

MANAGING DIRECTOR APPRAISAL PROCESS

Version	Date	Detail	Author
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PROCESS FOR APPRAISAL OF THE MANAGING DIRECTOR

1. Introduction

- 1.1 This Appraisal process is in line with the guidance set out in the Joint Negotiating Committee for Local Authority Chief Executives National Salary Framework & Conditions of Service Handbook. The focus of this process should be on clarifying what the Managing Director is expected to achieve and deliver whilst identifying any continuing developmental needs which, if met, would maintain a high level of performance. The process of setting goals should be by agreement and the result should be to identify goals which are relevant and challenging but achievable.
- 1.2 The process should not become complex. At all times it needs to focus clearly on a few basic issues: what the Managing Director's job is; what has been done well; what could have been done better; the success of the collective leadership model; the behaviours that have been successfully demonstrated to support delivery of goals; the major issues over the next year; and what developmental needs the process clearly identifies.

2. Responsibility for Appraisal

- 2.1 The responsibility for appraising the Managing Director lies with the Leader of the Council utilising independent external advice where both parties agree. It is a contractual obligation on both the Managing Director and the employing council to engage in a regular process of appraisal.
- 2.2 The management of the appraisal process for the Managing Director lies with the Director of Organisation Development and Policy. This includes arranging the meetings, providing any necessary supporting information and sourcing external assistance for the process.
- 2.3 When conducting the appraisal the Leader needs to bear in mind at all times that the Managing Director is employed by the council as a

whole, not by the controlling group and is therefore required to serve all of the council.

3. Aims of Appraisal

The appraisal will be undertaken in the form of a Performance and Development Review (PDR).

- To identify and clarify the key objectives, priorities and targets of the council and appropriate timescales for their achievement over the next 12 months.
- Agree what the Managing Director should personally achieve over the next twelve months and identify required standards of performance through development of clear goals, in order to deliver the council's key objectives, priorities and targets. Wherever possible standards of performance should be expressed in ways which can be monitored objectively aligned to the leadership behaviours which will enable successful delivery of the agreed goals.
- Discuss positive achievements over the past twelve months and identify whether the goals have been met, not met or exceeded, including the Managing Directors and Executive Directors contribution to the collective leadership model.
- Over the past twelve months where goals have not been met, identify the factors preventing the achievements of agreed goals.
- Discuss developmental requirements. The Managing Director will have strengths and weaknesses and the parties should identify the professional development necessary to equip the Managing Director with the requisite skills to meet the council's objectives. The parties should be proactive and anticipate future developmental needs in the context of the council's changing priorities. This discussion could lead to the design of a formal programme of continuous professional development (CPD). Equally this discussion may lead to agreement on changes to the working relationship between leading members and the Managing Director. It should not be assumed that it is only the Managing Director who may need to adjust his/her approach to the working relationship.

3.1 The PDR should be set in the context of the council's objectives, priorities and targets, generally expressed in corporate or departmental plans. Appraisal targets when taken as a whole should be related to agreed targets for the council as a whole.

4. The Appraisal Cycle

Performance Appraisal Review and Monitoring	Timescales
Formal Annual Performance and Development Review (PDR) meeting - to review progress against objectives at the end of the year and to set objectives for the forthcoming year	April
Informal Half year Performance and Development Review (PDR) Meeting – To cover progress against objectives at six monthly point and to refine priority performance areas. This will be undertaken by the Leader.	September

In addition to the formal review meetings set out above, there is an expectation that any concerns from either side would be raised during the course of the appraisal cycle and regular one to one meetings.

5. Key elements of the Appraisal Process

- Continuous two-way monitoring of performance against objectives.
- Preparation for an annual performance and development review (PDR) and informal half year performance and development review (PDR).
- A formal annual PDR meeting where recent and current performance, feedback from stakeholders using 360 feedback process, future objectives and development needs are discussed.
- Agreement on action required from either party to ensure required performance is achievable.
- A continuing process of informal discussion regarding performance and regular one to ones.

The process is set out at Appendix 1.

6. The PDR and Afterwards

- Both parties should be well informed and prepared for the PDR meeting.
- The process should be two-way.
- The interview should be free from interruptions and notes should be taken when necessary.
- The parties should concentrate as far as possible on established facts rather than unsubstantiated opinions.
- Targets which are realistic and capable of being monitored should be agreed.
- Any agreed personal development plans should be implemented within the agreed timescale.
- The Managing Director should be given a reasonable opportunity to correct any shortfalls in performance.
- A date for the next review should be agreed.

7. External Assistance

7.1 Where external assistance in facilitating the appraisal process is agreed, it will be commissioned by the Director of Organisation Development and Policy, using an agreed specification to provide an independent perspective. Any objections to the identified independent adviser must be raised, in writing, with the Director of Organisation Development and Policy and be well founded.

8. Other Matters

8.1 The detailed content of PDR meetings should normally be treated as confidential to the participants, unless both parties agree that it would be helpful for this to be shared more widely. It is important however that the agreed organisational goals for the Managing Director are cascaded to Executive Directors through the Executive Director PDR process to support provision of line of sight when considering the

Council's wider employee performance management approach. It will also be reported to the Appointments and Conditions of Service Committee that the annual formal PDR meeting has taken place.

- 8.2 It should not be assumed that the process for appraising the Managing Director should be followed in precise detail for other staff. There is a fundamental difference between Elected Members appraising the Managing Director and managers appraising their teams. The principles, nevertheless, are the same.

Appendix 1

Managing Director Appraisal Process

Pre – Formal PDR Meeting

- Director of Organisation Development and Policy commissions the external independent adviser to the process using an agreed specification. Relevant paperwork and information provided to the external independent adviser.
- Managing Director given 28 days' notice of formal PDR meeting.
- The external independent adviser seeks feedback on agreed criteria, developed in consultation with Director of Organisation Development and Policy, in advance of the formal meeting from;
 - Leader
 - Managing Director
 - Corporate Management Team
 - All Cabinet Members
 - Leaders of the Main Opposition Groups
 - Two external partners to be agreed with the Leader and the MD

The feedback may be collated by face to face discussions or by completion of questionnaires and the method adopted will be agreed in advance. The Director of Organisation Development and Policy will facilitate any further requests for information from the external independent adviser.

The external independent adviser collates the feedback and shares, in writing, with the Leader and Managing Director in advance of the formal PDR meeting.

PDR Meeting - Individual

- The external independent adviser meets with the Leader individually to discuss the Managing Director performance against set goals and identify potential new goals for the coming cycle, taking into account the feedback from stakeholders as set out above.
- The external independent adviser meets individually with the Managing Director to discuss performance against set goals and identify potential new goals for the coming cycle, taking into account the feedback from stakeholders as set out above.
- The external independent adviser facilitates the PDR meeting with the Leader and Managing Director to evaluate performance against set goals from the previous 12 months and identify new goals for the coming cycle.
- The external independent person records the discussion.

Post annual PDR Meeting

- The external independent person provides a written record of the outcome of the Managing meeting which details performance against set goals and the new goals for the coming cycle and is shared with the Leader and Managing Director.
- A copy will be provided to the Director of Organisation Development and Policy to place on the Managing Director file.
- Should significant performance issues through this process be identified, the Leader will seek advice from the Director of Organisation Development and Policy.