



National Offender Management Service

NOMS POLICY ON MANAGING PERFORMANCE

This instruction applies to:-		Reference:-
NOMS Headquarters Prisons		AI 08/2014 PSI 02/2014
Issue Date	Effective Date	Expiry Date
30 March 2016 (Revised)	1 April 2014	N/A
Issued on the authority of	NOMS Agency Board	
For action by	<p>All staff responsible for the development and publication of policy and instructions</p> <ul style="list-style-type: none"> <input checked="" type="checkbox"/> NOMS HQ <input checked="" type="checkbox"/> Public Sector Prisons <input checked="" type="checkbox"/> NOMS Immigration Removal Centres (IRCs) <input type="checkbox"/> Contracted Prisons* <input checked="" type="checkbox"/> Governors <input checked="" type="checkbox"/> Heads of Groups <p><i>* If this box is marked, then in this document the term Governor also applies to Directors of Contracted Prisons</i></p>	
Instruction type	HR function	
For information	All staff	
Provide a summary of the policy aim and the reason for its development / revision	<p>This CSEP policy encourages a high performance culture by focussing on both outputs and behaviours. It introduces processes to ensure expectations of staff are clearer and more consistent, and encourages employees to take greater ownership of their performance. This will be assessed against 3 possible ratings. Information is provided on the anticipated distribution of ratings but this is for guidance only; there is no requirement for the guided distribution to be achieved providing ratings are evidence based and defensible.</p> <p>Update March 2016: A decision was made by the NOMS National Management Executive Committee to introduce a simplified SPDR form to particularly support managers with large management spans. Small policy changes have been added to reflect the new form.</p>	
Contact	<p>Queries to Shared Services HR Contact Centre</p> <p>☎ 0845 010 3504 (VPN 7190 3504)</p>	
Associated documents	<p>Please also read</p> <p>PSI 11/2013 and AI 01/2013 – Performance Management Policy</p> <p>PSI 12/2013 - AI 02/2013 NOMS Poor Performance Policy</p> <p>PSI 11/2014 - AI 09/2014 NOMS Policy on the Management of Employee Induction and Probationary Periods</p> <p>Civil Service Code</p> <p>Civil Service Learning</p> <p>Civil Service Competency Framework</p>	

Replaces the following documents which are hereby cancelled: This policy replaces PSI 11/2013 - AI 01/2013 NOMS Performance Management Policy Chapter 5 for the 2014/2015 reporting cycle and thereafter. PSI 11/2013 - AI 01/2013 will apply to the closure of the 2013/14 reports only.

Audit and Monitoring: Mandatory elements of instructions must be subject to management checks and may be subject to self or peer audit by operational line management /HQ managers, as judged to be appropriate by the managers with responsibility for delivery. In addition, NOMS will have a corporate audit programme that will audit against mandatory requirements to an extent and at a frequency determined from time to time through the appropriate governance.

Introduces amendments to the following documents: None

Notes: *All Mandatory Actions throughout this instruction are in italics and must be strictly adhered to.*

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1. Executive Summary

Purpose and Context

- 1.1 Our staff play a critical role in NOMS delivering against its objectives and have an important role to play in preventing victims by changing lives. Getting the best out of individuals and managing performance fairly, is now more important than ever. It is important that we help individuals feel engaged and motivated to deliver their best and provide support to help them continue to develop. This policy focuses on being clear, honest and fair with staff. Clear about performance objectives¹ and standards, honest about what is required and how that should be delivered, and fair in providing feedback against a more consistent standard.
- 1.2 The Performance Management policy provides guidance to managers and staff about how individual performance should be assessed and agreed. Individuals will be supported and developed to meet clearly defined levels of performance and will receive feedback on how they have performed.
- 1.3 This Instruction replaces [AI 01/2013 and PSI 11/2013 – Performance Management Policy](#). For staff in their probationary period it should be read together with [AI 09/2014 and PSI 11/2014 – NOMS Policy on Managing Induction and Probationary periods](#).

Desired Outcomes

- 1.4 The effective management of staff is a key means by which we deliver the work of the Service and clear guidance and support should be available to staff to help them undertake their performance management responsibilities effectively. This Instruction and the complementary guidance available on [My Services](#) are intended to provide a simple and clear explanation of the mandatory requirements of the Service's staff performance management process.

