WIRRAL

Corporate Governance Committee

Date:	**Wednesday, 26 October 2011**
Time:	**5.00 pm**
Venue:	Committee Room 1 - Wallasey Town Hall

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AGENDA

1. **MEMBERS CODE OF CONDUCT - DECLARATIONS OF INTEREST**

   Members are requested to consider whether they have a personal or prejudicial interest in connection with any of the items on this agenda and, if so, to declare it and state the nature of such interest.

2. **TERMS OF REFERENCE**

   The initial Terms of Reference of the Corporate Governance Committee as recommended by AKA in the Corporate Governance Report, are as follows:

   Assessing and reporting on the Council's current performance against seven Corporate Governance questions:

   1. How well are the authority's policies implemented in practice?
   2. How well are the authority values and ethical standards met?
   3. How well are laws and regulations complied with?
   4. How well are required processes adhered to?
   5. Are financial statements and other published information accurate and reliable?
   6. Are human, financial and other resources managed efficiently and effectively?
   7. Are high-quality services delivered efficiently and effectively?

   Identifying and agreeing recommendations that will address existing shortfalls and/or deliver improvements required by Sector Self Regulation and Improvement and existing CIPFA guidance setting out what good governance looks like.

Agreeing, initiating and overseeing the individual work streams and coordinating the collective work programme required to deliver the Wirral MBC "Taking the Lead" initiative.

Agreeing and monitoring "delivery trajectories" for each work stream.

Making regular progress and performance reports to the Cabinet and Scrutiny functions.

Where necessary, seeking approval to make changes that impact positively on Corporate Governance and, if required, making recommendations to the appropriate governance body authorised to make such changes.

Reporting to the full Cabinet and/or full Council with feedback reports and/or recommendations as appropriate.

ITEMS FOR DISCUSSION

3. **CORPORATE GOVERNANCE (Pages 1 - 10)**

4. **COMPREHENSIVE WORK PROGRAMME**

    Report of the Chief Executive to follow

5. **REVIEW OF INTERNAL AUDIT**

    Report of the Director of Finance to follow

6. **REVIEW OF LEGAL AND COMMITTEE SERVICES**

    Report of the Director of Law, HR and Asset Management to follow

7. **PERFORMANCE MANAGEMENT (Pages 11 - 44)**

8. **POLICY UNIT (Pages 45 - 48)**

9. **DATES OF FUTURE MEETINGS (Pages 49 - 50)**

10. **ANY OTHER URGENT BUSINESS APPROVED BY THE CHAIR**

WIRRAL COUNCIL

CORPORATE GOVERNANCE CABINET COMMITTEE

26 OCTOBER 2011

SUBJECT:	CORPORATE GOVERNANCE
WARD/S AFFECTED:	ALL
REPORT OF:	CHIEF EXECUTIVE
RESPONSIBLE PORTFOLIO HOLDER:	COUNCILLOR STEVE FOULKES
KEY DECISION?	NO

EXECUTIVE SUMMARY

1.1 The report is presented in response to the Cabinet resolution of 22 September 2011, to set up a Cabinet Committee to drive forward changes in the way the Council is run.

2.0   RECOMMENDATIONS

2.1 That the Cabinet Committee:

a)   Notes the Terms of Reference for the time-limited Committee (to 31 March 2012) and suggests any amendments and/or additions.

b)   Notes the membership of the Cabinet Committee to 31 March 2012.

c)   Agrees a schedule of meetings which ties in to the existing three-weekly Cabinet cycle to 31 March 2012 when it is anticipated that the role of the Cabinet Committee in relation to Corporate Governance will come to an end.

d)   Agrees the proposed whole-systems approach, including the creation of a turnaround team. Proposals for the composition of this turnaround team are presented elsewhere on the Committee's Agenda for this meeting, together with a proposed comprehensive programme of activities.

e)   Notes that proposals for the review of Internal Audit are presented elsewhere on the Committee's Agenda as part of the comprehensive programme.

f)   Notes that proposals for the review of Legal and Committee Service Team are presented elsewhere on the Committee's Agenda as part of the comprehensive programme.

g)   Notes that proposals for the review of Performance Management are presented elsewhere on the Committee's Agenda as part of the comprehensive programme.

h)   Notes that proposals for the establishment of a dedicated Policy Unit are presented elsewhere on the Committee's Agenda as part of the comprehensive programme.

i)   Agrees a review of all reports submitted by the Officers to any Committee of the Council within the last 3 months from a Corporate Governance perspective by the turnaround team to identify opportunities for improvement. This will be included as part of the comprehensive programme.

3.0   REASONS FOR RECOMMENDATIONS

3.1   The Council is responding to a recent independent report (by AKA Ltd, the trading name of Anna Klonowski Associates Limited) which criticised the Corporate Governance of the Council. Failure to respond appropriately would mean that the Council and its residents remain at risk of:

a)   service failure
b)   external inspection under the Local Government Act 1999
c)   failure to respond appropriately to the self improvement regime anticipated from April 2012

4.0   BACKGROUND AND KEY ISSUES

4.1   Background

4.1.1   AKA were engaged by the former Leader of the Council to undertake an independent review of the Council's response to claims made by Mr Martin Morton. AKA produced a Supplemental Report entitled 'Wirral Metropolitan Borough Council's Corporate Governance Arrangements: Refresh and Renew' (The Corporate Governance Report) which summarises organisational weaknesses which the Council has failed to address.

4.1.2   Cabinet considered the report on 22 September 2011 and resolved to accept the criticisms unreservedly and the recommendations designed to help the Council move forward.

4.1.3   Cabinet resolved to establish a time limited Cabinet Committee [The Corporate Governance Committee] tasked with driving forward the changes which need to be made in the way the Council is managed and in the organisational culture. It is anticipated that the work of this Cabinet Committee will be concluded by 31 March 2012.

4.1.5   Cabinet also noted that the Leader will be seeking to discuss with both opposition party leaders for all three parties to work together to help resolve the issues raised.

4.1.4   The Governance Report proposes a number of work streams to address the issues:
1)   A Councillor Working Group supported by Officers
2)   Taking the Lead Delivery Team

3)   Review and Improve Corporate Governance Development and Training across the Council
4)   System Stress Tests across the Council
5)   Corporate Governance Amnesty

4.1.5   Cabinet also asked the Cabinet Committee to
a)   consider an initial report (from the Director of Finance) on ways to strengthen the Council's Internal Audit Team.
b)   consider an initial report (from the Director of Law, HR and Asset Management) on ways to strengthen Legal and Member Services.

4.1.6   Cabinet additionally referred proposals in respect of Performance Management to the Corporate Governance Committee. The resolution states: "In the light of the recent receipt of the independent report on Corporate Governance, Cabinet believes this report [Performance Management] should first be referred to the newly set up Cabinet Committee [The Corporate Governance Committee] in order to ensure that it meets all the necessary requirements to help the Council tackle the major problems ahead."

4.1.7   On 29 September 2011, Employment and Appointments Committee agreed that the Cabinet Committee considers the creation of a dedicated Policy Unit working directly to the Chief Executive, and the creation of a new post of Head of Policy Unit.

4.1.8   It is proposed that this initial meeting of the Cabinet Committee therefore:

a)   notes the Terms of Reference for the Committee, including membership and frequency of meetings
b)   considers the proposed methodology of a governance review as a basis of addressing the issues in the report
c)   considers potential responses to specific service issues, namely:
    i)   resourcing a turnaround team
    ii)   Internal Audit
    iii) Legal and Committee Service Team
    iv)   Performance Management
    v)   Policy Unit

4.2   Terms of Reference

4.2.1   The initial Terms of Reference are recommended in The Corporate Governance Report and have been confirmed by the Leader to be:

a)   Assessing and reporting on Wirral Council's current performance against seven Corporate Governance questions;
    i)   How well are the authority's policies implemented in practice?

ii) How well are the authority's values and ethical standards met?
iii) How well are laws and regulations complied with?
iv) How well are required processes adhered to?
v) Are financial statements and other published information accurate and reliable?
vi) Are human, financial and other resources managed efficiently and effectively?
vii) Are high quality services delivered efficiently and effectively?

b) Identifying and agreeing recommendations that will address existing shortfalls and/or deliver improvements required by Sector self-regulation and Improvement, and existing CIPFA guidance setting out what good governance looks like.

c) Agreeing, initiating and overseeing the individual work streams and co-ordinating the collective work programme required to deliver the Wirral MBC "Taking the Lead" initiative.

d) Agreeing and monitoring "delivery trajectories" for each workstream.

e) Making regular progress and performance reports to the Council's Cabinet and Scrutiny functions.

f) Where necessary, seeking approval to make changes that impact positively on Corporate Governance and, if required, make recommendations to the appropriate governance body authorised to make such changes.

g) Reporting to Cabinet and/or full Council with feedback reports and/or recommendations as appropriate.

