



1. Introduction

This guide is intended to be a quick and easy reference to the PDRS. It provides an overview of the system, including a summary of the main component elements. This system applies to all members of staff.

2. Aims of the PDRS

- a. The development of staff is inextricably linked to the achievement of the policing objectives of Dyfed Powys Police. The PDRS appraisal will enable discussion about the level and type of work that staff should be capable of doing in the future; how they can develop for the sake of their own career; and how to maximise their contribution to the Dyfed Powys Police.
- b. The appraisal also provides feedback on performance with appropriate appreciation and recognition of good work, and where appropriate, work which does not reach the requirements of the service. It gives appraisees an opportunity to discuss how they are progressing and to see what improvements can be made, with help, support and guidance from their managers, to build on their strengths and enable their work to be more effective.

3. Principles of the PDRS

Openness - The system is completely open. This means that the Appraisee is entitled to see everything that is written about them and have the opportunity to comment upon those remarks.

Shared Responsibility - Gathering information for an appraisal report is a responsibility that must be shared between both the appraisee and appraiser with the focus being on self-assessment. Appraisees must be given the opportunity to contribute to the appraisal process by reviewing their own performance. Similarly, personal development is a responsibility, which must be shared between the individual and his/her supervisors.

Fairness - This is a vital part of the process. Observations and gradings about somebody's performance must be objectively assessed on the basis of the work they do. **The Dyfed Powys Police is committed to being an equal opportunity employer and will not tolerate any member receiving less favourable treatment on the grounds of Race, Gender, Disability, Religion and Belief, Welsh Language, Sexual Orientation or any other criteria, which cannot be justified on legal grounds.**

Link with Service Objectives: There should be a clear link between the priorities set for the individual and the Policing Objectives of Dyfed Powys Police, as outlined in force and divisional/departmental policing plans.

4. The main elements of the Performance Development and Review System

- A. Confirm Personal Details and identify current role.
- B. Conduct a review of the past years objectives.
- C. Set objectives for the coming year.
- D. Review of performance against your role activities.
- D. Review any attachments and additional duties carried out.
- D. Identify development requirements.
- E. Review performance against Behaviours
- F. Line Manager comments and TNAs.
- G. Career Development.
- H. Health and Wellbeing.
- I. Second Line Manager's comments

J. Appraiser's comments

K. HR Managers QA

5. **Personal Details**

A As this is an On-Line automated system, it is essential that you ensure that you correctly complete and save the correct personal details, including that of your Line Manager.

B **Review of past years objectives.**

This is a 'free text' section in which you should list your previous years objectives and comment as to whether they have been achieved, if so, how. If not what is the present position.

C **Objectives for the coming year.**

Free text entry of your objectives for the coming year that will contribute to the force strategic or policing plans. One Objective must be Diversity related and one Citizen Focused. Needs to be agreed by line manager.

D **Review of performance against my role activities.**

Role Activities are the key areas of work that reflect an individual's current policing role, and are set for your particular role. These are mapped against the Integrated Competency Framework (ICF) and are split into various areas.

The Role Profile for your position will have: -.

A Role Purpose: This will give a broad overview of your job purpose. E.g. for a Beat Constable the role purpose would be – To uphold the law fairly and firmly; to prevent crime; to pursue and bring to justice those who break the law; to keep the Queens peace; to protect, help and reassure the community and to be seen to do all this with integrity, common sense and sound judgement.

Major Tasks: These are specific to your local role, and give a more specific overview of your day-to-day duties. However they need to be kept quite broad. For a Uniform Beat Constable, which is a generic post, there are 3 major tasks listed.

Major Tasks:

1. Efficient and cost effective use of resources
2. Deal promptly and efficiently with all policing functions and at the end of the duty period to ensure that all tasks allocated have been finalised.
3. To strive to achieve expected levels of personal performance in response to National and Local Objectives and Divisional Service Delivery Plans. To devise Action Plans to achieve objectives and combat problems on the beat area.

For a specialised post there may be more, but limited to a maximum of 10 major tasks, which are unique to that post. These major tasks are not mapped against the ICF so your performance against them should be discussed with your line manager within your review.

Attainments: These assist the organisation in advertising and the selection of staff for posts. The attainments are the minimum Essential or Desirable qualifications or standards required to fill the role. Any attainments specified must be reasonable and justifiable

Core Responsibilities: There is an ICF list of nationally recognised and agreed Core Responsibility areas for each generic role. These areas are then broken down to a variety of Activities. Your role profile will have been assessed and agreed by your departmental head. The Core Responsibilities and Activities relevant to your post are then mapped onto an ICF role profile. The activities are set nationally within the police service and provide a series of measurable standards. For instance, a Beat Constable has a series of Core Responsibilities, one of which is **Investigation**, this then has 7 activities against which the officer is measured, one of these activities is Interviewing Suspects.

