People Performance Procedures

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1  Flowchart overview of procedure
Flowchart overview of procedure

An accessible version of the flowchart is attached at Annex 1

2 Performance planning

2.1 The performance management year runs for a period of 12 months. The start of the performance year will include a period agreeing peer groups and shared expectations of performance for distribution ranges. Managers and countersigning managers will carry out consistency checking and objective setting to ensure that there is a common understanding of performance expectations.

3 Distribution Ranges

3.1 The purpose of a guided distribution range is to establish an expectation and set a context for managing performance and conducting consistency checking or validation.

3.2 The guided distribution range for the current year is detailed below. The 'Must Improve' category will automatically include those undergoing formal Managing Poor performance action at the time of the end-of-year review and those who have been dismissed for poor performance during the year.

<table>
<thead>
<tr>
<th>Category</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exceeded</td>
<td>20 - 25%</td>
</tr>
<tr>
<td>Achieved</td>
<td>in the region of 65%</td>
</tr>
<tr>
<td>Must improve</td>
<td>10%</td>
</tr>
</tbody>
</table>

4 Consistency checking

4.1 Consistency checking at the start and mid-year applies to all staff and involves countersigning managers and managers ensuring that there is a shared understanding of performance expectations and that those expectations are being applied consistently across their business. It also allows for shared understanding of objective setting, evidence and providing appropriate feedback for both managers and employees. By undertaking these consistency checks throughout the year, managers will be aware of the performance expectations in relation to the expected distribution.
5 Objective setting

5.1 The manager is responsible for setting objectives at the start of the performance year. The manager and employee are jointly responsible for ensuring objectives are discussed and that the employee understands their objectives. Where possible the employee should produce the first draft of objectives discussed, with support from their manager if required.

5.2 At the initial performance discussion, the manager and the employee should:
- Agree objectives and competencies
- Agree the personal development needs of the employee and update the development plan
- Confirm the number and timing of performance discussions that will take place throughout the year - there must be a mid-year review as a minimum
- Record what has been discussed on the People Performance Report Form.

5.3 The manager must explain what the performance expectations are in the employee’s own work context so that there is a shared understanding of performance expectations for the employee’s peer group.

5.4 Where it has not been possible for the employee and manager to agree objectives and other aspects of the discussion, the manager will decide.

5.5 The manager is responsible for setting work objectives and for ensuring they are relevant to the job role, Specific, Measurable, Achievable, Realistic, Timed (SMART), and written succinctly so that the employee is clear about what is expected of them. Individual needs should be considered and reasonable adjustments must be made to the objectives where appropriate.

5.6 Whilst objectives may be set that go beyond the end of year, clear achievements and deliverables for the year end must be agreed. This enables employees to have relevant and SMART objectives at all times in the event that there is a delay between the performance year end and the setting of new objectives.

5.7 Objective setting should not be a one-off activity. They should be reviewed throughout the year particularly when objectives are achieved, amended or new objectives are required.

5.8 Managers should ensure employees are clear about how their objectives link to departmental targets through their team/business plan. Objectives
connected to a business plan target should state the employee’s contribution to the overall target. In addition any generic or department-wide objectives should be tailored to the employee, so they understand their contribution to the team/department.

5.9 Objectives should be succinct and as a guide 4-6 is usually sufficient. A leadership/people management objective is mandatory as an objective regardless of line management responsibility for grades EO - Grade 6 or equivalent. Employees and line managers should take into account the ‘People Cluster – Engaging People’ section of the Civil Service Competency Framework when setting this objective. It is also recommended that budget holders have a financial management objective.

5.10 Objective setting should take into account the experience of the employee in the job role for new entrants/promotees and trainees.

5.11 An employee’s disability and/or working pattern will be taken into account before any objectives are agreed. It is the responsibility of managers to ensure that reasonable adjustments are made to an employee’s objectives to ensure that they have the same opportunity to meet them as any other employee.

5.12 For part-time employees, activities like learning, management and keeping up to date may have a larger proportionate impact on time available for achieving their specific objectives.

**Updating the Resource Management (RM) system**

5.13 Immediately after the initial discussion, the manager will need to access ‘Record of People Performance Activity’ via Manager Self Service on RM, add a new record for the new performance year, using the dates 1-Apr-yyyy to 31-Mar-yyyy, and input information on:

- Whether objectives have been set
- How many objectives have been set and by what date
- Whether competencies have been agreed
- Whether the Development activity has been agreed and
- How often they plan to hold performance discussions.

