

**BRISTOL CITY COUNCIL
HUMAN RESOURCES COMMITTEE**

8 JANUARY 2009

Title: Performance Management Framework Policy For Employees

Ward: City Wide

Report of: Head of HR

Officer presenting report: Pauline Davey / Robert Britton

Contact telephone number: (0117) 9222655

1. Report Summary

- 1.1 The purpose of this report is to recommend the implementation of a single framework policy that encompasses the range of existing policies and procedures related to individual employee performance management throughout employment. It describes the performance management process to be applied to every employee and reinforces the standards of performance and behaviour expected for all staff as outlined in the PMDS process and the associated Bristol Employee and Bristol Manager Competence Frameworks.
- 1.2 The framework presents a revised PMDS rating system for implementation in the 2009/10 year. This policy enables performance against key objectives/job description outcomes, and performance against generic behavioural and management competencies to be assessed independently.
- 1.3 These Proposals form part of the Council's review of its key personnel policies and procedures. This policy links to a new performance strategy drawn up by the Deputy Chief Executive.

2. Recommendation

The Committee is asked to approve the Performance Management Framework policy for employees with effect from 1st April 2009. Members are also asked to endorse review during 2009 of the Bristol Manager's Scheme (will assist in the assessment of the scheme) during 2009/10.

3. Policy

- 3.1 Currently the Council has the following policies/procedures that relate to individual employee performance management:

Employee Induction Framework

Employee Probationary Procedure

Employee Development Policy

PMDS, Chief Executive, 1st, 2nd and 3rd tiers and 4+ (to be realigned)

The Bristol Manager Competence Framework (to be revised)

Secondments and Acting Up Policy and Procedure

Improving Performance Procedure

- 3.2 This is a framework policy, intended to be an over-arching policy document that aims to raise awareness of these policies and outline clearly the process that must be used to manage the performance of each employee. It will not be applied to teaching staff in locally managed schools, where separate performance arrangements already apply.

- 3.3 This policy, if adopted will necessitate revisions to the Bristol Manager Scheme for 2009/10.

4. Consultation

(a) Internal

- Specialist teams within Human Resources
- Workforce Development and Management Group (WDMG)
- SLT
- Trade Unions

(b) External

n/a

5. Background and Assessment

- 5.1 Effective individual employee performance management is integral to the Council's ability to deliver quality services and successful achievement against its aims and aspirations as outlined in the Corporate Plan.

- 5.2 The framework therefore clarifies and reinforces the concept

that individual performance targets and outcomes should take into account wider performance targets and strategic aims (eg. take into account Service Delivery Plans). It aims to support the aspiration that effective employee performance management should be ingrained in the culture of BCC and should contribute to the raising of standards and improvement of the authority as a whole.

- 5.3 The framework policy also seeks to address a perceived weakness in the current PMDS arrangements, whereby performance is related solely to annual objectives. This is only an effective measure if objectives are challenging and seek to raise Council performance per se. This is more readily achieved at management level than at employee level, where the appraisal of performance against the expectations set out in the job description and the assessment of behaviour and personal contribution is more relevant.
- 5.4 The existing PMDS system that requires a single overall rating does not encourage or enable explicit differentiation in assessment of performance against different types of performance objectives. For example, an employee could perform well against key service-specific objectives, such as number of calls answered, but could behave rudely to some callers. In this scenario the manager would perhaps have the dilemma of whether to rate a 2 or a 3 for the employee. They may elect for the easy option and rate at 3, even though there are shortcomings in elements of performance.
- 5.5 By requiring managers to give separate ratings for performance against key service-specific objectives (could include job description outcomes), as well as behavioural or management competencies, the revised rating system aims to enable and empower managers to recognise good performance and challenge bad performance during the same process. From the perspective of the employee it would be beneficial to have explicit recognition for good performance where appropriate, even though performance may be challenged elsewhere. Targeted support for improvement is therefore also easier.
- 5.6 In consequence, the PMDS appraisal rating system has been revised. It is proposed that the number of separate PMDS schemes be reduced from five (one each for Chief Executive, Strategic Directors, Service Directors, 3rd tier managers and all other staff) to three schemes under the new proposals. They relate to:
- * Chief Executive, Deputy Chief Executive, Directors
 - * Managers & Supervisors

- * All other employees

5.7 Other specific aims of the framework are:

- * to describe and clarify those management competence standards which are considered essential for managers and supervisors. These are customer service; people management; financial management and performance management.

- * to provide greater clarity around managers' responsibilities, at all levels, in setting challenging and meaningful objectives for their staff, and what the benefits of doing so are.

- * to clearly state the link between serious or continuing poor performance and the possible consequences, and provide an effective framework for addressing these issues.