To find out more about each activity, select the appropriate role profile and enter the profile, each activity title is underlined; if you click on the activity title you will open the explanation. This explanation will also provide you with a guide to what would be seen as Effective performance.

If you find that whilst completing your review that part of the role profile is no longer appropriate to your role, then you need to discuss this with your line manager who should bring it to the attention of the departmental head for review.

There is no longer a requirement to self assess or grade against Activities. They should be however the subject of review and discussion with your line manager for reasons as above.

D7 **Additional Duties**

This area needs to be completed to cover those duties / activities / projects / attachments etc. that you have undertaken over the review period that are not otherwise included on your profile.

D8 Development required

This is a free text area and will in the first instance be the appraisees view of what development is required. During the meeting with the line manager this will be discussed and a way forward agreed, this may take a variety of forms from a personal action plan which required little other than personal attention, to formal training via the TNA process.

E1 Review performance against Behaviours

Behaviours relate to the way you approach and deal with activities. So **Activities are what we should do, behaviours are how we should do them**. Again, as with the Activities, within your profile the Behaviours are underlined, you may click on them to get an explanation of the behaviour together with a list of positive indicators. It is in your interests to ensure that you fully evidence these behaviours. They will impact on future job applications, specialist roles and promotion aspirations. **Behaviours are subject to self assessment and grading.**

F Line Manager comments and TNAs.

When you have completed your PDR up to this point, and have included the evidence to support your gradings, you will need to forward the on line PDR to your line manager. This is an automated system. **Please ensure that you have saved the information, and that you still have the correct line manager selected before you select send!** Your line manager will then need to arrange a meeting with you to discuss your PDR. They will have reviewed your grades and checked that you have included the evidence to support them. If you have not then you may be downgraded. If your line manager does not agree with your grade, or feels that you have not evidenced sufficiently then that area will be discussed. If the disputed grade is downgraded then the line manager will evidence accordingly. If you have evidenced sufficiently but the line manager disagrees with the evidence then they will evidence accordingly. If the line manager upgrades your claim then that too will be evidenced.

G Career Development.

This area is for you to identify your aspirations and include evidence over and above your current role that would support your desire to specialise, transfer of progress. Your line manager should include any comments that relate to the appraisees future Career Development.

H Health and Wellbeing.

Questions will be asked of you by your line manager in relation to your attendance record and issues around work life balance etc. These questions are based on findings from the Asset surveys of 2004 and 2007. Honesty and openness at this stage, will bring issues of concern to management attention.

I Second Line Managers Comments

The first line manager will, on completion, forward the completed PDR to the second line manager. The appraisee is not required to have a further meeting with the second line manager, but may do so if they wish to. In either case the second line manager will see the PDR. This will allow the second line manager to review the performance of the appraisee and review and agree or otherwise action plans, TNAs and Career Development comments. It will also ensure that first line managers are working to a consistent standard, as the second line manager is likely to be the first line manager's supervisor. It is important that all reviews are completed to consistent standards.

J Appraisees Comments

If a meeting with the second line manager is conducted, then the appraisee will be given the opportunity to comment on the conduct and outcome of the review. The comments will be recorded here. If a second line manager meeting was not requested, then after completion by the second line manager the PDR will be directed back to the appraisee for the appraisee to see what has been written and to include their own comments. In either case, after completion by the appraisee the complete PDR must be forwarded ASAP to the HR Manager.

K HR Managers QA

The completed PDR will then be forward to the HR manager who will dip sample for quality. This will ensure that reviews are being conducted effectively, consistently, correctly and accurately. It will also ensure that any TNA requests are realistic and relevant and that any Career Development comments are expedited. The HR Manager will be commenting on the content of the document and on the process, **not** on the performance of the appraisee. PDR's will be "flagged" for the attention of HR Managers should issues in relation to Talent Management, Role Profile or Health/Wellbeing be considered by the line manager to be brought to the HR Managers attention.

