CABINET 12 FEBRUARY 2007
APPENDICES TO ITEM 11

Performance Matters

Performance and Development Scheme

1.   Introduction

We want all employees to be able to contribute positively to the achievement of the Council's priorities, vision, values and objectives; to make the best use of their skills and talents and to be fulfilled in their work and to feel proud of their achievements. Employees contribute best when they are involved in setting their targets and there is clarity about the tasks that have to be accomplished, feedback on performance, the expectations of key stakeholders and the way that their role contributes to the provision of high quality and value for money services that meet customer needs.

Performance Matters is the framework for managing individual performance of employees through:

1.   Performance and development planning and review for every employee, consisting of the following elements:

a)   performance review and target setting leading to an individual performance plan linked to service, departmental and Council plans

b)   discussion of career aspirations

c)   individual development planning arising out of feedback on performance and career aspirations as well as service development needs

d)   one to one supervision framework for on-going performance discussion and support

2.   Use of the Poor Performance Procedure where there are continuing concerns about performance of individual employees (See Poor Performance Procedure)

2.   Scope

This framework applies to all Council employees other than school based staff, teachers, lecturers and youth workers. It will apply to those on probation.

3.   Objectives:

3.1   To foster a culture of performance orientation and continuous improvement for sustained excellent organisational performance.

3.2   To integrate target setting for employees with performance planning at the corporate, departmental and divisional levels.

3.3   To reinforce Croydon's values and ways of working and the core competencies expected of managers and employees at all levels.

3.4   To provide feedback on performance to reinforce strengths and a development plan to work on areas for improvement.

3.5   To provide an opportunity to discuss mutual expectations between the Council, managers and employees ('Working in Partnership').

3.6   To provide the basis for decisions relating to career planning, career progression, secondments and promotion opportunities.

4.   Key Principles

4.1   The Council's priorities, key objectives, values and core competencies underpin the performance management process. The Council's Community Strategy and corporate Performance Plan will form the basis of annual service plans which will determine the high level priorities for each department and service. This will in turn be used to determine team and individual work programmes.

4.2   Performance management is a continuous, two way process between the   manager and employee and must not be restricted to only an annual or six monthly event. It assumes that there will be honest, regular everyday feedback between manager, employee and colleagues.

4.3   The performance and development planning and review process is shared and jointly owned by the manager and the employee.

4.4   Performance is defined in an integrated way, looking at the totality of the individual contribution in terms of achievement of objectives and the development plan, demonstrating the Council's values and competencies in performance of these objectives.

4.5   Service objectives, role requirements and performance expectations will change over time and this will be reflected in the performance management process.

5.   Key Elements

5.1   Performance Review & Rating

5.1.1   Employees will be assessed on the basis of both **how** they go about their work and **what** they achieve. The **'how'** is defined through competencies and the Council's values and the **'what'** is expressed through the achievement of their objectives and targets. This will be done through a discussion of the employee's self assessment and the manager's assessment. Following this discussion, the manager will make a final assessment.

5.1.2   Employees will be given an overall performance rating based on all of the

above.

5.2 Performance Planning

The manager and the employee will discuss and set objectives and targets for the year, making the link to corporate and departmental priorities. This will include a combination of challenging/project based objectives as well as those relating to day to day responsibilities. How performance will be measured (Key Performance Indicators) and also the target dates for completion must be stated for each objective,

5.3 Career Planning

Employees will be given the opportunity to discuss with their manager, their career aspirations, both in terms of enriching their current role as well as their future career path.

5.4 Learning & Development Plan

Learning and development needs will be derived through identifying the gaps in knowledge, skills, experience and competencies required to perform the current or future role as well as to meet career aspirations. Each learning and development objective will identify what needs to be learned, when, and how learning will be measured and must be linked to the performance or career planning objectives. Learning and development needs will be met through a range of methods (which may include but not be restricted to training courses) with target dates for completion. Managers will provide employees with opportunities to put learning into practice.

5.5 Link with Incremental progression

Increments will be paid in April unless in the preparation for the performance review process, the manager assesses that an employee is likely to receive an 'Unacceptable' rating and there is evidence to show that performance issues backed up with examples, have been previously discussed with the employee.

In these cases increments will be withheld in April but if the employee is successful on appeal, the increment will be paid retrospectively.

 It is expected that employees rated as 'Unacceptable' will be already being managed under the Poor Performance Procedure..

5.6 Large Staff Groups

Where there are large staff groups of ten or more employees doing very similar work and reporting to one manager, the performance planning and learning and development planning can be done as a group exercise, although there will still need to be a short one-one discussion on performance review and rating and individual aspects of learning and development or career planning.

5.7 Directors

For Directors, this process will be conducted by the Chief Executive with input from their relevant Cabinet Member(s), both in terms of the priorities and objectives as well as in the performance assessment.

6. Timing

6.1 Performance management is an on-going process, with managers expected to have a regular dialogue with their staff about their individual performance and development. One to one meetings and the mid year review are integral to this process., especially for picking up changes to priorities, any new objectives and the impact of these on existing targets and to provide feedback to the employee about their performance both in terms of achievement of objectives and demonstrating the values and competencies expected of them.