- * to summarise the range of options and sources of support concerning the development and training of staff, at all levels.

5.8 It is also proposed to change the PMDS performance rating on the following basis:-

Level of Performance	Performance Rating
Outstanding	5
Good	4
Satisfactory	3
Needs improvement	2
Poor	1

It is felt the new levels represent a more balanced scale.

6. Other Options Considered

Other options of retaining the status quo and in moving to a more formal performance related pay appraisal scheme were considered, but have been discounted.

7. Risk Assessment

A recent survey of PMDS reviews undertaken for year end 2007/08, has shown that compliance is around 90%. There is a risk that changing the scheme may result in some managers and supervisors not complying with the new arrangements.

8. Equalities Impact Assessment

As set out in Appendix B.

9. Legal and Resource Implications

Legal:

There are no direct legal implications arising from this report. It is advisable to ensure that the changes made to the PMDS rating system are highlighted to all employees of the Council.

(Advice from Husinara Islam, Senior Practitioner Solicitor, Legal Services)

Financial:

(a) Revenue

There are no financial implications arising from this report the purpose of which is to adopt existing policies into a simplified framework style.

(Advice from Stephen Skinner, Head of Finance, CSS and Chief Executive Depts)

(b) Capital N/A

(Advice from designated Finance Officer)

Land: N/A

Personnel: As set out in paragraphs 5.1 to 5.8, and in Appendix A.

Appendices:

Appendix A - Performance Management Framework Policy

Appendix B - Equalities Impact Assessment

LOCAL GOVERNMENT (ACCESS TO INFORMATION) ACT 1985 Background Papers:

BRISTOL CITY COUNCIL



PERFORMANCE MANAGEMENT FRAMEWORK & POLICY

DRAFT

Revision 18 December 2008

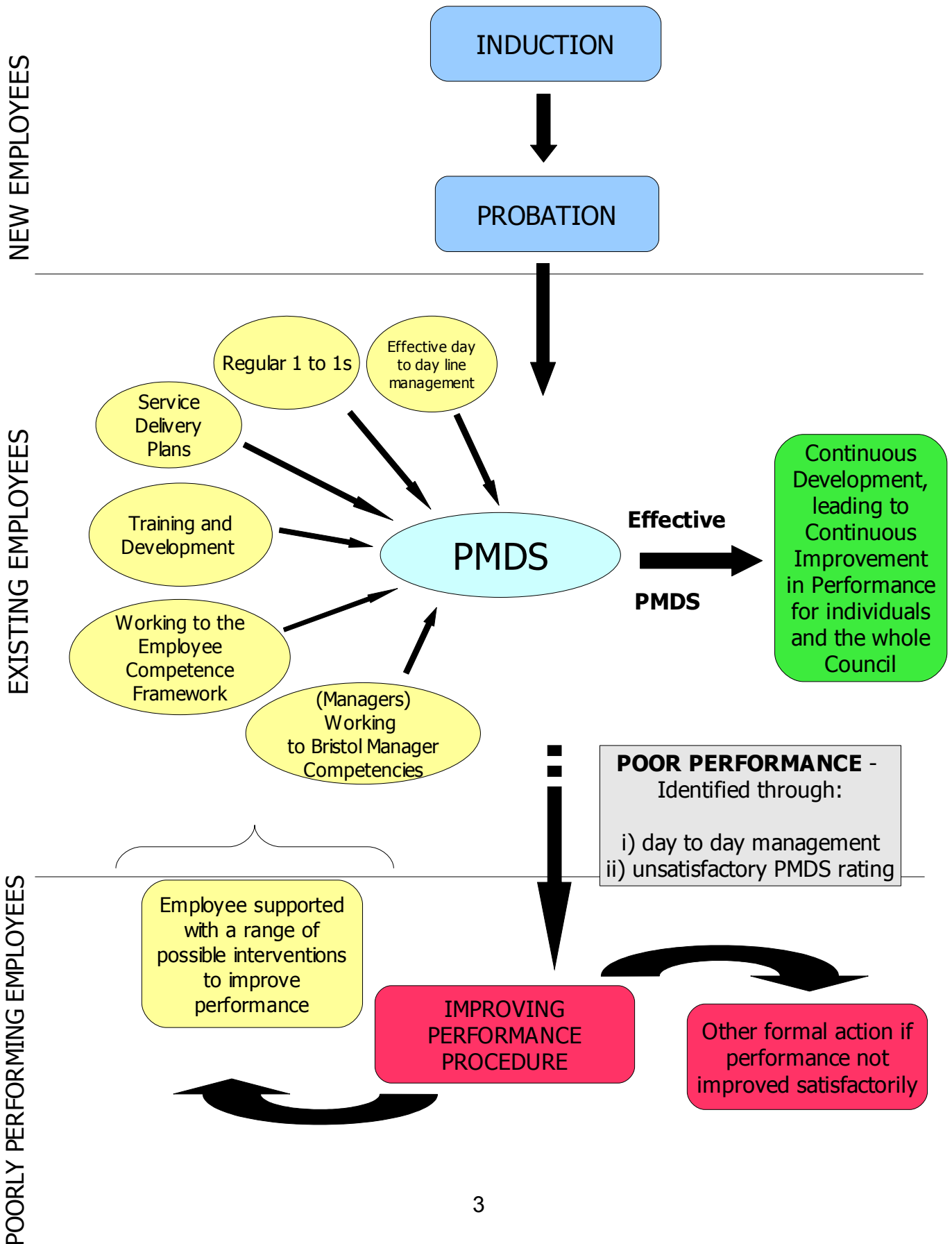
1. Introduction	3
1.1 Flowchart of the Employee Performance Management Process	
1.2 Framework	
2. Policy Statement	4
3. Key Elements of Performance Management	5
3.1 Recruitment Standards	
3.2 Induction	
3.3 Probation	
3.4 Performance Monitoring	
3.5 PMDS	
3.6 Management and Employee Competencies	
3.7 Individual Training and Development	
4. 360° Appraisal	7
5. Tackling Poor Performance	7
6. Appraising and Rating Individual Performance	8
6.1 - 6.3 Employees, Managers/Supervisors and Directors	
6.4 Appraisal Scoring	
6.5 Competency Training	
6.6 Performance Related Salary Progression for 1st/2 nd Tier Officers	
6.7 Incremental Progression For Single Status Employees	
7. Individual Training and Development	11
8. Celebrating Success	13

