

## WITHAM AND HUMBER DRAINAGE BOARDS

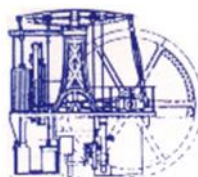
*Four independent statutory Land Drainage and Flood Risk Management Authorities working in partnership.*



Witham First District IDB



Upper Witham IDB



Witham Third District



North East Lindsey

[www.witham3idb.gov.uk](http://www.witham3idb.gov.uk)

### Your Performance Matters

#### Performance Review & Development [Appraisal] Policy

<b>Background</b>	The 4 Boards have developed a Performance Review & Development policy and procedure for Appraisals, which applies to all employees. Performance Review & Development [appraisal] is an opportunity for employees and their line managers to engage in a formal discussion about the employee's performance and development, offering feedback to staff members about their overall contribution, developing objectives for development and training, with support as and when required from the line manager.
<b>Statement</b>	The aim of this Appraisal Policy is to ensure consistent and fair treatment for all staff. Every member of staff has a personal responsibility to achieve and sustain high standards of performance and conduct at all times and to comply with this policy, reflecting the 4 Boards' values, behaviours and culture.
<b>Training</b>	Tailored training workshops are provided for managers and staff.
<b>Dissemination</b>	Board Website
<b>Resource implication</b>	Additional support and training for staff
<b>Equality &amp; Diversity</b>	This policy aims to meet the requirements of the Equality Act 2010 and ensure that no employee receives less favourable treatment on the grounds of gender, sexual orientation, transgender, civil partnership/marital status, appearance, race, nationality, ethnic or national origins, religion/belief or no religion/belief, disability, age, carer, pregnancy or maternity, social status or trade union membership.
<b>Approval date</b>	<b>JSC 20.07.20</b>
<b>Review date</b>	<b>Within 3 years of approval date</b>

#### 1. Introduction

- 1.1. Appraisal is an opportunity for employees and their line managers to engage in formal discussion about the employee's performance and development, as well as discussing what support is required from the line manager.
- 1.2. The Boards will provide an appraisal process, annually. The appraisal meetings are two-way discussions that focus on both the work of the employee over the review period and work priorities for the future. Progress made by employees against objectives set at the last appraisal (or in the induction for recent employees) will be discussed and reviewed. Objectives for the forthcoming review period will also be discussed and agreed
- 1.3. The appraisal process aims to assist employees to develop their full potential. It enables employees and line managers to identify strengths and development

needs, linked to identifying training aspirations and requirements. The appraisal meeting also facilitates a formal discussion about the employee's career aspirations. The Boards promote continuous improvement and job satisfaction across all employees and the intention is

- 1.4. The appraisal meeting is a formal extension of regular one-to-one meetings, coaching, mentoring and other training and feedback sessions that the Boards operate.

## **2. Eligibility**

- 2.1. All employees who have completed their probationary periods are eligible for an appraisal meeting.
- 2.2. Appraisals for employees in their probationary period are different. These employees will be appraised during their probationary review meetings when they start with the Boards and will be moved into the standard appraisal scheme upon completion of their probationary period [usually 6 months]. Line managers will determine how long it will be between the end of the probationary review and the next appraisal; line managers may run a mid-point appraisal.

## **3. Features of the appraisal**

- 3.1 Line managers (Foreman and Supervisors) are responsible for conducting the appraisals of their team members. The Boards will provide line managers with training on the main principles, conduct of appraisals and ongoing support if required.
- 3.2. Appraisal meetings occur each year. They will usually be arranged during *the months of January, February and March [towards the end of each financial year]*. The Appraisal manager [the Appraiser] will prepare the relevant paperwork with the guidance of the HR Lead, if required. The preparation paperwork will link in with any previous appraisal form and notes. The current form for the appraisal will be provided, prefilled with the employee's details, absence records, generalised sickness statistics and a summary of performance issues. The paperwork will be provided in advance to the scheduled appraisal meeting date.