6.2 The performance management cycle will run from 1 April to 31 March, supported by regular one-to-one discussions, with three key stages:

➢ Preparation(by employee and by manager) for annual performance review and planning in January-March
➢ Annual performance review and planning discussion during the period March-May
➢ Manager's manager to conclude all reviews by the end of June
➢ Mid-year review during the period October-November

6.3 For new employees (those new to Croydon or those in new roles), this process will apply with the objectives/targets and competencies set as part of this process informing the probationary assessment and reports. (See Probation Procedure). On satisfactory completion of probation, the performance management cycle will operate as per this policy.

6.4 In limited circumstances, departments will have flexibility to change the cycle and review periods where service needs necessitate this (e.g. to fit in with the School year) as long there is an annual performance planning discussion and a mid year review carried out for all employees.

7. Appeals

7.1 Employees may appeal their performance rating if it results in their annual increment being withheld. Appeals should be sent to nominated senior managers in the department within 10 working days of the outcome of the performance rating review by the manager's manager being communicated to the employee. Appeals will be heard by a nominated senior manager (who is not the line manager's manager) and an HR representative.

8.   **Manager's Responsibilities**

➢   To clarify role requirements and explain what excellent performance 'looks like',
➢   To set clear performance expectations for the year, discuss and agree clear objectives and development goals
➢   To explain how individual and/or team objectives align to corporate and departmental objectives
➢   To assess the extent to which competencies and objectives have been met
➢   To provide feedback and recognise achievements and/or progress
➢   To carry out regular performance discussions with their staff
➢   To assess performance fairly and consistently

9.   **Employee's Responsibilities**

➢   To take responsibility for their own performance and development
➢   To prepare for and participate fully in this scheme
➢   To seek clarification on role requirements, performance standards and expectations
➢   To think through their objectives and development goals
➢   To understand how their work fits into the overall Council and departmental objectives
➢   To review their performance in terms of their objectives and competencies
➢   To ask for, receive and share feedback with their manager

10.   **Maternity Leave and Pregnancy Related Absence**

10.1   It is important that employees who are on maternity leave or have pregnancy related absence during the appraisal period are fairly treated. Annual increments should not be withheld for employees when absent on maternity leave or pregnancy related absence for the whole or a substantial part of the appraisal period if this absence has made it impossible for the manager to meaningfully appraise their achievements of objectives and targets.

10.2   However, it may be possible to appraise performance within an appraisal period during which the employee was not on maternity leave or pregnancy related absence. It will be important to reward and recognise good performance during this period. Guidance should be sought from the HR & OD Consultancy on individual cases where performance is an issue, and concerns were raised and evidenced with the employee prior to maternity leave or pregnancy related absence. Each case should be considered individually.

10.3   It is important that managers maintain contact with employees whilst they are on maternity leave or on long periods of pregnancy related absence as a means of informing them of developments and opportunities.

11. Disability

11.1 Whilst, on the whole, workers with a disability take fewer days of sick leave, some workers with a disability may need to take time off related to their disability. If this is planned as part of reasonable adjustments, or a level of absence which is more unpredictable has been agreed as a reasonable adjustment, then this should be reflected in their performance objectives and targets on which they are appraised. However, where the time off has not been planned because it could not be predicted and it has affected the employee's achievements of objectives and targets, then advice should be sought from the HR Consultancy if, as a result, it is proposed to withhold an increment on the basis that objectives and targets have not been achieved because of disability related absence.

11.2 It is unlawful under the Disability Discrimination Act 1995 to

- discriminate against a person for a reason related to their disability, unless the treatment can be justified and the duty to make reasonable adjustments fulfilled; or

- discriminate on the grounds of their disability.

12. Monitoring and Review

12.1 Equalities monitoring will be carried out by HR & OD on the overall performance ratings given to staff.

12.2 All aspects of the Performance and Development scheme documentation, and in particular the performance ratings will be reviewed by the manager's manager to ensure consistency and fairness. Departmental Management Teams and HR & OD will also review the quality of the performance and development scheme documentation and the overall performance ratings on a random sampling basis.

Croydon Performance Matters

Performance & Development Scheme

Employee: **Job Title:**

Department :   **Division:**

Line Manager: **Line Manager's Manager:**

Annual Review Date: **Interim Review Date:**

Total Sickness days in previous period:

A Performance & Development Review for the Period: …[Enter period under review, e.g. April 2006 to March 2007]……………………

I	Objectives & Targets (Rate each objective/target)	Rating	Comments

Excellent	Good	Fair	Unacceptable
Meets **all** performance indicators and **exceeds many** of them	Meets **all** the performance indicators	Meets **many** of the performance indicators	Meets **few, if any** of the performance indicators

II	Croydon Values and Competencies (Rate each value and competency)	Rating	Comments

Excellent	Good	Fair	Unacceptable
Demonstrates **all** of the behavioural indicators at the required level on a consistent basis and many at the next level	Demonstrates all of the behavioural indicators at the required level on a consistent basis	Demonstrates **many** of the behavioural indicators at the required level on a consistent basis	*Rarely* demonstrates any of the behavioural indicators at the required level on a consistent basis and often displays negative behaviour relating to this competency/value

Overall Performance Rating

Overall rating	Excellent	Good	Fair	Unacceptable
(taking into account the achievement of all objectives and demonstration of all competencies and values)	Consistently meets **all** objectives and **exceeds many** of them **and** behavioural indicators for the required level are met for **all** 7 (8)competency areas and for **many** of them these are demonstrated at the next level	*Exceeded* objectives and *met* competencies **or** *Met* objectives and *exceeded* competencies	Meets **many** of the objectives **or** **many** of the competency areas	*Few*, if any, objectives are met **or** *Few,* if any of the competency areas have their behaviour indicators demonstrated at the required level
Please tick				

