

Agenda Item No: 10
Report To: Audit Committee
Date: 30 June 2016
Report Title: Annual Staff Appraisal Process
Report Author: Michelle Pecci- Head of HR, Communications & Technology
Portfolio Holder: Cllr Knowles- Information, Technology & Communication



Summary:

The Audit Committee requested that officers bring forward a report that showed how performance was managed through the annual appraisal process.

This report shows the journey we have been through since 2015 when introducing a new appraisal system as well as our next steps in making sure there is a good quality of appraisal for managers and staff.

Key Decision: No

Affected Wards: None

Recommendations: **The Audit Committee be asked to note:-**

- i) the progress made since the introduction of the iTrent performance management module in 2015**
- ii) the planned next steps that will review the qualitative elements of the appraisal process**

Policy Overview: The council does not have a performance related pay or bonus scheme in place so the appraisal process at ABC is about intrinsic rewards such as recognising a job well done, providing an opportunity to discuss personal aspirations and how we can grow individuals through learning and other development; as well as providing a record of how the year has gone, documenting issues and problems as a record for the future. All staff are required to undertake an appraisal.

Financial Implications:

Risk Assessment NO

Equalities Impact Assessment NO

Other Material Implications:

Exemption Clauses:

Background Papers:

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Report Title: Annual Staff Appraisal Process

Purpose of the Report

1. The Audit Committee requested that officers bring forward a report that showed how performance was managed through the annual appraisal process.
2. The council has always conducted appraisals and these have been based on an assessment of behaviours and the delivery of objectives. There is no performance related pay, or bonus scheme in operation at ABC so the 'motivator' behind conducting these reviews is about intrinsic reward: recognition of a job well done, discussion about personal aspirations and how we can grow individuals as well as having an official record of how the year has gone documenting issues and problems as a record for the future.

Background

3. Between 2011 and 2014 the council used an electronic appraisal system called iReview. This system allowed managers to rate their staff against a set of 80 competency statements, provided an opportunity to identify L&D needs based on how the individual rated in the competency statements, rating an individual on a performance grid as well as recording a set of objectives for the coming year.
4. As time progressed the stability of the iReview system diminished with some of the functionality becoming temperamental. The system was hosted externally and the provider was unable to amend or develop the system without ABC incurring considerable costs (in addition to the annual licence fee). As a consequence of these problems the system began to lose its credibility amongst users and different work-arounds developed across teams.
5. In parallel to this the council's focus and corporate strategy shifted, we moved away from a more traditional approach to being a Council where we cut costs and reacted to change. Instead we had started our journey into becoming more commercially minded, looking for opportunities to innovate and creating opportunities that help deliver corporate objectives. As a result the competency statements were becoming out of line with our corporate strategy.
6. We therefore started a significant review of how we appraise our staff in terms of both the process and the successful behaviours we expect to see. This started with a bottom-up process of reviewing our Competency Framework.

Internal staff engagement was at a high level and it was clear from workshops and surveys that staff understood our direction but it was still important that staff recognised and had ownership of the behaviours that were important to ABC if it were to deliver on the corporate plan objectives.

7. A number of focus groups were held across all levels of staff in addition to senior officer and member interviews. Following a number of sounding board iterations the new competence framework was developed (Appendix 1). The framework reduced from 80 to 24 competency statements, used plain English and was made as simple as possible.
8. Stage two of this project was to introduce an appraisal system that reviewed performance against the new competency framework and underpinned the importance of the shift in culture to all staff.
9. In 2012 the council invested in a new HR payroll system. The system, iTrent, is hosted internally and is modular which allows the user to 'bolt-on' modules as they require them. A decision was made to purchase the Performance Management module, this decision was based on a number of factors:
 - Staff would access the modules through employee self service (where they request holiday and submit expense claims etc.) this would mean one less log-in and password to remember
 - Self service was a credible system and had been well received by staff when it was originally introduced and was considered to be very intuitive
 - The module is fully configurable by staff internally so could be refined year on year depending on corporate needs
 - It had reporting functions for both HR and Managers
 - It would not require significant effort putting staff data into the system as this data is already populated in the system
 - It pulled through reporting lines from the core HR module so would not need any hierarchy to be built, and would change reporting lines as these were updated throughout the year
 - We could purchase other related modules in due course that would link to the Performance Management module (e.g. Learning Events module)
 - The annual licence fee was £1,600 delivering significant savings on the existing system but also being good value compared to other systems too.
10. We were keen not to repeat the issues we had with iReview and undertook focus group consultation about the features and process staff and managers

would like, or wouldn't like, to see in an appraisal process. Using this feedback we configured the iTrent Performance Management Module.

11. Consultation feedback told us that people liked to have a record of the whole process including the preparation stage on the electronic system; that they wanted to be able to 'sign off' ratings and objectives, and be able to amend or dispute them if necessary.
12. As part of the competency framework project it had previously been determined that the competency framework behaviours applied to all posts at all levels; but subsequent feedback on how the framework was applied told us that the long rating scale was cumbersome and "what was the difference between a 5 and a 6?". So the scale was reduced from seven potential ratings to four making it easier to have consistency across the organisation, but also making it less easy to apply a bland rating in order to avoid an awkward discussion, this was to encourage more robust approach to performance management.
13. The old iReview system had a *Performance Grid* and feedback suggested that people were not happy being 'put in a box' did not like or understand the category names and did not know how to use the grid. It was decided to review some of the names and language, and address how to use the grid during the appraisal training sessions. We did have the option of removing the grid altogether however it was felt that that value of the grid in helping to identify different career stages and the data this could provide for succession planning and capacity building hadn't been fully explored and if we removed it then replaced in a year or two with something else important ground would be lost.
14. In late January 2015 the Performance Management module of iTrent went live. During January and February we delivered compulsory appraisal training for all staff (managers having separate training) which refreshed skills, provided a reminder of the importance of an appraisal as well as highlighting that the onus is on the individual to get the best from their appraisal. At these sessions the system was demonstrated and further drop-in sessions were provided for staff both before and during the appraisal period so that if people needed general or very specific help, they could come along for support.
15. Recognising that this was a new system we also made people from the HR team available to go along and support people at their desks with system support.

Year 1 and 2 completion

16. In year 1, at the target completion date of 30 April 2015 50% of staff had completed their appraisal. There followed significant efforts for a further eight weeks by Management Team and the HR team in supporting managers and staff to get their appraisal completed, with the Chief Executive intervening in a couple of cases.
17. Whilst it was disappointing that the completion rate was low it was anticipated that the initial completion rate in year 1 would be lower than we would have liked because:
 - a) People were unfamiliar with the new system
 - b) Ongoing scepticism following the lack of credibility of the old system
 - c) Previous 'relaxed approach' to appraisals due to the old system constraints.
18. It was really important that we quickly identified and highlighted any system issues and addressed them for the 2016 appraisal in order to build corporate confidence in the system. A number of feedback and evaluation sessions were held to determine how we could make the process, and the system, as user friendly as possible.
19. The main feedback about the process was that it was felt there was a lot of 'back and forth' in the process but individuals liked the ability to review and approve the feedback and objectives before they were finalised. Therefore changes were made to consolidate elements of the stages to make the process flow more smoothly and to give the member of staff more ownership of the elements that are important to them such as learning and development and objectives.
20. Some feedback suggested the reason some appraisals were not completed in time was because of the time constraints on the manager and the perceived duplication of effort in completing the preparation stage, having the discussion then documenting the discussion after the appraisal. The system requires 'someone to go first' so some of the order was also switched around so that a record of the discussion could be made at the appraisal meeting on a lap-top if managers preferred this to save time.
21. A further revision to the performance grid was made, this was largely to make it easier for managers and staff to have discussions about personal growth and development and to also to change the presentation of the grid so that individuals could see there were overlaps between categories to reduce the perception it was a process about being 'put in a box'. The grid was renamed 'potential & performance jigsaw' (Appendix 2).

22. The great news was that there was no feedback that suggested the system did not work or there were fundamental faults that would undermine the credibility or usability of the system.
23. The revised process went live in January for the 2016 appraisal round and the completion rate at 31 March 2016 deadline was 68%. This prompted an explicit instruction from the Chief Executive to staff to complete these by 30 April otherwise poor performance procedures would be initiated.
24. On 30 April just 2.4% were outstanding (there were none after the eight-week extended deadline in the previous year). HR is currently working with managers in pursuing the appropriate course of action for those officers who have not completed their appraisals (or managers who have not completed the appraisal for their team member). Management Team feel that it is important that this is followed-up as it has been made clear that everyone is expected to have an appraisal and it is a manager's responsibility to ensure their staff comply. If there are no consequences it will completely undermine the message that appraisals are important.
25. During June/July we will carry out a further evaluation of the system and make adjustments ready for the 2017 Appraisals. It has always been the intention to move away from a largely system driven process to a discussion driven process but the first couple of years required us to reintroduce some of the discipline around appraisals as we had started to lose sight of these due to the historical system problems and local workarounds.
26. Please note, due to anticipated service pressures on Revenues & Benefits a revised timescale of March to May was agreed for the 2016 review. At the time of drafting this report all appraisals are progressing appropriately and there is nothing to suggest anything less than 100% completion will be achieved.

