development, learning & training in the completed year

Please use section B to record a summary of discussion when carrying out the annual formal review of performance and development in this year and any factors that may have affected performance. There is no need to repeat the more detailed commentary on objectives contained in Section A.

(i) Staff member's comments on overall performance

Manager's comments on overall performance

(ii) Staff member's comments on development, learning and training

Manager's comments on development, learning and training

Staff member's signature for Sections A & B (Annual only):

Manager's signature for Sections A & B (Annual only):

Date:

Forthcoming year: /

SECTION C - ANNUAL

Agreed Objectives for forthcoming year

Please use section C to record objectives set at the annual formal review meeting.

Objective 1

Objective 2

Objective 3

Objective 4

Objective 5

SECTION D - ANNUAL

Personal Development, Learning and Training

This section should be used to record areas where training, learning or development support is required or wanted. Staff members and managers should refer to Section B of this form and to the attached Development Assessment document in preparation for, and during, the Review.

Proposed development activity and training (mandatory and developmental) should be recorded in the last part of this section (using the same numbered categories as on the Development Assessment document).

What can your manager/ the organisation do to help you do your job better?

--

What can you do to improve your job and contribute to improving the organisation?

--

Thinking of your career plans and ambitions, are there other areas in which you are seeking development or training?

--

Proposed development and training activity for the year ahead

Please include reference numbers/letters from the Development Assessment Checklist and ensure that the **level** of training or development required is also included. Please indicate for each entry whether this is a “need” or a “wish”.

Ref.	Subject	Level	Need or wish?

Staff member’s signature for Sections C & D (Annual only):

Manager’s signature for Sections C & D (Annual only):

Date:

**PERFORMANCE REVIEW AND DEVELOPMENT PROCESS
GUIDANCE FOR STAFF & MANAGERS**

1.0 Introduction

- 1.1. This guide provides useful information for managers and staff on the performance review cycle, the types of reviews that should take place each year, and how to conduct meaningful reviews. The review is a positive process and must be a joint review of the staff member's work.

2.0 Responsibilities

- 2.1. The performance review process must be a joint review of the staff member's work and requires both parties to fully participate in the process.

3.0 Types of Reviews

3.1. Carrying out an Annual Performance Review

Annual performance review meetings should take place once annually between April and June. The purpose is to have a full overall review of performance, training and development throughout the year and to adequately plan and set long term objectives for the coming year.

3.2. Carrying out Interim Reviews

Interim review meetings can and should take place anytime within the year in between the annual performance reviews. There should be at least one interim review, to be completed in the middle of the year. The purpose is to review and note any changes in performance that have been identified and to review and update objectives accordingly where previously set objectives have either been completed or revised and to set any new objectives. An objective may be revised at any time if it is no longer applicable and needs to be changed. The performance review process must be a joint review of the staff member's work and requires both parties to fully participate in the process.

4.0 Preparing for Meetings

Both staff members and managers should take time to consider and make notes on the following prior to the meeting:

4.1. Performance

- What are your views on performance against 'set objectives' over the review period?
- Are there any concerns about performance or any areas of performance where it is felt that performance has been exceptional?

Please Note: Performance feedback should be discussed throughout the year through progress meetings and not just during formal appraisal and development reviews. This is particularly important if it is felt that there are areas of underperformance or performance has been outstanding. The golden rule is “There should be no surprises”, i.e. individuals ought not to be told things that they are not already aware of.

- What evidence is there to back your views? For example, day to day observations, feedback from management and colleagues, comments from complainants or staff of relevant bodies, completion of relevant work, complaints, progress meetings. If there are gaps identified, how might they be addressed?
- Is there anything that could be done differently to improve performance, effectiveness and general wellbeing?
- Giving feedback in an honest, positive and constructive manner.
- What are your thoughts on realistic and achievable objectives going forward?

4.2. **Individual Wellbeing**

- What are your views on the sense of wellbeing at work?
- Are there any work or personal factors that have caused difficulties, stress, ill health or other wellbeing concerns?
- Has there been any impact on overall performance or achievement of objectives?