4.2.2 Cabinet has resolved that there will be five Members of The Governance Committee including The Leader and Deputy Leader of the Council. The other members, determined by the Leader, are the Cabinet members for Corporate Resources, Children's Services and Lifelong Learning, and Social Care and Inclusion.

4.2.3 Given the urgency which Cabinet requires the issues raised in The Governance Report to be addressed (by April 2012), and the considerable workload already identified, The Governance Committee may wish to consider the frequency of its meetings and tie them in to the Cabinet cycle to enable regular reporting.

4.3 Corporate Governance Overview

4.3.1 The Governance Report identifies ten areas of Corporate Governance and suggests that the Council needs to address issues in eight of those areas.

Area of Corporate Governance	AKA Assessment (X= issues to be addressed)
Financial Issues	X
Member Capacity	X
Officer Structures	X
Service Quality	X
Corporate Planning	X
Partnership Working	
Procurement	X
Community Engagement	
Risk Management	X
Equalities	X

4.3.2   Additionally, Members may also wish to review specific service areas to ensure best practice from a governance perspective. The Governance Report clearly identified Internal Audit and Committee Services as areas, which if strengthened, will enhance corporate governance.

4.4   Proposed methodology

4.4.1   In order to answer the fundamental questions laid out in the terms of reference for the Governance Committee (4.2.1(a) above) and therefore to address issues identified at 4.3.1 above, it is essential to understand:

a)   how the Council should be performing
b)   how the Council currently performs in relation to each issue, and
c)   to identify and implement an improvement plan which will deliver significant improvements in process and outcomes by 31 March 2012.

4.4.2   It will therefore be necessary to apply 'stress tests' in each area of governance, to establish current performance and further to ensure that any improvement plan has been effectively implemented.

4.4.3   The Governance Committee will be supported by the three Statutory Officers of the Council (Chief Executive, Monitoring Officer and Section 151 Officer); however, the approach requires a dedicated turnaround team working closely with and on behalf of the Governance Committee to drive improvement in a co-ordinated and timely manner. The Governance Committee will need to hold Members and Officers to account in order to maximise performance and improvement.

4.4.4   Prioritisation of Issues

   a)   Many of the issues are inter-related: it will therefore be
           necessary to develop a whole-systems approach rather than
           dealing with issues in isolation. However, the critical issue facing
           the Council is the need to provide appropriate services within the
           context of diminishing resources. These services need to be
           provided in such away that service delivery can be held to
           account and corporate governance reinforced. These issues will
           underpin service delivery for the foreseeable future.
   b)   Therefore, the Council must address the overarching Corporate
           Planning Framework and underpinning processes in tandem
           with annual budget planning and medium term financial strategy
           development.
   c)   Given that the Council is aware of the likely resources for the
           following three years, key issues revolve around the service
           implications of the resources allocated. Critical to this process is
           service planning (at team, service and departmental level), and
           the corporate understanding of relative risk in business
           decisions. Corporate performance monitoring underpins this
           approach.

4.4.5   Examples of basic Stress Tests

   The following are examples of basic stress tests. It is not a
   comprehensive programme, but rather it illustrates how an integrated
   programme will be developed.

   a)   Strengthening the instruments of governance:
           • How many reports go to Members or the Executive Team
             without appropriate finance and legal involvement? Does the
             governance framework prevent this?
           • How do the Members, and the statutory officers know if
             appropriate corporate functions, including finance and legal
             teams, have been involved in the development of policy
             and/or service development?
   b)   Officer Structures
           • How is accountability exercised in corporate functions? How
             do appointments to devolved corporate functions occur?
           • Policy function – Do Members and officers understand the
             potential role and function of a Policy Unit? How does/should
             the policy unit work with the Members and the Departments?
             Do Members and officers understand the distinction between
             Policy and Performance?
           • Performance function – Do Members and officers understand
             distinction between Performance Management and
             Performance Monitoring and how this is linked to the
             Member and Officer Accountability and Responsibility
             frameworks?

c) <u>Equalities and Diversity</u>
- How well is the Equalities and Diversity legislation understood by Members and Officers? How does the Council ensure that policy development, service delivery and recruitment processes meet the requirements of Equalities and Diversity legislation together with meeting community needs?

d) <u>Service Quality - Specific Services</u>
- DASS – how well is the Department is performing particularly in response to criticisms levied by external agencies.
- The Audit Commission's Annual Governance Statement contained a qualified opinion on value for money which drew attention to weaknesses identified in the arrangements for securing value for money in respect of the HESPE Contract and other governance and internal control issues arising from whistleblowing issues and from the recording and control of assets.

  At Cabinet on 13 October 2011 it was agreed that specific attention should be paid to the issues drawn out as a reason for the qualification and that I should launch an immediate investigation into how these failings occurred and how they can be remedied for the future and report back to Cabinet.

  In the light of implications for the letting of contracts across the Council of the statement by the Audit Commission "The Council is not able to provide information on activity and performance to determine whether it is securing better value for money spent" I have also been asked to address this matter urgently.

e) <u>Service Quality – Corporate Functions</u>
- Fees and Charges: Service managers are responsible for charging policies and their implementation in conjunction with the Director of Finance. How do Members know that all risks have been considered in proposals? Are the implications, including those of equality and diversity, for users and the Council clearly identified? Have all legal issues been addressed?
- Procurement – Are formal procurement processes embedded consistently across the whole Council? Do Members and officers understand the rules? How does each department's procurement plans link to service planning? How do Members and the Statutory Officers know that the rules have been followed?

5.0 RELEVANT RISKS

5.1 Embedded appropriate corporate governance arrangements ensure that:

a)   Authority policies are implemented in practice,
b)   Authority values and ethical standards are met,
c)   Laws and regulations are complied with,
d)   Required processes are adhered to,
e)   Published information is accurate and reliable,
f)   Human, financial and other resources are managed efficiently and effectively, and
g)   High quality services are delivered efficiently and effectively.

A failure in effective corporate governance therefore means there is a risk that these fundamental issues have not been met.

6.0 OTHER OPTIONS CONSIDERED

6.1   None: the Corporate Governance Report sets out issues and recommendations identified by an independent external review commissioned on behalf of the Council. The proposals in this report follow the recommendations of the Corporate Governance Report.

7.0 CONSULTATION

7.1   A vulnerable group of people with learning disabilities in the care of Wirral Council was abused by this Council over many years. It is imperative that the Council addresses all the weaknesses that contributed to this unacceptable outcome.

7.2   Opportunities for Members to review progress by engaging with officers and citizens will be included in the comprehensive improvement programme.

7.3   Where appropriate external agencies, councillors and officers from other authorities will be consulted and asked to share knowledge.

8.0 IMPLICATIONS FOR VOLUNTARY, COMMUNITY AND FAITH GROUPS

8.1   The objective is to improve corporate governance which underpins how the Council engages with the community.

9.0 RESOURCE IMPLICATIONS

9.1   Financial, IT and assets: none directly arising from this report

9.2   Staffing: should the Committee choose to bring together a time limited turnaround team to help deliver the identified improvement programme, there will be implications on the service areas from which the team is drawn.

10.0 LEGAL IMPLICATIONS

10.1 Until the existing legislation is repealed, the Council could be subject to an external corporate governance inspection under Section 10 of the Local Government Act 1999.