Appendices

Appendix A - Scoring Matrix **(see separate page)**

1 Introduction

1.1 Flowchart of the employee performance management process



1.2 Framework: what is employee performance management?

- It is a process through which Bristol City Council seeks to deliver lasting improvement.
- It is about placing the emphasis on effectively managing, supporting and developing staff at all levels within the organisation to achieve and maintain high standards of performance at individual and team level, and within the context of the strategic aims and direction of the Council as a whole.
- An integral part of performance management is the need to monitor performance, give praise and recognition when staff perform well, and challenge those who do not.

1.3 This over-arching framework brings together policies and processes linked to individual performance in one place for ease of reference, highlighting any links between different areas, and sign-posting the reader to the policy, procedure or source of support relevant to their needs. It should also be read in conjunction with the council's Performance Strategy (for council services).

1.4 Performance Management of employees falls within two categories, namely:

- (i) ongoing 1 to 1 supervision, and
- (ii) annual appraisal via the PMDS process.

[Refer to sections 3.4 to 3.6 for full details](#)

1.5 PMDS is a very important process that is considered to be the central 'hub' of all processes relating to individual performance management. All directors, managers and supervisors are required to undertake performance management responsibilities, as set out in paragraph 1.4 above.

1.6 Ongoing supervision throughout the year is the normal way in which poor performance should be tackled. Managers must not await the outcome of the annual appraisal process to address these issues.

2 Policy Statement

2.1 Bristol City Council recognises that its staff are the single most important factor in relation to Bristol City Council's capability to successfully deliver the aims and aspirations of the Corporate Plan, and in delivering the best possible services to the people of Bristol.

2.2 An over-arching aim of the Council is to foster and maintain a culture in which staff are encouraged and empowered to manage and improve their own performance and results. Managers are required to give employees clear objectives, and to provide support and training to staff to assist them in achieving the required performance standards.

2.3 Praise and recognition for high standards of performance, behaviour and attitude should be given when it's due, and not just at formal PMDS reviews.

2.4 Poor performance must be challenged and addressed as arising using the Improving Performance Procedure. It should not be delayed until the formal PMDS reviews.

3 Key Elements of Performance Management

3.1 Recruitment: Essential to the achievement of high standards of performance is the need to apply effective recruitment practices. These are as set out in the council's [Recruitment Policy](#).

3.2 Induction will be provided at 3 levels, organisational – attending One Council, One Vision. Departmental – programme clarifies the working arrangements and requirements at departmental level, and Workplace – what does the job actually require, how will it be supervised, working with colleagues, and so on. See [Induction Framework](#)

3.3 Probation extends for the first 6 months of employment, but may be extended in cases of poor performance. Manageable objectives should be set, regular feedback provided and development needs identified and addressed. See [Probation procedure](#). A formal meeting should be held at the end of the probationary period to acknowledge success and agree future performance requirements.