5.14 There may be some cases where objectives, competencies and development activity are not applicable for particular employees – e.g. they may be on a long term absence. In cases like this, the manager should still access RM and select ‘not applicable’ from the options. Managers should amend these fields if circumstances subsequently change.

See RM Job Aide for instructions for managers on how to access the relevant screen and input the information.
5.15 The manager will need to tell the employee when this action has been taken because the employee will also need to enter information into RM. Once the manager has entered their information to RM, the employee will need to access ‘Record of People Performance Activity’, but this time via Employee Self Service. They will be able to view the information the manager has entered. If they agree with it they should select ‘agree’. If they do not agree, they should exit RM without completing the screen and discuss with their manager why they do not agree.

See RM Job Aide for instructions for employees on how to access the relevant screen and input the information.

NB The employee will not be able to complete their RM action until the manager has set up their record for the new performance year.

6 Personal development

6.1 It is important that development needs are set and reviewed as part of the regular discussions as continuous development helps to maintain and potentially enhance performance. These must be recorded on the development section of the People Performance Report.

6.2 The countersigning manager has a role to ensure that employee development is addressed and that managers and employees are taking the appropriate action.

7 Regular performance discussions

7.1 Reviewing performance should not be seen as an annual process. The manager and employee are jointly responsible for having regular performance discussions throughout the year. This should include discussion about development that would increase the employee’s capability in their current role and, where employees wish to do so, would help them achieve future career aspirations.

7.2 These discussions are part of normal business management and should be open, unbiased and factual, supported by examples. They are vital to ensure employees are aware of their performance against the ‘What’ delivery of objectives and the ‘How’ impact of behaviour, competencies and values. It is not necessary to discuss all objectives and competencies at every performance discussion.

7.3 Managers should use these discussions to give feedback by recognising good performance and achievements and identifying any areas needing further
development or remedial action to be taken. Managers should also give the employee the opportunity to raise any issues/concerns they may have about their work or development.

7.4. Where a manager has obtained feedback from others they must inform the employee of the source.

7.5 Depending on what is being discussed it may be useful to record brief notes of the main points of the meeting.

8 Recognising and managing under performance

8.1 Under performance can adversely impact on the morale of other employees and the overall productivity of the team. Regular or one-off dips in performance should be addressed quickly as part of normal day-to-day line management in line with the guide titled ‘How To: Deal Informally with Dips in Performance’.

8.2 Managers should carry out regular performance discussions. It is crucial that managers have open and constructive conversations with employees about performance to agree appropriate support interventions. Early intervention can help to restore performance to the agreed standard.

8.3 It may be useful to record brief notes of the main points of any conversations to ensure that there is a common understanding of actions agreed and to inform future discussions. See How To: Manage Dips in Performance for more detailed advice.

8.4 Where normal, reasonable, support has been provided, in line with the guide How to: deal informally with dips in performance, but performance overall remains at an unacceptable level, the manager must follow the Managing Poor Performance procedures.

Temporary Employees

8.5 In order to ensure equality between permanent employees and temporary employees the following arrangements will apply to temporary employees, (i.e. those sometimes called ‘temps’ ‘or casuals’) regardless of the length of their contract.

For the initial 6 months of their contract:

- When setting objectives managers must take account of the temporary employee’s experience/capability, working pattern, and any reasonable adjustments made for a disability under the People Performance Policy
• As the temporary employee progresses the manager must constantly assess and give feedback on their work performance based on what they have been told was required of them and the results delivered in the period. The manager will schedule meetings to discuss their progress. These must be at least monthly, but managers may decide to hold them more frequently depending on the temporary employee’s circumstances.

• If the temporary employee is not achieving the required standard set out in their objectives, the manager must establish if any additional support or training can be provided or if an underlying problem exists.

• When all reasonable steps have been taken to help the temporary employee but the required standard is still not being achieved, the manager will consider issuing a written warning and set an appropriate review period. The manager will take the temporary employee’s individual circumstances into account and set a review period (normally) of up to 4 weeks and not exceeding 3 months. This review period should be agreed with the temporary employee’s countersigning manager. If the required improvement is still not achieved, dismissal should be considered by the decision maker.

• When reviewing progress with the temporary employee, the manager should remind them that future conduct, attendance and work performance, will all be monitored, and that they may be subject to further action if they do not achieve the required standards in all those areas.