Planning for the period : [Enter new period, e.g. April 2007 to March 2008]

I Performance Plan				
Objectives & Targets	**Link to Corp/Dept Priorities**	**Target Date**	**Success Measure/ Performance Indicator**	**Progress Review**

II Career Plan	
In the next 6-12 months	
In the next 2-3 years	
In the next 5 years	

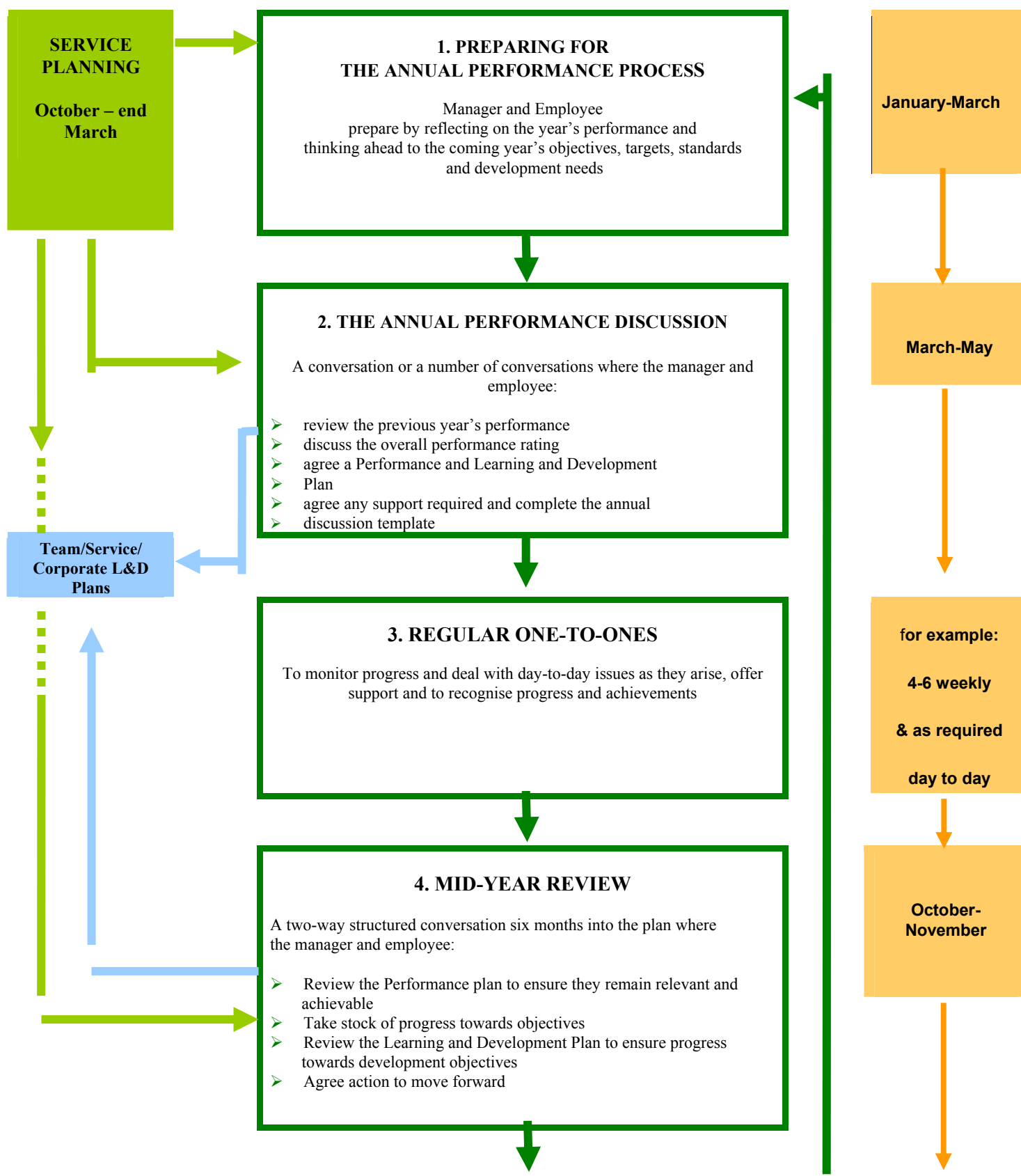| III Learning and Development Plan				
Learning & Development Objectives	**Link to Performance Plan/Career Plan**	**Target Date**	**How your objective will be met**	**Progress Review**

COMMENTS

Employee: **(e.g. areas for improvement in the department/service/team, comments on 'Working in Partnership', actions that the employee or manager can take or areas of disagreement):**	
Signature:	**Date:**
Manager: **(e.g. any aspects of performance, especially where ratings other than Good have been given, comments on 'Working in Partnership', actions that the employee or manager can take and areas of disagreement)**	
Signature:	**Date:**
Manager's Manager: **(e.g. on employee's performance/ contribution, quality of documentation, review of ratings, reasons for any changes to manager's ratings, etc)**	
Signature:	**Date:**

