



Performance Culture Toolkit for Local Government

achieving excellence



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SECTION 1: INTRODUCTION TO THE PERFORMANCE CULTURE TOOLKIT

Background

This Toolkit was formulated as part of the People and Organisation Development Strategic Framework for Local Government. It has been developed and tested by the Performance Culture Pillar Working Group, chaired by Anne Donaghy, one of the Framework's six Strategic Pillar.

The Strategic Pillars are:-

- Pillar 1 Leadership
- **Pillar 2 Performance Culture**
- Pillar 3 Employee Relations
- Pillar 4 Pay and Reward
- Pillar 5 Talent Management
- Pillar 6 Learning Organisation

The 11 new Councils face a focus on performance on a scale that has not to date been required. Provision 85 of The Local Government Act 2014 requires that:

Improvement Objectives

85 (1) For each financial year, a council must set itself objectives for improving the exercise of its functions during that year ("improvement objectives").

(2) A council must make arrangements to secure achievement of its improvement objectives.

(3) An improvement objective must be framed so as to improve the exercise of the function or functions to which it relates in terms of at least one of the following—

- (a) Strategic effectiveness;
- (b) service quality;
- (c) Service availability;
- (d) Fairness;
- (e) Sustainability;
- (f) Efficiency; and
- (g) Innovation."

Additionally there are other pressures that form the context for the creation of a Performance Culture that Councils face post April 2015, they include but are not limited to:

- The wider remit of the new Councils (including such functions as Planning) coupled with greater scale, geographic reach and the changing legislative environment creates a greater complexity than has been experienced in the past.
- The impact of the post April 2015 reporting and scrutiny environment and the interface with central government is designed to be at a level not experienced in the past.
- The Reform of Local Government is happening at a time of real public expenditure cuts above and beyond what has always been envisaged. The effect this will have on Councils and the pressure on performance management can reasonably be assumed to continue to be very high.
- There will remain cultural legacies from the amalgamation of the old 'cluster' councils forming into a single organisations under one leadership team, one strategy and one set of values. The scale of this change and the behaviours that this will demand not only of Councillors and senior officers but throughout the staff complement should not be underestimated.
- The emphasis and pressure on leadership and leaders, within the new Councils will be significant. Leaders at all levels will need to be equipped and confident in the behaviours and systems of Performance Management at a level many have not had to be in the past.

All of the above provides the new environment for Performance Management in Local Government. The CEO's of the new Councils will themselves be under personal scrutiny as never before and indeed their reward structure is linked directly to performance.

This focus will provide leaders with challenges around organisational performance, reputation and continuous improvement. There is an imperative to develop and enhance each Councils capability, competence, and confidence in this field. This extends to all members of staff but has a particular importance for leaders throughout the Councils and to Councillors.

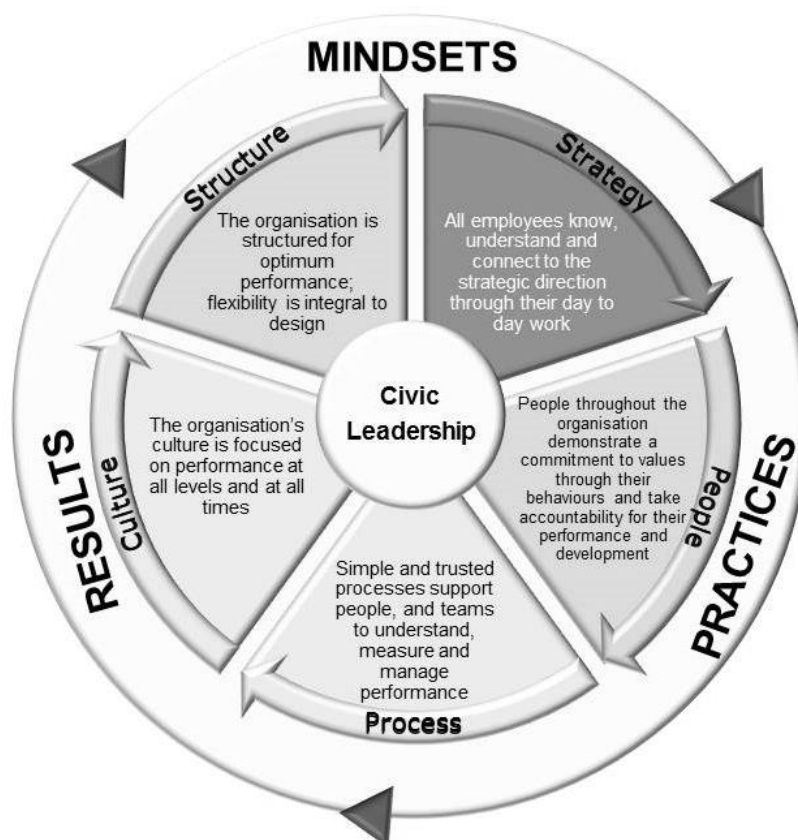
This Performance Culture tool kit will support Councils tackle and manage all of these challenges and systematically create a Performance and continuous improvement culture.

The Tool Kit - Introduction

The content contained in this tool kit is based on the very best practice in the field of People and Organisation Development and is designed to support leaders build their individual and collective, capability, competence and confidence in managing performance effectively and creating a performance culture in and across the Councils in Northern Ireland post April 2015.

The following diagram 1 provides an overview of the agreed Model for managing performance in the new Councils. It is a framework of guidance, case studies and tools for Leaders, managers and HR practitioners.

Performance Culture Toolkit



The Model provides a holistic approach to building a performance culture and accordingly, managing performance at organisational, service, team and individual level. The fundamental premise of the model is that a performance culture **results** from a combination of the right **mindsets** coupled with the right **practices** within an organisation. Using the model will deliver the strategic goal of the Performance Culture Pillar i.e.: "Local Government will create an environment where, individual, team and Council goals are aligned; individuals will receive continuous development and feedback on performance and will be recognised for excellence in service delivery".

The model will deliver this strategic goal through **5 key elements**:

Strategy: All employees know, understand and connect to the strategic direction through their day to day work

People: People throughout the organisation demonstrate a commitment to values through their behaviours and take accountability for their performance and development

Process: Simple and trusted processes support people, and teams to understand, measure and manage performance

Culture: The organisation's culture is focused on performance at all levels and at all times

Structure: The organisation is structured for optimum performance; flexibility is integral to design

When using the content of this tool kit it is worth also considering the iESE Organisational Design toolkit especially if the diagnostics show a priority area of work under the "structure" element of the above framework.

The model outlines how Local Government can achieve a true performance culture when it focuses on the 5 key elements in equal measure, to ensure that local government:

- has strategy built in a way that all employees can connect to it
- has people with the right skills, capabilities and behaviours that enable them to be motivated and deliver in their role
- has leaders that have the confidence and mindset to focus on performance and create the environments to enable people to be accountable for their performance
- has the processes that are fit for purpose in supporting performance
- creates and maintains a culture that has performance at its core
- structures organisations to deliver performance at an optimum level

Underpinning all of this within Local Government is the need to incorporate the views of key stakeholders including:

- the political context to Local Government; the role of Councillors and the importance of the relationship between Councillors and Officers
- the community that Councils are there to service
- the customers who benefit from working in and visiting the Boroughs and Districts.

The Aim of this Toolkit

The overall aim of this toolkit is to provide a comprehensive framework that will support Councils in building a sustainable Performance Management culture, through:

- Clear diagnostic checklists that will identify priority areas
- Detailed step by step guides that will focus on how to build both, an infrastructure for change and a method to establish and embed the core elements of a Performance Management culture.
- Sample tools and techniques that can be used
- Case studies from other councils that have been working on different aspects of the framework and have a story to share.

Throughout the Toolkit there is reference to project teams. It is assumed and indeed advised that to build the performance culture within each Council, designing a process that involves representatives from as wide a field as possible coming together to focus Council efforts is the most effective way of building success into cultural change from the outset. Depending on the outputs of the organisational diagnostics, a Council can choose to establish a team that looks across the whole spectrum of Performance Culture i.e. the whole model or prioritised elements of the model where it

there is deemed to be a current weakness or no activity or to bolster already existing activity that needs more precise management.

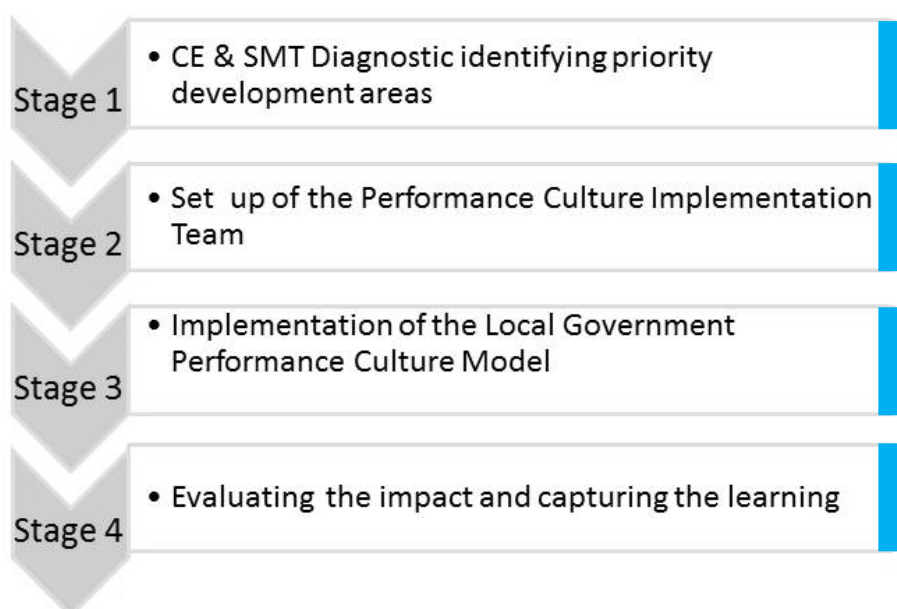
The Purpose of this Toolkit

- a) To enable the Chief Executive and the senior management to identify team priorities for development, through completing the Performance Culture Diagnostic Checklist.
- b) To provide an internal project team with guidelines on their role in implementing this framework
- c) To provide a project team with a more detailed diagnostic tool in order to pinpoint the development areas where they need to focus.
- d) To give a project team the tools and techniques to embed the Model in their own organisation providing ongoing guidance through the step by step guides, case studies and tools.
- e) To provide HR practitioners with the performance tools that they can use in supporting the establishment of a Performance Culture within the Council.
- f) To deliver a culture of high performance in the Council.