3.4 Performance Monitoring: Staff Performance will be monitored through 1 to 1 supervision on an on-going basis, and will be assessed annually as part of the annual PMDS review, based on individual performance against performance objectives, behaviours and attitudes. There will also be a half-yearly review of PMDS progress. The principal responsibilities of each party are as follows:

(a) **Managers/supervisors** have a responsibility to:

- Undertake 1 to 1 supervision of staff, and lead team meetings/briefings as appropriate.
- Comply with the requirement to undertake PMDS reviews for their staff, and award an appraisal score for the previous year
- Provide training, development and support, to assist staff in achieving their objectives, supplemented by coaching and monitoring (where this is appropriate)
- Ensure that employees who perform well are given the recognition they deserve and that those who under-perform are challenged. If the employee does not achieve the required improvement, the use of formal procedures should be used. See section 5: '[Tackling Poor Performance](#)' for more detailed guidance

(b) **Individual employees** have a responsibility to:

- Contribute to their own development in order to enhance job performance and maximise their potential
- Consider and identify their own training and development needs in the light of work and development priorities, in discussion with their manager/supervisor, and identify

areas of their work for which they do not consider they have received sufficient training, and where their performance could be improved.

- Contribute positively to all relevant training and development activities undertaken
- Contribute positively wherever possible to the development of others.

3.5 **PMDS:** The [Performance Management and Development Scheme](#) details how individual performance appraisal will be applied and managed at all levels. There are 3 separate PMDS schemes:-

- (i) Chief Executive, Deputy Chief Executive and Directors
- (ii) Other Managers and Supervisors
- (iii) All other employees.

Objectives will be set annually for the following year, by the Director, the Manager, and for the Chief Executive, by the Leader of the Council. The objectives will vary depending on the seniority/responsibilities of the employee, as set out in section 6 below.

The objectives will be derived from service delivery plans, that themselves deliver corporate priorities, and must:-

- include challenging new initiatives which are focused upon continuous improvement in service delivery;
- align with the strategic aims of the service concerned, as set out in action plans and other corporate strategies;
- where appropriate, include targets for quality and quantity of work outputs;
- include challenging targets for standards of behaviour and attitude in relation to customer focused service delivery (applicable to frontline and internal support services alike). See 3.6, below.
- be relevant to the duties and responsibilities of the employee's job.

Directors/Managers/Supervisors will advise staff of their annual appraisal score, and ensure that the outcome is recorded on the Council's computerised training records system. Directors/Managers/Supervisors should also undertake a half yearly review of progress regarding the objectives which have been set.

Full details for each scheme can be found on the intranet PMDS pages, through the following links:

[PMDS for 'employees', \(i.e. those not covered by The Bristol Manager Scheme\)](#)

[PMDS for 'management employees' \(Director through to all supervisory staff covered by The Bristol Manager Scheme\)](#)

3.6 **Management and Employee Competencies:**

(i) The Employee Competency Framework ([Bristol Employee Competence Framework](#))

details the behavioural competencies required for all employees in undertaking their duties. Performance against these competencies will also be measured.

(ii) Managers will also be required to demonstrate competence against the key management processes defined in [The Bristol Manager Competence Framework](#). Internal accreditation against Financial Management, People Management, Customer service and Health and Safety is mandatory for all managers (at tiers 1 to 5) when they are appointed to their first supervisory post within the Council.

3.7 Individual Training and Development

The importance of raising standards through training cannot be underestimated. Section 7 of this policy covers a range of approaches which can be used to raise skills and performance.

4. 360° Appraisal

4.1 Directors at 1st and 2nd tier should undergo 360° feedback as part of their performance appraisal at least every three years. This does not form part of the formal appraisal process. These 360° Appraisals will involve Members as well as other key stakeholders. Issues arising from 360° Appraisals, may be addressed through further training, mentoring or coaching, as appropriate.

4.2 The application of 360° Appraisals for other managers is discretionary, as determined by the Strategic Director in consultation with the post holder.

5 Tackling Poor Performance

5.1 The [Improving Performance Procedure](#) is a practical guide to supporting poor performing employees in reaching required standards of performance, and making fair dismissals on grounds of capability when performance fails to improve. Poor performance is defined as less than satisfactory performance against performance objectives, behavioural competencies and attitudes.

5.2 Regular 'one to one' meetings between manager and employee are an important performance management process that will ensure close communication between both parties and enable ongoing assessment and review of performance.

5.3 Where a manager has a concern about an individual's performance he/she should raise that with the member of staff as soon as any concerns are identified and refer to the improving performance procedure. Managers must not wait until formal PMDS reviews to address concerns around performance.