• Any temporary employee warned or dismissed will have the right to a hearing and the right to appeal against either/both decisions using the normal procedures, with the right to be accompanied by a colleague or trade union representative.

8.6 Where a temporary employee’s contract extends beyond six months, a written warning will lapse at the end of the initial 6 months of the contract. Table showing how warning should be treated for temporary employees.

8.7 The normal People Performance and Managing Poor Performance Policies, Procedure and Advice will apply after the initial 6 months of the contract.

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9 Rating performance

9.1 Performance is evaluated against both the ‘What’ (delivery of objectives) and the ‘How’ (demonstration of behaviours, competencies and values) achieved by the employee against known performance expectations, with equal weighting between ‘What’ and ‘How’. Performance will be assessed on three final ratings: Exceeded; Achieved and Must Improve.

9.2 The performance wave in section 9.4 aids managers when assessing the employee’s performance and awarding a rating. The manager should consider
where, an employee’s performance would be plotted on the wave. They would take into account the descriptors of the ratings, and the employee’s performance throughout the year against known performance expectations.

9.3 **Ratings will not be changed or forced simply to fit the distribution.**

9.4 **Performance wave**

Performance Wave Diagram

An accessible version of the performance wave is attached at Annex 2. Alternatively you may wish to use the Performance Grid which is attached at Annex 3. An accessible version of the Performance Grid is at Annex 4.

9.5 **Example descriptors of performance ratings**

**Exceeded (1)**
- Exceeded outcomes, exceeded behaviour standards.

**Achieved (2)**
- Exceeded outcomes; behaviour of satisfactory standards.
- Satisfactory outcomes; exceeded behaviour standards.
- Satisfactory outcomes; behaviour of satisfactory standards.
- Exceeded outcomes; behaviours just achieved.
- Outcomes just achieved; exceeded behaviour standards.

**Must Improve (3)**
- Satisfactory outcomes; behaviour must improve.
- Outcomes must improve; behaviours of satisfactory standard.
- Outcomes and behaviours below required standards.

9.6 The performance wave is useful in performance discussions to highlight where an employee is plotted within the span of the rating. The Achieved rating encompasses the widest span of performance. At this level, performance could be verging on needing improvement or exceeding in some areas or generally satisfactory. The dotted line shown in the Achieved section is a halfway point to aid these discussions.

9.7 The Must Improve rating includes employees whose performance requires improvement and those employees who are being managed under formal
unsatisfactory performance procedures. This rating may also be appropriate for others whose performance has required improvement during the reporting period, where this is a proportionate response. Mid-year and end-of-year ratings will always be based on a balanced consideration of the employee's personal performance over the entire period and decisions must be transparent, fair and reasonable.

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10 Mid-year review

10.1 Following the consistency check, a mandatory mid-year review must be held between the manager and employee to discuss performance. This should be no longer than 45 minutes (guide only).

10.2 Prior to the meeting the employee should self assess their performance against both the 'What' (delivery of objectives) and the 'How' (demonstration of behaviours, competencies and values) with equal weighting using the performance wave. This should be no more than 300 words (guide only).

10.3 The employee should bring examples of their performance against objectives and how they have demonstrated the required competencies and behaviours to the meeting with a proposed indicative performance rating of their achievement. The manager should also prepare performance examples to support their assessment of the employee’s performance.

10.4 The review should be recorded on the people performance report; the employee should write the first draft. Where possible, the employee and manager should agree the outcomes of the review; however where this is not possible, the manager will complete the record. The review should cover the following areas:

- Performance – the “what” delivery of objectives and the “how” demonstrating behaviours, competencies and values of their performance.
- Giving and seeking feedback.
- Support and coaching for development needed.
- A brief summary of what was discussed and agreed.
- The indicative rating.
- Next steps – a review of current objectives and agreement of any amendments (as necessary).

10.5 The manager and employee should discuss the self assessment and an indicative performance rating. This is only an indicative rating and does not guarantee the final performance rating at the end of the year.
10.6 The manager should use this opportunity to consider reward and recognition.

10.7 The manager is responsible for ensuring the employee’s recorded summary of the discussion reflects what was discussed and agreed. Where a ‘Must Improve’ rating is indicated, the manager must discuss with the employee the steps to be taken that should lead to an improvement in their rating, with reference to the ‘What’ and the ‘How’.