Application

- 1.5 *All staff must be familiar with all sections of this performance management policy, the [Managing poor Performance Policy set out in AI 02/2013 - PSI 12/2013](#), and the [Induction and Probationary Period Policy set out in AI 09/2014 and PSI 11/2014](#).*
- 1.6 All managers with line management responsibility are required to read and follow all sections of the Performance Management policy as required, the [Managing Poor Performance Policy set out in AI 02/2013 – PSI 12/2013](#) and [NOMS Policy on Managing Induction and Probationary Periods set out in AI 09/2014 and PSI 11/2014](#). Processes should be planned and scheduled in advance to support activities for the beginning, mid, and year-end processes.
- 1.7 All managers are bound by a public sector equality duty to eliminate discrimination. Historically, people with some protected characteristics have experienced disproportionately negative outcomes in staff performance management processes. *Particular care must therefore be taken at all stages of the reporting cycle, whether the engagement, objective-setting or assessment stage, to ensure fairness and objectivity for all.* (For further guidance see [My Services](#); for learning tools see [Civil Service Learning](#)).

¹ Staff and managers using the quick SPDR form launched in January 2016 do not need to set objectives – see Section 3.2. Instead staff and managers should take a conversational approach during performance management meetings, focussing on job descriptions and the Civil Service Competency Framework, Civil Service Values and the Leadership Statement.

Mandatory actions

- 1.8 *All staff must follow the mandatory requirements in this Instruction. Deputy Directors of Custody Governing Governors, Directors, Heads of Groups and other more senior managers are responsible for the delivery of these requirements in their areas.*

Resource Impact

- 1.9 Managers are already required to actively manage performance, clarify standards, support continuous development, meet regularly with staff, and assess achievements. Where processes are put in place at the beginning of each reporting year to plan and schedule the necessary activities, it is anticipated that this policy will create greater clarity for staff, and support a high performance culture.

Advice and Guidance

- 1.10 Advice and Guidance on the application of this instruction is available from **Shared Services on 0845 010 3504.**

(Approved for Publication)

Carol Carpenter
Director of Human Resources, NOMS

2. PERFORMANCE MANAGEMENT POLICY

Policy Principles

2.1 Performance Management is a tool which helps us to deliver high quality services. Every contact matters, both in the way we treat prisoners and the way we manage our staff. Giving fair and constructive feedback on what is good, and not so good, helps us to achieve what we set out to achieve and to create an environment where we continually improve. The following principles underpin the performance management policy:

- performance will be pro-actively managed with a focus on continuous improvement and individual development, and managing poor performance in order to facilitate efficient business delivery in line with the Civil Service values.
- performance will be managed in a fair and transparent way reinforced by Civil Service values and the policy complies with: employment legislation; Advisory, Conciliation and Arbitration Service (ACAS) best practice; Equality Act 2010; and the Civil Service Management Code.
- performance will be managed in line with the Civil Service Code.

Scope of Policy

2.2 This policy applies to all permanent and fixed term employees, at all grades and bands below the SCS.

2.3 Further information on managing poor performance, and performance management for staff in their probationary period is set out in [AI 02/2013 – PSI 12/2013 – NOMS Policy on Managing Poor Performance](#) and [PSI 11/2014 /AI 09/2014 - NOMS Policy on Managing Employee Induction and Probationary Periods](#). See also [My Services](#) guidance.