5.4 Similarly, where performance is appraised as being less than satisfactory during the formal PMDS reviews the improving performance procedure must be used, if it has not been invoked already.

5.5 An *overall* PMDS appraisal score (from 1 to 5) is assessed by the manager taking into account an employees performance over the year and the *individual* scores that they

assessed against each individual key performance criteria (refer to [section 6](#) for full details).

Where an *overall* PMDS appraisal score of 2 or 1 is awarded for performance, action should be taken as follows:-

- i) Score of 2: an individual employee performance improvement plan should be drawn up, discussed with, and issued to the employee (refer to [Improving Performance Procedure](#))
- ii) Score of 1: formal action should be taken, which if the poor performance is serious, could lead to dismissal (refer to [Improving Performance Procedure](#))

Where a PMDS score of 3 is recorded, the employee's overall performance is deemed as being "satisfactory". However, there may be some elements of the employee's performance that require improvement, and the manager will score the relevant key performance criteria as a 2 or 1 as appropriate. Performance against these individual criteria should be addressed in discussion with the individual, recorded as part of the PMDS outcome, and as appropriate be given on individual employee performance improvement plan.

5.6 A performance improvement plan should include the following:-

- identification of the under performance and standards required
- the time period set for the requisite improvements to be achieved
- confirmation of any additional training or support required by the employee

6 Appraising and rating individual performance

6.1 The Chief Executive, Deputy Chief Executive and Directors at 1st and 2nd Tier.

Appraisal will be undertaken using the following framework, with each key performance criteria being assessed individually, and on the basis of previously agreed PMDS objectives within each criteria and matters arising from 1:1 supervision throughout the year

Each key performance criteria will be given a specific score, and these will contribute to the final overall score:

(a) Strategic leadership and performance management

PMDS objectives should have previously been set incorporating :

- (i) strategic leadership
- (ii) management of performance - and specifically results in areas which have been identified as under-performing either in the PMDS or during the year
- (iii) planning/implementation of new projects and initiatives for the forthcoming year

(b) Financial Management

PMDS objectives incorporating:

- (i) medium term financial planning issues
- (ii) in year budget management within agreed budget parameters.

(c) People Management

PMDS objectives incorporating:

- (i) Leadership and management of major change programmes, projects and services
- (ii) Tackling poor performance, misconduct, disciplinary, managing attendance
- (iii) Delivering against HR strategy and corporate workforce plan

(d) Customer/Client Services

PMDS objectives incorporating:

- i) customer/client/user satisfaction (for Resources and Transformation Directors, this relates to services provided to internal clients)
- (ii) partnership and network skills to deliver performance and service improvement around measures which relate to client and customer satisfaction, including working successfully with partners and other agencies.

6.2 Managers and Supervisors (as defined in the Bristol manager scheme)

Appraisal will be undertaken using the following framework, with each key performance criteria being assessed individually, and on the basis of previously agreed PMDS objectives within each criteria and matters arising from 1:1 supervision throughout the year

Each key performance criteria will be given a specific score, and these will contribute to the final overall score:

(a) Performance Management

PMDS objectives incorporating:

- (i) the development and implementation of new initiatives
- (ii) the effective management of services, and
- (iii) improving under performing services.

(b) Financial Management

PMDS objectives incorporating effective budget management, ensuring no overspends within agreed budget parameter (Not all supervisors may have budget responsibilities).

(c) People Management

PMDS objectives incorporating effective management and supervision of

employees , addressing poor performance, attendance, and potential disciplinary matters, effectively implementing management of change.

(d) Customer and Client Services

PMDS objectives incorporating provision of effective customer centred service to the public and other clients; also working with key partners (internal/external as appropriate) ,

6.3 All other Employees

The appraisal for other employees cover the following key performance criteria:-

(a) Service Specific Responsibilities

Undertaking the responsibilities set out in the employee's job description in an effective manner to support the delivery of new/ongoing team and service objectives.

(b) Behaviours

Assessing individual attitude and skills (eg. personal achievements, positive attitude, misconduct and performance).

6.4 Appraisal Scoring

Level of Performance	Performance Rating	Notes
Outstanding	5	
Good	4	
Satisfactory	3	
Needs improvement	2	See para 5.5 (i)
Poor	1	See para 5.5 (ii)

A copy of the scoring matrix for each group is appended to this policy.

6.5 Competency Training

It is essential that managers and employees are given sufficient training and development to ensure that they are able to meet their primary objectives, and the requirements of their position.

