

PUBLIC

Appointments and Conditions of Service Committee

24 June 2019

Report of the Director of Organisation Development and Policy

Executive Director Performance Appraisal

1. Purpose of the report

To notify the Appointments and Conditions of Service Committee (ACOS) of the Executive Director Performance Appraisal Process.

2. Background Information

It is a contractual obligation on both the Executive Director and the employing council to engage in a regular process of appraisal. The focus of this process should be on clarifying what the Executive Director is expected to achieve and deliver in their role, whilst identifying any continuing developmental needs which, if met, would maintain a high level of performance. The process should also consider the application of the collective officer leadership operating model for the Council.

The responsibility for appraising the Executive Director lies with the Leader of the Council utilising independent external advice. The ACOS committee's role is to ensure that the Leader of the Council is undertaking effective performance monitoring of the Executive Directors. The detailed content of appraisal interviews will be treated as confidential to the participants, unless both parties agree that it would be helpful for the objectives agreed for the ensuing period to be shared more widely. The appraisal process being adopted is attached at Appendix 1.

A report will be presented annually by the Director of Organisation Development and Policy to a meeting of the ACOS committee confirming that the appraisal process has been completed.

Executive Directors and the Leader of the Council have been engaged in the development of this process, facilitated by the Director of Organisation Development and Policy.

3. Other Considerations

In preparing this report the relevance of the following factors has been considered: financial, legal, the Council's constitution, human resources, social care and equality and diversity.

4. Officer Recommendation

The Appointments and Conditions of Service Committee (ACOS) notes the Executive Director appraisal Process as set out in Appendix 1.

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Director of Organisation Development and Policy

EXECUTIVE DIRECTOR APPRAISAL PROCESS

Version History			
Version	Date	Detail	Author
1.0	24/01/19	First draft	Emma Crapper
2.0	28/01/19	Comments received from Janie Berry and incorporated into document	Emma Crapper
3.0	17/05/19	Updated following comments received from Barry Lewis and Emma Alexander	Emma Crapper
4.0	11/06/19	Updated following consultation meeting 03/06/19 with Executive Directors and Leader.	Emma Crapper

Links and Dependencies
Council Plan
Strategic Dashboard
Service Plans

JOINT GUIDANCE ON APPRAISAL OF EXECUTIVE DIRECTORS

1. Introduction

- 1.1 This guidance is intended for use by senior elected members and Executive Directors when agreeing a process for appraising the performance of an Executive Director. The focus of this process should be on clarifying what the Executive 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 will also consider the application of the collective officer leadership operating model for the Council. The process of setting objectives should be by agreement and the result should be to identify objectives 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 Executive Director's job is; what has been done well; what could have been done better; the success of the collective leadership model; 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 Executive Director lies with the Leader of the Council utilising independent external advice. It is a contractual obligation on both the Executive Director and the employing council to engage in a regular process of appraisal.
- 2.2 The management of the appraisal process for Executive Directors 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 Those conducting the appraisal need to bear in mind at all times that the Executive 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

- 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 Executive Director should personally achieve over the next twelve months and identify required standards of performance, 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.
- Discuss positive achievements over the past twelve months and identify reasons for good performance, including the Executive Directors contribution to the collective leadership model.
- Discuss instances over the past twelve months where objectives have not been met, identifying the factors preventing the achievements of agreed goals.
- Discuss developmental requirements. Each Executive Director will have strengths and weaknesses and the parties should identify the professional development necessary to equip the Executive 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 Executive Director. It should not be assumed that it is only the Executive Director who may need to adjust his/her approach to the working relationship.

3.1 Appraisal should be set in the context of the council's objectives, priorities and targets, generally expressed in corporate or departmental plans.

4. The Appraisal Cycle

Performance Appraisal Review and Monitoring	Timescales
Formal annual appraisal meeting - to review progress against objectives at the end of the year and to set objectives for the forthcoming year	April
Informal six monthly review – To cover progress against objectives at six monthly point and to refine priority performance areas.	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.

5. Key elements of the Appraisal Process

- Continuous two-way monitoring of performance against objectives.
- Preparation for an appraisal interview.
- An appraisal interview 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.

The process is set out at Appendix 1.

6. The Appraisal Interview and Afterwards

- Both parties should be well informed and prepared for the interview.
- 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 Executive 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 External assistance in facilitating the appraisal process 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 person 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 appraisal interviews should normally be treated as confidential to the participants, unless both parties agree that it would be helpful for the objectives agreed for the ensuing period to be shared more widely. However, it will be reported to the Appointments and Conditions of Service Committee that the appraisal interview has taken place.

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

Appendix 1

Executive Director Appraisal Process

Pre – Formal Appraisal 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.
- Executive Directors given 28 days' notice of formal appraisal 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
 - Executive Director
 - Other Executive Directors
 - All Cabinet Members
 - Leader of the Opposition
 - Direct Reports of Executive Director

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 person.

The external independent person collates the feedback and shares, in writing, with the Leader and the individual Executive Director in advance of the formal appraisal meeting.

Appraisal meeting – Collective

- The external independent adviser leads a meeting of the Leader and Executive Directors to provide an overview of the effectiveness of the Councils collective officer leadership model, based on the stakeholder feedback as set out above, identifying strengths and weaknesses of the model. A written report will be provided to the Leader and the Executive Directors following the meeting.

Appraisal Meeting - Individual

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

Post Appraisal Meeting

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