11.0 EQUALITIES IMPLICATIONS

11.1 Equalities is an area of corporate governance weakness identified by AKA. It is identified in this report as a priority.

12.0 CARBON REDUCTION IMPLICATIONS

12.1 None.

13.0 PLANNING AND COMMUNITY SAFETY IMPLICATIONS

13.1 None.

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REFERENCE MATERIAL

SUBJECT HISTORY

Council Meeting	Date
Cabinet	**22 September 2011**

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WIRRAL COUNCIL

CABINET

22 SEPTEMBER 2011

SUBJECT:	PERFORMANCE MANAGEMENT
WARD/S AFFECTED:	ALL
REPORT OF:	DIRECTOR OF LAW, HR AND ASSET MANAGEMENT
RESPONSIBLE PORTFOLIO HOLDER:	COUNCILLOR ADRIAN JONES
KEY DECISION?	YES

1.0 EXECUTIVE SUMMARY

1.1 The purpose of the report is for Cabinet to consider the proposed performance appraisal and development framework. This will include performance appraisal and development for The Chief Executive.

2.0 RECOMMENDATION/S

2.1 It is recommended that Cabinet agree:

i) The proposed Performance Improvement Framework for the organisation
ii) The proposed Leadership and Management Expectations Framework for all Chief Officers, Heads of Service, Senior Managers .
iii) The proposed Wirral Values and Behaviours for the Council.
iv) The proposed performance appraisal and development framework and supporting documentation, for all Chief Officers, Heads of Service and Senior Managers.
v) The proposed roll out and training plan.

2.2 An evaluation report following the roll out of the performance appraisal and development process to Chief Officers, Heads of Service and Senior Managers will be provided to the Cabinet. This will inform the roll out of the performance appraisal and development process to the rest of the organisation.

2.3 That the Performance Management report be referred to the Employment and Appointments Committee for consideration and approval.

3.0 REASON/S FOR RECOMMENDATION/S

3.1 To improve the performance of the organisation, targeting in the first phase, the leadership, with articulated expectations and the performance appraisal and development process. This will be underpinned by the behaviours and values for the whole organisation.

3.2   The performance appraisal and development framework will support a performance management culture and contribute to the Council's objectives by ensuring a well led, skilled, committed and flexible workforce working on behalf of Wirral residents.

4.0   **BACKGROUND AND KEY ISSUES**

4.1   **Background**

The Council's current Key Issues Exchange (KIE) process has been in place since 2001. While the KIE process has delivered well in the past, recent returns rates indicate that a refreshed and updated approach is needed. The proposed performance appraisal framework replaces KIE at the senior level. However, KIE will continue for the rest of the workforce until early next year.

4.2   **Performance Improvement Framework**

The Performance Improvement Framework illustrates how the Council's vision and purpose, detailed in The Corporate Plan, are delivered through the Corporate Planning process and the Council's Performance Information Management System (PIMS).

The delivery of the Council's vision and purpose is supported by the Council's expectations of its workforce in relation to Leadership and Management (see section 5), and Wirral's Values and Behaviours (see section 6). Individual objectives are agreed to deliver the Council's objectives, Corporate Plan and Departmental Plan, meeting the leadership and management expectations underpinned by the values and behaviours. The proposed performance appraisal and development process includes a personal development plan and 360 degree feedback for senior managers. Interventions to improve performance can be accessed through the Council's Training Programmes, Skills for Wirral: Managers and Skills for Wirral: Employees programmes.

The outputs are the improved delivery of the Council's corporate and departmental objectives, as well as individual employee's objectives. The outcome therefore is that the Council's vision and purpose are delivered for the residents of Wirral. The Performance Improvement Framework is attached at Appendix One.

5.   **The Leadership and Management Expectations Framework**

The Leadership and Management Expectations Framework sets out the expectations for all managers. The Expectations Framework articulates what is expected of managers in their role and will be used in setting objectives and assessing of performance.

The proposed Leadership and Management Expectations Framework will form the basis of the Skills for Wirral: managers Training Programme, with modules for each of the key areas. The proposed Leadership and Management Expectations Framework is attached at Appendix Two.

6.   Wirral Values and Behaviours

6.1   Current Competencies / Behaviours

The Council's current KIE process has identified corporate and leadership behaviours, which have been in place since 2001. A new set of values and behaviours have been developed using feedback from Senior Managers and focus groups of staff, including Trade Unions.

6.2   New Values and Behaviours

It is proposed that new corporate values and behaviours are established as part of the performance management framework.

The purpose of values and behaviours is to define not just what we do but how we do it. This is an important art of developing the culture of the Organisation. The proposed values and behaviours use the acronym 'PERFORM', and are based on the key messages from the Council's Corporate Plan, input from the Senior Manager's briefings held in May 2011, Heads of Service Away Day and Employee Focus Groups held in June 2011. The PERFORM values and behaviours are attached at Appendix Three.

7   The Proposed Performance Appraisal and Development Framework

7.1   Purpose of performance and development appraisal

Performance appraisal and development is an important part of the performance management process. The purpose of performance appraisal is to:

- Improve the performance of the workforce.

- Improve the leadership and management of the organisation

- Clarify expectations of employees.

- Ensure that Council employees are supported at a time of rapid organisational change.

- Align performance outputs and outcomes to the objectives of the organisation.

- Recognise and celebrate the achievement of our employees.

- Develop employees to improve performance through learning and feedback.

7.2   The aims of the performance appraisal and development process are:

1. To ensure that all employees are aware of and fully understand the organisation's purpose and goals and what is expected of them.

2. To ensure that all employees are aware of and fully understand their role, and the contribution they make to the Council's goals and targets.

3. To ensure that all employees are engaged with and committed to delivering excellent services for Wirral and the Community.

4. To increase the capability and performance of the workforce.

5. To create an organisational culture and environment that encourages and promotes excellent performance and performance management.

6. To provide a framework to enable discussions about performance and future expectations.

7. To identify, analyse and meet the learning and development needs of individuals to empower and improve the performance of the workforce.

8. To recognise and celebrate the progress and achievements of individuals and the workforce.

7.3 Output of The Performance Appraisal and Development Framework

1. A set of agreed, measurable objectives for the individual that link to the team, service and Council's objectives.

2. An agreed development plan that identifies the support requirements for the individual to deliver the objectives, including skills and behaviour requirements.

7.4 Delivery of The Performance Appraisal and Development Framework

The performance appraisal process will be delivered by managers. The process will continue to be a two way process with input and feedback from the employee being an important element of objective setting and identification of development needs. Managers will be supported by a comprehensive training programme (see 10.1).

7.5 Monitoring of Performance Appraisal and Development

It is proposed that the performance appraisal and development process is overseen by the senior manager at each level. The performance appraisal and development form (attached at Appendix Four) includes a requirement for the performance appraisal and development process to be signed off by the manager's manager (The Grandparent approach). This approach will provide quality assurance for the process and will in turn form part of the performance appraisal for all managers, ensuring every manager is accountable for the performance appraisal and development of their team

The Senior Manager's will

1) Monitor to ensure the performance appraisal and development process has been completed for all employees and report this to Chief Officers.
2) Carry out standardisation checks of scoring across their management team.
3) Support Managers / employees in the event of a disagreement on an allocated score.

7.6   Feedback on Performance

It is part of the managers' role to assess an employee's performance against the agreed objectives and provide feedback to the employee ensuring that the employee will be able to understand and learn from the feedback.

It is proposed that the new performance appraisal and development process takes into account 360 degree feedback which is based on Wirral's values and behaviours. The 360 degree feedback will take place at the six month review.

7.7   Assessment of Performance Against the Agreed Objectives

It is proposed that the following scoring system is used to assess an employee's performance:

N/A – Not applicable due to other factors.
1 = not achieved
2 = partly achieved
3 = fully achieved
4 = exceeded

The proposed performance appraisal and development process will ensure that regular discussion on performance against objectives takes place through regular one to one meetings and the formal six monthly review meeting. This will include the identification of appropriate support, learning and development.