For Directors, Managers, and Supervisors, the following Bristol Manager Scheme competencies are mandatory for new appointees:-

- Strategic Leadership and Performance Management
- Financial Management
- People Management

- Customer and Client Services

In addition the following competency training is mandatory, but is not scored as part of the Appraisal Matrix

- Health and Safety

The following additional competency frameworks may also apply, depending upon the nature of the post:-

- Equalities and Diversity
- Service Planning and Risk Management
- Reviewing and Improving Organisational Performance
- Diversity and Equalities
- Programme Management/Project Management/Strategic Development
- Exploiting Technology/Improving ICT
- Procurement

6.6 Performance Related Salary Progression

The following contractual provision applies to 1st and 2nd tier employees:-

- A director's salary will be revised in accordance with the annual award determined by the JNC for Chief Officers of Local Authorities.
- Incremental progression occurs on 1st April each year (or for new appointees starting employment between 2nd October and 31st March, after 6 months in post during their first year) subject to a PMDS appraisal score of 3 or 4 as assessed under PMDS for 1st and 2nd tier employees.
- A PMDS appraisal score of 5 will entitle the post holder to two increments (*subject to the maximum of the salary range not being exceeded*).
- Incremental progression will not apply on the 1st April (annually) if a PMDS appraisal score of 2 or 1 is awarded for overall performance.
- The top-of-the-scale salary point marked with an asterisk is non-consolidated (i.e. not guaranteed), and in the event that an appraisal score of 2 or 1 has been awarded to a manager who has already reached the highest incremental point of the scale, the non-consolidated increment will be withdrawn.

6.7 Incremental Progression For Single Status Employees

- For single status/green book employees, incremental progression can be withheld if the overall PMDS score is 2 or 1. There is no provision under single status conditions of service to withdraw increments which have already been awarded.

7 Individual Training and Development

7.1 Continuous development is essential to improving performance, to update skills, improve flexibility and respond effectively to a continuous changing agenda.

7.2 In line with the Council's ongoing commitment to maintain its ['Investors in People'](#) Award, we are committed to providing all staff with access to personal development opportunities. Managers must discuss training and development options and activities during an employee's PMDS and agree a 'personal development plan' with them.

7.3 Training and development plan activities must be meaningful and achievable within resource constraints. They may improve performance in a person's current role, or, contribute to their future career development, but must in all cases seek to continuously 'raise the bar' in terms of service delivery and improvement.

7.4 Where employees have few or no formal qualifications, every effort should be made by the manager to facilitate further learning to strive towards an accredited qualification. Advice is available through the Training and Development service, and through trade union learning representatives.

7.5 The following policies, procedures and tools are available to support managers and employees in their ongoing day to day development, and to aid performance management during the informal and formal stages of the Improving Performance Procedure:

Area of development / Policy or Tool (click on link for further information)	Description
Training and Development: Employee Development Policy	This policy describes a wide range processes and interventions by which people are supported in developing the skills and behaviours required for successful execution of their PMDS key objectives, as well as their longer-term work and career objectives.
Coaching	To support Bristol Managers there is a process called Coaching. It is a training and development intervention involving a trained coach to help develop a manager's skills and knowledge in people management to enable achievement of related organisational objectives.
Mentoring	To compliment the work being undertaken in the Building Futures team, the Council is in the process of training employees, via City of Bristol College to become mentors, who will achieve a recognised ONC mentoring skills qualification. Young people recruited will be allocated a

	<p>trained mentor - the purpose is to:</p> <ul style="list-style-type: none"> - develop and maintain a supportive, non-judgemental relationship - to assist mentees with achieving personal goals/ realise development opportunities - to help them understand the mechanics of the Council
<p>Secondments and 'Acting-up' Opportunities: Secondment and 'Acting-up' Guidelines</p>	<p>Secondments are opportunities for individuals to work in different parts of the Council or different organisations, outside of the Council. Acting-ups provide a short-term opportunity for people to assume a more senior role within the same area of work. Both can provide opportunities to share and acquire valuable new knowledge and skills, as well as contribute to enhancing retention, improving motivation and developing a more flexible workforce, capable of supporting the Council's overall workforce and succession planning goals</p>
<p>Redeployment / Retraining: New Opportunities Policy</p>	<p>In exceptional cases, employees experiencing problems with their performance who are subject to the Improving Performance Procedure may be considered for redeployment. The aim being that they may secure a role that is more suited to their skills and experience.</p>

7.6 Where financial assistance is given to an employee or manager for external qualification training courses and the employee/manager leaves the council within 2 years of completion of the course the council will reclaim the course fees. This provision will also apply if the employee fails to complete the (qualification) training course.

8 Celebrating Success

An important part of our efforts to identify and recognise achievement is our Celebrating Success Programme. This is an annual process which works through staff in each directorate being asked to nominate individuals and teams for awards.