Outcomes/value added by appraisals and iTrent

27. The appraisal process is designed to do a number of things:
 - a. Review of the year and success in achieving the previous years objectives
 - b. Set new objectives for the forthcoming year
 - c. Review behaviours against the competency framework
 - d. Identify job related learning and development needs

- e. Using the 'potential & performance jigsaw' identify personal aspirations and development needs or reflect ongoing concerns over poor performance.

Objectives

- 28. The iTrent system allows a member of staff, or their manager to look at, and update the objectives and the progress that has been made against them as often as necessary so the live objectives can be printed off for 1:1 meetings, ensuring that focus is maintained key objectives.
- 29. The original training sessions on appraisals did cover SMART objectives and it is planned that we will review the quality of the objectives input into iTrent this year and will provide further training and support on objective setting if we have concerns over the quality of objectives.

Training

- 30. The 2016/17 corporate training plan which was approved by Management Team on 2 June 2016 (Appendix 3) has been developed using the training needs highlighted through the appraisals process. In previous years there has been a core corporate training programme using a proportion of the training budget and officers have then requested individual training throughout the year from the balance of the budget. This year we have made a concerted effort to analyse all the training needs from the appraisals and provide/source training to meet most of the identified needs.
- 31. The downside of this approach is that it does mean that the budget has limited flexibility for ad hoc needs arising throughout the year but it does underpin the importance of undertaking an appraisal and appropriately identifying training and development needs.
- 32. We will keep a review on non-take-up and non-attendance at training that has been specifically identified as an appraisal learning need. If it becomes apparent that there is a mismatch between training needs identified and the percentage of take-up we will take action to support managers and staff in properly determining needs at appraisal time to ensure the training budget is focussed correctly.
- 33. We will also review the level of adhoc/in year requests for training we have, and whether any of these are refused or whether the service funds these unplanned requests due to the full allocation of the training budget.

34. Training is one element of developing skills; another element is the ability to get involved with work that stretches individuals in a range of ways. Once the resource requirements for the corporate delivery plan are clear it is intended that we will use this as a way to identify opportunities for staff to get personal development by getting involved either with projects, or by taking opportunities that help to backfill other post-holders who are tied up with programme delivery. The appraisal process includes a *'potential & performance jigsaw'* which will help us more easily identify people who are seeking development, or capable of being developed in this way. This will help to avoid always relying on the 'same old' faces as can sometimes happen when you do not have this information.

Personal growth and performance

35. The *'potential & performance jigsaw'* also provides an opportunity for underperformance to be reflected. Policy and guidance is clear that the appraisal process is not the time to raise these issues for the first time. Having an 'under performer' category in the jigsaw, accompanied by guidance helps reinforce the need for proper performance management leading up to the annual review and thereafter. Our first question when asked for support for managers with team performance issues is "what discussions have you already had with the individual and how were these recorded in the appraisal discussions?"
36. The data from the performance grid will be analysed to inform some of the manager development sessions the HR team will deliver this year e.g. if we have a high number of people who are categorised as 'undecided' do managers have the skills, knowledge and support to be able to deal appropriately with these individuals; and on the flip side, if we have a really strong performer can the manager provide the development and stretch to retain these people and keep them motivated to continue to perform well.

Conclusions and next steps

37. The improved completion rates (at deadline) indicates that the system is starting to bed-in, interventions such as capability management processes where the appraisals have not been completed will send a strong message to the organisation about how important appraisals are to ABC. Changes to the way the training budget is allocated and managed should also help underpin the importance of undertaking the appraisals in a thorough and timely way.
38. Although the completion rate in year two has improved from year one the proportion of appraisals completed late is still disappointing. In most cases

individuals were at the final stage of the appraisal and were in the process of finalising their objectives. The message from the Chief Executive and management team was very clear about the importance of appraisals and adherence to the timescale and consequences of non-adherence. As a result we saw swift progress made after this. For the 2017 appraisals the **messages about the consequence of non-completion** will be very clear from the outset and there will also be more **positive communications about the benefits and purpose of appraisal throughout the year** so that appraisals are not seen as a 'tick box' to avoid poor performance procedures.

39. In some cases workload pressures have meant the target appraisal delivery date was not achieved. As part of an evaluation process we will **review the timing and the amount of time** given for appraisals to ensure that these are appropriate given how many corporate deadlines happen towards the end of March.
40. There will be a further **evaluation of the system** and process to ensure these are user friendly and fit for purpose.
41. It is appropriate now to look at the **quality of the discussion** to prevent the process becoming a tick box exercise and a number of approaches will be taken including comparing year on year reviews to see if people are simply replicating last year's review, random sampling and specific targeting of individuals who have consistently struggled to get appraisals completed. There are a range of options available to us if we identify there are quality problems including additional training, refresher training, internal communications and coaching support from managers or HR.
42. Linked to the quality of the discussion is also the **quality of objective setting** and how well the system is being used to keep the objectives up to date; again a range of options will be available if we consider there to be a quality problem with the objectives, these will include additional training, refresher training, internal communications and coaching support from managers or HR.
43. This year we will aim to get better use of the data we get from having a '**potential & performance jigsaw**'. We retained it when we introduced iTrent as we could see the potential for it to build capacity for delivery and to provide development and growth opportunities. If we are unable to demonstrate the impact of using the jigsaw by the end of this year we ought to be reviewing whether we continue to use it.
44. As highlighted above it will be necessary to review the impact and effectiveness of the change in making a clear relationship between the

training needs analysis and training budget allocations to ensure that crucial learning and development is not missed, but also to help individuals and managers to really think, at appraisal time, about the training they need to deliver their objectives, improve performance or grow their skills and knowledge.

Portfolio Holder's Views

45. "Appraisals are the main tool for managers to review, document and assess performance and delivery. I am comfortable with the progress made on embedding the new appraisal process and that listening to user feedback will continue to ensure the system and process is credible and fit for purpose. I am keen to ensure that the completion rate next year improves once again and feel that the next steps highlighted in the report should further help to cement the importance of appraisals into the culture of ABC, and by implication drive up performance standards." Cllr Knowles

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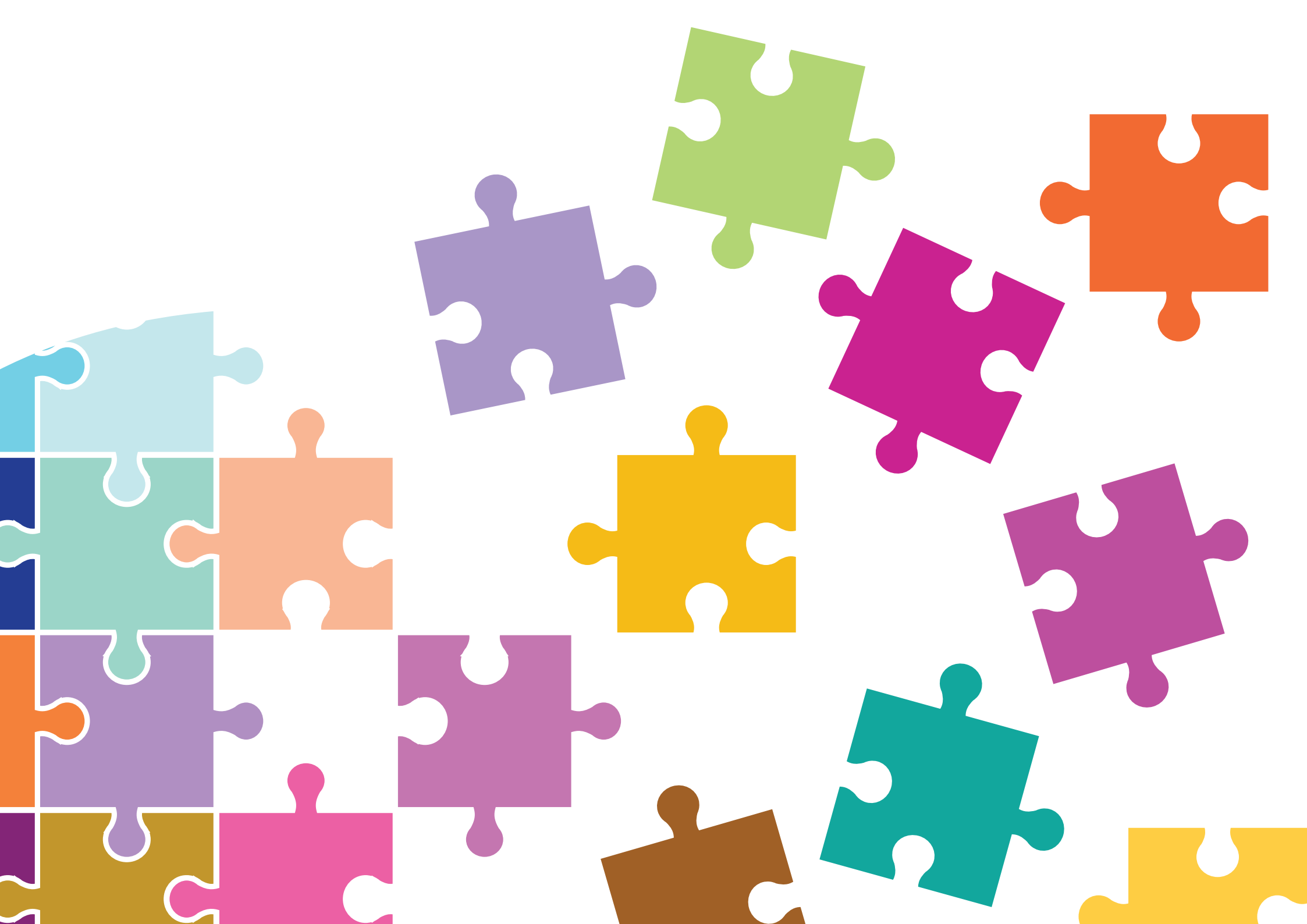