PERFORMANCE RATING CRITERIA

Rating	Excellent	Good	Fair	Unacceptable
Objectives and Targets (Rate each objective/target)	Meets *all* performance indicators and *exceeds many* of them	Meets *all* the performance indicators	Meets *many* of the performance indicators	Meets *few, if any* of the performance indicators
Croydon Values and Competencies (Rate each value and competency)	Demonstrates *all* of the behavioural indicators at the required level on a consistent basis and **many** at the next level	Demonstrates *all* of the behavioural indicators at the required level on a consistent basis	Demonstrates *many* of the behavioural indicators at the required level on a consistent basis	*Rarely* demonstrates any of the behavioural indicators at the required level on a consistent basis and often displays negative behaviour relating to this competency/value
Overall rating (taking into account the achievement of all objectives and demonstration of all relevant competencies and values)	Consistently meets *all* objectives and *exceeds many* of them **and** behavioural indicators for the required level are met for *all* 7 (8)competency areas and for *many* of them these are demonstrated at the next level	*Exceeded* objectives and *met* competencies or *Met* objectives and *exceeded* competencies	Meets *many* of the objectives **or** *many* of the competency areas	*Few*, if any,objectives are met **or** *Few*, if any of the competency areas have their behavioural indicators demostrated at the required level

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Croydon Performance Matters
PERFORMANCE AND DEVELOPMENT SCHEME - AN OVERVIEW

SERVICE PLANNING

October – end March

1. PREPARING FOR THE ANNUAL PERFORMANCE PROCESS

Manager and Employee
prepare by reflecting on the year's performance and
thinking ahead to the coming year's objectives, targets, standards
and development needs

January-March

2. THE ANNUAL PERFORMANCE DISCUSSION

A conversation or a number of conversations where the manager and
employee:

➤ review the previous year's performance
➤ discuss the overall performance rating
➤ agree a Performance and Learning and Development
➤ Plan
➤ agree any support required and complete the annual
➤ discussion template

March-May

Team/Service/ Corporate L&D Plans

3. REGULAR ONE-TO-ONES

To monitor progress and deal with day-to-day issues as they arise, offer
support and to recognise progress and achievements

for example:

4-6 weekly

& as required

day to day

4. MID-YEAR REVIEW

A two-way structured conversation six months into the plan where
the manager and employee:

➤ Review the Performance plan to ensure they remain relevant and
achievable
➤ Take stock of progress towards objectives
➤ Review the Learning and Development Plan to ensure progress
towards development objectives
➤ Agree action to move forward

October-November

Competency Framework
121206 Draft Version 4
Author: HR&OD

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5. REGULAR ONE-TO-ONES

To monitor progress and deal with day-to-day issues as they arise, provide support and to recognise progress and achievements

for example:

4-6weekly

& as required

day to day

Croydon Council Competency Framework

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Introduction

In July 2006 a project team, from HR&OD, was set up to:

- ➢ Develop a framework of core competencies which could apply to all staff1 across the council; and
- ➢ Design ways in which these competencies could be used for the recruitment, assessment and development of staff.

This document explains what competencies are, why the Council needs to use them and how they were developed. It lists the new competencies, defines them and the behavioural indicators that would be observed when demonstrated. The final section gives guidance on their use.

What is a competency?

The term competency refers to the skills, knowledge and core behaviours required to perform a role, or an element of it, successfully.

A competency is not a qualification nor is it a compliment, as in the phrase, "She's competent!"

Competencies:

- ➢ Can be generic (or role specific);
- ➢ Can be used to assess (or measure) style of work;
- ➢ Meeting them depends on feedback/appraisal;
- ➢ Relies on on-going development;
- ➢ Can be used to change the culture of an organisation;

Why do we need competencies?

In times of change how people behave can be as important, or more important, than the specific job (or role) they are contracted to perform within the organisation.

The 2006 Staff Survey demonstrated the link between how we manage change and how we react to change. We need to be explicit about the type of behaviour we require from everyone and find ways of spotting, encouraging, rewarding and developing such behaviours.

A thoroughly researched competency framework, with suitably designed assessment techniques, will enable managers to recruit, develop and retain people who have, or show the potential to acquire, the competencies required for effective performance within Croydon Council, both now and in the future. The Competency Framework will also help support the Council in promoting equality and diversity in the recruitment of a workforce representative of the local economically active population.

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1 With the exception of school-based staff, teachers, lecturers and youth workers

Having an agreed set of core organisational competencies, "common to all", will help embed consistency of behaviour across *all* staff and services, contributing to "one Council, one Service".

How were the competencies developed?

To ensure the relevancy of the new competency framework, the Project Team made contact with many people as possible, across the organisation:

➢ Individual interviews were held with 25 senior managers during which they described the skills, knowledge and behaviours essential for someone to perform successfully in the future

➢ Focus groups, of up to 15 employees a time, were held within each department and with the unions. Again, attendees were asked to describe the skills, knowledge and behaviours that are essential for the future (approximately 45 employees in total)

As a result of the focus groups and interviews, eight generic competency areas were developed. There are seven core competency areas that *all* employees must demonstrate and an additional Leadership Competency for those employees with formal line management responsibility

Framework Assumptions

The Competency Framework is built on the following assumptions:

➢ The Framework will apply to *all* staff except school-based staff, teachers, lecturers and youth workers.