Updating the Resource Management (RM) system – Managers Action

10.8 Managers must input the indicative mid year marking into RM under ‘Final Rating’ via Manager Self Service, see Checklist of People Performance RM Action. Managers need to add a record to their employee’s details and input an indicative mid year rating for the period 01-Apr-yyyy to 30-Sep-yyyy

Managers must enter:
‘1’ for Exceeded
‘2’ for Achieved
‘3’ for Must Improve or
‘0’ if no marking is required.

10.9 If the employee has had a period of TDA in the April to September period, the manager must still enter an indicative mid year marking for the substantive grade unless it is already known that the TDA will continue and the employee will be marked in the higher grade at the end of the year. In this case, the indicative mid year marking will also be at the higher grade. Only one indicative mid year marking must be entered per employee.

10.10 If the employee has been promoted at any time during the first 6 months, the indicative mid year marking must be at the new grade.

Updating the Resource Management (RM) system – Employee Action

10.11 From September, and ideally before the end of October, the employee will need to access ‘Record of People Performance Activity’ via Employee Self Service on RM and input information on:

- Whether performance discussions are taking place as agreed
- Whether objectives and competencies are being reviewed and kept up to date
- Whether the development plan is being reviewed and kept up to date

10.12 There may be some cases where objectives, competencies and development plans are not applicable for particular employees – e.g. they may be on a long term absence. In cases like this, if the employee is at work and able to do so, they should still access RM and select ‘not applicable’ from the drop down menu. Employees should amend these fields if circumstances subsequently change.
11 End-of-year review

11.1 Prior to the relevant consistency/validation processes outlined on section 12, a mandatory end-of-year review must be held between the line manager and employee. This should normally last up to 45 minutes (guide only). The employee and manager should discuss:

- performance against both the ‘What’ (delivery of objectives) and the ‘How’ (demonstration of behaviours, competencies and values) with equal weighting, using the distribution wave at paragraph 9.4
- giving and seeking feedback
- review development over the period
- objectives, competencies and areas for development for the coming performance period.

11.2 Before the end-of-year review meeting the employee should prepare a self assessment by comparing their performance against both the ‘What’ (delivery of objectives) and the ‘How’ (demonstration of behaviours, competencies and values) with equal weighting. This should be no more than 300 words (guide only).

11.3 The employee should bring examples of their performance achievements against objectives and evidence of how they have demonstrated the required competencies and behaviours to the meeting. The manager should also prepare performance examples to support their assessment of the employee’s performance.

11.4 After the end-of-year review meeting a first draft of a summary of the review should be recorded by the employee on the people performance report form. It is the manager’s responsibility to:

- ensure the employee’s recorded summary of the discussion reflects what has been discussed and agreed and
- discuss and agree a suggested performance rating with the countersigning manager.
11.5 Where possible, the employee and manager should agree the outcomes of the review. However where this is not possible, the manager will complete the record.

11.6 Performance markings should NOT be shared at this stage because the consistency or validation processes follow.

12 Confirming Final Performance Rating

12.1 The following processes will apply at the end of year, after employees’ individual performance review meetings and before final ratings are communicated, to ensure consistency against known performance expectations:

- For employees in grades AA to EO, a light touch consistency check at counter-signing level, similar to the mid-year consistency process,
- For employees in grades HEO to Grade 6, formal validation.

Consistency check

12.2 The end of year consistency check for employees in grades AA to EO involves countersigning managers checking distribution of ratings across the peer group and ensuring that consideration of the employees’ performance by managers is objective and consistent against known performance expectations.

12.3 In addition to the detail in para 4.1, the end of year consistency check will involve countersigning managers:

- understanding the distribution ranges of their employees across their units at the end of year;
- ensuring that known performance expectations for roles within peer groups have been correctly understood and applied, and that outcomes are consistent
- Ensuring that employees are not forced into a performance rating simply to meet the distribution ranges

Validation meetings

12.4 Counter-signing managers need to be satisfied about the quality and consistency of the HEO to Grade 6 reports which they are asked to sign off and they may talk to individual reporting managers if they are concerned. The suggested performance ratings will then be subject to formal validation. The purpose of this end-of year validation is to review outcomes in relation to the
distribution range and to ensure that final ratings are appropriate. Validation will further ensure consistency at the end-of-year, having already established a shared understanding of known performance expectations during the year, and performance differentiation across the peer group.

12.5 At validation meetings:

- the manager represents the employee at the validation meeting;
- there should be a record of the discussion that is sufficient to support feedback and confirm final rating;
- managers may look at those employees whose performance falls around the boundary of the performance ratings.