Our people, behaviours



ASHFORD
BOROUGH COUNCIL

A framework to set out how our aspirations are achieved through our behaviours and characteristics



Welcome

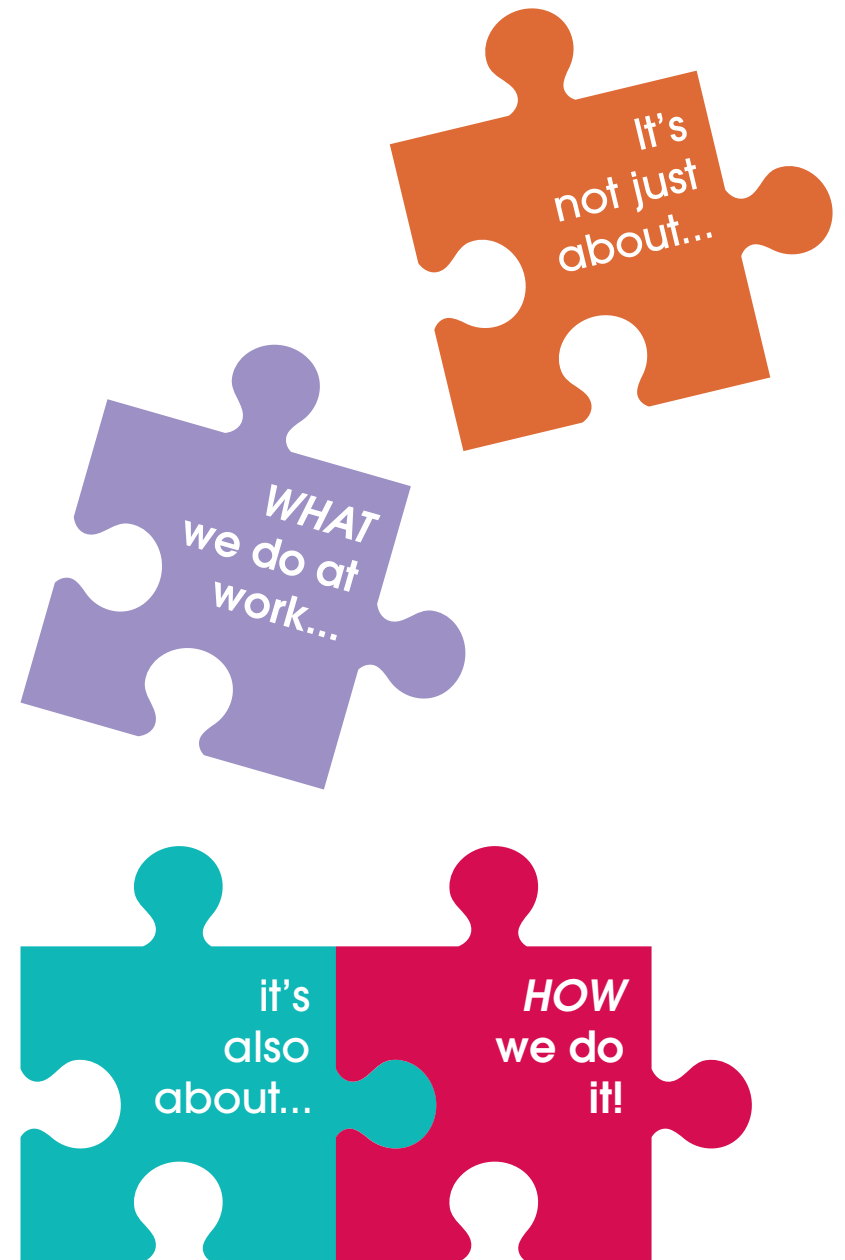
This framework sets out key behaviours (or competencies) that you as Ashford Borough Council staff should display in your day to day roles.

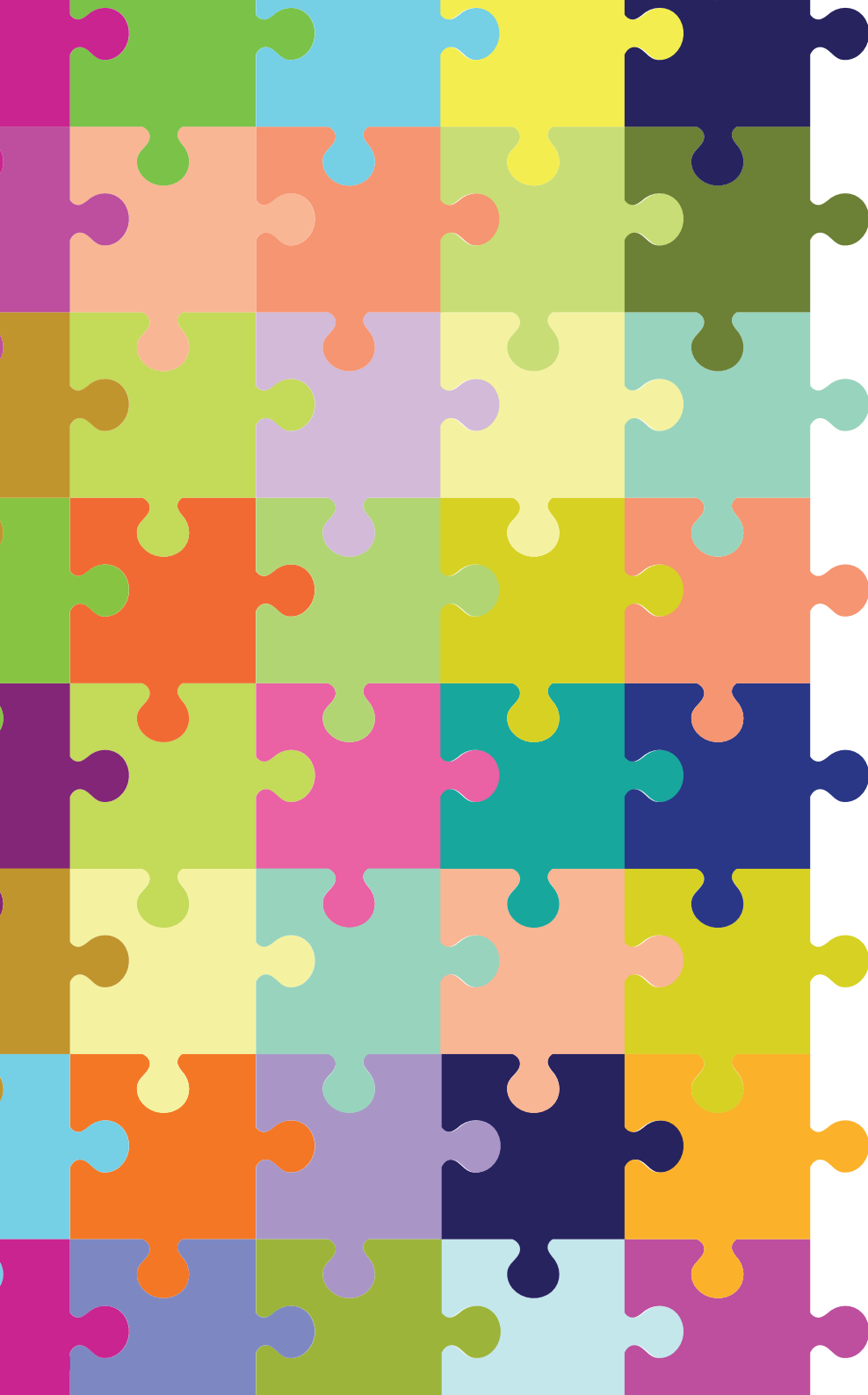
It applies to every member of staff, regardless of role or service, and was developed by considering best practice. It was then shaped by consulting with **Management Team** and key **Members**, and by holding **manager** and **staff** workshops to look at the structure and language to make it as easy to use as possible.