➢ The Framework illustrates the expected *minimum* standards of behaviour that would be observed when demonstrated. It is not an exhaustive list and managers may identify *additional* behaviours that are integral to a job (or role).

➢ There is no departmental discretion to amend the Framework. Any amendments will be made and agreed corporately as part of the Framework review process.

➢ All staff will be expected to demonstrate performance of the seven core competency areas at the required levels.

➢ All staff with formal line management responsibility (including project management) will be required to demonstrate performance of an additional 'Leadership' competency

> All Directors and Assistant Directors will be required to demonstrate performance at Level 4 of all eight competency areas

> All Heads of Service will be required to demonstrate performance at Level 3 and or 4 in all eight competency areas

> Levels within the Framework are 'accumulative' and there is a requirement that individuals can evidence the behavioural indicators of all of the preceding levels

> Individual assessment against the Competency Framework will be integral to the Performance and Development Scheme

Frequently Asked Questions about the Competency Framework

Q: What is the difference between a qualification and a competency?

A: A qualification measures your attainment of a recognised standard of ability. A competency measures *how* you apply that ability (or standard).

Q: Will the Council's Framework replace professional competencies that groups such as   Social Workers, Accountants etc are required to demonstrate?

A: The Competency Framework is a generic one and does not affect professional competencies   required to fulfil the technical/professional aspects of roles. They are complementary rather than designed to replace or negate any professional standards.

Q: Will the Framework apply to non-office based staff?

A: The Competency Framework will apply to *all* staff including Parking Attendants, Residential   Care Staff etc. The only exception will be school-based staff, teachers, lecturers and youth workers.

Q: **Will the Framework apply to interim, agency and contract workers?**

A: It is important that *consistency* of behaviour is demonstrated by *everyone* that provides a service on behalf of Croydon Council. The Competency Framework be can be used to recruit interim, agency and contract workers and used to give feedback on their performance to recruitment agencies, management consultancies etc.

Q: What does the Framework look like?

A: The Framework is made up of seven (or eight, depending on your role) competency areas.   Each competency is divided into four levels; Level 1 being the least complex and Level 4   the most complex. The level that an individual may be required to demonstrate is   influenced by the job they perform.

Q: How will the Framework be used?

A: The Competency Framework will be used to measure the performance of all staff. It will be integral to the new annual "Performance Matters" Framework (replacing the Job Review Scheme). All staff will be assessed on *how* they go about their work and *what* they achieve; the *'how'* defined through the Council's Competency Framework. An employee's overall performance rating will be influenced by whether or not they achieve the targets and objectives set for them *and* whether they demonstrate the required competency behaviours.

The competencies will also be used to recruit new employees and will be included on the person specification for jobs and to develop employee by informing individual Personal Development Plans.

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COMMUNICATION & INFLUENCING *You speak clearly, fluently and in a convincing manner to both individuals and groups. You influence, convince or impress others in a way that results in acceptance, agreement or behaviour change.*	Level 1 **Communication**	**At this level you…**	- Engage in conversation with others, starting conversations, when necessary - Listen and ask the right questions to clarify meaning - Show respect for individual differences - Write in Plain English, if appropriate to your job
	Level 2 **Communication & Influencing**	**At this level you…**	- Encourage others to say what they think or feel - Seek to understand others to build trust and credibility - Break down complex information to help others understand - Adapt your communication style to suit the circumstances
	Level 3 **Communication & Negotiation**	**At this level you…**	- Are confident and self-assured when speaking to others - Acknowledge and respect the emotional needs of others - Use questions to encourage openness and acceptance - Deliver honest, consistent and transparent messages, particularly when under pressure
	Level 4 **Communication & Persuasion**	**At this level you…**	- Persuade others by making a convincing case with well supported arguments - Challenge in a fair and supportive manner - Demonstrate confidence when representing the council internally or externally

THINK Customer *You build and maintain effective services and relationships with a broad range of customers.*	Level 1 Customer Oriented	At this level you…	- Recognise that you have customers, internal or external - Respond promptly, politely and positively to different customer needs and requests for services, information and support - Seek to resolve customers queries in the first instance and refer to others when necessary - Use feedback to continuously improve own performance - Use THINK Customer Service standards as appropriate to your role
	Level 2 Customer Management	At this level you…	- Use personal/professional knowledge/ experience to understand customer needs/requirements - Know when to ask the customer additional questions to identify further needs/requirements - Provide the customer with alternative options/solutions based on individual needs/requirements - Work with others from across different areas to provide the customer with an integrated service - Use customer feedback to inform service delivery
	Level 3 Customer Management	At this level you…	- Think of different ways to engage and build relationships with all customers to identify future needs - Promote new customer service initiatives to improve service delivery - Build appropriate equality and diversity standards in service planning - Allocate resources to support customer service initiatives
	Level 4 Customer Strategy	At this level you…	- Advocate on behalf of customers at a strategic/ national level - Invite customer scrutiny as part of continuous improvement - Align customer strategy with council priorities

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| Interpersonal Awareness *You interact with others in a sensitive and effective way. You respect and work well with others to maintain the "Public Service" image of the Council.* | **All Employees** **Awareness** | **You…** | Are aware of your own strengths and areas for development, taking some responsibility for your own learning and development Are not afraid to ask for help or to admit own mistakes Respect the "differences" in others e.g. in dress; language; working patterns; opinions and contributions Accept those who hold different views and work with them to achieve common goals Work well with others by sharing information and contributing to team goals, working to improve the quality of services to others Show respect for "public service" by maintaining high standards in relationships with colleagues, customers and others Demonstrate behaviour consistent with the Council's duty of care to children, young people and vulnerable adults |