The Structure of the Toolkit

The Toolkit has 4 broad stages, as follows:

Stages of Building a Performance Management Culture






STAGE 1: CE & SMT Diagnostic identifying priority development areas

Understanding the landscape of the prevailing Performance Culture (current state) developing a picture of the future performance culture within the Council (future state) and identifying the organisational strengths and areas for priority action are the starting point of developing the Council's strategic approach to developing its Performance culture. The Chief Executive and the

senior team have at their disposal the diagnostic checklist which asks key questions against the 5 key elements of the module. It enables them to determine the level to which each of the 5 elements are currently present and where time and resources need to be spent to support the development of the performance culture.

They will rate each response against:

-  **Red** – this is not in place and would be a high priority area;
-  **Amber** – some of this is in place and would be an area to continue to work on and
-  **Green** – the majority of this is in place and working (**RAG**).

This checklist will identify the red priorities as areas to be developed and will form the basis of the work for the internal project team.

The timing of this process is important. It should form a core element of the annual organisational review process. It is recommended that the discipline of review happens during the last quarter of each financial year. This will enable progress to be determined and priorities to be set for the year ahead. As this forms a corner stone of the whole People and Organisational Development strategy for the Council, it is also recommended that a process of formal quarterly review against progress is set into the SMT business management agenda.

STAGE 2: Set up of the Performance Culture Implementation Team

Creating an infrastructure and effective governance and project management process is a key success factor to establishing a performance culture. The toolkit provides guidance on how to set up the project structure including Governance and steering, project team and the change management project model to use as a way of effectively managing this performance cultural change initiative.

STAGE 3: Implementation of the Local Government Performance Culture Model

The toolkit will provide the Project team with support and guidance for each part of the Performance culture model, in the form of **Diagnostic checklists for each of the 5 key elements within the model; a Model for implementation and the Tools and techniques** that would be recognised as best practice ways to implement effectively.

STAGE 4: Evaluating the impact and capturing the learning




As part of the project implementation plan the project team will establish a clear evaluation plan, which will be agreed through the governance structures set in place. This will include capturing baseline data, tracking the agreed evaluation criteria and reporting on progress to the CE & SMT on a regular basis.

SECTION 2: GUIDELINES ON USING THE TOOLKIT

STAGE 1: CE & SMT Diagnostic Checklist - identifying priority development areas

This high level diagnostic checklist has been developed against the 5 key elements of the Performance Culture Model and its purpose is to provide a strategic current state analysis of the performance culture within the organisation indicating the priority areas, where further development is required. It is divided into sections corresponding with the 5 key elements and will provide a high level overview of where the Council is against Best Practice.

This high level checklist is for the Chief Executive and the Senior Management team to complete and will provide information on where the council:

-  is doing well (**green**)
-  where they are still some areas to improve (**amber**)
-  where there is nothing in place or if what is in place is not delivering (**red**)

It is envisaged that the Council will then form a cross functional, cross cutting project team to take forward the identified areas that need to be developed as a result of the Senior Management team completing this checklist. In order to get a rounded view, the SMT should consider sending the checklist to a representative sample of employee's, this will ensure that the Organisation is focusing their development on the right areas.

Building A High Performance Culture Diagnostic Checklist

This checklist has been designed to establish what you have in place and what you may need to develop. The areas for priority will be taken forward by the project team.

Key requirements	Dashboard Red / amber /green	Comments
Strategy: <ol style="list-style-type: none"> 1. We have a clear strategy and corporate plan with a set of defined values. 2. We effectively engage our staff and stakeholders in strategy development / delivery. 3. We communicate goals and objectives to teams and staff consistently timely and effective manner. 4. We have clear performance measures or targeted outcomes at all levels in the Council. 5. We review achievements against our strategy and effectively communicate to staff. 		
People: <ol style="list-style-type: none"> 1. Our managers, teams and individuals are skilled in engaging in quality performance conversations. 2. Our leaders and managers are confident, competent and capable to manage performance in a way that creates a positive performance culture. 3. Our managers hold people accountable for performance. 4. Our teams have a clear purpose, with clear objectives and a plan for service delivery. 5. The Council is ready and set up to have open and honest conversations with each other on performance. 6. We provide opportunities for our people to reflect on their performance, continuously improve their performance and have a sense of personal development and growth. 7. All our staff are fully engaged in their work, and work in a climate that enables them to perform at their optimum. 8. We have data that enables us to see where our most engaged staff are and we learn from this. 		

<p>Process:</p> <ol style="list-style-type: none"> 1. Our Performance Management processes are trusted and adhered to by managers and staff and used in a meaningful and disciplined way. 2. Our Performance Management processes are fit for purpose and focused on creating and sustaining a Performance Culture within the context of our corporate plan. 3. We have processes in place which provide meaningful data to managers and teams on all aspects of organizational, team and individual performance. 4. Our processes add value to our citizens and the organisation by reducing bureaucracy and improving service delivery. 5. We make sure our people make best use of the processes and data available to them to continuously improve performance. 		
<p>Culture:</p> <ol style="list-style-type: none"> 1. Our Senior Managers behaviors model the values that we seek. 2. There is a shared understanding of the values in the Council and we can identify tangible ways to demonstrate / fulfill these. 3. We have shared values and behavioral contracts within our teams and across the Council. 4. There are processes to deal with outstanding performance and to tackle unacceptable performance, and there are methods to recognize outstanding performance and consequences for poor and unacceptable performance. 5. Our recognition and reward mechanisms support and encourage high performance. 		
<p>Structure:</p> <ol style="list-style-type: none"> 1. Our functions are aligned and clustered in the right way for optimum performance. 2. The Council is structured in a way that delivers on citizen, stakeholder and customer needs. 3. Our functions integrate in the most effective way for service delivery to our citizens, stakeholders and customers. 4. We have right interactions, attitude, shared vision and mindset between service delivery and support/ corporate functions. 5. The Committee structures enable and optimise the decision making processes. 		

STAGE 2: Establishing the Performance Culture Implementation Team

In order to tackle the areas of development and improvement that have been identified by the SMT and the staff, a project team should be established within the organisation. This will provide an opportunity to develop a framework that will deliver exactly what the Council has identified as the gaps in its performance culture.

In order for the project team to deliver this, a structured project management approach should be adopted, one that recognises that this is a change in approach for the Council and will mean introducing different ways of working and thinking.

Setting up the Project team:

This will begin with the CEO & the SMT, communicating on the need to create and build a performance culture. They will have completed the strategic analysis against the Model and gathered a sounding from the staff, identifying the areas that are currently working well and those that need developed. This will create the platform for the work to be done through an internal project team. The SMT should establish a project team from across the levels and from across the functions within the organisation, with a strong HR advocate. These people need to be representative, and be prepared to get involved in shaping how the Council embeds this Performance Culture Project.

Defining role of HR is important. The role is very much a partner and enabler offering the technical expert support to the team and the organisation. Developing a Performance Management culture within the Councils must not be seen as an HR initiative only done by the HR team. Rather it is a strategic one, part of the People and OD Strategy that is owned, sponsored and modelled by the CEO and SMT and implemented by the managers throughout the Council.

Ensuring the HR team are equipped and have the capability, competence, confidence and mind-set to deliver the partnership expert role is one of the key success factors for establishing a Performance management culture.

Once the project team has been established it is critical to set the project up in a way that will deliver on the expectation of Building a High Performance Culture, the critical success factors include:

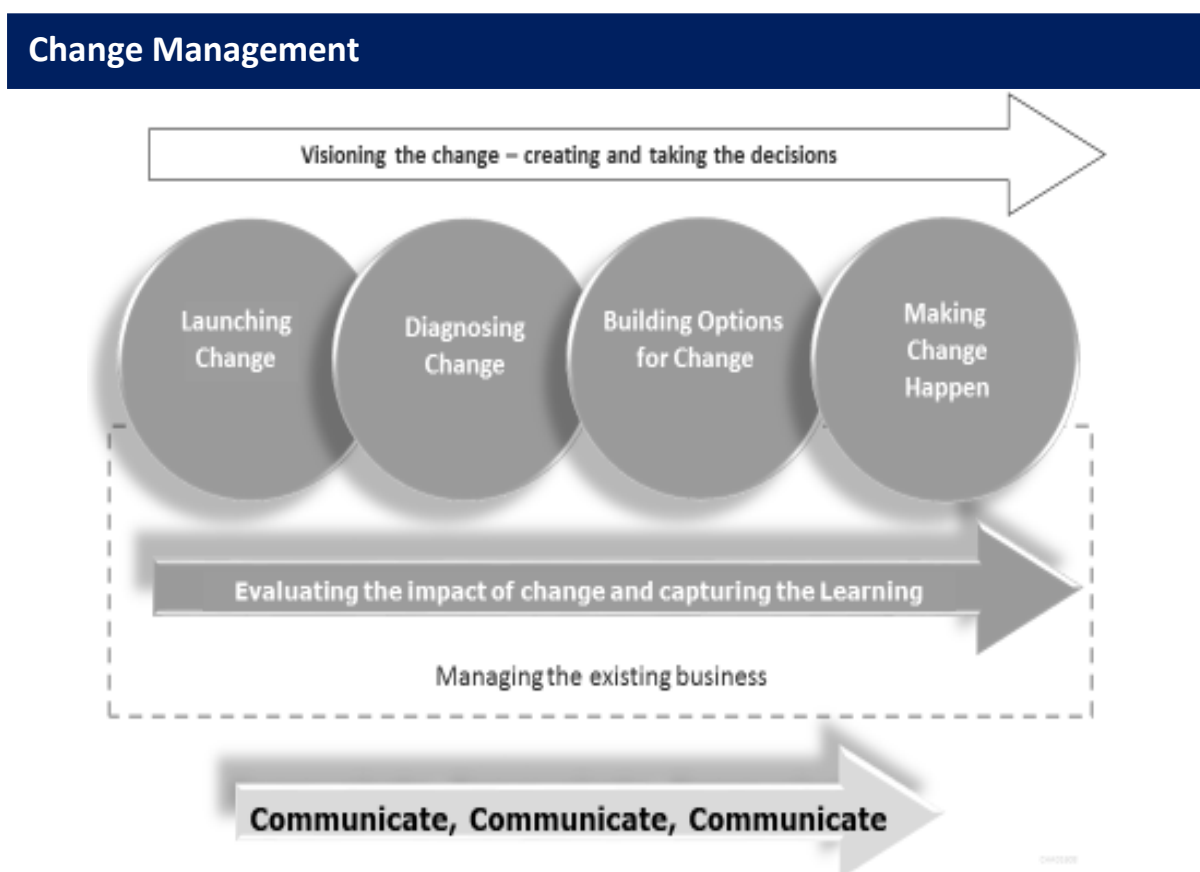
- **setting the right structures and levels of governance – including strong and active SMT sponsorship and support;**
- **establishing the working group or project team as an identified team (this may take the shape of a Task and Finish team but should not be limited to this and may have a longer term scope);**
- **establishing very clear terms of reference and scope for the project;**
- **establishing the overall From To analysis,**
- **establishing the Communication and project plan.**

One of the main reasons why many change projects fail is that there is a rush to implement the first ideas for change. To counter this, an approach based on,

- establishing the current state against which change will happen;
- understanding your subject in depth and drawing on Best Practice
- constructing the best fit options before moving to implementation of the best way forward should be established.