12.6 The appointed chair of the validation meeting is responsible for ensuring that:

- the end of year process operates effectively;
- the performance ratings of employees are justified on the basis of achievement of objectives and demonstration of competencies in relation to known performance expectations for the peer group;
- all decisions have been reasonable, fair and unbiased and non-discriminatory.
- employees are not forced into a performance rating simply to meet the distribution ranges;
- the performance distribution outcome is explainable and the reasons recorded.

**Notifying Outcomes**

12.7 Managers should meet with each employee to inform them of their performance rating and give any feedback as soon as possible after the consistency check or validation meeting. Managers must fully explain the reasons the employee has been awarded a particular rating following the consistency or validation process. Where a ‘Must Improve’ rating is indicated, the manager must discuss with the employee the steps to be taken that should lead to an improvement in their rating, with reference to the ‘What’ and the ‘How’.

**Updating the Resource Management (RM) system**

12.8 Managers will input the final performance level into RM under ‘Final Rating’ via Manager Self Service, see RM Job aid.

'Managers will need to enter:

'1' for Exceeded
'2' for Achieved
'3' for Must Improve or
'0' if no marking is required.
NB. Managers must only enter one of the performance levels above.

12.9 Where an employee has not been assessed because they do not have 60 days actual performance, it is necessary for managers to record this as a '0' in the Final Rating Screen in RM. Countersigning managers are responsible for ensuring this action has been taken. See also Special Circumstances Question 1.

12.10 Where employees have spent the main part of the year on TDA, the TDA performance level should be recorded on RM under ‘Final Rating’. The substantive grade performance level should also be recorded on RM. The manager will need to record this - under TDA – Substantive grade performance level via Management Self Service. See RM Job Aid and see also Special Circumstances Question 5.

12.11 Managers will also need to access ‘Record of People Performance Activity’ via Manager Self Service on RM and from the list of options select the date by which the end of year discussion took place. NB the end of year discussion refers to the performance year the manager has entered at the top of the screen. E.g. if the manager entered the performance year 1 April 2012 to 31 March 2013, the relevant end of year discussion will be in the Spring of 2013.
See RM Job Aide for instructions for managers on how to access the relevant screen and input this information.

12.12 In 'Record of People Performance Activity' in RM, Managers will need to select 'Add' to create a new record for their employees for the next performance year and complete the action as specified in para 5.13.

13  Disagreements

13.1 The aim of the performance management system is to encourage open and honest discussion between the employee and manager to deal with difficulties or disputes at an early stage so that they can be resolved along the way. Regular performance discussions throughout the year allow the employee and manager to discuss issues informally as they occur. The final end-of-year assessment should not come as a surprise to the employee.

13.2 Employees are expected wherever possible to progress their issue using Employee Action or Manager Action in the Grievance procedures. Managers are required to engage constructively with employees to ensure the Employee Action and Manager Action procedures are meaningful and effective. Should the issue remain unresolved and, upon further reflection, the employee believes it is
reasonable to do so, employees may have their grievance dealt with under the Management Investigation procedure

13.3 Where a grievance has been raised, disputed decisions are implemented while the grievance is being considered; any changes can be made retrospectively.

Annex 1 – Accessible version of the process flow
Performance Management Process Flow – description

Start of Year

At the start of the year there will be a Managers Consistency Check which will feed into the Objective setting meetings.

Managers and employees need to hold regular performance discussions and should agree the frequency with which these will take place

Throughout the performance year

Managers and employees are jointly responsible for holding regular performance discussions throughout the performance year.

If any performance issues are identified then managers will consider whether they need to take Poor Performance action.

Mid-year

At the middle of the performance year, managers will need to hold a consistency check meeting.

Employees will need to complete a self-assessment.

Managers will need to hold a mid-year review with each of their employees.

Throughout the performance year

Managers and employees are jointly responsible for holding regular performance discussions throughout the performance year.
If any performance issues are identified then managers will consider whether they need to take Poor Performance action.

**End of year**

At the end of the performance year the employee will need to undertake a self-assessment.

This self-assessment will influence the discussion during the end-of-year review meeting.

After the meeting, managers will hold a validation or consistency check meeting which will confirm the performance levels awarded to individual employees.

Employees will then be informed of their final rating.

**Annex 2  Accessible version of the performance wave**

**Performance Wave – description**

**Description**

The Performance Wave is a tool which shows how differing levels of achieving the “what” and “how” impact on the performance level.