Page 5 displays the three sections of the framework (Aspirations, Behaviours and Characteristics) as a pyramid. The rest of the document will explain each of these parts in turn.

This will be used for:

- Recruitment and selection – interview questions will be based on these key behaviours to ensure we are bringing the right people into the organisation
- Performance management including appraisals - to keep checking that we are all displaying the right behaviours that will ensure the success of the council's aspirations
- Training and development - to help you as teams and individuals focus on developing key behaviours and characteristics





ABC pyramid

Section one: Our Aspirations

What the council is working towards

Section two: Our Behaviours

What is displayed when you are working towards the council's aspirations

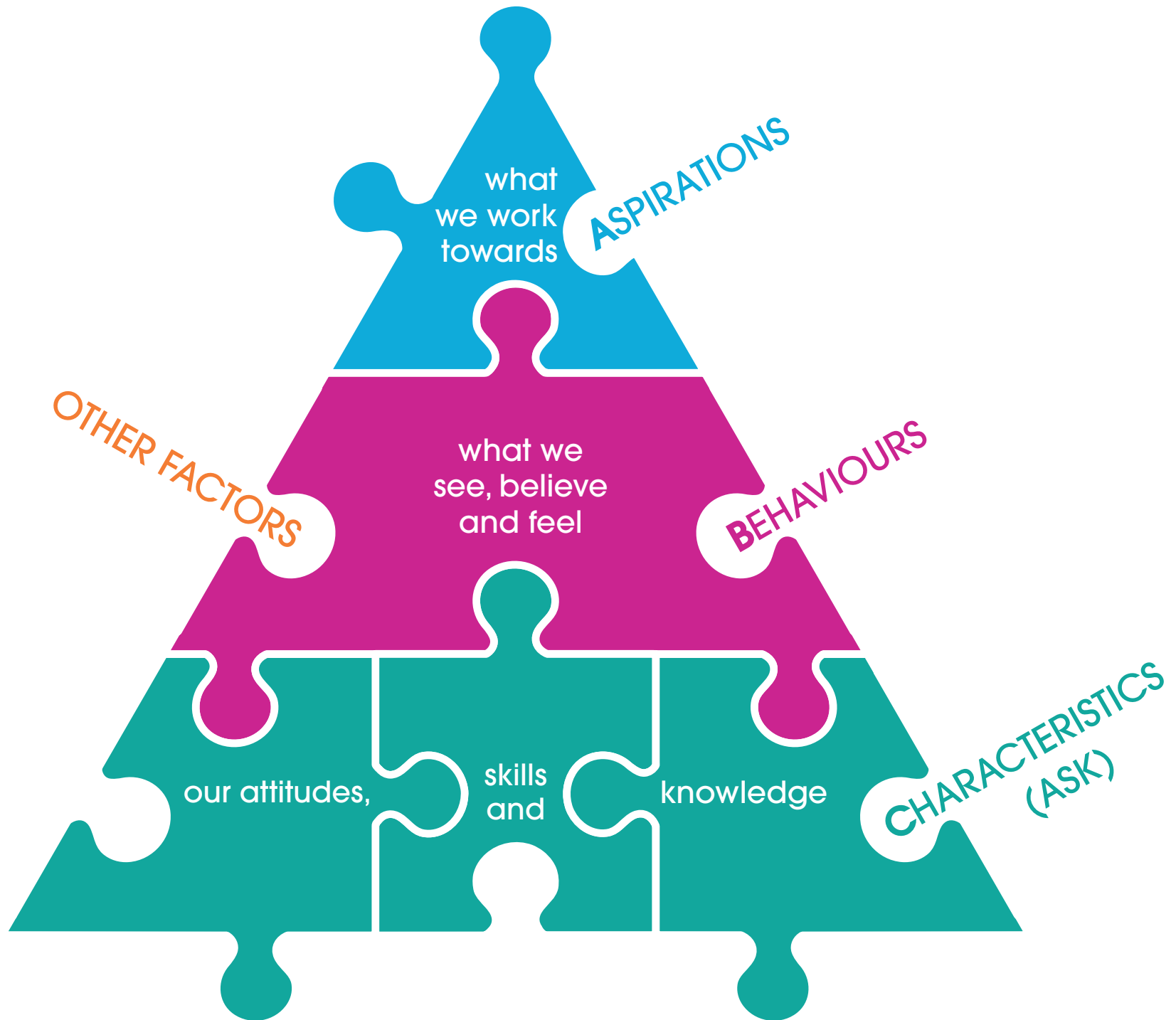
Section three: Our Characteristics

The attitudes, skills and knowledge (ASK) that underpin the behaviours and contribute to the success of the aspirations

In order to achieve the council's aspirations at the top of the pyramid, each section needs to be in place.

The success of achieving the aspirations depends on your behaviours, which in turn depends on the characteristics lying behind them being present.

Other factors, such as resources or working conditions, also have an impact on the overall pyramid.



Section one: Our Aspirations

The council's Cabinet led by the Leader of the Council has set out the aspirations for the council in the coming years, using feedback from residents and businesses.




Message from the Leader:

“ I would like to thank staff for shaping this framework into a document that they can use as a focus for achieving these aspirations.

We should remember that we are serving all residents and businesses, and that it is important to work together so that our aspirations for the borough are achieved.



The key themes of focus are:

-  Jobs/economic growth
-  Quality homes and places to live
-  Value for money services

These are expanded on the next page.

We can all identify how our role fits into achieving these aspirations - whether this is immediately obvious, or whether it is a bit more subtle.

Legend has it that when President Kennedy asked a NASA cleaner what his role was, he replied, "my job is to help put a man on the moon."

We should all keep in mind how what we do fits into the bigger picture of what the council wants to achieve.

people
serving
people



Ashford Borough Council

Jobs and Economic Growth

We are attracting and growing our business, leisure, retail and hospitality sectors. As part of this theme we are:

- Creating a vibrant town centre
- Helping nurture the entrepreneurs of tomorrow
- Using an entrepreneurial approach
- Supporting rural businesses
- Providing a 'can do' Planning and Development service
- Creating opportunity for all residents to understand welfare reform changes and proactively helping get people back to work

Quality Homes and Places to Live

We are striving to deliver the quality – not just of houses, but also of their environment and infrastructure to create the 'right' atmosphere where people want to live and enjoy life.

We support cultural, artistic and sporting events to make the borough a vibrant and welcoming place to live, work and visit. We aim to bring the community together through facilities, projects and events such as the Create music festival, activities for young people, promoting sport and active living, innovative housing development design at Chilmington Green and fantastic sports facilities at Conningbrook Park.