7.8   Timing of Performance Appraisal and Development

The timing of the new performance appraisal and development process will align with The Corporate Planning process when introduced and will be embedded as follows:

Process	Date
Corporate Plan	March
Departmental Plan	April
Service/Team Plan	April/May
Individual Performance Appraisal	May - September

8   Links to Current Process of Performance Management

8.1.   Current Supervision Process

In both Children and Young People's and Adult Social Services there already is the practice of "Supervision" embedded as a crucial aspect of our safeguarding responsibilities.   Supervision meetings are a regular meeting between the supervisor and the employee to review caseloads and practice. This process is an

essential part of the quality assurance of working with both vulnerable children and adults. It is proposed that the practice of Supervision is mirrored across the Council with regular one to one meetings between a manager and an employee taking place on a monthly basis.

8.2. Link to other People/HR Policies

- It is the responsibility of the manager to deliver the performance appraisal and development process, including the six monthly review, and regular one to one meetings for all the employees they manage. It is proposed that managers are held accountable for completing the performance appraisal and development process by making this a formal component of the manager's own performance evaluation.

- The proposed performance appraisal and development process will introduce a requirement for all senior managers, to participate in their performance appraisal and to facilitate their own personal development as a part of this.

- The proposed performance appraisal and development process will ensure that regular discussion on performance against objectives takes place through one to one meetings and the formal six monthly review meeting. Employees who are not able to deliver their objectives will be supported and encouraged to improve. This will include the identification of appropriate learning and development.

- Where employees are not performing within their job all informal processes will be followed and exhausted, including appropriate discussion, development and support, before re-course to the Council's capability procedure.

9. The Performance Appraisal and Development Process

9.1. Year One Objective Setting

1. The manager and employee will reflect and discuss the employee's performance over the last 12 months, making reference to any agreed objectives. The discussion will include feedback on what went well, and what needs to be improved.

2. Objectives will be set for the forthcoming year with input and agreement from the employee. Objectives will be SMART: Specific, Measurable, Achievable, Relevant, Timebound, linking to performance outcomes, with the required outputs clearly identified and understood by the employee. The objectives will cascade from the Corporate Plan, Departmental Plan and Service Plan. The objectives will incorporate the new values and behaviours and provide information on how the tasks/activities should be delivered.

9.2. The Personal Development Plan

The performance appraisal and development discussion will include identification of learning and development requirements that will support the employee to meet the agreed performance objectives. These requirements will form the basis of a development plan for the employee. This will then feed upwards into the Corporate

Learning and Development Programme and will inform the learning opportunities and courses offered in the future.

9.3. Six Month Review

Six months after the first Performance Appraisal and development meeting the manager and the employee will have a formal review to discuss the employee's performance and progress on performance and their agreed objectives. This will include recognising achievement and success and the identification of any further support that may be required.

9.4. Performance Appraisal and Development Interview – end of year one

1. At the end of year one, the manager and employee will review the employee's performance over the last 12 months against the agreed objectives. This will include the Manager evaluating the employee's performance with a score (see 5.5), and providing feedback on performance.

2. For managers, the discussion will include 360 degree feedback gained against the appropriate behaviours.

3. The performance appraisal and development process will include recognising and celebration of achievement and success, and discussion on further support and learning and development if required. The review of learning and development for the next 12 months will feed into the employee's development plan.

9.5. Repeat cycle

The performance appraisal cycle will be repeated on an annual basis, with a formal six month review, and monthly one to one meetings.

10. Introducing the Performance Appraisal and Development Process

10.1. Training

To ensure that the proposed performance appraisal and development process is successful and has support at all levels across the organisation, the following training modules are proposed:

Module One Values and Behaviours

- Launch of PERFORM values and behaviours
- Applying values
- Applying behaviours
- Embedding values and behaviours

Module Two Leadership Expectations:

- Embedding excellence in management practice
- Framework for leadership in the workplace
- Key leadership behaviours

▪ Applying leadership expectations

This module will also be supported by the Wirral Managers programme which will be further developed to align with the Leadership expectations

Module Three Performance Management

▪ Key principles of performance management
▪ Key principles of performance appraisals
▪ Delivering performance appraisals
  o Providing feedback
  o Setting objectives
  o Evaluating objectives
  o Individual learning and development plans
▪ Embedding a learning culture

The training programme will also be supported by a "Quick Guide Leaflet" (attached at Appendix Five) and "Frequently Asked Questions" (attached at Appendix Six).

10.2. The "Roll Out" Plan

Rolling out Performance Appraisal and Development				
	Performance Appraisal and Development delivered for:	**Training for the Appraiser**	**Briefing for the Appraisee**	**Delivery of Performance Appraisal and Development**
Stage One	Chief Executive and Chief Officers	September/October 2011	September/October 2011	October 2011
Stage Two	Heads of Service	Chief Officers trained to deliver September 2011	Heads of Service briefed to receive October 2011	October - November 2011
Stage Three	Senior Managers	HOS trained to deliver November - December 2011	Managers trained to receive December to January 2012	December - February 2012

11. Embedding Excellence in Performance Management

One of the aims of The Performance management framework is to improve the quality and application of leadership across the organisation. The roll out of the Performance Appraisal and Development will be supported by an improved framework of leadership in the workplace. To achieve the framework and training, it would be expected that regular meetings between managers and their staff take place. This will also continue to be supported by an enhanced Organisational Communication Strategy.

11.1 Improved Leadership in the Workplace

- **One to one meetings**
  Throughout the year, the manager and employee will have regular one to one meetings. The purpose of the one to one meetings will be to review and discuss progress on performance objectives, and will focus on performance achievements and challenges with appropriate support identified.

- **Team meetings**
  Regular team meetings will take place between all managers and employees throughout the year. The purpose of these meeting is to discuss organisational, departmental and team information and provide an opportunity for employees to give feedback and ask questions.

- **Senior manager meetings**
  All departments hold regular senior manager meetings to discuss and make decisions on important departmental issues. Information will be cascaded through the team meeting process as appropriate.

11.2. Improved Communication Strategy

A significant number of improvements have been made to the Council's internal communications. A variety of channels now exist to provide consistent accurate information for employees.

- One Brief
- One Council
- Intranet communications
- Email Broadcasts
- Senior Manager Briefings
- Heads of Service Away Days
- Chief Executive Engagement Plan
-

12 The Launch and Roll Out of The Behaviours and Values across the Organisation

The PERFORM Values and Behaviours will replace the existing corporate behaviours and will require managed delivery to ensure that they are understood and embedded throughout the organisation. The Values and Behaviours will be rolled out for the whole organisation by:

- An integrated communications plan
- Briefings to all managers across the organisation
- Heads of Service briefing and discussing the values and behaviours with their employees supported by a suite of consistent communication tools.

The communication and roll out plan will take place over the next six months.

13. **Monitoring and Quality Assurance**

Over time it will be possible to use the HR system to monitor the appraisal process in terms of participation and completion.

The aim of the quality assurance and monitoring process is to ensure that:

- Performance appraisal and development is delivered
- The objectives are both reasonable and stretching
- The objectives align to the corporate and departmental objectives
- That there are opportunities for discussion at a senior level should any issues need to be resolved

There is an opportunity for positive and constructive comment from the senior manager.

This will be delivered in two ways; through the senior manager signoff process accompanied by the production of reports across the whole organisation. This will mean more effective management of the performance appraisal and development process and its application as well as a means of checking the alignment of objectives and overall quality assurance.

14. **RELEVANT RISKS**

There are no significant risks from this report.

15. **OTHER OPTIONS CONSIDERED**

The most appropriate options to introduce and embed a new performance appraisal and development process have been considered.

16. **CONSULTATION**

The proposed performance appraisal and development process has been discussed with the Trade Unions through the formal, Corporate Joint Consultative Committee (JCC) meetings and at specific meetings to discuss the Council's approach to performance appraisal and development. There will be further discussions with the Trade Unions about the roll out of the Performance Appraisal and Development once the initial stages are complete.