6. Personal Development Action Plans

- a. The Development Action Plan provides an opportunity to consider how the appraisee's skills can best be developed, for individuals to think about career aspirations, and to set some personal objectives. Personal objectives should relate to **how** individuals carry out their work, and may/may not have a direct link with Role Priorities (some examples are shown below). It is the responsibility of appraisers to encourage and support professional development. Appraisees must take responsibility for their own development by continuous and planned learning to develop to their full potential.
- b. As with the Role Priorities the Personal Development Action Plan requires an input from the appraisee, especially in relation to setting personal objectives. These could refer to educational, training or developmental objectives or a combination of these. Objectives could be eg:

	Personal Development Objective	How do you intend to achieve it, and how long will it take?	How will success be measured and when will you and your supervisor know when it has been achieved?
eg Beat Officer	1. To improve my scene preservation skills - seal off the scene, protect from weather etc.	Discuss with SOCO and Detective Sergeant. 1 month.	Feedback from SOCO and CID.
eg Beat Officer	2. To improve the quality of my witness statements, particularly points to prove offences.	Discuss with DSU Sergeant. Seek assistance from CID and my supervisor. 3 months.	Feedback from DSU. 30.9.00
eg Beat Officer	3. To improve interviewing skills, particularly obtaining the suspect's account of the circumstances.	Interview with an experienced interviewer/investigator to be arranged. If then necessary, attend investigative interviewing course at HQ. 6 months.	PS to monitor tapes and advise. 31.12.00
eg Any member of staff	To improve my time management skills, particularly ensuring that I prioritise my work.	Draw up prioritised lists of my workload and action accordingly - 3 months.	Analysis of work and organisational skills - discuss with 1 st line manager. 31.08.00
eg Counter Clerk	To learn to speak Welsh so that I can converse more effectively with all members of the public.	Attend evening classes at local college - 6 months.	Course results, feedback from other Welsh speakers. 31.12.00
eg Clerk Typist	To improve my knowledge and use of Microsoft Word and Excel.	Attend relevant courses at HQ Training or evening classes at local college (intermediate Word and Excel courses).	Course results and improvement in my computing skills in the workplace. 31.12.00

Objectives should be SMART ie :

- Specific
- Measurable

- Achievable
- Relevant/Realistic
- Timed

7. **The Performance Review**

a. **The Appraisal Interview**

The appraisal interview must be used as an opportunity for the appraisee and appraiser to share and review information concerning the quality of the appraisee's performance during the previous year, and to look ahead and consider how performance will be improved in the future.

The discussion should focus on substantive issues, which are relevant to the appraisee's role. The self-assessment (on-line PDR) completed by the appraisee is a good way to start the discussion. The appraisee and appraiser jointly review the appraisee's performance against each of the Core Skills. The appraisee includes evidence of their performance to substantiate their claim.

The appraisal interview takes place after the appraisee has completed their evidence and grading claims.

How will information about performance be collected/agreed?

The PDR is not a once a year event. This is a living document, collecting evidence is an important part of the appraisal process and it is essential that care be taken to gather evidence upon which observations can justifiably be made. **Evidence of consultation taking place with others who may have supervised the appraisee must appear on the report.** Appraisal reports may be subject to close scrutiny and it is vital that they are legally defensible. A major principle of the appraisal process is that gathering examples of performance is a joint responsibility between appraisers and appraisees. It is important, therefore, that the methods that are intended to collect evidence are discussed at an early stage.

Physical evidence sources

- CPS files
- Audio or video tape
- Taped interview
- Taped transcripts
- Other reports
- Performance Indicators

People sources

- Asking the individual concerned
- Observations by a member of the public - verbal or written
- Observations from other supervisors
- Observations from peer group
- Personal observations

The PDR site will be open for the compilation of evidence as soon as the QA process of the previous year's process is completed. The appraisee may start to enter their evidence at an early stage, they may also wish to maintain a Personal Development Portfolio (PDP's) to record and retain extra documentation of relevance throughout the year.

It is emphasised that this is a self-assessment system; as such the responsibility for compiling the PDR and grading claims is that of the appraisee. Supervisors (Line managers) are responsible for the supervision of the process and must ensure that their staff

are aware of their responsibilities and the deadlines. The supervisor should establish the underlying reasons for poor performance, such as lack of training or personal problems. Advice and guidance must be provided and in appropriate cases joint action agreed to improve performance.

b. **Completing the Forms - Making the Grading**

- (1) It is emphasised that the main importance of the review is to accurately report the performance of the individual in respect of the Core Responsibilities and Behaviours. It is critical that supporting evidence is included in the relevant box, including the developmental action that may be necessary to improve performance.
- (2) The review is against an absolute standard and is not a peer group comparison. This means that staff should be appraised against the Activities and Behaviours identified and the descriptions that accompany them.
- (3) For the purpose of the Performance Review it is the skills delivered rather than skills possessed which are crucial. A member of staff may be very able and possess all the requisite skills to a high level but if this is not reflected in actual performance then a lower grading must be awarded.

c. **The Three Box Grading System**

The Performance Review uses a simple Three box grading system.