Value-for-Money services

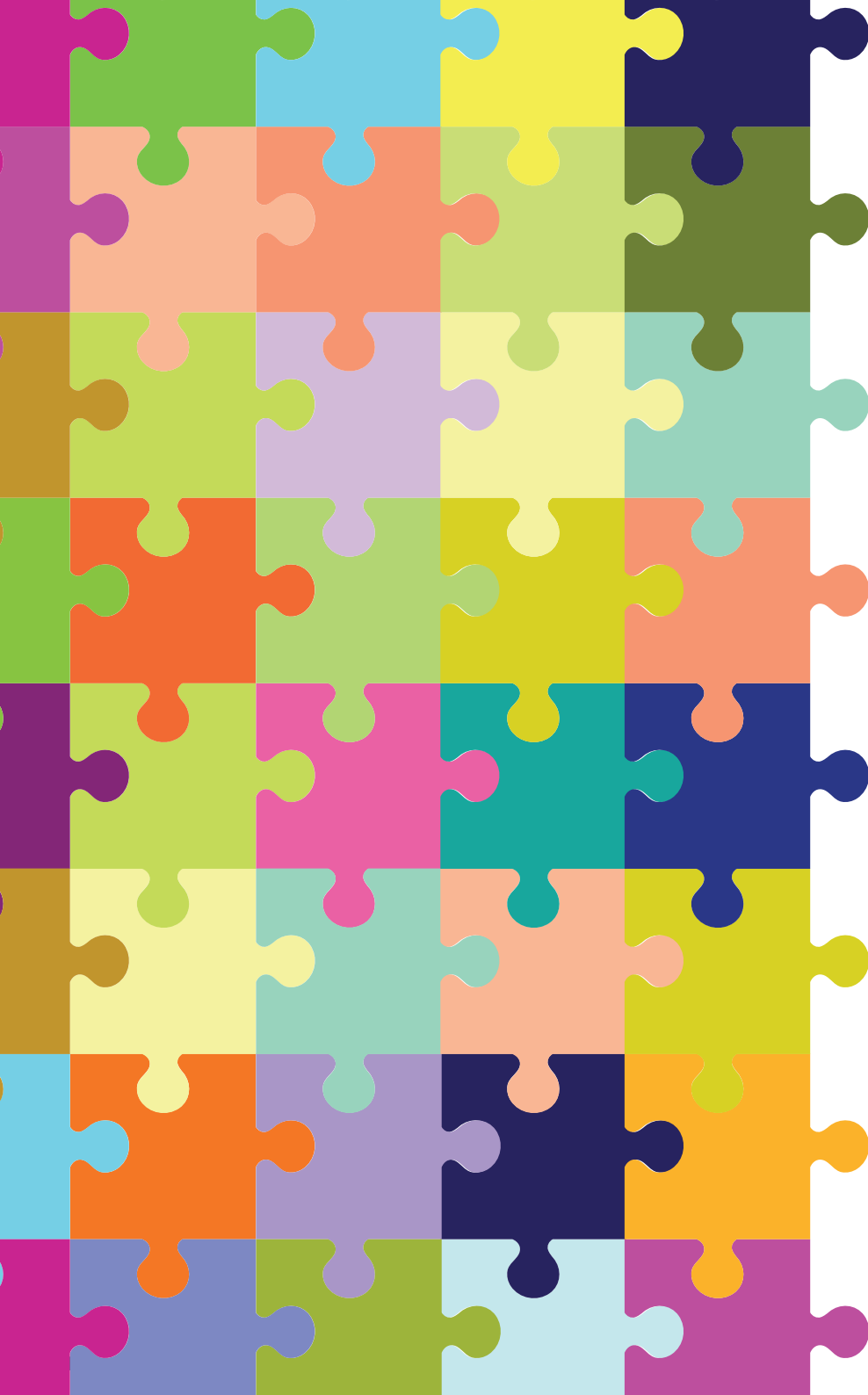
We need to concentrate on delivering effective and efficient services which are responsive to the needs of residents and businesses and provide value-for-money.

As part of this theme we are focusing on:

- Energy efficient buildings
- Keeping our council tax low
- Helping residents to help themselves via online communication
- Taking advantage of technology
- Proactive support for residents





We recognise it is important to achieve much, but keep spending to a minimum. This is why it is important that each of us manages and monitors our day-to-day role to provide value-for-money whilst maintaining good customer service and standard of work.

More detailed information on all these aspirations can be found in the Annual Report. This is filed under Strategy and Partnerships on the intranet.



Section two: Our Behaviours

Key behaviours have been grouped into four main areas:

-  How we lead by example*
-  How we manage ourselves
-  How we work with others
-  How we achieve the council's goals

These are not the only behaviours that are beneficial in the workplace, but are considered to be the main ones that will lead to the success of the council's aspirations.

They are all broad behaviours that each of us should display in our roles, regardless of where we are in the organisation.

The nature of your role may require further behaviours that relate to your specific duties – your manager will speak with you about these if this is the case.

It is important to point out that we do not expect perfection, neither do we want to change personalities. However, we do expect a professional attitude that strives to display behaviours that help us achieve our aspirations.

*The *How we lead by example group* is not just for managers. These are behaviours that each of us can display in our roles as we try to set an example for others.

Behaviour Groups





How we lead by example

(we are all required to set a good example for colleagues and customers)

COMMUNICATION	Communicate simply and clearly when writing and speaking
ACCOUNTABLE	Accept responsibility for own area of work and learn from mistakes
CONSISTENT	Be consistent when making decisions and dealing with others
OPEN	Welcome ideas and feedback and encourage openness
COOL HEAD	Remain calm and composed at times of pressure
POSITIVE	Be positive and enthusiastic, with a 'can-do' approach and be proactive, with a willingness to get involved



How we manage ourselves

(in our own roles on a day to day basis)

HONESTY AND INTEGRITY	Inspire trust by demonstrating honesty and integrity
PRIORITISATION	Manage own workload effectively to prioritise demands and meet deadlines. Use clear and realistic goals broken down into smaller objectives
SELF MOTIVATED	Be self motivated and work hard. Use own initiative and require minimal supervision
CONTINUOUS IMPROVEMENT	Challenge self to learn and encourage others to make changes to enhance performance and standards
SELF AWARE	Demonstrate self awareness by understanding own abilities and being aware of the impact of own behaviour on others
ATTENTION TO DETAIL	Complete work to the highest standard possible whilst balancing the need to deliver with good attention to detail



How we work with others

(building good relationships with colleagues, the community and partner organisations)

RESPECT	Treat others with respect and dignity at all times, ensuring that there is no discrimination regardless of background
LISTENING	Take time in conversations and meetings to listen to other people and consider their opinions
HELPFUL	Provide help willingly, and share own knowledge, time and skills to assist others
EMOTIONAL INTELLIGENCE	Understand the feelings of others and show tact and empathy
APPROACHABLE	Be approachable and pleasant to interact with
CONSTRUCTIVELY CRITICAL	Positively engage with others and keep any criticism constructive



How we achieve the council's goals

RISK AWARE NOT RISK AVERSE	Look at options before making a decision and promote acceptance of an appropriate level of risk
OPEN TO CHANGE	Be flexible and propose, accept and implement change where necessary
INNOVATIVE	Be brave and use creativity and innovation to solve problems by doing things differently
ENTREPRENEURIAL AND COMMERCIAL	Understand the direction of the council and where possible seek to replicate and develop good practice from all other sectors and apply their approach to the day to day role
COMMITTED	Display loyalty and commitment to own role, team priorities and the council as an employer. Be fully focused on delivery
KNOWLEDGE OF OWN SERVICE AREA	Be knowledgeable of own service area and have an awareness of the role of other council departments



Section three: Our Characteristics

This final section of the framework considers characteristics that lie behind successful behaviours, broken down into three areas of attitudes, skills and knowledge (ASK).

Displaying these characteristics could contribute to good behaviours, and equally the absence of them could lead to development needs.

If you find yourself struggling to identify that you, (or if you are a manager then a member of your team), displays a desired behaviour then you can ASK yourself some questions around the three areas.

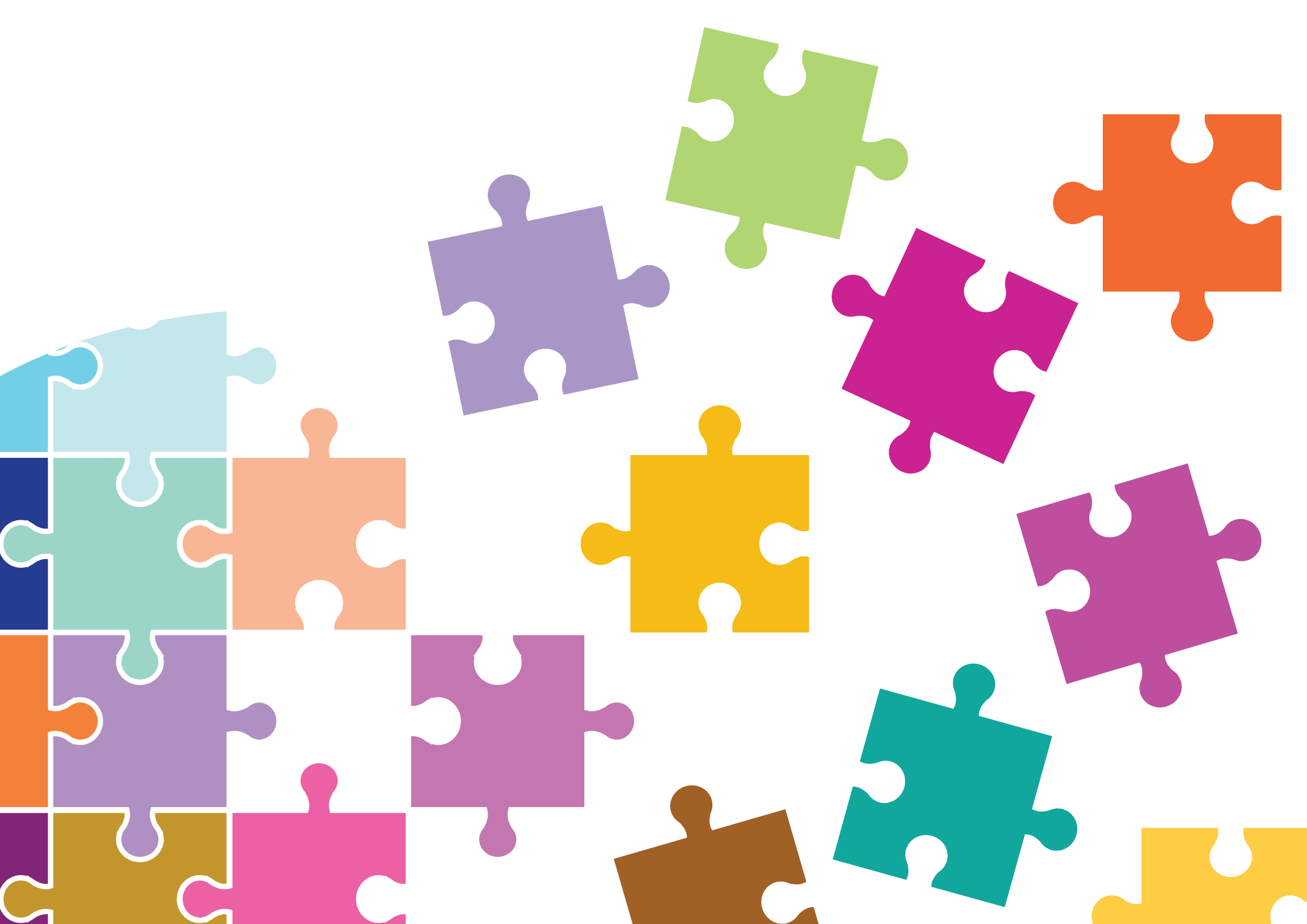
Here are some ways in which you could use the framework:

- Do I need to change an attitude to improve behaviour in a specific area?
For example: do I need to work on politeness so I am able to actively listen to others and therefore improve how I communicate?
- Does my team member have a specific skill that makes them especially strong in an area?
For example: are they really creative and good at problem solving which means they excel at innovation? Could I commend them for this at their appraisal?
- What knowledge do I need to help me deliver an even better service?
For example: am I up to date with government legislation in my area? Could I improve this by speaking to my colleagues, doing some online research or attending a training course?

This could help you prepare for a performance management discussion, or assist in identifying training and development needs. If you are a manager it could also be useful to consider in the recruitment process.

Examples of characteristics can be found within our appraisal guidance and recruitment guidelines, which should be read in conjunction with this framework.







Our people, Our behaviours



If you have any further questions about how to use this document then please see either Michelle or Susanna in Personnel.



UNPROVEN

- Probably new to the role
 - High potential but hasn't had a chance to show what they are capable of yet
- Would benefit from:**
- Coaching and mentoring
 - Focus on induction information
 - Discussion about technical knowledge and skills gaps

INNOVATIVE

- Comes up with new ideas and suggestions
 - Pushes boundaries and status quo
 - Shows signs of being ready for the next step, but needs to be tested further
- Would benefit from:**
- Stretch objectives that encourage innovation
 - Additional breadth to role to challenge further

OUTSTANDING

- Performs at the top end of peer group
 - Has strong leadership skills as well as operational expertise
 - Raises expectations for self and others
 - Understands future direction of council
 - Works across the organisation
- Would benefit from:**
- New areas of work to give them stretch challenges
 - Increased exposure to higher level to continue personal development

UNDECIDED

- Good at some things but has gaps in performance or knowledge
 - May be in informal stages of performance management process to help improve delivery
- Would benefit from:**
- Clear action plans covering work and learning objectives
 - Support in focusing on key areas through 1:1s and coaching

OPERATIONALLY STRONG

- Core of the organisation
 - Meets objectives
 - Has motivation and potential to do more
- Would benefit from:**
- Stretch objectives
 - Encouragement to use potential
 - Coaching to encourage greater levels of delivery

HIGH IMPACT

- Consistently outperforms most in peer group
 - Excellent performance with leadership qualities
 - Professional/technical expert
 - Uses networks to support delivery
- Would benefit from:**
- Stretch objectives
 - Challenges from manager's workload
 - Cross service project team exposure

UNDER PERFORMER

- Gap between what is required and what is delivered
- As part of formal performance management process, will be undertaking some or all of following:**
- Coaching
 - Encouragement to achieve required standards
 - Dedicated time with manager to review progress against objectives

EFFECTIVE

- Meeting objectives and hitting standards
 - Happy at current level – is not ready, or currently considering, new responsibilities or higher level work
- Would benefit from:**
- Encouragement to continually seek to improve processes and make role more efficient

EXPERIENCED PROFESSIONAL

- High delivery levels, strong professional contribution
 - Happy at current level – is not seeking promotion
 - May be towards the end of their career
- Would benefit from:**
- Becoming a mentor/coach to others in the team
 - Objectives that encourage sharing of knowledge and skills

Potential & Performance jigsaw

Corporate Training Programme | 2016

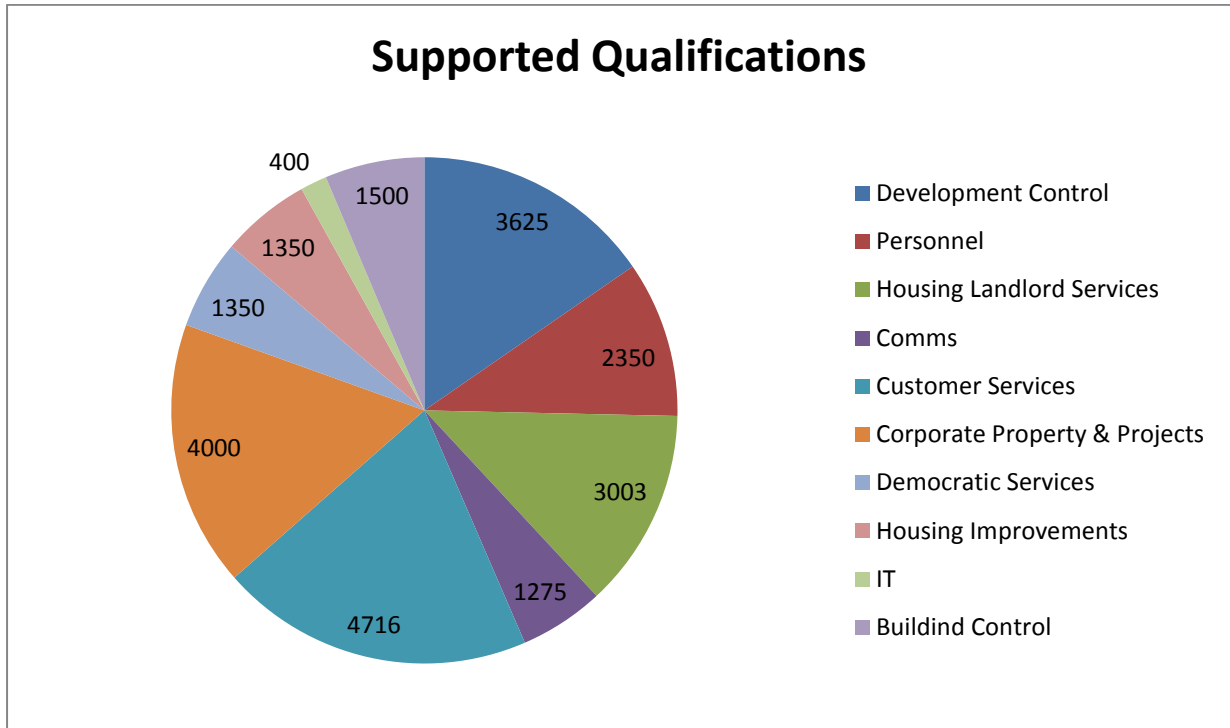
This note to Management Team details the corporate training programme for 2016-17. It has been developed using:

- Learning gaps identified by managers from annual reviews
- CPD requirements to maintain current levels of skills and qualifications
- Requests from managers
- Ongoing business as usual commitments i.e. H&S, adherence to legislation and induction
- Commitments from previous year
- Requests from annual appraisals (non learning gap – aspirational or succession)

Management and leadership training is now embedded within the council having been delivered over the last 3 years. We will seek to continue this with the continuation of a basic foundation layer of leadership skills that commenced in 2015-16, for first line managers and supervisors giving people the skills and confidence to step into managerial roles for the first time. This learning is delivered in-house with learners drawing only the development they require and without a sheep dip approach. This can, where appropriate, be supplemented with accredited learning at levels 2 and 3. This will ensure a sufficient backfill as people move through the organisation.

The Ashford Manager Programme continues with the 3rd cohort just starting. Evaluation from the 1st cohort was completed recently and highlighted some strong positive impacts around leadership, confidence and strategic thinking. This ensures that managers start to consider issues in a more strategic and corporate wide light. The programme linked to their assessment on the appraisal system and required a submission from the delegate as to why they were suitable for the further development. By linking to the assessment it ensured that meaningful assessments were conducted with SMART objectives that linked to the business plan. The delegate submission ensured that only those people who were in a position to commit to extra responsibilities for the duration of the programme were selected. The appraisal system has not previously been used to aid in talent development so by building this link it increased the profile of the appraisal. This served to ensure that team members' objectives were designed specifically to achieve the wider business plan by executing the department plan.

Qualifications. We will continue to support professional development where CPD is required in order to retain qualified status or where a team member commences on their qualification journey. 2016 sees 13 team members starting their professional training with 2 continuing their learning. This will cost circa £24,000.