17. **IMPLICATIONS FOR VOLUNTARY, COMMUNITY AND FAITH GROUPS**

There are none arising from this report.

18. **RESOURCE IMPLICATIONS: FINANCIAL; IT; STAFFING; AND ASSETS**

The roll out and training plan will be implemented by the Human Resources and Organisational Development Team, supported by Chief Officers in the delivery, and will require managers and employees time to attend training. It is proposed that the performance appraisal and development framework is rolled out on a phased basis, starting with Chief Officers. Further costs will be incurred in the

setting up of the 360 degree feedback process. These costs will be met from the Council's training budget.

19.   LEGAL IMPLICATIONS

The Council will ensure that all relevant employment legislation is complied with throughout the performance management process.

20.   EQUALITIES IMPLICATIONS

20.1   There are no additional implications.

20.2   Equality Impact Assessment (EIA)
(a) Is an EIA required?   Yes
(b) If 'yes', has one been completed?   Yes (9 September 2011)

21.0   CARBON REDUCTION IMPLICATIONS

There are no carbon usage implications or other relevant environmental issues arising from this report.

22.   PLANNING AND COMMUNITY SAFETY IMPLICATIONS

There are no planning and community safety implications arising from this report.

REPORT AUTHOR: Jim Wilkie
Chief Executive
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Email: jimwilkie@wirral.gov.uk

APPENDICES

Appendix One: Performance Improvement Framework
Appendix Two: Leadership and Management Expectations
Appendix Three: PERFORM Values and Behaviours
Appendix Four   Performance Appraisal and Development documentation
Appendix Five: Quick Guide Leaflet
Appendix Six: Frequently Asked Questions
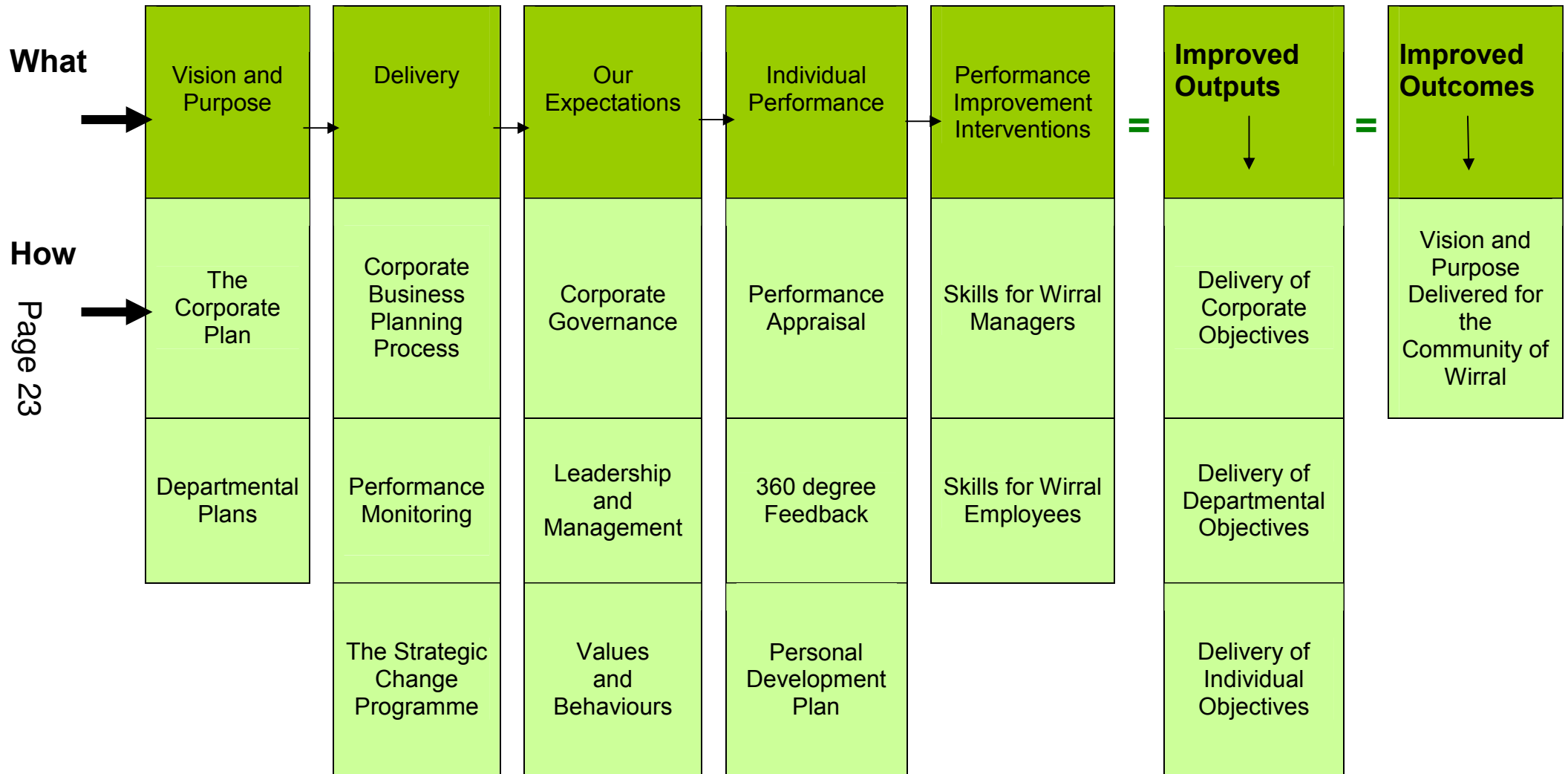

REFERENCE MATERIAL

There is no reference material for this report.

SUBJECT HISTORY (last 3 years)

Council Meeting	Date

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WIRRAL

Performance Improvement Framework

	Vision and Purpose	Delivery	Our Expectations	Individual Performance	Performance Improvement Interventions	=	Improved Outputs	=	Improved Outcomes
What									
How	The Corporate Plan	Corporate Business Planning Process	Corporate Governance	Performance Appraisal	Skills for Wirral Managers		Delivery of Corporate Objectives		Vision and Purpose Delivered for the Community of Wirral
	Departmental Plans	Performance Monitoring	Leadership and Management	360 degree Feedback	Skills for Wirral Employees		Delivery of Departmental Objectives		
		The Strategic Change Programme	Values and Behaviours	Personal Development Plan			Delivery of Individual Objectives		

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WIRRAL

Leadership and Management: Our Expectations

Managers at Wirral Council are expected to do the following to maximise performance, to deliver outcomes for the people and communities of Wirral-:

Communication	Change & Service Development	Safety & Health at Work
- Conduct regular effective one-to-ones, team briefs and meetings - Articulate clearly to colleagues - Communicate key messages and encourage feedback - Build networks internally & externally	- Drive & champion change - Plan & improve service delivery - Consult with users and others providers to inform service provision	- Promote employee health & well being - Meet statutory legislative requirements - Conduct risk assessments - Manage heath & safety risks appropriately
Performance Management	**Equality & Diversity**	**People and Culture**
- Translate the Council's goals and priorities into service/team/individual objectives - Achieve realistic performance targets and standards within agreed resources - Deliver improved service delivery through learning and innovation	- Manage behaviours - Conduct Equality Impact Assessments - Undertake responsibilities under The Equality Duty & Dignity/Respect Agenda	- Provide leadership - Motivate & develop your team effectively - Deliver performance appraisals - Manage attendance effectively - Deliver within the employee HR framework
Financial Management	**Corporate Governance**	**Risk Management**
- Manage service delivery within approved budgets & resources - Improve management of assets - Identify & implement improvements to value for money	- Focus on community requirement - Deliver services in an effective and efficient manner - Manage risk - Deliver excellent standards & codes of conduct - Provide and adhere to transparent structure & process	- Deliver the Council's risk framework & processes - Assess, monitor and escalate risks & issues - Identify & advise on new risks arising from new objectives/activities - Deliver the Council's emergency planning process

Underpinned by Wirral values PERFORM and Wirral behaviours which run through all that we do.