A. **Exceptional** is only awarded for consistent exceptional performance.

It is expected that most grades for most staff will fall within box B, i.e.: **Competent**. This is the standard that the service expects.

Box C **Not yet displayed effective performance** should never come as a surprise and any lack of experience, performance shortfall or any weaknesses should already have been discussed and remedial action started. The grade awarded should always reflect work performance, however if there are particular reasons for poor performance such as ill health or domestic problems, the temporary effects may be discounted when awarding the final grading.

The final grading (self awarded) will be reviewed against the evidence included by the appraisee, the line manager will then use their professional judgement to balance the credibility and quality evidence and then either agree or dispute the grade awarded. If there is a variance then the line manager must provide evidence as to why the grade is not agreed.

Box A - Exceptional:

This indicates an exceptional level of performance by a member of staff who consistently exceeds the effective performance statements described within a specific activity or the indicators described for the Behaviour. For example, the person would consistently take a lead on the activity or act as a role model.

Box B – Competent:

This indicates a competent level of performance by a member of staff who consistently performs to the effective performance statements described within a specific Activity or the indicators described for the Behaviour.

Box C Not yet displayed the effective performance statements:

This describes an appraisee who, within this rank, role or review period, has not yet displayed the effective performance statements described within a specific activity or the indicators shown for the behaviour. This level may also apply for other reasons, for example, this may be due to the fact that the appraisee:

- Is new to the rank or role
- Has undertaken additional activities or where required training or guidance has not been provided
- Is not performing despite development opportunities

9. **Training Needs Analysis (TNA)**

Within the PDR the core responsibilities and activities, major tasks and personal development objectives need to be looked at in detail and an assessment made to ensure they are achievable in the timescale. Developmental needs must be considered carefully and the appraisee may need assistance to achieve those developmental needs. Line managers have an important part to play in this process and learning needs should be formally identified. It is important that line managers have regard for their role in mentoring, coaching and promoting workplace learning and it is expected that the majority of learning needs will be dealt with locally. This does not necessarily mean that learning takes place in a formal setting, if learning can be achieved through informal processes such as shadowing, coaching or mentoring, attachments, line managers must ensure that the appraisee receives such informal training opportunities. It may be necessary to discuss matters with divisional training officers but it is vitally important that learning is offered through the most efficient and cost effective means.

If it is decided that learning needs can only be met by formal training, (e.g. by way of a course) the line manager will complete the on line TNA request, which is available either by direct link from the PDR or under the PDR page on the Human Resources Services web site. The register of courses offered is also on this site. One TNA request will be completed online for each course requested and authorised by Divisional Commanders, Heads of Department or their nominated deputies (HR Manager). The Force Training Manager at Development Services will scrutinize TNA requests and if the request is allocated, the appraisee will be advised of course details via the division or headquarters Human Resources Manager.

There is an expectation that line managers will conduct pre and post course interviews with staff and ensure that learning is transferred to the workplace. This may require the line manager to offer further coaching or mentoring but it is important that formal learning is developed and made use of in the workplace. In addition, an Appraisee has a responsibility to bring matters of note to the notice of line managers and ensure that they speak to their relevant supervisor before and after attending courses.

Whilst Interim reviews are encouraged, the documentation is presently under review whilst an on line solution is developed.

10. **Interim Review(s) (Proposed system)**

The Interim Review serves three main purposes:

- To check whether the Role Priorities are still appropriate and whether any additions/deletions are required;
- To provide an opportunity to review performance and performance evidence, and record appropriate comment; and
- To review the Personal Development Action Plan.

Whenever Role Priorities and Personal Development Objectives are set, a date for the next interim appraisal should be made. It is the responsibility of both the appraisee and appraiser to keep to this date. Interim reviews should be carried out regularly, and at least every 6 months.

12. **Stages of the Appraisal Process**

- a. Completion of self-assessment - PDR on-line.
 - b. First line manager and Appraisee agree a time and date for the appraisal interview.
 - c. Reviewing previous Role Priorities and Personal Development Objectives (looking backward).
 - d. Review of Activities (looking backward).
 - e. Setting future Role Priorities and Personal Development Objectives (looking forward)
Discuss and review aspirations for development
 - f. Training Needs Analysis - TNA on-line to be completed for each training request agreed.
 - g. Review of the appraisal procedure by Second line managers.
 - h. An **optional** interim review should take place at during the year. A date will be set by the appraiser at the time the Role Priorities are set
-