4.3. **Training and Development**

Both managers and staff members should use the Development Assessment checklist, prior to and at the review meeting, to help to consider and identify areas for development or training, and how these might best be addressed. This could include development through opportunities made available within the office, undertaking specific pieces of work or being seconded to different roles where appropriate.

Considerations should include:

- Is any mandatory and specialist training up to date?
- What would help you improve in your current role?
- How could you contribute to improving the organisation?
- What training and development needs have been identified previously and have they been met (see section D of form)?
- If not what are your thoughts on how best to address these?
- Are there any skills or knowledge not fully used in the current role and are there opportunities that could be explored?

Are there other areas in which you are seeking development or training to support your career plans and ambitions?

5.0 Completing Forms: Annual Review

5.1. Before the Annual Review

Members of staff are expected to begin the process of the Annual Review **by completing the staff member** sections in Section A of the Record of Interim and Annual Review Form, **prior to the meeting with their manager**. Each member of staff should also consider their overall performance in the completed year (Section B), possible objectives for the forthcoming year and their personal training development and learning priorities for the year ahead. Both the manager and the member of staff should consider the attached Development Assessment Checklist as a basis for discussion during the review meeting of areas for future development and training.

Managers will also consider the staff member's performance and achievement of objectives before the review meeting, but this will not be recorded on the Review Form at this stage.

5.2. At the Annual Review Meeting

At the meeting both parties should share their respective observations and considerations, using the form prepared by the member of staff as a basis. Following discussion, during which the manager must indicate their judgement on performance and achievement of each objective, the status of each objective (complete, ongoing or revised) will be determined and the content of the rest of the form will be agreed.

5.3. After the Annual Review Meeting

The member of staff will:

- amend the "Staff member's commentary on the results" for each objective, if required

- add their comments in the “Review of Overall Performance” (Section B)
- add the agreed objectives for the forthcoming year to Section C
- complete Section D on development, learning and training
- add any comments to Section E.

The form will then be passed to the manager who will:

- add manager’s comments in Sections A and B
- review (and agree with the member of staff any changes to) the rest of the form
- sign the form, ask the member of staff to sign the form and pass a copy of the signed form to Corporate Services.

6.0 Completing Forms: Interim Reviews

For Interim Review meetings, objectives should already have been copied, by the member of staff, to Section A of an otherwise blank form, so that objectives can be reviewed and any changes can be recorded. **The member of staff should add their comments on progress to date against each objective, prior to the interim review meeting.**

The Interim Review should consider the agreed objectives and progress on personal development, learning and training identified in the previous Annual Review. The manager will add the Manager’s commentary after the meeting.

Where objectives are amended or added to during the year, the amended objectives should be added below the original objective and dated. Copies of the revised form should be held by the member of staff, and the line manager who should provide a copy to Corporate Services.

Please Note: A note of each Interim Review discussion and outcome should always be made, signed (scanned signature is acceptable) and copied to Corporate Services, whether or not objectives have been changed.

7.0 Setting and Reviewing Objectives

Setting objectives is an important part of any individual’s development. Objectives help to focus the individual on working towards improving job performance and developing within the organisation.

When setting objectives, it is important to remember that they do not all have to be restricted to achieving hard and fast numeric targets. It must be

recognised that every individual is different and will have different development needs. Therefore, there should be some degree of flexibility to reflect the individual's current development status. There should also be a mixture of both long term and short term objectives which should cover all aspects of an individual's role including future performance targets, development in other work areas, training and personal development. Objectives can include team objectives where appropriate.

8.0 Disagreement

Since there is no proposed grading or scoring of staff, and since good performance and personal development are goals shared by all staff and managers, this should not be a confrontational process. Where the member of staff and manager have different views on performance against objectives, or on objectives for the forthcoming year, these should be resolved between them. Where this is not possible, and where the difference of view is significant, the manager of the member of staff may refer this to the manager's line manager for consideration.

Where there is minor disagreement on a particular objective or point, this can simply be recorded on the form.