By approaching the project in a structured and disciplined way, the change sought has a much better chance of success. Cultural change is particularly difficult and requires discipline, patience and resolve to be successful. From the outset it requires the direct engagement and involvement of senior management. Adopting best practice change management methodology significantly raises the probability of the successful development of the Performance culture sought. This requires knowledge, discipline and resilience. The following model summarises the Change management model recommended to be followed:

Diagram 2



Launching the Change: Project set up and Governance

Establishing clear accountabilities and ways of working for the project is essential to success. Project Governance provides a framework within which to manage and should cover:

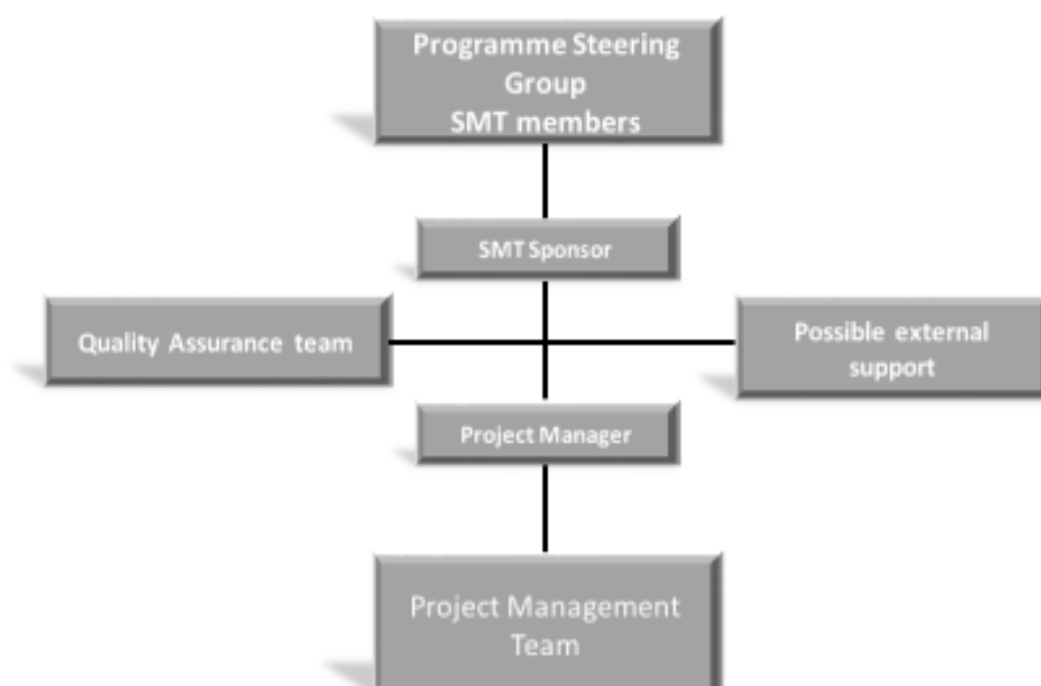
- Initial and continuing justification of the project
- Setting up an appropriate management structure
- Establishing a framework for decision-making (roles/responsibilities/authorities)

- Ensuring sufficiently thorough plans are prepared and updated as necessary
- Implementing a stakeholder management strategy
- Putting in place a quality management strategy
- Setting up and operating a project monitoring and control regime
- Managing uncertainties (threats and opportunities)
- Managing problems and changes.

Overall Project Governance Structure

The project governance model illustrated below has been developed and used in the N.I. Council environment with significant success (see the Cookstown, Ards and Ballymena case studies). The addition of the Quality Assurance Team provides a focus for the project team and a way to have their thinking and approaches “quality assured” with real time feedback provided from selected staff who can look at the work afresh.

Programme Governance Framework



Steering Group: This is the group accountable for project delivery. The Project Team will report to this group on output, timescales etc, raising issues and risks for consideration. This group will be largely constituted of members of the Senior Management Team. The Head of HR will also sit on the Steering Group.

Project Manager: This is the Team Leader who will be accountable for the development of detailed team goals; team progress against goals and timetable; interface with Steering and Sponsor.

Project team: This is the 10 to 12 people who will be tasked with the legwork on the project, and will be responsible for delivering the project outputs. The group will include a number of middle managers and as well as a number of other managers at other levels of the organisation. The group will be constituted so that all directorates and functional areas are represented.

Quality Assurance Team: - This is a smaller number of managers not involved in the detailed work of the project team, but asked to attend a fewer number of meetings to provide constructive challenge to the thinking of the Project Team.

At the end of this Project Launch stage, all accountabilities and responsibilities will be clear, the components of the project will be established and there will be clarity around, the scope of the project, the direction of the project, high level deliverables and the methods by which the project will be controlled and managed.

Diagnosing Change:

The SMT will already have completed the Model Diagnostic Checklist, which will create an understanding where the council is today and what key areas need to be addressed. The project team will need to further explore each of the areas that need to be developed. A more in-depth diagnostic has been created for each of the 5 elements of the Performance Culture Model. This will further clarify for the project team the aspects that they will need to focus on. It is important to consult widely and engage the organisation, in order to gain buy into the change.

Building Options for Change:

Within the toolkit there is a very clear step by step guide for each of the elements of the Model, they have been designed in a flexible manner, so that project teams can see what will suit their particular Council best. The important point is to ensure there is engagement and buy-in to the options for change and the project team have consulted and communicated widely on how they could implement the Best practice steps.

Making Change Happen:

Establishing the Communication and project plan will be an important aspect of making the change. Within the toolkit there will be examples of best practice communication strategy's and plans, creating something bespoke for your own organisation is important. Being clear on the timelines and the aspects that need to be developed alongside the initial diagnostic checklist will determine the timeframe. It is important not to be too ambitious and not to rush changes through, it is much more effective to socialise the change and ensure buy-in as it will create something that everyone is more likely to commit to.

Consideration needs to be given to how the change is sustained – there will be a point where the change will mature into how we do our business however the stick ability and embedding of the performance culture should be planned at the outset and this toolkit not only is designed for supporting the Change project team but will also support the embedding of a performance culture within the Councils.

STAGE 3: **Implementation of the Local Government Performance Culture Model**

The toolkit will provide the Project team with support and guidance for each part of the Performance culture model, as outlined below.

- **Diagnostic checklists for each of the 5 key elements within the model** – a detailed checklist outlining the best practice requirements for each of the key areas. These are linked to the checklist completed by the CE and SMT but are much more detailed and will help the team pinpoint the areas that need to be developed.
- **Model for implementation** – a step by step guide to put in place the key elements.
- **Tools and techniques** – sample tools and techniques that would be recognised as best practice ways to implement effectively.

STAGE 4: **Evaluating the impact and capturing the learning**

As part of the project implementation plan the project team will establish a clear evaluation plan, which will be agreed through the governance structures set in place. This will include capturing baseline data, tracking the agreed evaluation criteria and reporting on progress to the CE & SMT on a regular basis.

Performance Culture Toolkit

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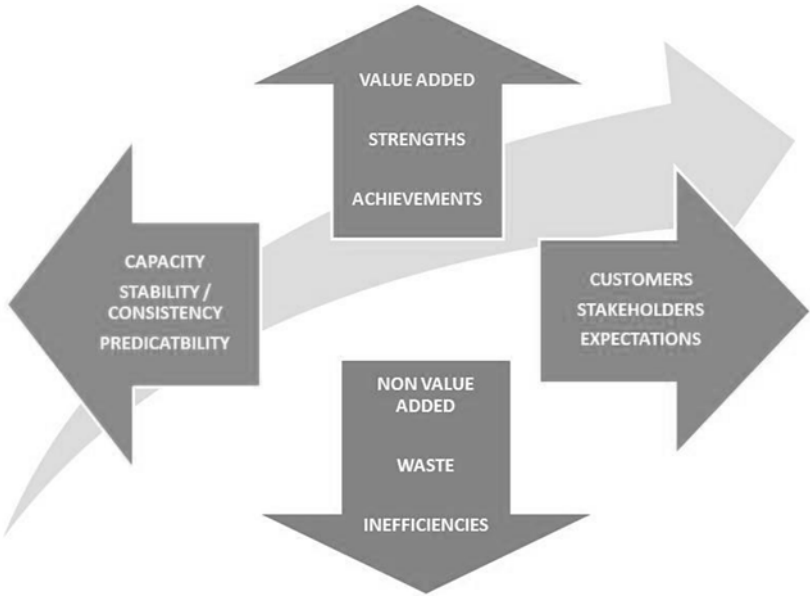
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3. DIAGNOSTIC TOOLS

a. CURRENT STATE ANALYSIS TOOL

TOOL NAME	CURRENT STATE ANALYSIS
DESCRIPTION	<p>This tool is very effective in engaging a team and eliciting their perspectives on the current state of an organisation/ team / function.</p> <p>It focuses on drawing out where they are now and how well they are meeting expectations and adding value to stakeholders.</p>
WHEN TO USE	<p>Use as an alternative to the more traditional SWOT Analysis (See below) when you want to get people to recognise achievements and value as well as acknowledge inefficiencies and waste. It is most powerful when using with an established team or function.</p>
BASIC MODEL	<div data-bbox="464 936 1474 1671"> <p>Our Current State</p>  </div>

HOW TO USE IT	<ol style="list-style-type: none"> 1. Gather a team / group of stakeholders 2. Ask them individually to note down the following on post it stickers <ul style="list-style-type: none"> • Achievements, strengths and where they add value • Put up post its and get group to highlight key elements of each 3. Identify key stakeholders and split group to consider what each expects from them 4. Review inputs on expectations and consider if reasonable, realistic, relevant to that team 5. Groups or open forum to discuss the teams capacity to meet these expectations and how consistent and predictable demands are 6. Ask if there are any inefficiencies in how we meet expectations and move towards identifying and prioritising key areas for improvement
SOME TIPS	<ul style="list-style-type: none"> • Good to use with an established team who have responsibility for key functions, processes or customers • Include as wide a range of levels in team • Start with a focus on the achievements and strengths before moving to other areas • Focus on getting agreement and action rather than over analysis • Can be used to start a team thinking about what a possible future state might look like