Policy Summary

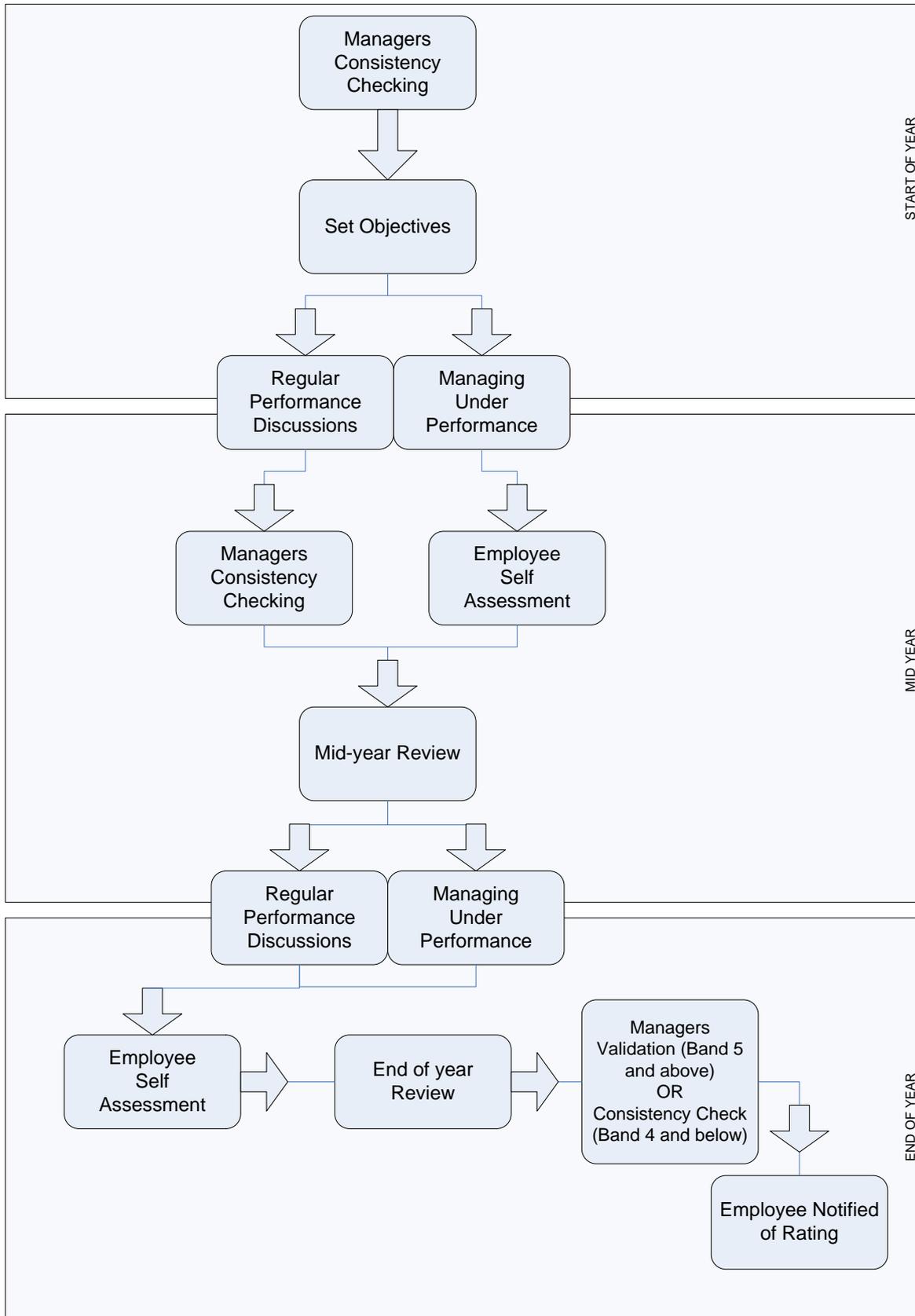
2.4 Performance management is key to driving up individual and organisational performance and providing greater value for money to deliver high quality public services. The performance management policy provides a framework for managing performance throughout the year, laying the foundations of expected standards of performance and facilitating employee engagement.

2.5 Performance is evaluated against both the 'What' (delivery of objectives/job description) and the 'How' (demonstration of behaviours, competencies and NOMS and Civil Service values) with equal weighting. *Objectives must be set/job descriptions discussed at the beginning of the performance management year and reviewed at regular performance discussions throughout the year.* [Staff and managers using the quick SPDR form should refer to footnote 1 (page 2) and Section 3.2 below]. The end-of-year process consists of an agreed validation or consistency check process to confirm the distribution of performance ratings.

2.6 Employees who are part of the validation process will be assessed against their peers in groups within the Agency (see [My Services](#) for details).

3. PERFORMANCE MANAGEMENT PROCEDURE [Staff and managers using the quick SPDR form should refer to footnote 1 (page 2) and Section 3.2 below]

3.1 Flowchart Overview of Procedure (Accessible version at [Appendix 1](#))



Staff Performance Development Reports

3.2 There are currently two SPDR forms in use. The first form was introduced as part of CSEP policy, and the process and features are contained within this document. Employees looking to progress/seek promotion may want to use the CSEP SPDR form as more detail can be captured. Employees requiring a light touch approach may want to use the quick SPDR form. The quick SPDR form still follows CSEP principles. Either form can be used by any staff member. The quick SPDR form contains the following features:

- **no need to record objectives** – performance is evaluated against both the ‘What’ (job description) and the ‘How’ (demonstration of behaviours, competencies and NOMS and Civil Service values) with equal weighting.
- **conversational approach** – there is no need for detailed analysis on the form, instead short sharp points are sufficient
- **autonomy** – managers and staff have autonomy on how to complete the form, with staff expected to complete the form in agreement with managers.

The quick SPDR form process slightly varies from the CSEP version and is set out below and footnoted:

- performance management discussions should be manageable. Suggested time of around 45 minutes, but can be longer or shorter dependent on need
- staff should complete the quick SPDR form and in particular the mid and end year comments boxes. Any content added should be agreed by both parties.
- no counter signatory required on the form

Performance Planning

3.3 The performance management year runs for a period of 12 months from 1 April each year. *At the start of the performance year, performance distribution ranges will be agreed for the Agency, and countersigning and line managers must carry out consistency checking and objective setting, to ensure there is a common understanding of performance expectations.²*

Distribution Ranges

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

3.5 The guided distribution ranges are set out below, though this may change at the end of the year dependent on Agency delivery or overall performance. The ‘Improvement Required’ category will include: those under formal poor performance management action at the time of the end-of-year review; those whose performance requires, or has required, improvement when considering the overall reporting period and those who have been dismissed for poor performance during the year.