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PERFORM for Wirral – Our Values

Everyone contributes to our values by demonstrating the following behaviours:

		As an Employee-:	As an Aspiring or Current Manager -:	As an Aspiring or Current Strategic Leader-:
P	People first	• I listen and am responsive to customers • I am proactive, and get it right first time • I am an ambassador for Wirral and make sure customers are at the heart of what I do	• I develop relationships that help me get things done • I seek contributions from others to add value for our customers • I tailor services to meet customers needs	• I forge strategic alliances & partnerships for our stakeholders • I anticipate the impact of decisions on stakeholders • I am visible & accessible
E	Efficient and effective	• I know what I am accountable for and take ownership for my work • I make best use of time • I deliver outcomes with pace and energy and to agreed standards	• I learn from my mistakes and help others to do the same • I identify improved ways of working • I make best use of the skills & resources around me	• I focus on strategic outcomes & plan effectively • I deliver strategic outcomes with pace and energy, on time and within budget • I am influential and make things happen
R	Responsive to change	• I understand the need to change • I engage with change • I take the initiative	• I translate & communicate vision clearly & positively • I set clear expectations and challenge resistance • I support my team through change	• I look around to see big picture & anticipate change • I communicate & enable change • I inspire and motivate people around the vision for change
F	Flexible	• I take pride in what I do • I am flexible & responsive, with a can do attitude • I am resilient & keep going when the going gets tough	• I motivate others • I know what I am accountable for and make sure others do too • I reorganise resources to meet changing needs	• I appropriately manage risks with innovation and creativity • I challenge & drive improvements • I act as a strategic leader across the whole organisation
O	Open, honest and transparent	• I am open & honest • I ask for & offer feedback • I maintain confidentiality & integrity	• I understand organisational boundaries & act within them • I make sure people understand & can contribute • I understand the impact my behaviour has on others	• I make transparent decisions • I demonstrate political awareness, sensitivity & tact • I recognise achievement & performance and celebrate results
R	Respectful of others	• I respect other people, their values and beliefs • I take responsibility for my actions and behaviours • I challenge poor, damaging customs, practice and behaviours	• I identify individual needs and potential • I challenge negative behaviours • I role model positive behaviour	• I am inclusive • I role model exemplar behaviour • I value and act upon challenge
M	Maximise Potential	• I look for new opportunities • I undertake appropriate learning and development • I support others in their learning	• I create & offer appropriate opportunities for development • I coach and mentor others • I develop myself	• I recognise potential in others & develop it innovatively • I learn from mistakes & challenges to drive service improvements • I welcome and give challenge to learn & share

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WIRRAL

PERFORM for Wirral

Performance Appraisal and Development

About you

Name		Department	
Employee No		Last Appraisal	
Role		Appraisal Date	
		Planned Review Date	

Section 1: Looking back

Reviewing your objectives

What did you achieve?

Which Wirral Values did you demonstrate to achieve your objectives effectively?

	Last year's work objectives	Results achieved			Score
		What did you achieve?	What was the outcome?	Which Wirral Values did you demonstrate?	
1					
2					
3					
4					
5					
6					

Section 1: Looking back

What did you achieve against Our Leadership and Management Expectations, and Our Values and Behaviours?

		Results achieved		Score
		What do you do well?	What do you need to improve?	
1	Our Leadership and Management Expectations			
2	Our Values and Behaviours			

Scoring criteria

Each objective should be measured against the following scoring criteria:

Score	Description
N/A	**Not Applicable** - unable to achieve due to other factors.
1	**Not Achieved** - has not achieved the required performance.
2	**Partially Achieved** – has partially achieved the required performance.
3	**Achieved** – has achieved the required performance.
4	**Exceeded** – has achieved and exceeded the required performance.

Our conclusions and next steps

What conclusions can we make from this year's performance?
What actions do we need to take as a result?
If objectives were not achieved, what lessons can we learn?

Section 2: Where are you now?

What has changed/is changing in your work environment?
What does this mean for you?

Section 3: Looking forward

Section 3.1: Setting your objectives

In discussion with your Manager, consider what needs to be achieved and how will you go about it?

What objectives do you need to deliver to do your job and contribute to the delivery of the Departmental Plan?

	SMART Objectives: work (Specific, Measurable, Achievable, Relevant & Time bound)	What will the outcome be?	Which Wirral Values & Behaviours are important to achieve these objectives?
1			
2			
3			
4			
5			
6			

Objectives should include job specific competencies and/or relevant professional standards where applicable.

In discussion with your Manager, consider what needs to be achieved in relation to Our Leadership and Management Expectations and Our Values and Behaviours

	SMART Objectives (Specific, Measurable, Achievable, Relevant & Time bound)	What will the outcome be?
1.	Our Leadership and Management Expectations	
2.	Our Values and Behaviours	

Section 4: Personal Development

Section 4.1: Reviewing Your Personal Development Plan

What learning and development have you undertaken?
How did this learning help you meet your objectives?
How have you addressed your 360 degree feedback? (if applicable)

Section 4.2: This Year's Personal Development Plan

What learning and development do you need to achieve your objectives and support you ongoing development?

What priorities for development from the 360 degree feedback you received, need to be incorporated? (if applicable)

Learning and Development from the Corporate Programme (e.g. workshops, courses etc)

What	How	By When	Progress

Please copy any Learning and Development requests identified in the box above, on to training application forms and ask your manager to approve and email them to trainingapplications@wirral.gov.uk, or post the form to the Organisational Development Team, Wallasey Town Hall, South Annexe.

Learning and Development in the workplace (informal approaches e.g. shadowing, mentoring, job swaps)

What learning and development can your manager commit to now?

What	How	By When	Progress

Section 5: Comments

Are there any additional comments?

Our Checklist

	☑
CRB	
Conflict of Interest	
Gifts and Hospitality	
Qualifications	
Driving licence	
Skills for Life (literacy, numeracy, ICT)	

Please send an email to trainingapplications@wirral.gov.uk to confirm that this performance appraisal and development meeting has taken place. Include employee name, employee number and the date of the meeting.

Employee signature: date:

Manager signature: date:

Senior Manager signature: date:
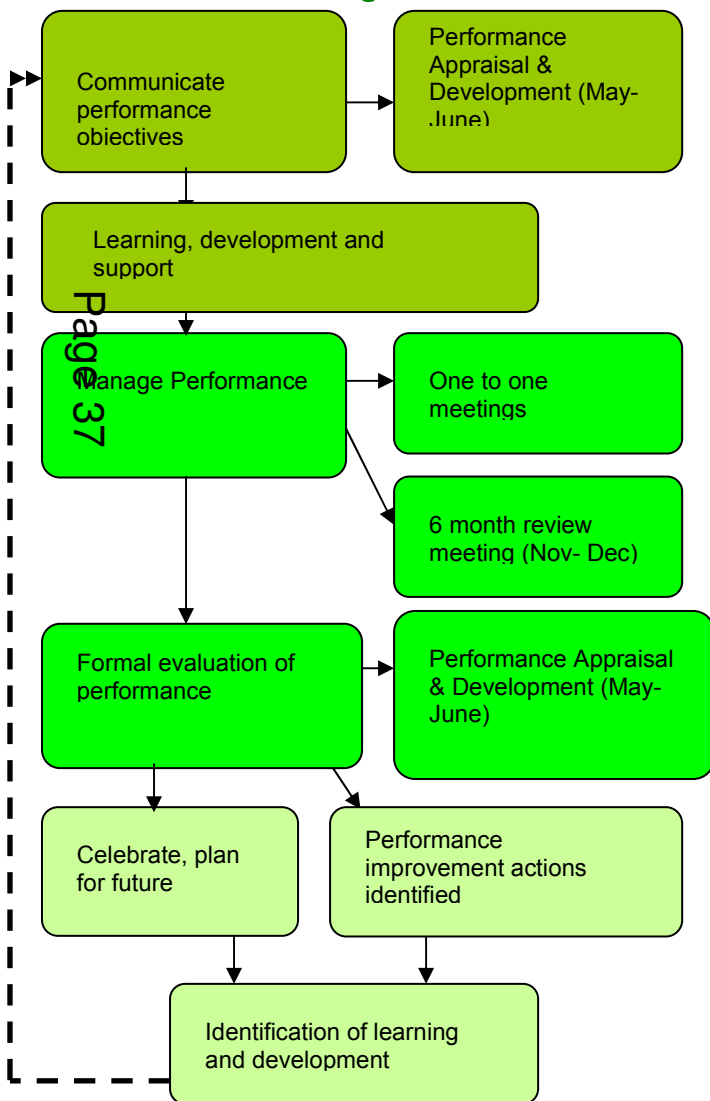(If applicable)

Senior Manager Comments (if appropriate):

The performance Appraisal and Development documentation will be kept on the employee's personal file and will be kept confidential in line with normal line management arrangements.