## **4. Pre-appraisal - employee self-assessment**

- 4.1. The Boards will provide employees with a self-assessment form prior to the appraisal meeting. Completion of this enables the employee [the Appraisee] to prepare for the appraisal meeting itself, with the provision of topics that will be discussed during the appraisal.
- 4.2. The self-assessment also helps the employee to consider some of their performance over the review period and some of the issues they may wish to raise with their Line Manager. The information helps to focus the appraisal interview itself.
- 4.3. Self-assessment forms will be provided 2 weeks before the appraisal. The Boards requires employees to submit their self-assessment forms to the HR Lead and their line manager in advance of the appraisal meeting.

## **5. Pre-appraisal - line manager preparation**

- 5.1. Line managers will ensure that performance issues are not saved up until the next scheduled appraisal meeting. Employees should not be surprised by any information provided at the appraisal relating to ongoing poor performance that the employee had not been aware of, resulting in them not meeting the targets set. The appraisal is a formal review of performance and ad hoc issues should be raised by the employee's line manager routinely, during the appraisal period.
- 5.2. The Boards encourage line managers to reflect on the information provided by their employee in their self-assessment form as well as any additional information relevant to the areas of work performed by the employee.
- 5.3. The appraiser will ahead of the appraisal discussion gather all relevant documentation regarding the employee's performance, as preparation for the meeting in order to provide a valuable assessment of the employee's contribution. Any targets assigned to the employee should be collated and actual performance measured against these. Notes should be made on areas to be focussed on at the appraisal meeting.

## **6. The appraisal meeting**

- 6.1. The Boards conduct appraisals for the Chief Executive [with the Chairmen] and the appraisal process will be cascaded throughout the Boards and available for all employees. It is good employment practice to ensure that all employees, of all levels of seniority, receive the opportunity of participating in an appraisal discussion.
- 6.2. The Boards provide a form that is used in all appraisal meetings. The form is utilised to ensure that all appraisals are conducted consistently, with the same set of points covered for all 4 Boards' employees.
- 6.3. The appraisal meeting is discussion-orientated and during the meeting the line manager will run through the appraisal form, which is designed to keep the meeting structured on the key points of an employee's performance and is consistent across all appraisals.
- 6.4. The line manager will afford the employee the opportunity to identify their positive achievements and for these to be considered in the context of the employee's job role. The discussion will focus on the current performance and future required performance in the job role, not on any personal characteristics.
- 6.5. The line manager will ask for the employee's comments as the appraisal proceeds, discussing performance with the employee. The line manager will ensure all parts of the appraisal form are completed. The notes taken by the line manager will also include a summary of the line manager's comments and a summary of the employee's comments.

## **7. Appraisal outcomes**

- 7.1. During the appraisal meeting, the line manager and employee will discuss and agree the objectives for the forthcoming review period. The Boards' appraisal process operates based on objectives being agreed and set. These will differ dependent on the job role but will be realistic and achievable objectives for the employee to work towards and will identify required support and training needs.
- 7.2. The employee will be afforded time at the end of the appraisal, to read and review the form. Both the employee and the line manager will sign and date the form.
- 7.3. Where learning needs have been identified, line managers should provide, or arrange access to, training or coaching for those needs to be met which will assist the employee in attaining their objectives. A performance improvement plan may be put in place to provide a structured supervision process around meeting the learning needs.

If, after these measures have been implemented and performance reviewed, the employee does not demonstrate sufficient development, the HR Lead should be consulted over whether formal action is required.

#### **8. Record keeping**

- 8.1. Line managers retain the appraisal documents for each employee appraised. These documents include the self-assessment form completed by the employee and the appraisal form completed by the line manager and signed by both. Any notes taken by the line manager separately from the form are also retained with the form.
- 8.2. The HR Lead will be able provide the employee and the line manager with a copy of the completed and signed appraisal form, for their records. Appraisal details will be held on the personnel file as part of the file retention policy from the date of the appraisal meeting that the documents relate to, which are held confidentially and securely.