Creativity & Innovation — You create new and imaginative approaches to work-related issues. You identify fresh approaches and show a willingness to question traditional assumptions.	Level 1 Creative Thinking	At this level you…	- Discuss work ideas with others - Accept and work with new ideas/ways of working - Build on the ideas of others - View mistakes as learning opportunities on how to do things better next time round
	Level 2 Solutions Focused	At this level you…	- Focus your effort on suggesting solutions rather than just on barriers/obstacles - Take calculated risks in order to do things better - Seek to develop new solutions with limited resources - Review how things are done with a view to delivering services differently
	Level 3 Innovative Thinking	At this level you…	- Seek to create an environment where innovation is encouraged and valued - Are not afraid to stop, delay or change solutions that do not deliver expected results - Use innovation and feedback to drive continuous performance improvements
	Level 4 Creativity & Innovation	At this level you…	- Promote innovation internally and externally - Develop links with non-traditional partners to enhance organisational performance - Foster a blame-free learning culture where all are committed to continuously improve and develop

Delivering Quality through Decision Making *You analyse issues and breaks them down into their discrete parts. You make systematic and rational judgements based on relevant information. You demonstrate a readiness to make decisions, take the initiative and*	**Level 1** **Action Orientation**	**At this level you…**	▪ Identify the cause(s) of a problem and try to find ways to "fix it" ▪ Make routine decisions after reviewing the problem/referring to local guidance, where it exists ▪ Involve others quickly if a problem is complex or outside your area of responsibility
	Level 2 **Analytical Thinking**	**At this level you…**	▪ Analyse the causes and symptoms of a problem i.e. the "what" and the "why" ▪ Identify the advantages and disadvantages of potential options/solutions ▪ Problem solve with others outside of your immediate work area/department
	Level 3 **Complex Decision Making**	**At this level you…**	▪ Evaluate the potential impact of a decision on the division, department and wider organisation before going ahead ▪ Consider potential equalities and diversity implications when making decisions/ recommendations ▪ Make the case for difficult decisions even if the final outcome is unknown/you are personally affected ▪ Understand the difference between engagement with others and "decision-making" by committee
	Level 4 **Strategic Decision Making**	**At this level you…**	▪ Recognise and make sense of the tenuous links between a number of complex issues ▪ Are aware of both explicit and hidden agendas and their potential impact on decision-making ▪ Embed a culture that recognises and rewards decisive decision-making

Embracing and Delivering Change *You can understand and anticipate the need for change. You successfully adapt to changing demands and conditions.*	**Level 1** **Embracing Change**	**At this level you…**	▪ Try to share your views, ideas and personal feelings about change ▪ Listen to the views of others which may be different from your own ▪ Take on new tasks, and with support, learn new skills
	Level 2 **Delivering Change**	**At this level you…**	▪ Tell others about change and how it affects them ▪ Model the behaviour needed to help others accept and support change ▪ Challenge others whose behaviour/attitude undermines change ▪ Share your experience of change with others
	Level 3 **Managing Change**	**At this level you…**	▪ Look to understand change from other peoples' perspective ▪ Listen to the views of others, knowing when to adapt your approach in response to those views ▪ Build capacity for change by reviewing existing priorities and resources for change ▪ Can identify the criteria for "successful change" and use it to monitor and evaluate progress
	Level 4 **Leading Change**	**At this level you…**	▪ Establish a sense of urgency/common purpose around change ▪ Build and help others understand Croydon's vision for change ▪ Translate vision into meaningful strategy and planning ▪ Empower others to action through effective decision-making, communication, support etc ▪ Personally own the success or failure of change

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Delivering Results through Planning			
You organise and plan events, activities and resources. You set up and monitor timescales and plans. You understand and apply business and financial principles. You view issues in terms of costs, income generation and added value.	**Level 1** **Planning and Organising**	**At this level you…**	▪ Plan ahead by spending time thinking about work that is "around the corner" ▪ Use simple planning tools to ensure that work is completed on time ▪ Juggle a number of different priorities by knowing which task to focus effort on
	Level 2 **Delivering Through Others**	**At this level you…**	▪ Use divisional/service plans to focus on priorities and o make the best use of resources ▪ Adopt a methodical and systematic approach to planning to deliver results ▪ Consult and work with others to review performance and to deliver results ▪ Manage conflicting priorities through regular review and positioning of tasks
	Level 3 **Business Management**	**At this level you…**	▪ Continually re-align service/team/project plans with divisional plans ▪ Use financial and management information systems to demonstrate efficiency, realisation of benefits and 'value for money' ▪ Take ownership of financial planning and budget management, while delegating appropriately
	Level 4 **Maximising Business Effectiveness**	**At this level you…**	▪ Anticipate resource demands by engaging in long term strategic planning ▪ Manage departmental and corporate risks proactively ▪ Collaborates with senior colleagues/external partners to lead large scale transformational projects/change ▪ Adopts a holistic approach to cost-benefit analysis when using Croydon's resources in the public interest