B. SWOT ANALYSIS TOOL

TOOL NAME	S.W.O.T. ANALYSIS				
DESCRIPTION	<p>This tool is very effective in engaging a range of stakeholders and eliciting their perspectives on the current STRENGTHS, WEAKNESSES, OPPORTUNITIES AND THREATS an organisation, department, function or team are facing. It focuses on drawing out perceptions of how the organisation is doing currently and helps a group prioritise the most important areas to address and work on.</p>				
WHEN TO USE	<p>The SWOT Analysis tool is really useful when trying to get an insight to external and internal drivers and constraints and summarise key issues to be considered and developing a strategy.</p> <p>It is particularly useful to use when the team or organisation are in competition with other organisations.</p> <p>One main criticism is that it can lead to an over emphasis on the negative aspects of the organisation and look backwards rather than encourage a more forward looking perspective. It may be useful to consider using the alternative SOAR model (See below) which focuses on drawing out perceptions of Strengths, Opportunities, Aspirations and Results.</p>				
BASIC MODEL	<table border="1"> <tr> <td data-bbox="456 1211 944 1554">Strengths</td><td data-bbox="944 1211 1433 1554">Weaknesses</td></tr> <tr> <td data-bbox="456 1554 944 1897">Opportunities</td><td data-bbox="944 1554 1433 1897">Threats</td></tr> </table>	Strengths	Weaknesses	Opportunities	Threats
Strengths	Weaknesses				
Opportunities	Threats				

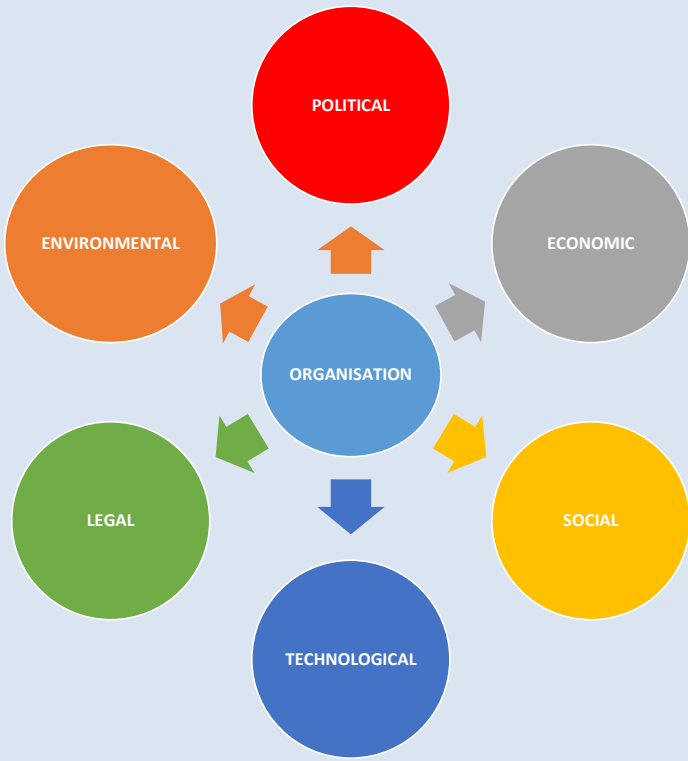
HOW TO USE IT	<ol style="list-style-type: none"> 1. Gather a team / group of stakeholders 2. Ask them individually, in advance, to note down their views on the Team / Departments / Organisations S,W,O and T 3. Split Groups to summarise analysis on flip charts and feed back to main group 4. Draw out key themes in plenary 5. Ask group to vote key priority issues to be addressed 6. Groups consider ideas for action and feedback 7. Select key actions and assign owners to take forward
SOME TIPS	<ul style="list-style-type: none"> • Good to use when a team is facing competition or considerable external demands or threats. • Include as wide a range of levels in team • Start with a focus on the strengths and opportunities before moving to other threats and weaknesses • Focus on getting agreement and action rather than over analysis • Can be used to start thinking on what priorities need to be built into strategic plans

C. SOAR ANALYSIS TOOL

TOOL NAME	S.O.A.R. ANALYSIS				
DESCRIPTION	<p>This tool is very effective in engaging a range of stakeholders and eliciting their perspectives on the current STRENGTHS, OPPORTUNITIES, ASPIRATIONS and RESULTS an organisation, department, function or team are facing. It focuses on drawing out perceptions of how the group is doing currently and helps a group prioritise the most important areas to address and work on.</p>				
WHEN TO USE	<p>The S.O.A.R. Analysis tool is really useful when trying to get an insight to how well the organisation is delivering on it's aspirations and results and how it can build on its current strengths and opportunities and summarise key issues to be considered and developing a strategy.</p> <p>It is particularly useful to use when the team or organisation is facing changes in demand or needs to prioritise actions in line with future strategic aspirations.</p> <p>It encourages a more forward looking perspective and focuses on building on strengths and opportunities rather the more traditional SWOT approach.</p>				
BASIC MODEL	<table border="1"> <tr> <td data-bbox="464 1028 940 1395">Strengths</td><td data-bbox="940 1028 1417 1395">Aspirations</td></tr> <tr> <td data-bbox="464 1395 940 1762">Opportunities</td><td data-bbox="940 1395 1417 1762">Results</td></tr> </table>	Strengths	Aspirations	Opportunities	Results
Strengths	Aspirations				
Opportunities	Results				

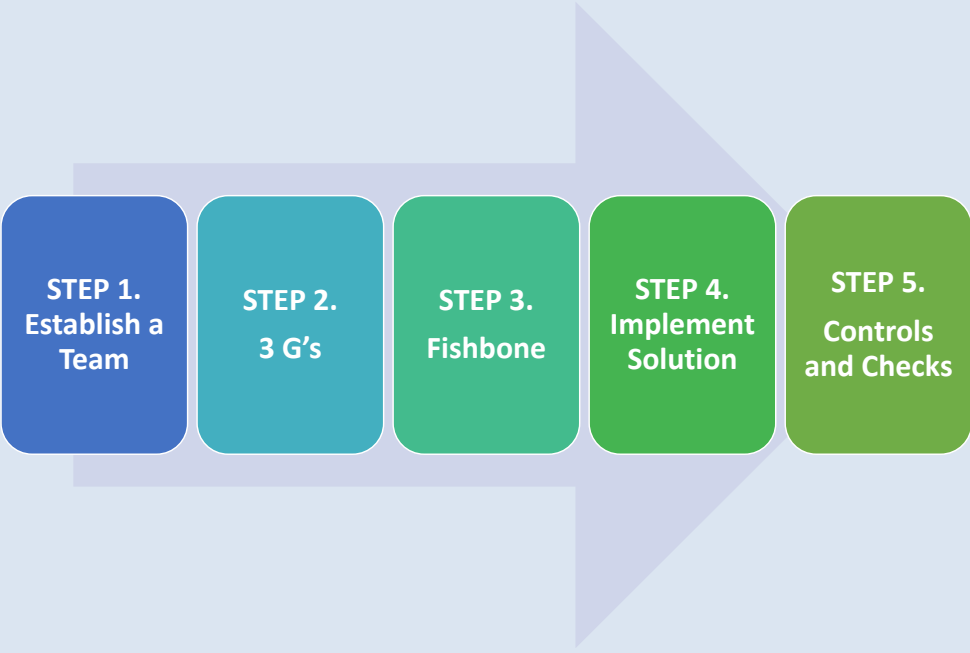
HOW TO USE IT	<ol style="list-style-type: none"> 1. Ask the team in advance, to note down their S,O,A and R and gather any data on current performance. 2. This may require some data gathering on Strategic Goals / Corporate objectives and current performance against these. 3. Split Groups to summarise their analysis and feed back to main group 4. Draw out key themes in plenary 5. Ask group to vote key priority issues to be addressed 6. Groups consider ideas for action and feedback 7. Select key actions and assign owners to take forward
SOME TIPS	<ul style="list-style-type: none"> • Good to use with an new or an established team who have new or emerging aspirations or goals to achieve • Include as wide a range of levels in team • Start with a focus on the strengths and opportunities before moving to other areas • Focus on getting agreement and action rather than over analysis • Can be used to start group thinking on what gaps there might be between what is currently being achieved and what could be or needs to be • Also useful in introducing the need for metrics and scorecards as part of tracking future performance

D. PESTEL ANALYSIS TOOL

TOOL NAME	PESTEL ANALYSIS
DESCRIPTION	<p>This tool is a very effective strategic tool, in engaging a range of leaders or managers and eliciting their perspectives on the broader trends and forces impacting on the organisation. It focuses on drawing out perceptions of the Political, Economic, Social, Technological, Legal and Environmental factors that may have an impact on the organisations strategic goals and objectives. It seeks to address three key questions about these factors</p> <p>What are they? So what? Now what?</p>
WHEN TO USE	<p>The PESTLE Analysis tool is really useful when trying to get an insight into the key external forces that may or are impacting on the organisation and its strategic direction. It should be used to encourage management and leadership teams to take as broad a view as possible of the issues that may be driving or hindering the organisations goals.</p> <p>It is particularly useful to use when the team or organisation is trying to formulate high level strategic goals and plans for the future.</p>
BASIC MODEL	

HOW TO USE IT	<ol style="list-style-type: none"> 1. Introduce model to Leadership / management team and draw out possible factors that might impact the organisations strategic direction and priorities 2. Agree research to be carried out 3. Reconvene to consider WHAT the factors are 4. Get the group to ask SO WHAT are the implications for this organisation? 5. Ask NOW WHAT? and encourage the group to list options before prioritising possible next steps 6. Try to differentiate between short, medium and long term actions and focus on what the team can influence or control
SOME TIPS	<ul style="list-style-type: none"> • Good to use with an new or an established leadership / management team who have to develop strategic goals and plans • Do not feel obliged to have items under every heading • Remember the list is the start not an end in itself • The analysis should drive research activity to explore, as broadly as possible, what could or will impact on the organisation • Focus on getting agreement on future opportunities and priorities and planning action rather than over analysis