Outstanding	10 – 25% of employees
Good	60 – 80% of employees
Improvement Required	5 – 10% of employees

² Managers and staff using the quick SPDR form will no longer require a counter signatory on the form. Please note there will still be a Phoenix trigger for a counter signatory.

- 3.6 The percentage given against each performance rating is intended as an estimate of the split of employees within each business group. It is not prescribing a requirement that this percentage of staff must be always be placed within each rating.
- 3.7 Where a consistent assessment of performance evidence produces a different distribution of ratings, employees will not have their performance rating changed or forced simply to meet the distribution range. However, all ratings should be supported by evidence of the employee's performance in the Staff Performance and Development Report (SPDR). Managers and countersigning managers (see footnote 2 (page 6) should be able to account for outcomes, if they are asked to do so, by referring to the information provided in the SPDR.

Consistency Checking

- 3.8 Consistency checking involves countersigning (see footnote 2 (page 6) and line managers ensuring that there is a shared understanding of performance expectations and that those expectations are being applied consistently across their business. It also allows for shared understanding of the key elements of the reporting system including; objective setting/standardising roles (see footnote 1 (page 2), how to gather objective examples and how to provide appropriate feedback.
- 3.9 These simple checks should take place at the beginning of the performance year and before the mid-year review is held. This consistency check will include some further actions as part of the end-of-year process as detailed in paragraphs 3.49 and 3.50. For further guidance see [My Services](#).

Objective Setting

[This section does not apply to staff using the quick SPDR form. Staff and managers should refer to footnotes 1 (page 2) and 2 (page 6) and Section 3.2 above].

- 3.10 The line manager holds overall responsibility for setting objectives at the start of the performance year. The line manager and employee have joint responsibility for ensuring objectives are discussed and understood, and where possible the employee should produce the first draft of their objectives, with support from their line manager if required.
- 3.11 The line manager is responsible for ensuring the objectives are relevant to the job role, as well as Specific, Measurable, Achievable, Realistic and Timed (SMART). Objectives should be succinct so that the employee is clear about what is expected of them. Individual needs should be reflected in the objectives and practical adjustments made where appropriate. Guidance on how to set SMART objectives is available on [My Services](#).
- 3.12 *Whilst objectives may be set that go beyond the end of year, clear achievements and deliverables for the year-end must be agreed.* This enables employees to have relevant and SMART objectives at all times and in the event that there is a delay between the performance year end and the setting of new objectives.
- 3.13 Objective setting should not be a one-off activity. They should be reviewed throughout the year particularly when objectives are achieved, amended or new objectives are required.
- 3.14 Line managers should ensure employees are clear about how their objectives link to NOMS targets through their team/business plan. In addition any generic objectives, which apply across the Agency, should be tailored for the employee, so they understand their contribution to the team and wider Agency.
- 3.15 Objectives should be succinct and as a guide 4-6 are usually sufficient. A leadership/people management objective is mandatory as an objective for Bands 5 to 11 (and equivalent grades), even where exceptionally they do not line manage any staff. Employees and line

managers should take into account the 'People Cluster – Engaging People' section of the [Civil Service Competency Framework](#) when setting this objective. It is also recommended that budget holders have a financial management objective.

- 3.16 Objective setting should take into account the experience of the employee in the role for staff transferring into new roles / promotees. For guidance see [My Services](#).
- 3.17 An employee's disability and / or working pattern will be taken into account before any objectives are agreed. It is the responsibility of managers to ensure reasonable adjustments are made to an employee's objectives in line with obligations under the Equalities Act 2010 to ensure that they have the same opportunity to meet them as any other employee.
- 3.18 For part-time employees, activities like learning, managing and keeping up to date may have a larger proportionate impact on time available for achieving their specific objectives.

Personal Development

- 3.19 It is important that personal development needs are reviewed and objectives set, as part of the regular discussions as continuous development helps to maintain and enhance performance.
- 3.20 The countersigning manager has a role to ensure that employee development is addressed and that line managers and employees are taking the appropriate action [Staff and managers using the quick SPDR form should refer to footnote 2 (page 6) and Section 3.2 above].

Regular Performance Discussions

- 3.21 Reviewing performance should not be seen as an annual process. The line manager and employee are jointly responsible for having regular performance discussions throughout the year.
- 3.22 These discussions are part of normal business management and should be open, unbiased and factual, supported by examples gathered by the employee and, where appropriate, the line manager. They are vital to ensure employees are aware of their performance against the 'What' (delivery of objectives/job description) and the 'How' (impact of behaviour, competencies and values). It is not necessary to discuss all objectives/job description and competencies at every performance discussion [Staff and managers using the quick SPDR form should refer to footnote 1 (page 2) and Section 3.2 above].
- 3.23 Line managers should use these discussions to give feedback by recognising good performance and achievements and identifying any areas needing further development or remedial action to be taken. Line managers should also give the employee the opportunity to raise any issues/concerns they may have about their work or development.
- 3.24 Depending on what is being discussed it may be useful to record the main points of the meeting.