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Leadership — You motivate and empower others in order to reach organisational goals.			
	Level 1 and 2 **Leading a Team (including Project Team)/Service Area**	**At this level you…**	- Demonstrate a clear understanding of the team's purpose, translating service objectives into individual and team targets, monitoring their impact - Coach and support others on the use and development of their technical/management knowledge, skills and abilities - Empower team leaders by enlisting support and giving authority to them - Role model behaviour in a team where diversity is valued and "difference" is not considered a problem - Challenges inequality and other unacceptable behaviour that discriminates or oppresses others - Implement decisions however difficult, despite their personal position - Accept the consequences of own actions, does not blame others and empowers others to do the same to improve performance - Are accountable for the performance of others, taking ownership of problems that are escalated to them
	Level 3 **Leading a Division**	**At this level you…**	- Manage by exception to achieve a practical balance between detail and the 'bigger picture" - Set and advocate the vision of the service - Develop and work with multi-agency partners involved in the delivery of complex integrated services to the community - Promote and provide opportunities for divisional learning and development opportunities and review
	Level 4 **Leading a Department**	**At this level you…**	- Provide a clear vision of the future for the department, setting out the direction to get there - Provide corporate leadership by ensuring that departmental plans support corporate priorities - Influence and respond to national/regional - agendas for local government, in particular for the London Borough of Croydon

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Guidance on using the Croydon's Competency Framework

Croydon's Competency Framework is divided into seven core competency areas (for those employees who do not have line or project management responsibility or eight for those with responsibility). Each competency area has four levels; Level 1 being the least complex and Level 4 the most complex. The levels are not synonymous with seniority within the Council, although there is an assumption that every employee should be able to demonstrate Level 1 competencies (or have a development plan in place to support their achievement).

Key Management Responsibilities:

➢ To identify the required behavioural level for each competency area for posts reporting to them
➢ To apply (and maintain) the framework consistently to similar jobs (or within a job family)
➢ To assess whether the required behavioural competencies have been demonstrated as part of the annual appraisal cycle (see Performance and Development Scheme) or as part of a recruitment and selection exercise (see Successful Staff Selection Policy)
➢ To use the framework to inform individual (or team) Learning and Development Plans or as part of career planning

Competencies and Recruitment

Currently, managers2 use the job description to describe the key duties or responsibilities for a job and the person specification to identify the technical knowledge, qualifications, skills and experience required. With the introduction of the Competency Framework, managers will now be required to identify the *behaviours* that the jobholder must demonstrate in order to perform the job successfully.

When recruiting to a job, a manager must decide:

➢ The number of competency areas that apply (i.e. does the job carry line/project management responsibility) and
➢ The behavioural level at which the jobholder should operate at for each competency area

When deciding the level, it is important that the manager is familiar with the job and has access to an up to date job description as it is this (and not the jobholder) that informs the level. The question to be asked is *"what behaviours (and therefore level) illustrate successful performance and are appropriate to the job?"*

Key Recruitment Activities:

➢ Identify the competency levels for a job and ensure that the person specification reflects this
➢ Advise the Recruitment Consultancy of between 3 and 5 competency behaviours (for each competency area) to include in the recruitment pack to illustrate to candidates the key behaviours that are required3.

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2 Managers and or Supervisors
3 Managers need to be very clear about what they are looking for in a job (or role) and the how they intend to assess the identified behaviours as part of the recruitment selection process.

Pitfalls to avoid:

- ➢ Behavioural levels based on old or inaccurate job descriptions
- ➢ Influence by (or of) the current postholder, if one4
- ➢ Prescribing competency levels that cannot be demonstrated by (or inappropriate to) the job (or role)
- ➢ Including behavioural indicators that can only be evidenced upon access to appropriate or suitable work experience, which may potentially disadvantage younger (or older) or BME5 applicants.

Assessing (or measuring) Competencies for Recruitment

When recruiting, the most reliable way of assessing competencies is through some form of practical test or exercise, typically conducted as part of an assessment centre. Managers, who are recruiting to posts that afford access to children and vulnerable groups, need to be aware of the Council's Creating a Safer Organisation Guidelines. These guidelines prescribe that managers assess Personal Effectiveness competences6 (included in the Competency Framework) as part of the interview process and to assess a person's capacity for team work through group exercise. Guidance on appropriate assessment methods and Creating a Safer Organisation Guidelines can be obtained from the Recruitment Consultancy.

There may be occasions when the most suitable candidate for appointment has a combination of met and partially met behavioural competencies. This should not be perceived as a problem for the selection panel as any 'reasonable gaps' may included as part of the new employee's development plan and as said earlier, some competencies may not lend themselves to readily being demonstrated at the recruitment stage or until access to suitable work experience. Again, guidance should be obtained from the Recruitment Consultancy, if necessary.

Rating Performance

The indicators for assessing (or rating) performance under the Successful Staff Selection Policy and the Performance and Development Scheme are different; however they are complementary and the following comparison illustrates where both processes converge.

Recruitment & Selection	Performance and Development Scheme
M+ = 4 (more than met e.g. exceeded)	**Excellent (meets all and exceeds many)**
M = 3 (met)	**Good (meets all)**
PM = 2 (partially met)	**Fair (meets many)**
Unacceptable = 1	**Unacceptable (meets few, if any)**

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4 Managers may find it useful to have a discussion with postholders, as part of a review process, prior to advertising a post
5 BME, Black and Minority Ethnic Groups
6 Managers that are recruiting to posts that afford access to children, young people and vulnerable groups are required to explore these competences in more depth to assess the suitability of candidates

Competencies and the Performance and Development Scheme

As part of the new Performance and Development Scheme, managers with line (or project management) responsibility will be required to assess whether their direct reports have demonstrated the behavioural competencies for the role, at the required level, (as well as the objectives and targets set for them). To support their assessment and overall rating for performance, it is essential for managers to collate reliable information (or evidence).