There are two axes, the vertical axis is the “what” (achievement of objectives) starting with Less than Effective at the bottom and finishing with Exceeding at the top. The horizontal axis is the “how” (behaviours), starting with Less than effective on the left and finishing with Exceeding on the right.

On these axes are two concave curved lines.

**Lower left area**

The first line starts at the position “Exceeding” on the vertical “what” axis and “Less than effective” on the horizontal “how” axis. The line then curves steeply downwards while going along the horizontal axis before the angle of descent decreases and it goes along the horizontal axis ending on a point at “Less than effective” on the vertical axis and “Exceeding” on the horizontal axis.
This line covers approximately 25% of the whole space and is mostly in the lower left corner, which is “Less than effective” on both the “what” and “how” axes. This area includes the descriptions “outcomes must improve, satisfactory behaviour” and “satisfactory outcomes, behaviours must improve”. The appropriate Performance Level for this area is 3.

Upper right area

The second line starts at the top of the vertical (what) axis and approximately 2/3rds of the way along the horizontal (how) axis. The line then curves steeply downwards while going along the horizontal axis before the angle of descent decreases and it goes along the horizontal axis ending on a point 2/3rds of the way up the vertical (what) axis and at the end of the horizontal (how) axis.

This line covers approximately 25% of the whole space and is entirely in the top right corner, which is “Exceeding” on both the “what” and “how” axes. This area includes the description “Exceed outcomes and behaviours”. The appropriate Performance Level for this area is 1.

Central area

The central part between the two lines is for Performance Level 2 and includes the descriptions:

“Exceed outcomes, behaviours just achieved”
“Exceed outcomes, satisfactory behaviours”
“Satisfactory outcomes, behaviour of a satisfactory standard”
“Satisfactory outcomes, exceed behaviours”
“Outcomes just achieved, exceed behaviours”

Annex 3 Performance Grid

Annex 4 Accessible version of the Performance Grid

Performance Grid - description

Description

The Performance Grid is an optional tool which helps line managers to differentiate performance and shows how differing levels of achieving the “what” and “how” impact on the performance level.
There are two axes, the vertical axis is the “what” (achievement of objectives) starting with Less than effective at the bottom and finishing with Exceeding at the top. The horizontal axis is the “how” (behaviours), starting with Less than effective on the left and finishing with Exceeding on the right.

Within the two axes is a grid of 9 boxes, arranged in 3 rows and 3 columns.

Each box contains a number to indicate which of the three performance levels each box relates to.

**Bottom row**

The bottom row is Less than effective on the vertical (“what”) axis. The 3 boxes are:

**Left box (Less than effective on the How axis)**
3. Poor Performance – below required standard outcomes and behaviour
   Employees who are being managed under formal poor performance management procedures.

**Middle box:**
3. Outcomes must improve, behaviour of satisfactory standard
   May not have achieved one or more objectives or needed a lot of support to deliver their objectives – must improve in this area. Demonstrated the standard of competencies, behaviours and values required with no significant weaknesses.

**Right box (Exceeding on the How axis)**
2. Outcomes just achieved, exceed behaviour
   May not have achieved one or more objectives or needed a lot of support to deliver their objectives – requires further development in this area. Has strongly demonstrated and role modelled the competencies, behaviours and values expected from someone in their pay band.

**Middle row**

The middle row is in the middle of the vertical (what) axis. The three boxes are:

**Left box (Less than effective on the How axis)**
3. Satisfactory outcomes, behaviour must improve
   Achieved objectives; must improve as has not yet demonstrated the full range of competencies, behaviours and values expected.

**Middle box**
2. Satisfactory outcomes, behaviour of a satisfactory standard
Achieved objectives and demonstrated the standard of competencies, behaviours and values required with no significant weaknesses.

**Right box (Exceeding on the How axis)**

2. Satisfactory outcomes, exceed behaviour standards

Achieved objectives; strongly demonstrated and role modelled the competencies, behaviours and values expected from someone in their pay band.

**Top row**

The top row is at the top of the vertical (“what”) axis. The three boxes are:

**Left box (Less than effective on the How axis)**

2. Exceed outcomes, behaviour just achieved

Exceeded a challenging set of objectives; needs further development as has only just met the full range of competencies, behaviours and values expected.

**Middle box**

2. Exceed outcomes, behaviour of satisfactory standard

Exceeded a challenging set of objectives; demonstrated the standard of competencies, behaviours and values required with no significant weaknesses.