E. 5 STEP PROBLEM SOLVING TOOL

TOOL NAME	5 STEP PROBLEM SOLVING TOOL
DESCRIPTION	<p>This tool is very effective for focusing a team on understanding a problem and putting in a solution with a longer term likelihood of avoiding recurrence.</p> <p>It includes the most common tools for problem solving used across organisations and in continuous improvement processes.</p>
WHEN TO USE	<p>When problems recur and have a major impact on a process or teams performance.</p> <p>It is particularly useful to use when the team or organisation is trying to formulate longer term fixes to problems and move away from a firefighting / trouble shooting approach.</p>
BASIC MODEL	 <pre> graph LR S1[STEP 1. Establish a Team] --> S2[STEP 2. 3 G's] S2 --> S3[STEP 3. Fishbone] S3 --> S4[STEP 4. Implement Solution] S4 --> S5[STEP 5. Controls and Checks] </pre> <p>STEP 1. Establish a Team</p> <p>STEP 2. 3 G's</p> <p>STEP 3. Fishbone</p> <p>STEP 4. Implement Solution</p> <p>STEP 5. Controls and Checks</p>

HOW TO USE IT	<ol style="list-style-type: none"> 1. Gather a team who are impacted by the problem 2. Get the team to Go See, Get all the facts, and Grasp the Situation 3. What happens, when it happens, where it happens, how often, what impact does it have, who does it affect? 4. Develop a Fishbone of possible causes 5. Select most likely cause 6. Generate Solution 7. Implement Solution 8. Track Impact 9. Put in new procedure and controls
SOME TIPS	<ul style="list-style-type: none"> • Good to use when teams are frustrated by recurring problems • Better when facilitated to encourage objective analysis of facts rather than finding blame • People doing the job are often the most important in understanding the problem and generating ideas to solve it • Can be used as part of ongoing continuous improvement or understanding problems in existing processes that are being redeveloped

4. STRATEGIC PLANNING AND TRACKING TOOLS

A. BALANCED SCORECARDS

TOOL NAME	BALANCED SCORECARD						
DESCRIPTION	<p>This tool is very effective strategy performance tool to help managers track the execution of activity and the results these are achieving</p> <p>It focuses on the strategic agenda of the organisation, selects a small number of critical metrics to monitor and should reflect a mixture of financial and non-financial data items.</p>						
WHEN TO USE	<p>When a management team needs to keep track of progress against strategic goals and make managerial decisions or interventions in light of what is happening. Any data collected should therefore be able to indicate progress and results and trigger action if required.</p> <p>It is particularly useful to use when the management team needs to keep a close focus on strategic objectives and allocate resources and effort towards achieving strategic targets.</p>						
BASIC MODEL	<table border="1"> <tr> <th colspan="2" data-bbox="459 1115 1433 1182">Vision / Destination Statement</th></tr> <tr> <td data-bbox="459 1193 946 1462">FINANCIAL TARGETS</td><td data-bbox="954 1193 1433 1462">CUSTOMER TARGETS</td></tr> <tr> <td data-bbox="459 1473 946 1742">IMPROVEMENT TARGETS</td><td data-bbox="954 1473 1433 1742">PEOPLE TARGETS</td></tr> </table>	Vision / Destination Statement		FINANCIAL TARGETS	CUSTOMER TARGETS	IMPROVEMENT TARGETS	PEOPLE TARGETS
Vision / Destination Statement							
FINANCIAL TARGETS	CUSTOMER TARGETS						
IMPROVEMENT TARGETS	PEOPLE TARGETS						


HOW TO USE IT	<ol style="list-style-type: none"> 1. Bring management team together to review Strategic Goals and work on developing the scorecard 2. Explain context, use and limitations. 3. Emphasise need to generate small amount of metrics that can be used to track what is actually happening and trigger intervention 4. Translate Vision into Destination Statement ie Statement of what success will look like 5. Select key Strategic goals that will drive organisation to reach destination 6. Set metrics that will indicate progress against these goals 7. Set targets to track against 8. Use scorecard to measure report AND RESPOND to the metrics 9. Review and Revise until all metrics in scorecard are core to driving the strategic activity of the organisation
SOME TIPS	<ul style="list-style-type: none"> • Remember the Scorecard does not create strategy but should reflect the strategic goals of the organisation • Keep to a small number of metrics in each quadrant • Track variance from target and use Red, Amber, Green to highlight variance • Use not only to measure and report performance but to manage performance • Aim to cascade scorecard to all levels through the performance management process

B. STRATEGIC DECISION GRIDS

TOOL NAME	STRATEGIC DECISION GRID																																									
DESCRIPTION	<p>This tool is effective when a number of strategic criteria need to be considered when making a decision on priorities or options.</p> <p>Most grids try to compare two factors eg: Cost v Benefit, to help managers select the optimum options. However, and particularly in Local Government there are often more than two criteria. Put simply then the Decision Grid can be used when more than two factors have to be considered when strategic decisions are being made.</p>																																									
WHEN TO USE	<p>When a management team needs to agree on priorities and there is a range of criteria to be met or considered.</p> <p>It is particularly useful to use when the management teams have conflicting or divergent priorities but they need to agree at a more strategic level what are the most important organisational priorities and actions.</p>																																									
BASIC MODEL	<table><tr><td></td><td>CRITERIA 1</td><td>CRITERIA 2</td><td>CRITERIA 3</td><td>CRITERIA 4</td><td>CRITERIA 5</td></tr><tr><td>OPTION 1</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>OPTION 2</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>OPTION 3</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>OPTION 4</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>OPTION 5</td><td></td><td></td><td></td><td></td><td></td></tr></table>							CRITERIA 1	CRITERIA 2	CRITERIA 3	CRITERIA 4	CRITERIA 5	OPTION 1						OPTION 2						OPTION 3						OPTION 4						OPTION 5					
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HOW TO USE IT	<ol style="list-style-type: none">1. Bring management team together to agree Strategic Criteria for choosing options before options are considered2. Some criteria may be more critical than others so you may want to weight them3. Discuss options objectively and tick criteria that may be met4. Prioritise decisions in line with the criteria5. Agree the message to be communicated in light of the decisions6. Ensure all managers communicate consistent message																																									
SOME TIPS	<ul style="list-style-type: none">• Focus on agreeing the decision criteria before considering the options• Weight criteria if necessary• Facilitate consideration of options to ensure objectivity• Stress importance of how decisions are communicated afterwards• Link to Communications Strategy																																									

5. COMMUNICATION TOOLS

A. CHECKLIST FOR A SUCCESSFUL COMMUNICATIONS STRATEGY

TOOL NAME	10 FACTORS FOR SUCCESSFUL COMMUNICATION
DESCRIPTION	<p>This tool is a very effective checklist for anyone developing and testing a Communications Strategy in Local Government.</p> <p>It is based on the idea that the greatest asset a Council has is its Reputation and that all Communications Strategies should be focused on understanding, establishing, building and sustaining its reputation with all stakeholders.</p> <p>Following these 10 tips are a simple but very effective way of doing this.</p>
WHEN TO USE	<p>When a management team / organisation needs to build its reputation in a new and challenging environment where rate payers, staff and other stakeholders are deeply concerned about their futures, services, jobs, income and security.</p> <p>It is particularly useful to use when the management team needs to keep a close focus on the impact of communications and gaining buy in to strategic objectives.</p>
BASIC MODEL	 <ul style="list-style-type: none"> Purpose <ul style="list-style-type: none"> Is our purpose clear? Would it pass the "Pub Test"? Reputation <ul style="list-style-type: none"> Do you understand your reputation? Have you consulted your stakeholders on this? Leadership <ul style="list-style-type: none"> Are your Leaders Skilled Communicators? Have you trained them to embody and articulate the Councils mission? Campaigns <ul style="list-style-type: none"> Do you have communications focused on Campaigns and clear goals Does each campaign reflect a "Call to Action"? Consistency <ul style="list-style-type: none"> Are communications implemented consistently, and proactively? Are messages constantly reinforced? Choose the Tools <ul style="list-style-type: none"> Have we chosen the right media? Will social media support the main tools? Get it right <ul style="list-style-type: none"> Is someone responsible for setting up and following up for all communications? Do you have the right infrastructure to deliver communications? Build Advocates <ul style="list-style-type: none"> have we identified people who support your campaigns? Are we utilising their support to build our reputation? Mobilise Expertise <ul style="list-style-type: none"> Have we located all communicators, marketing, PR, Web, Internal comms together? Do they work together? Evaluate <ul style="list-style-type: none"> Do we track the impact of our communications on our reputation? Do we adapt our approach in light of feedback?

HOW TO USE IT	<ol style="list-style-type: none">1. This tool can be used as a guide when developing an overall communications strategy or as a checklist whilst implementing the strategy2. Some of the checks focus on what is being communicated whilst others consider how and who is communicating3. This should be used to set the standards for communications for both Council Officers and Members to ensure consistency
SOME TIPS	<ul style="list-style-type: none">• Make sure managers and members agree to use the checklist as the guiding principles for Council Communications• Build Communications into every managers performance objectives and development plans• Invest in communications training and development for managers and members as part of the Capacity Building Plans• Put Communications as a key performance indicator for the Council

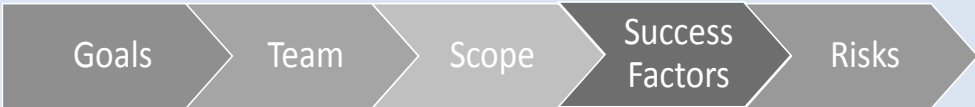
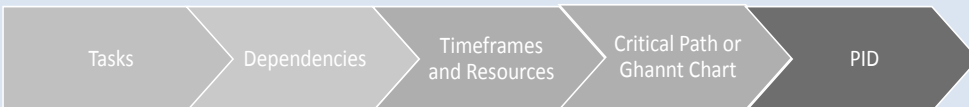
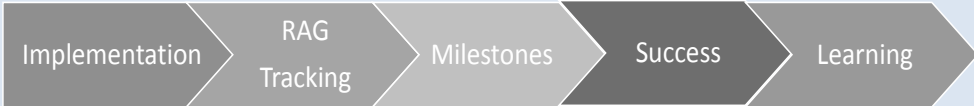
B. STAKEHOLDER COMMUNICATIONS PROFILE