Recognising and Managing Poor Performance

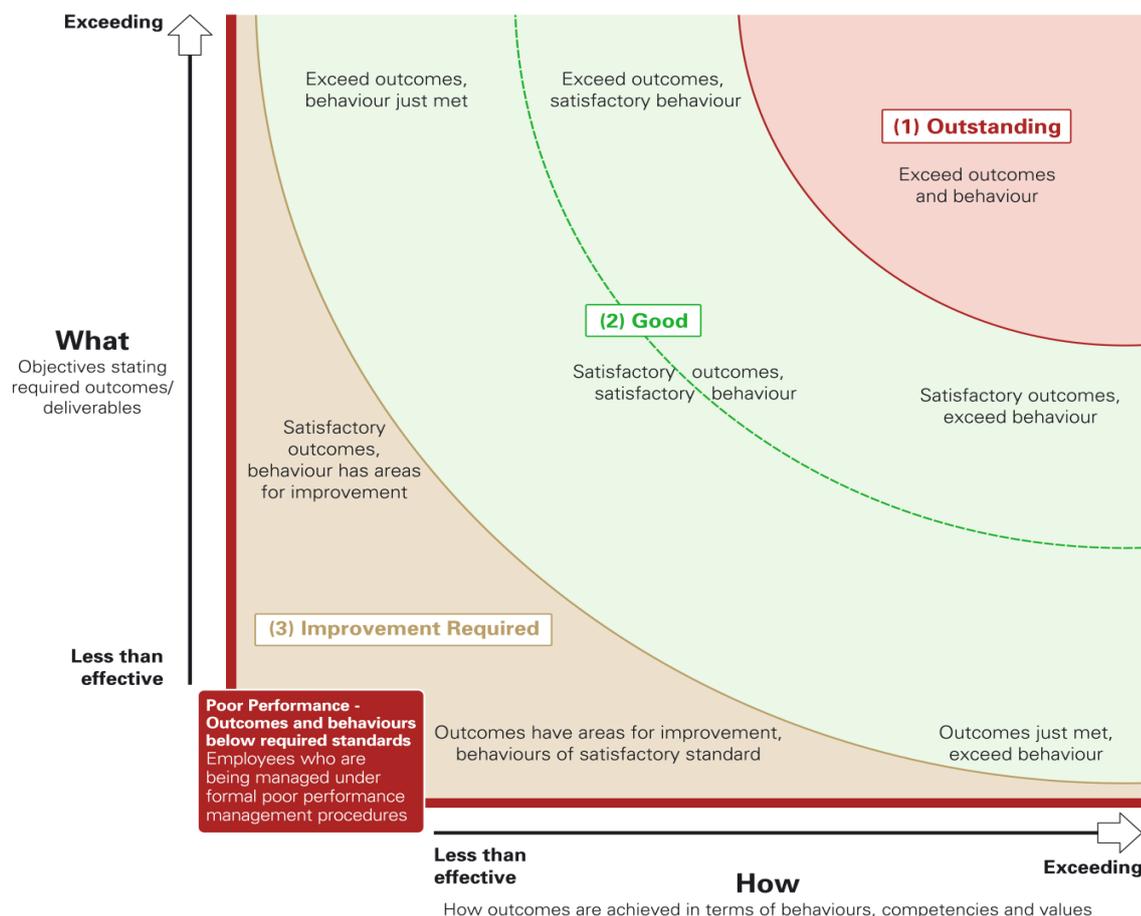
- 3.25 Regular or one-off dips in performance should be addressed quickly as part of the normal day to day line management in line with the guide 'How to: deal informally with dips in performance'. Poor performance can adversely impact on the morale of other employees and the overall productivity of the team.

- 3.26 Line managers should carry out regular performance discussions. It is crucial that line managers have open and constructive conversations with employees about their performance to agree appropriate support interventions. Early intervention can help to restore performance to the agreed standard.
- 3.27 It may be useful to record brief notes of the main points of any conversations to ensure that there is a common understanding of actions agreed and to inform future discussions.
- 3.28 *Where normal, practical support has been provided in line with the 'How to' guide but performance remains at an unacceptable level, the line manager must start formal procedures in accordance with the NOMS Managing Poor Performance policy. The line manager must inform the employee of this action and the reasons why.*

Rating Performance

- 3.29 Performance is evaluated against both the 'What' (delivery of objectives/job descriptions) and the 'How' (demonstration of behaviours, competencies and values) with equal weighting. Performance will be assessed on three final ratings; Outstanding, Good and Improvement Required [Staff and managers using the quick SPDR form should refer to footnote 1 (page 2) and Section 3.2 above].
- 3.30 The performance wave in section 3.31 can be used by line managers when assessing the employee's performance and awarding a rating. The line manager should consider where an employee's performance would be plotted on the wave, taking into account the rating descriptors and the employee's in year performance.