Each department then holds its own Celebrating Success event through which nominations are judged and departmental winners announced. The departmental winners go through to a council wide event where overall winners in the categories are announced. These overall winners are chosen by a judging panel made up of the three party leaders or their representatives.

Scoring Matrix

- (I) Chief Executive, Deputy Chief Executive, and Directors (1st and 2nd tier)
and
(II) Managers and Supervisors

Key Performance Criteria	Performance Rating: 1 to 5
Performance Management	
Financial Management	
People Management	
Customer/Client Services	
Conclusion - should summarise key strengths and areas for improvement and/or development during next appraisal period	NB If 2 scored in any one area - overall rating cannot be more than 3
Overall Rating	

- (III) All Other Employees

Key Performance Criteria	Performance Rating: 1 to 5
Service Specific Responsibilities	
Behaviours	
Conclusion - should summarise key strengths and areas for improvement and/or development during next appraisal period	NB If 2 scored in any one area - overall rating cannot be more than 3
Overall Rating	

**Equality Impact Assessment (EqIA)
Screening Form for New/Revised HR Policies or Functions**

A: Summary Details

Directorate: Central Support Services

Section: Human Resources

Person responsible for the assessment: Bryn Williams

Contact details: x22655

Name of Policy to be assessed: Performance Management Framework Policy for Employees

Is this a new or revised policy: New, (in that it brings together existing policies and procedures relating to individual employee performance management. There are revisions to the PMDS appraisal rating system, that allow more refined assessment of individual performance, but do not differ fundamentally from the existing PMDS system).

Date policy scheduled for Overview and Scrutiny/Cabinet/LAB: 27/11/08

B: Preparation

It is important to consider all available information that could help determine whether the policy could have any potential adverse impact. Please attach examples of available monitoring information, research and consultation reports.

1. Do you have monitoring data available on the number of people (from different target groups) who are using or are potentially impacted upon by your policy? *Please specify what monitoring information you have available (your monitoring information should be compared to the current available census data to see whether a proportionate number of people are taking up your service).*

The policy applies to all staff.

The following analysis of the experiences of the Performance Management Development Scheme according to equalities group was undertaken as part of the equal pay audit to establish whether there are any equalities gap in relation to application of and quality of PMDS. (data from the 2005 staff satisfaction survey)

43% of council employees completed the survey (excluding schools).

The overall breakdown of employees responding to the staff satisfaction survey was as follows:

	Male	Female	Disabled	Non disabled	White	BME
Survey response (excludes schools)	37.3%	61.3%	5.9%	92.2%	89.9%	10.1%
Workforce figure as of September 2005 (excluding schools)	31.6%	68.3%	4.99%	95.0%	84.5%	6.98%

Results to the question "have you and your manager or supervisor met formally within the last 12 months to review your performance at work"? are as follows:

	Male	Female	Disabled	Non disabled	White	BME
"yes"	81.1%	79.1%	80.9%	79.8%	79.7%	83.4%

Results to the question "how satisfied were you with the quality of this review"? are as follows:

	Male	Female	Disabled	Non disabled	White	BME
Satisfied	69.3%	74.1%	69.9%	72.5%	73.1%	66.1%

Results to the question "Over the last 12 months have you received any training"? are as follows:

	Male	Female	Disabled	Non disabled	White	BME

yes	85.2%	87.5%	85.1%	86.8%	87.1%	84.0%
-----	-------	-------	-------	-------	-------	-------

There is currently no equalities monitoring data available in relation to induction, probation, training/development, improving performance.

2. If monitoring has NOT been undertaken, will it be done in the future or do you have access to relevant monitoring data for this area? If not, specify the arrangement you intend to make; if not please give a reason for your decision.

The above data/analysis does not suggest any significant gaps or variation in the application of PMDS, or the experience of PMDS across these equalities groups .

It will be necessary to monitor the application , quality and outcomes of PMDS (eg training opportunities, appraisal ratings) across all equalities groups to ensure that we are to be able to identify any equalities gaps in future.

This can be done by gathering PMDS outcome data (as is current practice) and cross-referencing it against equalities data held on workforce.

C: Your Policy or Function

1. What is the main purpose of the policy or function?

To provide an over-arching framework policy that describes how individual employee performance management should be conducted, and to link the existing related policies together.

- 2 Are there any other objectives of the policy or function, if so what are they?

Performance management is primarily about supporting and enabling all staff to fulfil their potential and carry out their jobs as effectively as they can. The PMDS process and Improving Performance Procedure are geared towards providing fair and consistent access to training and development opportunities and targeted support to staff to help them to achieve their work objectives.