Key Management Responsibilities

- ➢ To objectively assess individuals against the required behavioural competencies
- ➢ To collect reliable information (or evidence) on performance
- ➢ To give and receive feedback on performance
- ➢ To agree and complete individual Learning and Development Plans
- ➢ To give an overall performance rating

There are a variety of ways to collate information about individual (or team) performance e.g. direct observation, feedback (from manager, appraisee, other departments/teams, Members, customer, clients etc) and written material (e.g. log books, care plans, reports etc.). It is essential that managers do not narrowly prescribe what they consider to be reliable performance information, as this may potentially disadvantage the appraisee's ability to provide evidence that they are meeting the required level and might affect the manager's overall performance rating.

When assessing individuals against the required competencies, the manager should consider:

- ➢ *The amount of positive or negative indicators that support their assessment of whether a behavioural competency is being demonstrated* and
- ➢ *The degree of opportunity the job (or role) offers the jobholder to demonstrate the behavioural competency under assessment*

Collating Performance Information (or evidence)

Observing Behaviour
Typically, one of the best ways to assess behaviour is by direct observation (where practicable). Observation provides the opportunity to see *what* is being done and *how*; to see how the behaviours for the required level are actually put into practice. Behaviour may be observed through 121's, team meetings, Away Days etc.

121's/team meetings
The information available from 121's (or team meetings) should not be underestimated as a valuable source of assessing whether or not the required behavioural competencies are being demonstrated. This "private" time allows employees and their managers to give each other feedback on the competencies (and on the targets and objectives set). The appraisee has an opportunity to share how they are demonstrating the competencies (by responding to 'open-ended' questions) and what

further support they (or their manager) feel is necessary.   Facilitating regular and open 121's will ensure that there are no 'surprises' at the Annual Performance Discussion.

Written information

It may not always be practical for a manager to directly observe behaviour e.g. if they manage a large and or disparate team. Therefore, it might be more appropriate to consider other measures of performance. Employees such as Parking Attendants, Street Wardens, and Care Home staff may find it more appropriate to offer extracts from their log book, care plan or report to demonstrate how they are meeting a particular behavioural competency.

Recording Information (or evidence)

Good practice suggests that examples of observed behaviour (and 121 meetings) are recorded, as it is often difficult to recall an example of behaviour, or a meeting, that has occurred some time in the past. Additionally, having some written record will help the manager provide more tailored feedback on areas of strength and development, particularly if the manager intends to recommend (and can evidence) a *'unacceptable'* performance rating on the competencies (or objectives and targets). The 121 Prep Form (in appendix**) can be used to record these meetings.

Pitfalls to avoid:

➢ Forming opinions (or judgements) too quickly or over a short period of time
➢ Narrowing the potential measures (or evidence) of performance based on personal knowledge and or preferences
➢ Irregular 121's with little or no record of discussions
➢ Stereotyping or misinterpreting behaviour e.g. one person's perception of 'aggressive behaviour' may be another's example of assertion

Rating Competencies

Under the Performance and Development Scheme, managers will be required to rate whether a direct report has demonstrated the behavioural competencies at the required level *and* met the objectives and targets set for them.   The definition for each rating is provided below:

Excellent Demonstrates **all** of the behavioural indicators at the required level on a consistent basis and many at the next level

Good Demonstrates all of the behavioural indicators at the required level on a consistent basis

Fair Demonstrates **many** of the behavioural indicators at the required level on a consistent basis

Unacceptable *Rarely* demonstrates any of the behavioural indicators at the required level on a consistent basis and often displays negative behaviour relating to this competency

The following table illustrates the how an individual's overall performance rating is derived.

COMPETENCIES RATING

OBJECTIVES RATING		Excellent	Good	Fair	Unacceptable
	Excellent	Excellent	Good	Fair*	Unacceptable*
	Good	Good	Good	Fair	Unacceptable*
	Fair	Fair	Fair	Fair	Unacceptable
	Unacceptable	Unacceptable	Unacceptable	Unacceptable	Unacceptable

* Probe further before final rating is decided

Further guidance on conducting 121's and suitable evidence of performance can be found in <u>Simon's document</u>

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Appendix
1-2-1: Prep Form

Get the most out of your 1-2-1 by preparing for it. Spend a few minutes really thinking about what you want from our time together. Feel free to write as much as you want under each heading and send as many pages as you want.

Name:	
Date:	

What have I accomplished since our last meeting?

What did I not get done but intended to?

What challenges or difficulties am I facing now?

What opportunities are available to me right now?

I want to use this month's 1-2-1 to…

I promise/agree that by the 1-2-1 I will…

What was the most useful aspect of our last 1-2-1 and why?

Attendance	
Sickness taken since the last meeting	**Total sickness taken this financial year**
Annual Leave Entitlement	**Annual Leave taken this financial year**

Learning & Development	
Courses/Learning Events Attended	
Development Needs to be fulfilled	