- 3.31 Performance wave – see [Appendix 2](#) for further details. [Staff and managers using the quick SPDR form should refer to job descriptions and progress during the year in conjunction with the Performance Wave below]



- 3.32 Example descriptors of performance ratings:

Outstanding

- Exceeded outcomes, exceeded behaviour standards.

Good

- Exceeded outcomes; behaviour of satisfactory standards.
- Satisfactory outcomes; exceeded behaviour standards.
- Satisfactory outcomes; behaviour of satisfactory standards.
- Exceeded outcomes; behaviours just met.
- Outcomes just met; exceeded behaviour standards.

Improvement Required

- Satisfactory outcomes; behaviour has areas for improvement.
- Outcomes have areas for improvement; behaviours of satisfactory standard.
- Outcomes and behaviours below required standards.

- 3.33 The performance wave is useful in performance discussions to highlight where an employee is plotted within the span of the rating. The 'Good' rating encompasses the widest span of performance. At this level, performance could be verging on needing improvement, exceeding in some areas or being generally satisfactory. The dotted line shown in the 'Good' section is a halfway point to aid these discussions. Managers should take account of the descriptions on the Wave diagram and provide specific feedback to the employee during performance discussions about where they are placed. See [My Services](#) guidance.
- 3.34 The 'Improvement Required' rating includes employees whose performance requires, or has required, improvement when considering the overall reporting period. Where performance as a whole does not justify a "Good" rating for the period concerned, an Improvement Required rating should be given. The 'Improvement Required' rating also includes those employees who are being managed under formal managing poor performance procedures (See paragraph 3.25 and [My Services](#) guidance).

Mid-year Review

- 3.35 *Following the consistency check, a mandatory mid-year review must be held between the line manager and employee to discuss performance.*
- 3.36 Prior to the meeting all employees should reflect on their performance against both the 'What' (delivery of objectives/job descriptions) and the 'How' (demonstration of behaviours, competencies and values) with equal weighting using the performance wave. Employees should self-assess where they believe they should be placed on the performance wave and why. It is good practice for Bands 5 and above to write a self-assessment that is shared with their line manager prior to the review meeting [Staff and Managers using the quick SPDR form should refer to footnote 1 (page 2) and Section 3.2 above].
- 3.37 Employees should bring examples of their performance against objectives/job descriptions and how they have demonstrated the required competencies and behaviours to the meeting with a proposed indicative performance rating of their achievement. In addition the line manager should also provide examples to support their assessment of the employee's performance. For guidance see [My Services](#) [Staff and Managers using the quick SPDR form should refer to footnote 1 (page 2) and Section 3.2 above].
- 3.38 *The review must be recorded on the performance management report.* Employees at Band 5, or equivalent, and above should write the first draft. *For employees at Band 4 and below line managers must write the first draft* (unless the employee wishes to do so and time can reasonably be made available for the task)³. The review and report should cover the following areas.
- Performance – the 'What' (delivery of objectives/job descriptions) and the 'How' (demonstrating behaviours, competencies and values) with equal weighting [Staff and Managers using the quick SPDR form should refer to footnote 1 (page 2) and Section 3.2 above].
 - Giving and seeking feedback.
 - Support and coaching for development needed.
 - A brief summary of what was discussed and agreed.
 - Next steps – a review of current objectives/job descriptions and agreement of any amendments (as necessary).
 - The proposed mid-year indicative rating may be discussed with the employee before the mid-year validation or consistency check takes place. *However the line*

³ All staff using the quick SPDR form should draft their own mid and end of year comments following a discussion with their Manager.

manager must clarify that the mid year rating may change, subject to the consistency check process, and confirm that if this happens they will meet the employee again to confirm the mid-year rating. .

- 3.39 *If the indicative mid-year rating is changed during the consistency check process, then the line manager must meet the employee again to inform them of the final mid-year rating.*
- 3.40 The line manager is responsible for ensuring the recorded summary of the discussion reflects what was discussed and agreed, whether it was written by themselves or by the employee.

End of Year Review

- 3.41 *A mandatory end-of-year review must be held between the line manager and employee to discuss:*
- *performance against both the ‘What’ (delivery of objectives/job descriptions) and the ‘How’ (demonstration of behaviours, competencies and values) with equal weighting,*
 - *giving and seeking feedback*
 - *a review of development over the period*
 - *objectives, competencies and areas for development for the coming performance period.*

[Staff and Managers using the quick SPDR form should refer to footnote 1 (page 2) and Section 3.2 above].