**Right box (exceeded on the how axis)**

1. Exceed outcomes, exceed behaviour standard

Exceeded a challenging set of objectives; strongly demonstrated and role modelled the competencies, behaviours and values expected from someone in their pay band.

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**Annex 5 - Special Circumstances**

1. **Employees with less than 60 days performance**

An employee with less than 60 days (pro-rata) actual performance at the end of the reporting year is not assessed. An end-of-year report does not need to be completed and they will not be included in the guided distribution. Where an employee has not been assessed because they do not have 60 days actual performance, it is necessary for managers to record this as a ‘0’ in the Final Rating Screen in RM. Countersigning managers are responsible for ensuring this action has been taken.

Annual leave, flexi leave and weekends that fall between weeks in which the employee is actually working for the Department are included as days of actual performance in the 60 day calculation. However, sick leave and maternity leave are not included as days of actual performance in the 60 day calculation. If an employee has less than 60 days of actual work, they will not be awarded a performance level and will not be eligible for an end of year non-consolidated performance payment unless the reason they are not assessed is due to maternity, adoption or pregnancy related absence or any other relevant
exceptional reason. In this case, managers should record a “0” in the Final Rating Screen on RM and payroll will take appropriate action.

To calculate the pro-rata equivalent of 60 days actual performance for part-time employees, the manager must use the following calculation:

\[
(60 \text{ days} \times \text{Number of actual days worked per week}) \div 7 = \text{Number of days worked per week inc. weekends}
\]

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<th>Number of days worked per week inc. weekends</th>
<th>Number of actual days performance required</th>
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<td>3 (1 + weekend)</td>
<td>26 days</td>
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<td>4 (2 + weekend)</td>
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</tr>
<tr>
<td>5 (3 + weekend)</td>
<td>43 days</td>
</tr>
<tr>
<td>6 (4 + weekend)</td>
<td>51 days</td>
</tr>
<tr>
<td>7 (5 + weekend)</td>
<td>60 days</td>
</tr>
</tbody>
</table>

2. **Employee changes job within the performance year**

If an employee changes job during the year they will need to have a performance discussion with the previous line manager. They must sign off their existing objectives and competencies, behaviours and values and complete the performance management report for the year to date. The previous line manager should give an indicative performance rating to the new line manager.

New objectives, competencies, behaviours and values will be agreed with the new line manager, along with development needs.

The full year’s performance will be considered when recommending a performance rating. The employee should be included in the validation/consistency check group for the job they are in at the end of the performance year with input as required from previous line managers.

3. **Employee has a change of line manager**

If an employee has a change of line manager, the previous line manager should hold a performance discussion with the employee (depending on when the last one was held) to summarise the performance to date and to hand over to the new line manager before leaving. The employee’s existing objectives, competencies, behaviours and values can remain valid but the new line manager may wish to amend these during a performance discussion with the employee.

4. **Employee is on probation**

Employees who are on probation are expected to have objectives that take into account their level of experience and knowledge and have regular progress meetings to review their performance. In that respect, employees on probation already fulfil the requirements of People Performance. They should record this information in RM in the same way as other DWP employees.

5. **Employee has permanently changed grade or temporarily covers duties of a different grade**

If an employee temporarily covers the duties of a different grade during the first 6 months, their indicative mid year marking will still be at their substantive grade.
unless it is already known that they will continue in the temporary grade for the majority of the year. In this case, both at mid year and at the end of the year, they must be assessed and be included in the validation/consistency check group of the grade where they will have spent the greatest part of their performance year.

If an employee has permanently changed grade during the first 6 months, both their indicative mid year marking and their end of year mark will be assessed at the new grade.

An employee who has changed grade or temporarily covered the duties of a different grade must be assessed and be included in the validation/consistency check group of the grade where they have spent the greatest part of their performance year.

End of year performance actions should be undertaken by the line manager of the grade that the employee is to be assessed. The line manager should take into account the whole performance year with input from other line managers as appropriate.

This performance rating awarded is entered onto RM.

6. Employees on Fixed Term Contracts or Temporary Appointments
An employee on a fixed term contract or temporary appointment must be treated the same as other employees and assessed under People Performance policy in the usual way.

7. Agency workers
In accordance with Agency Workers Regulations 2010, agency workers who have completed 12 weeks assignment in the same role within the Civil Service should be assessed against the objectives they have been set and awarded an appropriate performance marking. The assessment should be for the whole period of their assignment to that role. In such cases the Agency worker's nominated DWP manager should send the worker's name and performance rating to CD.PROFESSIONALSERVICES@DWP.GSI.GOV.UK using the subject heading 'AWR Performance Assessment'. It is important that managers do not make any assumptions between this action and the agency worker's eligibility or non-eligibility for rewards, which are out of scope of this policy.