TOOL NAME	STAKEHOLDERS COMMUNICATIONS PROFILE
DESCRIPTION	<p>This tool is a very effective checklist for anyone developing or testing a Communications Strategy in Local Government.</p> <p>It is based on the idea that different stakeholders have different levels of influence on policies and resources as well as interest in the Council.</p> <p>It helps to categorise stakeholders and indicate the different levels and forms of communication that might be needed for each stakeholder group.</p>
WHEN TO USE	<p>When a management team / organisation needs to understand and prioritise how they need to communicate with a range of stakeholders.</p> <p>This can be used when forming an overall Communications strategy or when developing a specific Communications Campaign. (See Communications Checklist above)</p> <p>It is particularly useful to use when the management team needs to keep a close focus on the impact of communications and gaining buy in from stakeholders.</p>
BASIC MODEL	 <p>The matrix is a 2x2 grid. The vertical axis is labeled 'LEVEL OF INFLUENCE ON POLICY AND RESOURCES' and the horizontal axis is labeled 'LEVEL OF INTEREST IN THE COUNCIL'. The quadrants are: Top-Left (Yellow) 'KEEP SATISFIED', Top-Right (Red) 'KEY PLAYERS', Bottom-Left (Light Blue) 'MONITOR', and Bottom-Right (Green) 'KEEP INFORMED'.</p>

HOW TO USE IT	<ol style="list-style-type: none">1. Gather managers or communications team to list all stakeholders2. Categorise them in terms of their level of influence on the Council and their level of interest in what the Council does3. Put names on post its and divide a flip chart or whiteboard into the four quadrants4. Put stakeholders in the quadrants5. Discuss and agree categories6. Develop key strategies and messages for each group based on how they have been categorised
SOME TIPS	<ul style="list-style-type: none">• Include external and internal stakeholders• Review and revise categories regularly particularly at the beginning of campaigns

6. PROJECT MANAGEMENT TOOLS

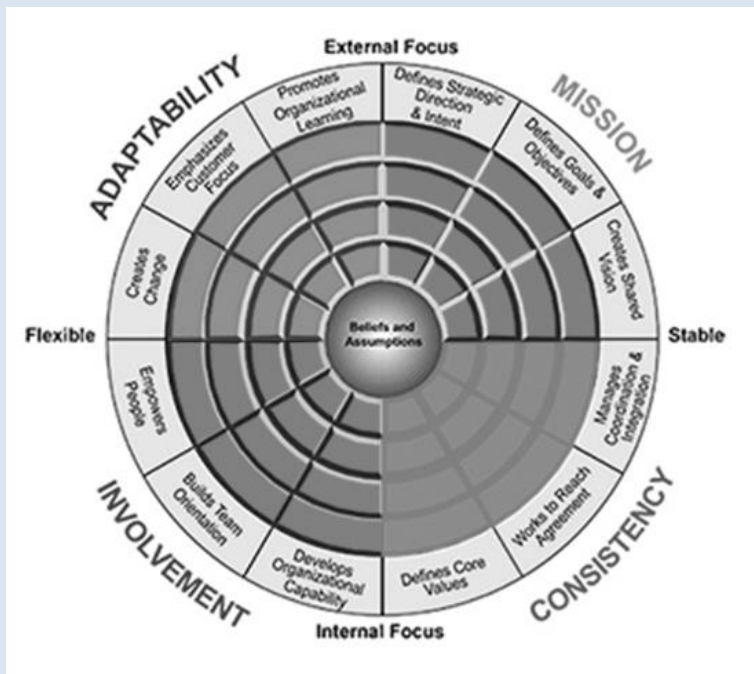
a. PROJECT MANAGEMENT CHECKLIST

TOOL NAME	PROJECT MANAGEMENT CHECKLIST
DESCRIPTION	<p>This tool is a very effective way of introducing the basic stages and principles for setting up, planning and managing projects and is based on standard Project Management methodologies.</p> <p>It can also be used as a checklist as projects develop and escalate.</p> <p>Each step may require additional training or support for managers or teams new to project management but the stages are simple and easy to understand. What is difficult is sticking to them especially in a time of Change when large numbers of projects are being initiated.</p>
WHEN TO USE	<p>When an organisation needs to follow a structured and consistent approach to setting up, planning and implementing projects.</p> <p>It is an ideal opportunity during this time of transition to instil project skills into the culture and you may consider training in this area as part of your Capacity Building Plans</p> <p>It is particularly useful to use when the management team needs to keep a close focus on the impact of communications and gaining buy in from stakeholders.</p>
BASIC MODEL	<div data-bbox="869 1249 1056 1279">PROJECT SET UP</div> <div data-bbox="454 1303 1433 1408">  <pre> graph LR A[Goals] --> B[Team] B --> C[Scope] C --> D[Success Factors] D --> E[Risks] </pre> </div> <div data-bbox="869 1489 1099 1518">PROJECT PLANNING</div> <div data-bbox="466 1547 1444 1653">  <pre> graph LR A[Tasks] --> B[Dependencies] B --> C[Timeframes and Resources] C --> D[Critical Path or Gantt Chart] D --> E[PID] </pre> </div> <div data-bbox="842 1738 1126 1767">PROJECT MANAGEMENT</div> <div data-bbox="461 1792 1439 1897">  <pre> graph LR A[Implementation] --> B[RAG Tracking] B --> C[Milestones] C --> D[Success] D --> E[Learning] </pre> </div>

HOW TO USE IT	<ol style="list-style-type: none">1. Train or Introduce Senior Managers to the Model2. Help them prioritise small number of projects to pilot process on3. Gather project Team4. Run Project Team Workshops to establish Team and Introduce the steps in the model5. Provide support to pilot teams in following the steps6. Review impact and learning7. Embed into Culture
SOME TIPS	<ul style="list-style-type: none">• Provide Project Management Training and Support to embed knowledge, skill and habits into the organisation• Make project management a core skill for managers• Pilot Model on some core projects• Develop relevant templates that suit your Council

7. CULTURE TOOLS

a. CULTURE SURVEY

TOOL NAME	CULTURE SURVEY TOOL																				
DESCRIPTION	<p>There are a number of Culture Survey Tools available but one that has a strong research base in the public sector and has clear linkage between the model and impact on organisation performance is the Denison Model for Organisation Culture. This tool is a very effective model for anyone developing or testing the existing culture and planning to create or embed a new or more performance focused culture. Communications Strategy in Local Government.</p> <p>It is designed to help an organisation answer four key questions</p> <ul style="list-style-type: none">• Do we know where we are going - MISSION• Are we responding effectively to our stake holders demands – ADAPTABILITY• Are our people aligned and engaged – INVOLVEMENT• Do we have the values, systems and performance processes to deliver our mission – CONSISTENCY																				
WHEN TO US	<p>When a management team / organisation needs to understand and prioritise how they will develop or embed a new culture into the organisation and decide what elements of the organisations culture to focus on.</p> <p>It is particularly useful to use when the management team needs to ensure that their focus on culture will deliver tangible impact on the organisations performance and results.</p>																				
BASIC MODEL	 <p>The diagram illustrates the Denison Model for Organisation Culture, a circular framework centered on 'Beliefs and Assumptions'. The model is divided into four quadrants, each representing a key cultural dimension: MISSION (top right), ADAPTABILITY (top left), INVOLVEMENT (bottom left), and CONSISTENCY (bottom right). The quadrants are further categorized by focus: External Focus (top) and Internal Focus (bottom). The model is also characterized by two axes: Flexible (left) and Stable (right). Each quadrant contains specific organizational practices and processes that contribute to the overall culture.</p> <table><tr><th>Quadrant</th><th>Focus</th><th>Characteristics</th><th>Key Processes</th></tr><tr><td>MISSION</td><td>External Focus</td><td>Stable</td><td>Defines Strategic Direction & Intent, Defines Goals & Objectives, Creates Shared Vision</td></tr><tr><td>ADAPTABILITY</td><td>External Focus</td><td>Flexible</td><td>Promotes Organizational Learning, Emphasizes Customer Focus, Creates Change</td></tr><tr><td>INVOLVEMENT</td><td>Internal Focus</td><td>Flexible</td><td>Builds Team Orientation, Develops Organizational Capability, People Empowers</td></tr><tr><td>CONSISTENCY</td><td>Internal Focus</td><td>Stable</td><td>Defines Core Values, Works to Reach Agreement, Manages Coordination & Integration</td></tr></table>	Quadrant	Focus	Characteristics	Key Processes	MISSION	External Focus	Stable	Defines Strategic Direction & Intent, Defines Goals & Objectives, Creates Shared Vision	ADAPTABILITY	External Focus	Flexible	Promotes Organizational Learning, Emphasizes Customer Focus, Creates Change	INVOLVEMENT	Internal Focus	Flexible	Builds Team Orientation, Develops Organizational Capability, People Empowers	CONSISTENCY	Internal Focus	Stable	Defines Core Values, Works to Reach Agreement, Manages Coordination & Integration
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CONSISTENCY	Internal Focus	Stable	Defines Core Values, Works to Reach Agreement, Manages Coordination & Integration																		

HOW TO USE IT	<ol style="list-style-type: none"> 1. The survey can be completed on line and issued to the whole organisation, or layers of staff, departments or locations 2. A Circumplex Reports can be produced for whatever categories are chosen above 3. The report highlights the organisations current areas of strength and development against the 12 culture indices as compared to normative groups 4. Managers and Leaders can then use these profiles to prioritise which elements to focus on and set up improvement projects in these areas.
SOME TIPS	<ul style="list-style-type: none"> • Include as wide a range of people as possible • Pilot improvement projects and provide focused support • At this stage in the new Clusters it may be useful to use the model to frame Senior managers insights on the current culture and to set a future state aspirations then after a period use the full survey tool to gauge staff and other stakeholders once the organisation is up and running

8. GUIDES AND TEMPLATES

- a. MANAGERS GUIDE TO ALIGNMENT OF PERFORMANCE MANAGEMENT
- b. GUIDE TO PERFORMANCE CONVERSATIONS
- c. GUIDE TO GIVING FEEDBACK
- d. THE 70/20/10 DEVELOPMENT GUIDE