- 3.42 Prior to the meeting, the employee should reflect on their performance and self assess where they believe they should be placed on the performance wave by comparing their performance against both the ‘What’ (delivery of objectives/job descriptions) and the ‘How’ (demonstration of behaviours, competencies and values) with equal weighting. It is good practice for Bands 5 and above to write a self-assessment that is shared with their line manager prior to the review meeting [Staff and managers using the quick SPDR form should refer to footnote 3 (page 12) and Section 3.2 above].
- 3.43 The employee should bring examples of their performance achievements against objectives/job descriptions and how they have demonstrated the required competencies and behaviours to the meeting. In addition the line manager should also provide examples to support their assessment of the employee’s performance.
- 3.44 *The line manager should discuss the indicative end of year performance rating they consider to be appropriate, but must explain that:*
- *this is a preliminary indication only and may be subject to change during the consistency check/validation processes as appropriate.*
 - *he or she will meet with the employee after the consistency check/validation meeting if the indicative rating changes.*
- 3.45 After the end-of-year review meeting employees at Band 5 and above, should record a first draft of a summary of the review on the performance management report. *For employees at Band 4 and below line managers must write the first draft* (unless the employee wishes to do so and time can reasonably be made available for the task). [Staff and managers using the quick SPDR form should refer to footnote 3 (page 12) and Section 3.2 above]. It is then a line manager responsibility to:
- ensure the recorded summary of the discussion reflects what has been discussed and agreed, whether it has been written by themselves or the employee; and

- discuss and agree a suggested performance rating with the countersigning manager [Staff and managers using the quick SPDR form should refer to footnote 2 (page 6) and Section 3.2 above.

3.46 Where possible, the employee and manager should agree the outcomes of the review. However, where this is not possible, the manager will complete and submit the record.

Confirming Final Performance Rating

3.47 At the end of year there will be a validation meeting to assess performance for all employees at Bands 5 to 11 (and equivalent grades). For employees at Bands 1 to 4 (and equivalent grades) a simple end of year consistency check will take place.

3.48 The purpose of the end-of-year process is to review outcomes in relation to the distribution range and to ensure that final ratings are appropriate. Validation will ensure consistency at the end-of-year having already established a shared understanding of performance expectations during the year, assessing performance against peers and ensuring performance differentiation across the peer group. This will generally only involve looking at those individuals whose performance falls around the boundary of the performance markings.

Consistency Checks

3.49 The end of year consistency check involves checking distribution of markings across the business unit (a meaningful sample size across grades) and ensuring that consideration of the employees' performance by managers is objective and consistent. For further information see [My Services](#).

3.50 The end-of-year consistency check requires countersigning/senior managers to:

- check the distribution ranges of all employees within the unit at the end of year;
- consider whether the marking distribution is justified on the basis of performance evidence and a consistent application of standards. If it is not take the appropriate action with line managers.

For Information and guidance on consistency checking processes see [My Services](#).

Validation Meetings

3.51 Countersigning managers need to be satisfied about the quality and consistency of the Band 5 to Band 11 (and equivalent grade) reports which they are asked to sign off and they may talk to individual reporting managers if they are concerned. The suggested performance ratings will then be subject to formal validation. The purpose of this end-of-year validation is to review outcomes in relation to the distribution range and to ensure that final ratings are appropriate. Validation will further ensure consistency at the end-of-year, having already established a shared understanding of known performance expectations during the year, and performance differentiation across the peer group.

3.52 At validation meetings:

- the line manager or appropriate nominee represents the employee at the validation meeting;
- there should be a record of the discussion that is sufficient to support feedback and confirm final rating.

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

- the end of year process operates effectively;
- the agreed performance distribution has been met or the reasons why this has not been met are recorded; and;
- all decisions have been reasonable, fair, unbiased and non-discriminatory.

For Information and guidance on validation meetings see [My Services](#).

3.54 Following the consistency check and/or validation meeting:

- If the expected distribution has not been met, the countersigning manager (or SMT) should consider whether this is justified on the basis of performance evidence and a consistent application of standards [Staff and managers using the quick SPDR form should refer to footnote 2 (page 6)].
- *Where the consistency check or validation processes have resulted in changes to indicative ratings, line managers must meet with each affected employee to inform them of the change and of their final performance rating, and if appropriate to provide feedback. This should be done as soon as possible after the consistency check or validation meeting.*
- *Where a 'Improvement Required' rating is indicated, the manager must discuss with the employee the steps to be taken that should lead to an improvement in their rating, with reference to the 'What' and 'How'*
- Information provided on [My Services](#) will confirm the last date for appraisals to be completed, and managers to have input performance markings on the Phoenix system using manager self service.

Disagreements

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

3.56 Where disagreements cannot be resolved informally between the line manager and employee, the employee has access to the NOMS Staff Grievance Policy. For further information see [My Services](#).