1. Introduction to Performance Management

Performance management provides a framework for reviewing and managing an employee's performance in work. Discussion about work and work progress is an important part of the performance management process. The Performance Appraisal and Development meeting is one method for doing this.

2. Performance Management Flowchart

```
Communicate          →    Performance
performance               Appraisal &
objectives                Development (May-
                          June)

Learning, development and
support

Manage Performance   →    One to one
                          meetings

                     →    6 month review
                          meeting (Nov- Dec)

Formal evaluation of      Performance Appraisal
performance               & Development (May-
                          June)

Celebrate, plan           Performance
for future                improvement actions
                          identified

Identification of learning
and development
```

3. Performance Appraisal and Development Meeting

1. Introduction
    - Set the scene

2. Looking Back
    - Review last year's objectives and agree ratings
    - Recognise and celebrate success
    - Personal development achieved

3. Where you are now
    - Discuss changes, challenges and issues

4. Looking Forward
    - Agree this year's objectives
    - Agree personal development

5. Summarise
    - Check details and understanding
    - Plan next steps, including six month review meeting

The Performance Appraisal and Development documentation will be kept on the employee's personal file and will be kept confidential in line with normal line management arrangements.

4. What you will need

- The Corporate Plan
- Departmental and team Plan/objectives
- Wirral Values and Behaviours
- Job description and person specification
- Performance Appraisal form
- Last year's appraisal
- Learning and Development opportunities

5. Objectives

1. Objectives should be cascaded from the Departmental Plan. All objectives should be **SMART:**

    Specific

    Measurable

    Achievable

    Relevant

    Time bound

2. Objectives should have:

Beginning (active verb)	Middle (what is to be achieved)	End (a measure)
Reduce	the number of follow up callbacks from 1st time telephone enquiries	by 3% this year
Increase	the take up of training through promotion of activity	by 5% each quarter, this year
Produce	a processing system that is user-friendly, sustainable and improves processing	by 150 applications per quarter, this year

6. Wirral Values

"underpin everything we do – what we do and how we do it"

There are 7 Values:

P – People first
E – Efficient and effective
R – Responsive to change
F – Flexible
O – Open, honest and transparent
R – Respectful of others
M – Maximise potential

7. Scoring Performance

The following scoring criteria will be used to score performance against each objective:

Score	Description
N/A	**Not Applicable –** unable to achieve due to other factors
1	**Not Achieving** – has not achieved the required objective
2	**Developing** – has partially achieved the required objective
3	**Achieving** – has achieved the required objective
4	**Exceeding** – has achieved and exceeded the required objective

8. Setting the Standard

At a good performance appraisal and development meeting:

- The employee should do most of the talking.
- The manager listens actively to what is said.
- Performance is analysed and appraised, not personality.
- The whole period is reviewed, not just recent or isolated events.
- The manager gives and receives feedback.
- The employee listens to and reflects on feedback.
- Achievement is recognised and celebrated.
- Plans covering future development and objectives are agreed.
- There should be no surprises.

At a bad performance appraisal and development meeting:

- The manager controls the meeting.
- The Focus is on failures and omissions.
- The manager does not clearly identify how a score of 3 and 4 can be achieved.
- The meeting ends in disagreement between the manager and the employee.

9. Manager's Checklist

To do:	☑
Agree suitable date and venue, giving sufficient notice to the employee	
Ensure the employee knows where to find the performance appraisal and development form and guidance	
Ensure the employee knows the purpose of the performance appraisal and development	
Prepare for the meeting using the performance appraisal and development form	
Ensure the employee has prepared for the meeting	
Gather information and make notes under each section of the form to help the discussion	
Get feedback from colleagues, internal/external customers, using 360 degree feedback tool (Managers only)	
At the meeting, consider and discuss the employee's future potential and personal development	
Arrange a 6 month review date	
Check dates of 1-2-1 meetings	

10. Employee's Checklist

To do:	☑
Prepare for the meeting using the performance appraisal and development form	
Gather information and make notes under each section of the form to help the discussion	
Check previous performance appraisal and development to review progress against last year's objectives	
Think about Wirral's Values and Behaviours and how they affect performance	
At the meeting, consider your future potential and personal development – what support will you need?	

For further information contact a member of the Organisational Development Team at
www.organisationaldevelopmentteam@wirral.gov.uk

WIRRAL

PERFORM
for Wirral

Quick Guide
to
Performance Appraisal and
Development

Appendix Five

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Appendix Six

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Performance Appraisal and Development
Frequently Asked Questions

</div>

1. What are the benefits of Performance Appraisal and Development?
- Learn what is expected from you in specific terms.
- Learn how your specific job tasks and performance fit into the overall function and performance of the department and the organisation, and how you contribute to it.
- Receive help and support from your manager in terms of improving performance.
- Have your questions answered about your job and your performance.
- Receive recognition for what you have achieved and done well.

2. How can I best prepare for my Performance Appraisal and Development meeting?
- Go through each of your objectives for last year and write down evidence of how you have met them.
- In situations where you have fallen short of your goals, try to identify why this occurred, and what could be done to remove these barriers to performance in the future.
- Study a copy of the appraisal and development form that will be used to document the performance appraisal and development meeting.
- Prepare any questions you want to ask your manager at the meeting.

3. What is a 6 month Review Meeting?
A review meeting is a formal review of your performance against agreed objectives. This should take place six months after the performance appraisal and development meeting, and is a formally documented review meeting.

4. What is a one to one Meeting?
A one to one meeting is an informal meeting with your manager to discuss your work and progress against objectives, and are usually held once a month. One to one meetings ensure there is effective, two-way communication. One to one meetings can include discussion on:

- What is working well
- Barriers to performance and how these can be removed
- Progress against objectives
- Learning and development opportunities
- Your potential and career development

5. What are some examples of evidence I can use to show my performance against my objectives?

- Feedback (written or verbal) from internal or external customers
- Minutes of meetings attended (showing not just attendance, but a real input)
- Reports produced
- Certificates for learning and development
- Observations by manager

6. What will the scoring be used for?

The scoring criteria will be used to assess your performance against your agreed objectives. Your manager will make it clear to you what outputs and outcomes are expected from you in order to achieve a score of 3 or 4. You and your manager will discuss evidence of your performance at the performance appraisal and development meeting.

Managers will support employees who fail to meet their objectives to the required standards to improve. This will include the identification of appropriate learning and development. However, employees who perform consistently below the required expectations may be taken through the formal capability process.

7. Will the scoring be used in a redundancy situation?

Should the Council ever need to consider compulsory redundancy, performance will be taken into account. However, there are no plans to link the performance appraisal and development score and the redundancy process.

8. What is 360 degree feedback?

360 degree feedback is an appraisal tool for managers only. It provides the manager being appraised with the opportunity to receive feedback from a range of sources on performance against Wirral's Values and Behaviours. 360 degree feedback comes from the people all around the manager, including subordinates, peers and senior managers, and, in some cases, external sources such as customers or external partners.

9. How does 360 degree feedback fit in?

The results of the 360 degree feedback will be made available to the manager being appraised, to assist with their personal development plan, which will form part of the performance appraisal and development meeting.