The policy introduces a revised PMDS appraisal system, that separates out the assessment of performance against key objectives/job description outcomes and behavioural/management competencies. The current PMDS rating system itself requires assessment against

these different elements but does not require separate rating. The revised rating system will therefore promote more focused feedback and relevant support to all staff.

3 Do any written procedures exist to enable delivery of this policy or function?

Yes. The whole framework policy is based on existing policies and procedures that relate to delivery of individual performance management.

4 Are there elements of common practice in the service area or function that are not clearly defined within the written procedures?

No

5 Who are the main stakeholders of the policy?

Employees

Managers

6 Is the policy associated with any other Council policy (s)?

The policy represents the individual employee strand of the Council's overall performance management strategy.

7 Are there any areas of the service that are governed by discretionary powers? If so, is there clear guidance as to how to exercise these?

No

8 Is the responsibility for the proposed policy or function shared with another department or authority or organisation? If so, what responsibility, and which bodies?

No

D: The Impact

Assess the potential impact that the policy could have on each of the target groups. The potential impact could be negative, positive or

neutral. If you have assessed negative potential impact for any of the target groups you will need to also assess whether that negative potential impact is high, medium or low – see glossary in the attached guidance notes for definitions.

1.

a) Identify the potential impact of the policy on men and women:

Gender	Positive	Negative (please specify if High, Medium or Low)	Neutral	Reason
Women			y	It is a framework policy that brings together existing policies that should already be applied fairly and consistently by managers across the organisation. The PMDS and associated training policies and procedures also promote consistent opportunities for all staff in relation to training and development.
Men			y	“”

b) Identify the potential impact of the policy on different race groups:

Race	Positive	Negative (please specify if High, Medium or Low)	Neutral	Reason
Asian (including Bangladeshi, Pakistani, Indian, Chinese, Vietnamese, Other Asian Background – please specify _____)			y	It is a framework policy that brings together existing policies that should already be applied fairly and consistently by managers across the organisation. The PMDS and associated training policies and

				procedures also promote consistent opportunities for all staff in relation to training and development.
Black (including Caribbean, Somali, Other African, Other black background – please specify _____)			y	“”
White (including English, Scottish, Welsh, Irish, Other white background – please specify _____)			y	“”
Mixed Dual heritage (White and Black Caribbean, White and Black African, White and Asian, Other mixed background - please specify _____)			y	“”
Other (please specify)				

c) Identify the potential impact of the policy on disabled people:

Disability	Positive	Negative (please specify if High, Medium or Low)	Neutral	Reason
All			y	It is a framework policy that brings together existing policies that should already be applied fairly and consistently by managers across the organisation. The PMDS and associated training policies and procedures also promote consistent opportunities for all staff in relation to training and development.

d) Identify the potential impact of the policy on different age groups:

Age Group (specify, for example younger, older etc)	Positive	Negative (please specify if High, Medium or Low)	Neutral	Reason
All			y	It is a framework policy that brings together existing policies that should already be applied fairly and consistently by managers across the organisation. The PMDS and associated training policies and procedures also promote consistent opportunities for all staff in relation to training and development.

e) Identify the potential impact of the policy on lesbian, gay men, bisexual or heterosexual people:

Sexual Orientation	Positive	Negative (please specify if High, Medium or Low)	Neutral	Reason
Lesbian			y	It is a framework policy that brings together existing policies that should already be applied fairly and consistently by managers across the organisation. The PMDS and associated training policies and procedures also promote consistent opportunities for all staff in relation to

				training and development.
Gay Men			y	“”
Bisexual			y	“”
Heterosexual			y	“”

f) Identify the potential impact the policy on different religious/faith groups?

Religious/Faith groups (specify)	Positive	Negative (please specify if High, Medium or Low)	Neutral	Reason
Buddhist			y	It is a framework policy that brings together existing policies that should already be applied fairly and consistently by managers across the organisation. The PMDS and associated training policies and procedures also promote consistent opportunities for all staff in relation to training and development.
Christian			y	“”
Hindu			y	“”
Jewish			y	“”
Muslim			y	“”
Sikh			y	“”
Other (please specify)				

g) As a result of completing Question 1 a-f above what is the potential impact of your policy?

High

Medium

Low

n/a

If you have assessed the potential impact as HIGH you must complete a full Equalities Impact Assessment

2. Could you minimise or remove any negative potential impact that is of medium or low significance? Explain How.

Race:

Gender:

Disability:

Age:

Sexual Orientation:

Religious/Faith groups:

na

3. If there is no evidence that the policy promotes equal opportunity– could it be adapted so it does? How?

na

Please sign and date this form, keep one copy and send one to Equalities Team.

Signed

Signed

Lead Officer Bryn Williams

Departmental Equalities Contact

Date

Date