Policy Owner	Chris Vinestock
Policy & EIA approved by Management Team	March 2017
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Development Assessment Checklist

Please consider training and development needs against each of the following. Where training or development needs are identified, please make sure that details of the specific needs or gaps are recorded in Section D of the form		Comments / notes and detail of training required
BEHAVIOUR BASED COMPETENCIES		
1.	Effective Leadership <ul style="list-style-type: none"> a) Leading and managing a team b) Motivating and engaging staff c) Quality assurance and meeting team targets d) Effective delegation 	
2.	Working on own initiative <ul style="list-style-type: none"> a) Working with minimal supervision b) Self-motivation c) Contributing ideas/suggestions d) Proactively identifying and taking opportunities for improvement and learning e) Leading on specific tasks/areas of interest/project management f) Ownership of own tasks and work quality 	
3.	Team working <ul style="list-style-type: none"> a) Effective communication and listening skills b) Working well with others and supporting colleagues c) Contributing effectively to meetings, other organisational projects/events d) Being approachable e) Contributing positively to the wider organisation/team, rather than just from an individual perspective f) Acknowledging and respecting the contributions/efforts of others in the organisation g) Providing feedback when needed (both positive and negative) 	
4.	Decision making and judgment <ul style="list-style-type: none"> a) Ability to: b) Be decisive c) Weigh up evidence and all relevant factors and alternatives d) Reach robust and logical, evidence-based decisions in a timely manner e) Be objective f) Stand by and justify decisions where this is necessary 	
5.	Problem solving <ul style="list-style-type: none"> a) Positive solution focussed approach b) Open to new ideas 	

	<ul style="list-style-type: none"> c) Ability to suggest creative solutions to problems and disagreements, and to consider all alternative solutions d) Flexibility of approach 	
SKILLS BASED COMPETENCIES		
6.	Oral Skills <ul style="list-style-type: none"> a) Excellent telephone manner and ability to form professional relationships with complainants, relevant staff at bodies in jurisdiction etc b) Ability to give clear explanations c) Active listening d) Ability to effectively contribute to meetings and present ideas in a variety of settings (meetings, talks, presentations, seminars etc) 	
7.	Written skills <ul style="list-style-type: none"> a) Excellent standard of written work which could include: Reports, decision letters, factsheets, case recording, meeting minutes etc 	
8.	Investigation/Analytical skills <ul style="list-style-type: none"> a) Evidence gathering and analysing b) Identifying key issues quickly c) Considering relevant legislation/jurisdictional issues d) Interviewing skills e) Presenting evidence and conclusions f) Formulating appropriate recommendations and ensuring compliance g) Analysing data/recognising and recording trends h) Research/statistical skills 	
9.	Influencing/negotiating skills <ul style="list-style-type: none"> a) Ability to deal with difficult complainants and handle conflict when necessary b) Negotiating appropriate settlements/recommendations c) Engaging with external agencies at all levels in a constructive and effective way d) Presenting ideas and arguments clearly e) Ability to influence others and bring about change both internally and externally f) Being aware of wider policy context (e.g., public services in Wales, political background etc) 	
10.	Organisation skills/workload management <ul style="list-style-type: none"> a) Caseload management; meeting targets b) Consistent throughput/quality of work c) Reliable d) Good time management e) Awareness of good use of resources 	

<u>11.</u>	IT skills/workpro (covered by separate online survey) a) General/specialist IT skills b) Use/knowledge of workpro/updating	
KNOWLEDGE BASED COMPETENCIES		
<u>A</u>	Ombudsman’s jurisdiction and legal basics a) Including: b) PSOW Act and jurisdiction c) Health and Safety d) Information security/FOI/DPA	
<u>B</u>	Equality and Human Rights a) Including: b) Human Rights Act c) Equality Act d) Accessibility of service (linguistic, disability etc)	
<u>C</u>	Media knowledge and skills	
<u>D</u>	Social Services	
<u>E</u>	Planning and Environment	
<u>F</u>	Health	
<u>G</u>	Housing	
<u>H</u>	Education	
<u>I</u>	Other	