10. Will my Performance Appraisal and Development score be used in the future for Performance Related Pay?

There are no plans to introduce Performance Related Pay to the Council. Therefore scores will not be used in this way.

Appendix Six

11. Who will see my Performance Appraisal and Development document and scores?

The performance appraisal and development documentation will be kept your personal file and will be kept confidential in line with normal line management arrangements.

Normally the only people to see your paperwork and scores will be you, your Line Manager and their Line Manager (The Senior Manager). This is to allow the Senior Manager to check that your line manager is scoring in a fair and consistent way and also to monitor that Performance Appraisals are taking place.

12. What if my Manager and I disagree on my scores?

The performance appraisal and development meeting should be based on an honest discussion between you and your manager throughout the year. You can put forward evidence to discuss with your manager.

If there are areas of genuine disagreement these should be discussed with the senior manager as with other employment practices.

13. What is the role of The Senior Manager?

The performance appraisal and development form includes a requirement for the performance appraisal and development process to be signed off by the manager's manager (The Senior Manager). This approach will provide quality assurance for the process and will in turn form part of the performance appraisal and development process for all managers, so that every manager is accountable for the performance appraisal and development of their team

The Senior Manager will-:

1) Monitor the performance appraisal and development process for their team and report to Directors.
2) Standardisation checks of scoring across their management team.
3) Support Managers / employees in the event of a disagreement on an allocated score.

14. What if my Performance Appraisal and Development meetings, and one to one meetings do not take place?

You should speak to your manager to ask for a meeting. The performance appraisal and development process involves a monitoring and quality assurance element: regular reports will be produced and analysed by The Executive Team. The Senior Manager is responsible and accountable for ensuring that all performance appraisal and development meetings are completed within their departments.

15. What if this is my first Performance Appraisal and Development meeting?

If this is your first performance appraisal and development meeting, you will not have any objectives and will therefore not be scored. The focus of the performance appraisal and development meeting will therefore be on setting your objectives with your manager for the year. These will then be reviewed with your

manager through the one to one meetings and the six month performance appraisal and development review meeting.

16. How much detail needs to be included for each objective?

The level of detail to be included in writing your objectives is for discussion between you and your manager. The level of detail should be such that both you and your manager are clear about what is expected. All objectives should be written using the SMART model, this will ensure that the correct level of detail and clarity of expectation is achieved.

17. Where is the information recorded?

The performance appraisal form is a living document which is to be kept by you, and a copy taken by your manager. The Human Resources section does not need a copy of the form. However, you should notify the Human Resources team that you have had your performance appraisal and development meeting by sending an email to trainingapplications@wirral.gov.uk. Your email should include your name, employee number and the date of your appraisal.

18. Do I have to attend?

As an employee of the Council there is an expectation that you will actively take part in the performance appraisal and development process. It is an opportunity for you to discuss your work objectives, progress and learning and development with your manager.

19. What happens to the current KIE on-line process?

The performance appraisal and development process is being rolled out in stages, beginning with The Chief Executive and then being cascaded down throughout the organisation to Chief Officers, Heads of Service and Senior Managers in 2011, and Managers, Team Leaders and all employees in 2012. You should continue with the current KIE on-line process until the performance appraisal and development process is rolled out to you.

CORPORATE GOVERNANCE CABINET COMMITTEE

26 OCTOBER 2011

SUBJECT	POLICY UNIT
WARD/S AFFECTED	ALL
REPORT OF	CHIEF EXECUTIVE
RESPONSIBLE PORTFOLIO HOLDER	COUNCILLOR STEVE FOULKES
KEY DECISION	YES

1.0 EXECUTIVE SUMMARY

1.1 The purpose of this report is for the Cabinet Committee to consider the principle of the establishment of a dedicated Policy Unit working directly to myself and the establishment of a new post of Head of Policy Unit.

2.0 RECOMMENDATIONS

2.1 That the Corporate Governance Cabinet Committee authorise the Chief Executive to establish a Policy Unit through in the first instance, secondment of existing staff.

2.2 That the Corporate Governance Cabinet Committee authorise the Chief Executive to appoint a Head of Policy Unit.

2.3 That further discussions take place on the precise role of the Policy Unit and the ability to take into account perspectives from Departments across the Council.

3.0 REASONS FOR RECOMMENDATION

3.1 The reason for these recommendations is to respond to the findings of the AKA Report on Corporate Governance and to strengthen the Council's existing arrangements for the development and co-ordination of policy.

4.0 BACKGROUND

4.1 Cabinet on 22 September 2011 considered a report by AKA into the Council's Corporate Governance arrangements.

4.2 At a meeting of the Employment and Appointments Committee held on 29 September it was agreed that the Cabinet Committee should be asked to consider the principle of the establishment of a dedicated Policy Unit and the establishment of a new post of Head of Policy Unit working directly to myself.

4.3 The development, co-ordination and implementation of policy is a critical function of any local authority. The policy function sits at the heart of setting the authority's future direction and must ensure that the authority is aware of and is responding to changing circumstances whether as a result of new legislation, social or economic changes or whatever other reason. It is also critical that we ensure that when we agree to introduce new policies that they are appropriately implemented and that their impact is monitored and evaluated.

4.4   It is suggested that the primary responsibilities of the new Policy Unit would be to ensure that the Authority is aware of and responds to changing circumstances. The Policy Unit would also be responsible for the development and co-ordination of policy work across the Council. A major element of this work would be the ongoing development of the Council's Corporate Plan which is the Authority's foremost policy document. The Policy Unit would also take the lead on a number of other major policy initiatives including the Council's Child Poverty Strategy.

4.5   Current thinking is that in the first instance the Policy Unit should be established by the incorporation of existing officers currently working directly to me on policy issues but that other officers elsewhere in the Authority be seconded to the Unit. I think that it would also be appropriate for the Policy Unit to be part of the rotation for the Authority's Graduate Trainees.

4.6   It is also proposed that the Unit be headed by a new post entitled Head of Policy Unit.

4.7   The establishment of the dedicated Policy Unit is an important element in the Council's response to the AKA Report. I would therefore welcome the Cabinet Committee's views on this matter.

5.0   RELEVANT RISKS

5.1   In the light of the AKA Report, it is essential that the Council's capacity to develop and co-ordinate policy is improved.

6.0   OTHER OPTIONS CONSIDERED

6.1   In the first instance the only option for the creation of a dedicated Policy Unit was through the use of existing staff.

7.0   CONSULTATION

7.1   Consultation on the development of policies and initiatives will be undertaken and the Policy Unit will liaise with the Communications and Policy Engagement Team to ensure that it is dealt with appropriately.

8.0   IMPLICATIONS FOR VOLUNTARY, COMMUNITY AND FAITH GROUPS

8.1   The development of policy will have implications for the above groups and it is important that their needs and views are fully taken account of in the development of new policies.

9.0   RESOURCE IMPLICATIONS – FINANCIAL

9.1   It is anticipated that the Policy Unit would be created through the use of existing staff and resources however there will be a financial implication as a result of the creation of the new post of Head of Policy Unit.

10.0   LEGAL IMPLICATIONS

10.1   The legal implications of new policy initiatives will have to be given careful consideration.

11.0 EQUALITIES IMPLICATIONS

11.1 The equalities implications of new policy initiatives will have to be given careful consideration.

12.0 CARBON REDUCTION IMPLICATIONS

12.1 The carbon reduction implications of new policy initiatives will have to be given careful consideration.

13.0 PLANNING AND COMMUNITY SAFETY IMPLICATIONS

13.1 The planning and community safety implications of new policy initiatives will have to be given careful consideration.

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Chief Executive
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email: jimwilkie@wirral.gov.uk

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PROPOSED DATES FOR

**CORPORATE GOVERNANCE CABINET COMMITTEES
(3 WEEKLY CYCLE)**

DATE	TIME
26 October 2011	4.00pm
16 November 2011	4.00pm
7 December 2011	5.30pm
28 December 2011	NO MEETING
18 January 2012	4.00pm
8 February 2012	4.00pm
29 February 2012	4.00pm
21 March 2012	4.00pm
11 April 2012	5.30pm

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