Project Management training has commenced with people enthusiastically taking up new methods of work and supporting Charlotte in her role with a consistent method of work across services. This needs to continue to rollout to ensure all project leads and team members understand the methodology.

Conflict management training was highlighted during the Construction Site Safety course last year with lone workers, particularly those involved in enforcement feeling vulnerable. With the emphasis on enforcement action it is right that we support those members of our team to ensure they have the skills to remain safe in the field but also de-escalate conflict and deliver world class service. This learning will be delivered to both field workers and in-house as appropriate to their role.

Business as usual learning will continue to form a large part of the training programme.

The H&S rollout continues with the introduction of 'Topic of the Month'. This commenced in a low key format with fire safety in November but has since – since evaluating the outcomes – had a raised profile with a wider communication piece. Team members are currently completing learning in slips, trips and falls and will be looking at display screen equipment and repetitive strain injury next month. The increased visibility of the 'Topic' has increased the uptake of the learning significantly at this point in time.

All new team members will follow **the induction process**. This also allows us the opportunity to look at training programmes linked to job descriptions to ensure efficient on-boarding reducing the time new team members take to achieve competence.

We will make sure that **refreshers on legislation** are conducted where appropriate in all applicable areas. A new monitoring method has been put in place to facilitate this and ensure team members

are up to date with changes but also to refresh historic learning. This has been demonstrated to be crucial following audits where we have not been strong in this area. Line managers have been asked to support this and initial results are positive.

Where new legislation or policies are developed we need to ensure provision for all team members to be trained on their responsibilities and obligations. The focus has been on **Safeguarding** on the latter part of 2015 and this continues to be a strong theme for 2016 with initial mandatory learning at all appropriate levels being conducted with refreshers planned as applicable.

We need to be aware that the **Ground Maintenance Mobilisation** project will take significant resource this year both in personnel and financial terms.

New and innovative ways of delivering learning will continue with the use of opportunities given from stretch assignments – particularly for those team members who have completed a leadership programme, the use of secondments either to cover an absence or increase in workload or as a deliberate learning attachment and also the use of online learning through webinars (avoiding the need to leave the business and incur other costs) or free seminars etc. We have also a series of eBooks available for team members to use and access to 118 eLearning titles with others to follow.

We will continue with the successful **line manager support sessions** that have supported the understanding of HR issues. These will also be incorporated in the first line manager training previously mentioned to ensure supervisor/manager confidence in dealing with manpower issues i.e. absence management, discipline and grievance etc. This gives us the ability to monitor and follow up to ensure the learning is applied in the workplace.

IT are currently making changes to the **Corporate Complaints Tracker** and as such this will form part of this year's training plan with team members being trained in the use of the tracker. Customer services will provide details of the team members within each service that need to be updated.

Data protection will require a further targeted learning intervention following on from the audit ABC-G03. There has been provision made for this.

The **annual appraisal** offers people the opportunity to develop their skills with learning that will either support the person in their current role or prepare them for a future role. This year requests have been varied with many requests for development in areas as diverse as basic computer literacy to plumbing skills. The majority of requests however are for learning that supports their current role. Some of these requests will be handled in-house with minimal cost impact however we need to ensure budget provision to cover the remainder. We need to ensure going forward that there is clarity within the learning needs sections where managers or the team member clearly identify the learning required and where possible give an estimated cost. This year I have not always been able to identify what was being asked for so have been unable to cost and include. There is currently a shortfall in budget so not all requests will be able to be covered within this financial year, particularly as we need to allow a contingency for issues that arise that were not considered when drawing up the budget. Departments will need to prioritise where appropriate. Although these needs are not detailed here the funding will be taken from the 'balance' remaining after the named items have been accommodated. Because of the constrictions mentioned we may not be able to fund ad-hoc requests that arise through the year, therefore additional learning requests and interventions that

emerge during the year may have to be met by service budgets and management team are asked to be mindful of this constraint when considering the budget for future projects or audit action plans.

With the budget being limited we are now looking for services to fund **travel and subsistence** for external learning events from their own internal budget. This will allow us to utilise the learning budget purely for learning provision.

We reviewed our **e-learning provider** last year. We were able to provide licenses for all ABC team members and the Councillors. Although there was an increase in overall cost the cost per license halved enabling us to offer 118 courses at a cost of £14pp. This enables us to ensure that we can deliver the mandatory training required quickly and cost effectively.

We have also used this to create targeted learning in-house and there are plans to continue this in 2016-17. Creating this learning in-house enables us to significantly reduce cost from procuring externally, but also to ensure learning is fit for purpose and circumstances within Ashford. The aim is to complement existing offerings in order to offer a blended approach - taking into consideration people's individual learning styles to ensure minimal learning decay.

Last year there were many successful **learning interventions** including negotiation skills, project management and IT skills. These will continue following good initial evaluation results. These will take the form of 1-1 or 1-group sessions. There may also be the opportunity for e-learning to be used. We will also promote other e-tools such as webinars and links to resources like TED talks.

In previous years there has been an issue with **non-attendance at training events** either by cancellation or no shows on the day. This is extremely costly as we still have to pay for the place and there is no opportunity for another person to take up the seat at the learning event. Going forward this cost will be passed onto the relevant service department unless notification is received one week prior to the event unless the delegate is sick. In this case personnel need to be notified either before or on the morning of the event. This will be included in information to delegates and service heads so they are aware of this change in procedure.

Consultancy and membership fees. There are significant amounts set aside as standard payments to cover annual fees or payments for services for specific bodies. These include bank of hours payment for legal training and Central Law Training membership. Provision of annual training support for revs and bens. LoCTA renewal and Midland consultation days.

Central Training Budget	£90,000 + £7000 for safeguarding
Total Corporate Training Programme (Attached)	£40,250 (inc safeguarding)
Total Committed to Professional Training	£24,000
Total committed to annual subscriptions or consultancy	£7,600
Balance for ongoing individual training needs identified in reviews	£25,150

Management Team are asked to:

- Approve the allocation of the budget and the Corporate Training Programme
- Note the limited flexibility of the budget by us actively meeting most training identified through appraisals
- Note that unplanned training needs will need to be met by services
- Note recharges for no-shows and costs for travel and subsistence to the service

Corporate Training Plan 2016-17

Management Development

Foundation Level		
Description of content and overall aims	<p>This is aimed at first line managers and has a menu of offerings to be selected by the delegate to support their own development needs.</p> <p>Modules include:</p> <ul style="list-style-type: none"> • Personal management, inc. planning and prioritisation • Intro to EI • Goal setting • Team leading • Influencing techniques • Communication skills • Managing change • Performance management • Career development 	
Measure of success	<p>Delegates would be able to confidently deliver basic managerial skills and understand the principles of teams and how to manage them and also their own behaviours.</p> <p>The impact would be improved productivity and reduced conflict in teams.</p>	
Attendees	<p>This is aimed at those people leading teams for the first time or who have never previously received training in this area. It is also to be used by line managers to offer to their teams for either future development purposes or in order to address specific issues. The topics can be selected individually or taken as a group as part of a wider programme.</p>	
Delivery	<p>In house delivery with internal trainer. 9 individual sessions, 4 full and 5 part day. There is the opportunity to add other offerings to this list as required.</p>	
Costs	<p>Additional materials to be delivered online. Course day materials at £5 per delegate.</p>	£300
Date of delivery	Between July and December	
Training provider	Internal	

Ashford Manager Programme		
Description of content and overall aims	Aimed at people who may be getting ready for their next senior role supporting managers of the future. We developed a bespoke programme that complements the Aspiring Leader programme, aiming to make individuals make that link between management and leadership in readiness for future opportunities. The programme helps to break down barriers whilst helping delegates understand the strategic and corporate context and how it links to their role and their team. Allocation of places link to the appraisal discussion.	
Measure of success	Individuals have an improved understanding of what it means to be working at the next level, are able to contribute with a greater understanding to the direction and success of their service area.	
Attendees	A cohort was identified using the appraisal document process.	
Delivery	April – September 2016	
Costs	360° tool 6 days of delivery of 4 modules Lunch: 8 days, 9 attendees (inc trainer) @£6ph Plus tea, coffee, milk, sugar, biscuits Trainer travel expenses Venue – free – International House meeting room requested for all sessions, contingency only provided for	£10,000
Date of delivery	See schedule for full details, 3 rd cohort April 2016,	
Training provider	SOLACE	

Corporate Complaints Tracker		
Description of content and overall aims	Sessions to train team members in the new complaints tracker in order to ensure that each service has people able to use the system.	
Measure of success	Delegates able to effectively utilise the Corporate Complaint Tracker.	
Attendees	Any relevant team member as identified by the service	
Delivery	In house – internally facilitated briefings throughout the year.	
Costs		
Date of delivery	Following the rollout of the changes to the tracker.	
Training provider	In house	