Managers Guide to Alignment of Performance Management

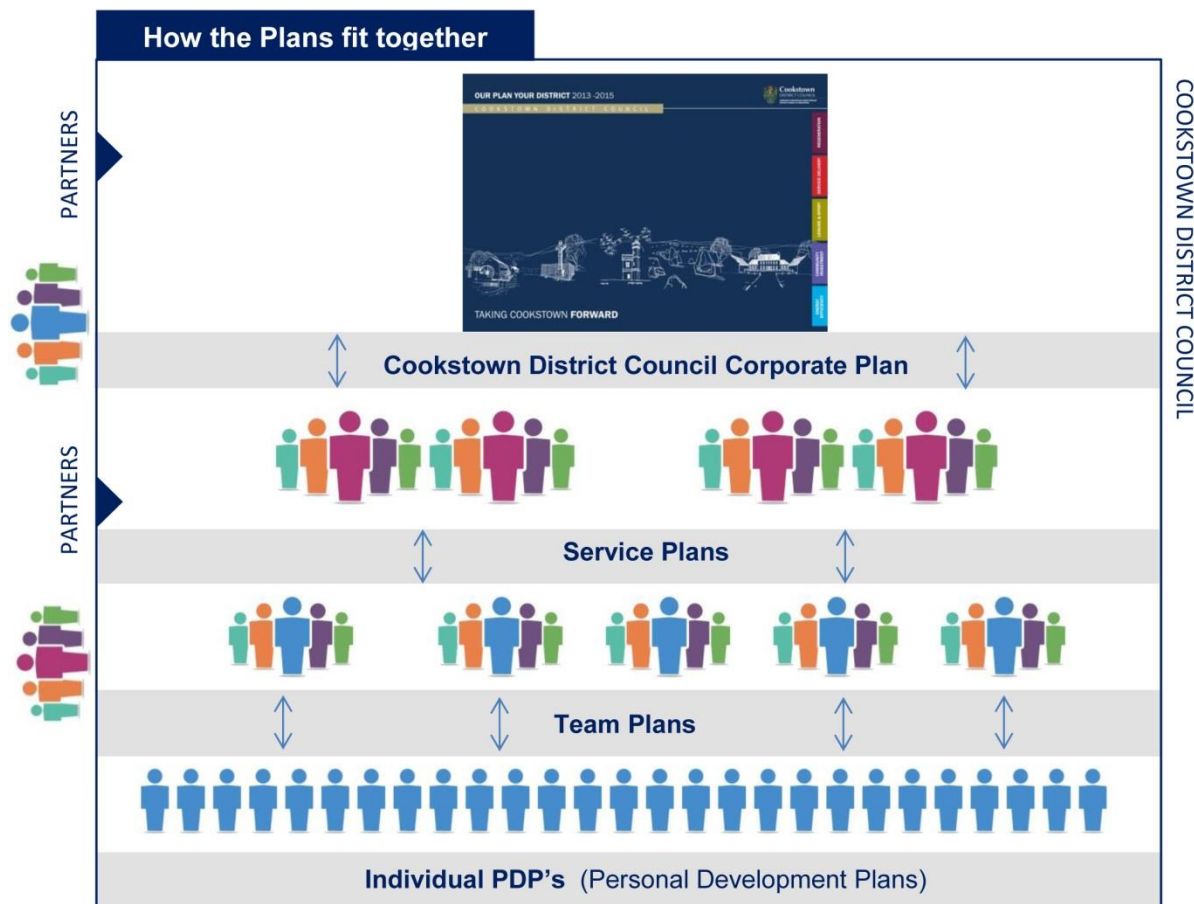
The following proforma's are attributed to the work carried out by a Performance management team and introduced within Cookstown District Council in 2013/14. They serve as a good example of linking Service, Team, and individual performance documentation using a Balanced Score card as the consistent connection.

The following are the alignment linkages and cycle of activity on performance management within the Council.

PART ONE

The Planning Framework- How the plans fit together

Cookstown District Council Corporate Plan details our high level strategic direction, commitments, priorities and investments within the District over the period 2013-2015. The corporate plan sets out the context for the preparation of the council's service plans.



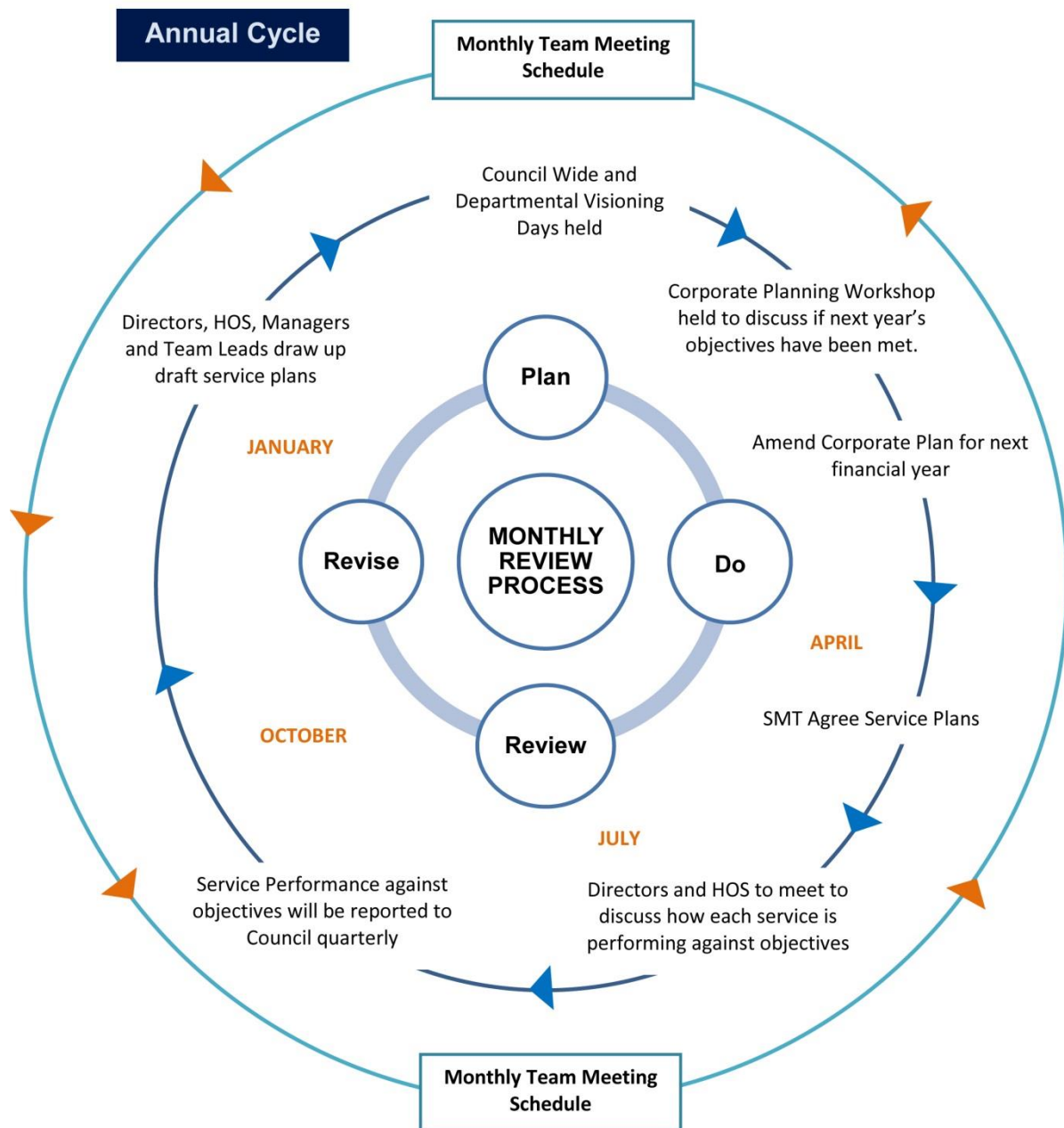
- **Service Plans:** detail the priorities for each service and the objectives that sit beneath them (linking to the council's overarching objectives and priorities).
- **Team Plans:** further break down service plans into the action (for individual teams).
- **Individual PDP's:** enable staff to develop an understanding of how they are contributing to achieving the council's priorities, by linking into the objectives identified in team and service plans. They are conducted annually and reviewed after six months.

In order to achieve the overall vision for Cookstown, the council must also work effectively with its partners, properly considering partnership working when devising its plans and applying the same standards of performance management when trying to achieve shared outcomes.

PART TWO

The Planning, Monitoring and Review Cycle - What happens, when and how?

Our business planning cycle broadly takes place on an annual cycle, but in order to respond effectively to the ever changing environment in which we have to deliver services to our customers, planning and reviewing is an iterative process that also takes place on a quarterly and monthly basis too, as can be seen in the diagram below:



DRAFT SERVICE PLAN

		←──		
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DRAFT SERVICE PLAN

					Delivery			Progress	
Cross Ref	Action Number	Service Objective	Target	Actions	Timeframe	Resources	Lead Officer	Progress Comment	Target Position
		Balanced Scorecard Perspective: Internal Processes							

DRAFT SERVICE PLAN

					Delivery			Progress	
Cross Ref	Action Number	Service Objective	Target	Actions	Timeframe	Resources	Lead Officer	Progress Comment	Target Position
		Balanced Scorecard Perspective: Customer Centred							

DRAFT SERVICE PLAN

					Delivery			Progress	
Cross Ref	Action Number	Service Objective	Target	Actions	Timeframe	Resources	Lead Officer	Progress Comment	Target Position
		Balanced Scorecard Perspective: People, Learning & Growth							

Team Proforma**_____ Council Team Objective Setting Pro forma**

Team Name: **Team Leader:** **Relevant Period:**

Summary of Year Completed

Achieved	Brought Forward

1. Summary of Key Business Priorities for the Year Ahead – (Source Council and Business Unit priorities)

Balance Score Card Area	Key Priorities
Finance	
Customers	
Operations	
People	

2. Team Priorities and Focus for the Year Ahead – (S.M.A.R.T. objectives, based on Summary 1 and 2 above)

1
2
3
4
5
6
7
8

4. Team Learning and Development Priorities

1
2
3
4



Individual Proforma

YEARLY PERSONAL DEVELOPMENT PLAN

Employee:

Job Title:

Dept:

Manager Name:

Period Under Review:

Actual Date of Review:

Agreed Review Date:

This form is designed to align individual PDP's with the work of the council as illustrated within its Corporate & Service Level Plans. Service Level Plans should be used as a point of reference during PDP meetings and each objective on your PP must relate specifically to & complement your Service's Plan. This can be shown by noting the relevant Service Level Plan Action Number.

The form may be completed separately by both manager and employee in advance of the initial PDP discussion.

Objectives may change during a year, if this is the case amendments or replacements should be added either to the end of the sheet or on an additional attached sheet.