8. Employees on Secondments/Loans
Before the employee goes on secondment, the employee and manager must complete an end of year report for their performance to date. If the employee remains on secondment at the end of the reporting year, the manager in the host organisation should complete an end of year report and send it to the DWP manager who will confirm the appropriate performance level.

Employees on loan to an Other Government Department normally take on the host's terms and conditions and appraisal process. This should be agreed from the outset of the loan.

9. Employees who are on Faststream development programmes (generalist and specialist)
Employees on Faststream development programmes normally take on the host Department’s terms and conditions including the performance management system and any additional procedures specific to this group.

Faststream HEO(D)s who are assessed against HEO/Band D competencies (i.e. in year one or two of the Fast Stream Development Programme) will be assessed in the same way as any other HEO/Band Ds in the team they are working in on 31 March.

Faststream HEO(D)s who are assessed against SEO/Band E competencies (i.e. from year three onwards of the Fast Stream Development Programme) will be assessed in the same way as any other SEO/Band Es in the team they are working in on 31 March.

Unlike HEO (D) Fast Stream, HR Graduates Fast Stream will be assessed against a separate peer group.

Where Faststream HEO(D)s are assessed in a higher grade, (SEO or Grade 7) it will be necessary for line managers to follow the process for those on TDA to ensure performance ratings are entered on the system correctly.

End of year action should be completed by their manager following the normal arrangements.

10. Employees who transfer to Other Government Departments (OGD)

- An employee who transfers from DWP to an OGD must discuss and record their performance to the date of their transfer with their DWP line manager before departure. The line manager must:
  - consider the employees performance against the ‘What’ delivery of objectives and the 'How’ demonstration of behaviours, competencies and values with equal weighting to decide which performance rate to recommend;
  - confirm the performance level before the employee’s last day in the department and agree it with the counter signing manager;
  - give the employee a copy of the recommended performance rating to hand to their importing manager on arrival at the OGD.

Managers who take responsibility for an employee transferring to DWP from an OGD should arrange a meeting as soon as possible to:

- take receipt of documents detailing the assessment by the OGD line manager
- complete the normal actions to set objectives (the ‘What’) and performance expectations (the ‘How’, with reference to competencies, values, etc) for the new role

11. Employee has retired, resigned or been dismissed

An end of year report is not needed if the employee has retired, resigned, been dismissed or has left the Department through a voluntary severance or redundancy package or through compulsory redundancy and is not in post on the last day of March.
12. **Employees who are absent due to extended periods of unpaid special leave**

Following a return to work from an extended period of unpaid special leave – i.e. Volunteer Reservist mobilisation, the line manager should review with the employee their performance objectives to ensure these are still relevant. Line Managers should also discuss any formal and informal training and learning, received and explore how to make best use of the employee’s transferable skills in the workplace. For example, Reservists undergo extensive military training and gain experience of dealing with a diverse range of people from all walks of life, nationalities and cultures. Such training programme teaches the individual a range of skills, such as communication, leadership, team work, decision-making, working under pressure and increases their diversity awareness.

13. **Employee is undergoing formal poor performance action**

Employees who are undergoing formal Managing Poor Performance action at end-of-year will automatically be given a ‘Must Improve’ performance rating. If an employee is in the 12 months of sustained performance improvement period then performance is assessed under the end-of-year arrangements in the usual way.

14. **Employee is surplus**

Employees who are surplus must be included and assessed under the people performance policy and procedures.

15. **Employee has a period of sickness during the year or is absent at the end of the year**

Employees who have had a significant amount of sick absence should have their objectives reviewed when they return to work after the absence and adjusted if required.

If the employee is absent at the end of a performance year a rating will still need to be awarded by the line manager if the employee has completed 60 days (pro-rata) actual performance within the reporting year. The manager must try and meet the employee to discuss their performance. This does not have to be in the office if that is not practicable and alternatives, for example meeting at a mutually convenient place should be considered. If for any reason it is not possible to meet to discuss performance, the manager should still attend the validation/consistency check meeting to discuss the employee’s performance and rating for the time they were at work. The final rating would then be confirmed to the employee following that meeting.

The manager will need to write the end-of-year performance report taking into account the period of attendance rather than the period of absence.

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