Data Protection		
Description of content and overall aims	Sessions to train team members in their responsibilities under Data Protection Legislation following the audit ABC-CG03.	
Measure of success	Delegates understand their roles and responsibilities under Data Protection.	
Attendees	Any relevant team member as identified by the service	
Delivery	In house.	
Costs	Provision of £2,000 made pending outcomes of audit.	
Date of delivery	Following the rollout of the changes to the tracker.	
Training provider	In house	

Line Manager Support Sessions		
Description of content and overall aims	A series of short interactive sessions designed to promote a better understanding of personnel policies and practices at ABC. Also a series of behavioural/technical sessions to support with absence management, performance management, equality, hearings and capability disciplinary processes, restructuring and stress awareness.	
Measure of success	Delegates to report improved confidence in handling staff issues. Also improved technical competence in basic skills.	
Attendees	Any relevant team member	
Delivery	In house – internally facilitated briefings throughout the year.	
Costs	Printing and documentation.	£200
Date of delivery	Throughout the year.	
Training provider	In house	

Project Management		
Description of content and overall aims	<p>This course will give basic skills in project management over 1 day. The aim is to align all PM processes within ABC to ensure consistency and also more effective cross functional working.</p> <p>The course takes delegates through a project from its conception to its ultimate conclusion applying the learning as they go.</p>	
Measure of success	<p>Delegates will be able to:</p> <ul style="list-style-type: none"> • have a clear understanding of project management within ABC and the methods used for managing resources. 	
Attendees	Team members who act as part of a project team with accountability for delivering part of or whole projects. There will be a reduced session for those acting as part of a project team.	
Delivery	In house delivery by an external provider 2 x 1 full day workshop. Internal ½ day sessions for project team workers.	
Costs	Materials and delivery	£4,000
Date of delivery	Through 2016-17	
Training provider	Mid Kent College	

Conflict Management		
Description of content and overall aims	This course will give basic skills in conflict management over 1 day. The course takes delegates through skills and techniques to avoid situations where conflict may occur, or diffuse situations that have already escalated. There will be 2 versions – 1 for those team members working in an enforcement role as a lone worker, 1 for customer facing staff either on the telephone or in main reception.	
Measure of success	Delegates will be able to: <ul style="list-style-type: none"> • recognise potential conflict situations • be able to recognise personal triggers for conflict • use language that will diffuse a situation • remove themselves from potentially dangerous situations 	
Attendees	Team members who are lone workers in sites with potential for conflict, e.g. enforcement officers. Customer facing workers within the council offices.	
Delivery	In house delivery by an external provider 4 x full day workshop	
Costs	Materials and delivery	£5,000
Date of delivery	Through 2016-17	
Training provider	External tbc	

Corporate Induction		
Description of content and overall aims	2 half day sessions delivered every 12 weeks to new starters. <ul style="list-style-type: none"> • Part 1: Working at ABC with various officers coming in to speak. A welcome from a member of MT on a rota basis • Part 2: The political composition of ABC and how decisions are made with a welcome from a cabinet member, again on a rota basis 	
Measure of success	New starters have a better understanding of ABC's aims, objectives and decision making and organisational structures.	
Attendees	New starters	
Delivery	In house internally facilitated briefings.	
Costs	No direct costs to the training budget.	
Date of delivery	June, September, December and March 2016-17	
Training provider	Internal facilitators	

Health and Safety Training		
Description of content and overall aims	<p>This is the routine 3 year refresh of H&S training. The H&S team have overhauled the modules that starters are required to undertake making it less time intensive and more relevant.</p> <p>5 core subjects for all staff to complete:</p> <ul style="list-style-type: none"> • An Introduction to H&S at Work • Display Screen Equipment and Workstation Safety inc Repetitive Strain Injury • Fire Safety & Evacuation • Safe Manual Handling • Slips, Trips and Falls <p>There are 3 additional courses for managers/supervisors</p> <ul style="list-style-type: none"> • Managing Stress at Work • Introduction to Managing H&S • Risk Assessment for Managers <p>All these courses look at basic concepts of hazard and risk and explain both the legal and practical reasons why every person in an organisation needs to undertake these courses.</p> <p>All new starters will have this training as part of their induction package.</p>	
Measure of success	All staff will have a renewed understanding of their responsibilities under H&S law and act responsibly ensuring the H&S of themselves, colleagues and others is protected.	
Attendees	All team members in a rolling 3 year period	
Delivery	e-learning	
Costs	Cost covered under existing e-learning agreements	
Date of delivery	Ongoing	
Training provider	iShare – Learning Nexus	

Health and Safety Training		
Description of content and overall aims	Construction site safety – this is a follow on to 2015’s face to face course, this will be delivered by elearning offerings provided by Learning Nexus and also as an in-house offering to fill gaps in the LN offering.	
Measure of success	Staff who attend construction sites will have an understanding of hazards they face and control measures they can put in place to remain safe.	
Attendees	All affected team members	
Delivery	e-learning	
Costs	Cost covered under existing e-learning agreements	
Date of delivery	Ongoing	
Training provider	iShare – Learning Nexus	

Health and Safety Training		
Description of content and overall aims	Level 2 supervising safely for supervisory team members. This is a 2 day course with an end exam to detail responsibilities under the various streams of Health and Safety law.	
Measure of success	Supervisory staff will have a clear understanding of their responsibilities under H&S law.	
Attendees	Impacted team members as advised by line managers.	
Delivery	Face to Face	
Costs	Cost being covered by parking services	tbc
Date of delivery	September	
Training provider	Mandy Disney	

Ongoing mandatory learning		
Description of content and overall aims	<p>Aimed at new starters and as part of a 3 year refresher these courses provide an overview of the following topics.</p> <ul style="list-style-type: none"> • Safeguarding • PREVENT • Slips, trips and falls, • Display screen equipment • Repetitive Strain Injury • Data protection • Freedom on information • Introduction to H&S at work • Safe manual handling • Fire safety 	
Measure of success	Awareness of key safety and legislative concepts amongst all staff.	
Attendees	New starters, refreshers for existing staff every 3 years	
Delivery	e-learning	
Costs	Cost covered under existing e-learning agreements	
Date of delivery	Ongoing	
Training provider	iShare – Learning Nexus	

Safeguarding		
Description of content and overall aims	<p>Learning tailored to requirements.</p> <p>Level 1 – all staff via elearning</p> <p>Level 2 – staff identified via an audit as working with adults at risk and children – face to face</p> <p>Level 3 – staff directly supervising adults at risk or children or with specialist roles – face to face</p>	
Measure of success	All staff conversant with the legislation and policies surrounding safeguarding at their appropriate level.	
Attendees	All staff at appropriate and communicated level	
Delivery	e-learning and face to face dependant on requirement	
Costs	Cost covered under existing e-learning agreements Edify 10 days for initial delivery at £600 per day plus purchase of copyright and sweep ups.	£7,000
Date of delivery	Ongoing	
Training provider	iShare – Learning Nexus, Edify, KSCB	

E Learning		
Description of content and overall aims	The e learning system provides a range of flexible topics to staff to support their ongoing development. It is an important tool we use to promote a culture of self directed learning with individuals taking responsibility for their own development. E learning is a cost effective and flexible way of meeting training needs to maximise individual's performance.	
Measure of success	All team members regularly using the system for compliance and skills training.	
Attendees	All team members	
Delivery	On line web based	
Costs	All staff have a licence and access to all courses. This includes an additional amount to cover the forthcoming TUPE transfer of the grounds maintenance team.	£8,250
Date of delivery	Ongoing	
Training provider	iShare – Learning Nexus	

IT Skills Development		
Description of content and overall aims	Microsoft Excel and Word training using a blended learning approach provides a flexible and cost effective way of meeting our IT training requirements. Stage 1: Online IT training Stage 2: IT surgery where groups of 6 can focus on specific functions of the systems that would help them in their day to day work.	
Measure of success	Using real work problems will make it very relevant and more memorable than a longer session may be, helping to embed and transfer learning in the work place.	
Attendees	Team members as identified	
Delivery	In house using e-learning and ½ day slots where their own work can be used to facilitate learning. Delivered in a group of 6.	
Costs	Surgery costs 2 individual slots per day X £300 per day x 7 days or 14 half day sessions dependant on learner’s individual requirements. Some elearning is available dependant on base skills of the learner.	£2,100
Date of delivery	June, August, September 2015	
Training provider	Claire Yeo – IT training specialist E learning	

Staff Awards (Training)		
Description of content and overall aims	To celebrate successes and provide a platform to recognise individuals learning and development achievements.	
Measure of success	Presented to members of staff who have successfully completed a qualification course during the previous 12 months.	
Attendees		
Delivery	In house delivery	
Costs	Prize money/ Trophy £20pp	£360
Date of delivery	December 2015	
Training provider	In house	