4. Roles and Responsibilities [Staff and managers using the quick SPDR form should refer to all footnotes above and Section 3.2 before referring to the table below as some actions below may not apply].

Purpose: To highlight the joint ownership of the performance management process and the key roles and responsibilities of individuals.

Employee	Line manager	Countersigning manager
<p>I will:</p> <ul style="list-style-type: none"> • ensure I have defined Specific, Measurable, Achievable, Relevant and Timed (SMART) objectives at all times, reviewing them on a regular basis • raise promptly any issues I have in achieving my objectives • pro-actively seek and act upon regular constructive feedback. Continuously seek ways to improve and take an active and positive interest in my development • take personal responsibility for my own performance contributing to organisational and team outcomes, working to the best of my ability • provide relevant examples at performance review meetings to demonstrate my work. 	<p>I will:</p> <ul style="list-style-type: none"> • ensure that my employees have SMART objectives which are up to date and that they are clear about their role and responsibilities and what is expected of them • provide regular constructive feedback on my employees' performance throughout the year to support their development and ensure they have the skills and knowledge relevant to their job role • recognise good work • proactively manage any areas of poor performance • empower and motivate my employees to carry out work to the best of their ability • ensure that I hold mandatory review meetings with my employees. 	<p>I will:</p> <ul style="list-style-type: none"> • ensure that my line managers and employees have SMART objectives and that these are updated as required • ensure that my line managers and employees are holding regular performance discussions throughout the year and that line managers address any development needs identified by taking appropriate action • ensure that mandatory review meetings take place • ensure that reward and recognition is used appropriately • ensure that poor performance is identified by line managers and proactively managed.

<p>We will:</p> <ul style="list-style-type: none"> • use policy, procedures and supporting tools to complete all performance actions to the required deadlines • be committed to the performance management process • prepare for and positively participate in regular performance discussions • contribute to an effective performance management culture in the department • offer constructive feedback to colleagues as required • support and promote NOMS and Civil Service values
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Appendix 1 – Accessible version of the process flowchart providing an overview of procedure [Staff and managers using the quick SPDR form should refer to the footnotes above and Section 3.2 before referring to the section as some actions may not apply].

Start of year

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

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

Throughout the performance year

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

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

Mid-year

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

Employees at Band 5 and above (or equivalent grades) will need to complete a self-assessment.

Managers will need to hold a mid-year review with each of their employees. *Where necessary, managers may share indicative performance markings with the employee before consistency checking takes place but must be clear that this is subject to consistency checking and may change.*

Where the employee's proposed mid year rating is changed the line manager will meet with the employee to inform them of their final mid-year rating.

Throughout the performance year

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

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

End of year

At the end of the performance year employees at Band 5 and above (or equivalent grades) will need to undertake a self-assessment.

This self-assessment will influence the discussion during the end-of-year review meeting. *Managers may share indicative end-of-year performance markings with the employee at this stage but must be clear that this is subject to consistency checking/validation processes as appropriate and may change.*

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

Where the employee's indicative rating has changed the line manager will meet with the employee to inform them of their final rating.

Information on My Services will confirm the last date for appraisals to be completed, and managers to have input performance markings on the Phoenix system using manager self service.

Appendix 2 – Performance Wave description [Staff and managers using the quick SPDR form should refer to the footnotes above and Section 3.2 before referring to the section below].

Description

The Performance Wave is a tool which shows how differing levels of achieving the 'What' and 'How' impact on the performance level.

There are two axes, the vertical axis is the 'What' (achievement of objectives/job description) starting with 'Less than Effective' at the bottom and finishing with 'Exceeding' at the top. The horizontal axis is the 'How' (behaviours), starting with 'Less than effective' on the left and finishing with 'Exceeding' on the right.

From these axes are two concave curved lines separating the three performance levels.

Improvement Required (3)

The first line starts at the position "Exceeding" on the vertical "what" axes and "Less than effective" on the horizontal "how" axes. The line then curves steeply downwards while going along the horizontal axes before the angle of descent decreases and it goes along the horizontal axes ending on a point at "Less than effective" on the vertical axes and "Exceeding" on the horizontal axes.

This line covers approximately 25% of the whole space and is mostly in the lower left corner, which is "Less than effective" on both the "what" and "how" axes. This area includes the descriptions "outcomes have areas for improvement, and "satisfactory outcomes, behaviour has areas for improvement". The appropriate Performance Level for this area is 'Improvement Required (3).

Good (2)

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

"Exceed outcomes, behaviours just achieved"

"Exceed outcomes, satisfactory behaviours"

"Satisfactory outcomes, behaviour of a satisfactory standard"

"Satisfactory outcomes, exceed behaviours"

"Outcomes just achieved, exceed behaviours"

Outstanding (1)

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

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

See also [My Services](#) advice and guidance.