	S.P. Action Number	Individual Objective(s)	How to Achieve It?	Personal Development/Training required to meet Objectives/Target Date	Progress (Sept)	Result (March)
1					Achieved Partly Achieved Not Achieved Yet	Achieved Partly Achieved Not Achieved Yet
2					Achieved Partly Achieved Not Achieved Yet	Achieved Partly Achieved Not Achieved Yet
3					Achieved Partly Achieved Not Achieved Yet	Achieved Partly Achieved Not Achieved Yet



4				-	Achieved Partly Achieved Not Achieved Yet	Achieved Partly Achieved Not Achieved Yet
5					Achieved Partly Achieved Not Achieved Yet	Achieved Partly Achieved Not Achieved Yet
Employee and Manager to discuss potential development areas or training courses						
Additional Personal Development requests not directly linked to objectives						
Any Other Actions/Issues Discussed or Raised?						
Mid Year/End Year Review Comments (Related to Objectives Above)						

Signatures:	Manager	Employee	Date:
Service Plan Discussed:			
Objectives and PDP Agreed:			
Mid Year Review:			
Year End Review:			

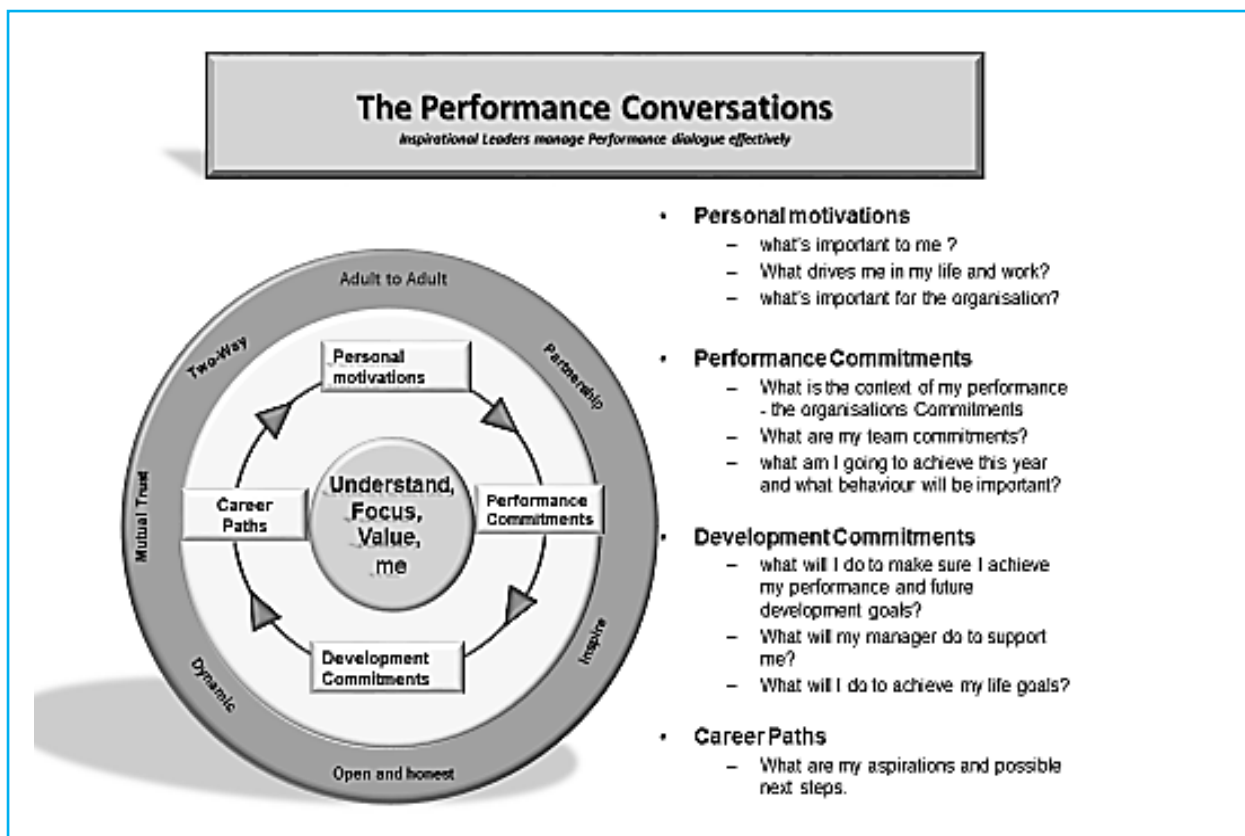
LINE MANAGER TO RETAIN THIS FORM & FORWARD COPY TO THE EMPLOYEE & (THEIR HEAD OF SERVICE) AFTER INITIAL PDP IS SET & AGAIN AT YEAR END REVIEW

GUIDE TO PERFORMANCE CONVERSATIONS

Introduction

Having effective conversations with individual staff members is a crucial skills for any manager. As stated in the Element on People it should be an ongoing process that has two formal stages in the year, the end of year review and setting the year ahead and the half year review.

The model for this is as follows:



As is clear in this model there are four areas for the conversation to develop. It is not therefore the intention of these guidelines simply to restate what is in the model above, rather to provide guidance around holding the formal element of the performance management review process.

These conversations are two way with the emphasis on the individual to prepare for their performance conversation rather than feeling that it is something being forced onto them. If the individuals concerned either mistrust the process, dread the meetings or feel that they are not owning their conversation then the manager must ask why this might be the perception/feeling of the employee.

Before the end- of- year meeting

- Consideration should be given to the venue. This should be as neutral and relaxing as possible. It should not be in the Managers office with a desk between the manager and the employee.
- Preparation is everything in the success of these meetings therefore the manager should support the employee by ensuring that they have been part of the team conversation in preparing the team plan. They should ensure the employee has access to and is using the

relevant strategy and business plans; and they should provide the employee with any other information that may be needed this may also include feedback from customers, other departments etc. If conversations have been ongoing throughout the year then this part of the process should be straight forward.

- In this stage as many conversations between the manager and the employee should take place as is necessary- the mindset for the manager and employee should be positive going into a positive experience.
- Any negative aspects of the employee performance should have already been dealt with in a timely manner. These performance conversations are not disciplinary meetings in disguise!
- As a manager consider how you are creating a positive experience for the employee using the outer ring of the model as guidance. This should include reviewing any notes taken throughout the year on your observations of the individual's performance. Consideration should be given to the individual's successes and strengths and to those areas of development and broadly of improvement. Using the feedback guidelines of this tool kit will provide guidance to how to provide feedback the best way.
- Looking ahead to the year ahead ensure as the manager you are clear of the strategy you are working to and what your own and the teams goals are. These are important inputs to the conversation and will help you guide the individual on what they will focus on in the year ahead.

Remember, there is an expectation that the employee comes well prepared to have a good conversation so don't be concerned about helping them with this preparation.

In the end- of- year meeting

- **Who does the most talking is an important consideration. The employee should be doing the most of the talking with the manager doing most of the listening. It is a conversation off course, but the manager should concentrate on listening, asking great questions, providing context, and providing feedback. The 80:20 rule is a good guide with the manager doing 80% of the listening and 20% of the talking.**
- There are always questions over the length of time of these meetings. Certainly if conversations have been ongoing throughout the year then the time taken for this formal part of the process can be shorter than one that has to cover much of the ground. There is a balance to be had however. This is the review of an individual's contribution over the last year and it is the opportunity to set clear goals and development solutions for the year ahead – it should not be a rush, it should be a positive review that inspires and motivates. It is in the interests of the individual employee and most particularly the manager to have that employee feeling positive with clarity and a sense of wanting to take accountability and give of their discretionary effort in the year ahead.

It also is an integral element of the managers building of reputation as to how confidently and assertively they lead the employee through this important conversation.

Give it the time it needs! - What is more important???

- Provide business context and share your own objectives and why they are important for you the team and the individual.
- Ask the individual at the outset how they felt the year past has gone, their high lights and low lights and prepare to discuss all of this with them. Don't rush straight into setting objectives. Remember that the tone and feel of the meeting as a conversation between two thinking adults is very important from the outset
- Help the individual shape their own objectives using the SMARTER acronym as a guidance – don't however get bogged down in word- smithing this can be counterproductive, rather, support and agree that, as a next step, the employee should refine the objective for final sign off.
- The relationship between the employee and the manager is a critical one and is always two way. Ask the employee for feedback on your style and what you could do to lead manage and support them and the team better. This is an ideal opportunity for the manager to learn about their own impact and ways for improving. Temper it by asking what you are doing well that the employee appreciates.
- Relax and have a good conversation – this should be a positive experience for both parties. If the manager is relaxed then it will have a direct impact on the atmosphere of the meeting.
- If appropriate provide tea and or coffee as part of the meeting

After the End-of-Year meeting

- The formal Performance Management documentation now needs to be completed. The responsibility of this rests with the employee. Agree a time for the final meeting to sign off this formal part of the process.
- If in the interim the employee needs to talk over some of the points raised then make time for them and provide as much clarity as possible.
- Hold the formal sign off meeting and with the employee refine the objectives, agree the development plan and any career path agreements and then agree the first of the informal review meetings.

This then brings you through the formal end- of- year conversation and from this the foundation for you and the employee in terms of their performance and development is set. The next formal part of the process is the half year review.

The mid- year Review meeting

This meeting is very much around establishing if the employee is on track or off track against the objectives agreed and establishing that they are getting the development support agreed. Assuming that the informal conversations are happening on a regular basis then these meetings tend to be reasonably short but again give them the time that they need.

It is still important that both parties go into this meeting well prepared. Providing observed feedback and discussing high and low lights, refining or changing objectives and taking time to review the effectiveness of any development support should all form the agenda for this meeting.

GUIDE TO GIVING FEEDBACK

Introduction

It has long been recognised that feedback can be a powerful motivator - encouraging goal accomplishment, influencing behaviour, and helping to continually improve performance. Opening our minds to observations made by others can also assist us in self-reflection, altering our perspective of a situation, and thereby enhancing our capacity to change, grow and develop. Thus, giving and receiving feedback is an integral part of developing productive workplace relations and providing continuous learning for both managers and staff.

Furthermore, being able to provide both positive and developmental feedback that will be accepted is an integral part of good day to day management practice and therefore an essential skill for any manager. This guide outlines some important principles and provides tips on techniques for maximising positive outcomes in giving and receiving feedback.

Key Feedback Principles

- **Make it regular.**
Like performance development and management, giving and receiving feedback will have limited benefits, if it is a once a year event. It needs to be frequent, ongoing, and cover both good performance and areas of performance to improve.
- **Do it immediately**
By giving feedback as soon as possible after an event or during project milestones, it will have greater impact. You will also find it easier to be specific as you will more readily recall the event or circumstances on which you want to give feedback!
- **Be specific and clear in your communication**
Avoid generalisations. Tell the person specifically what they did, or didn't do. Remember to describe and focus on the behaviour or action. Don't judge the person, as this is likely to cause a defensive or angry reaction and your feedback will not be heard.
- **Location is important**
Make sure the setting is appropriate for giving feedback. Avoid a few rushed moments in the corridor. Take the time it deserves to give feedback without interruption and in a setting that is private. This way you and the staff member can discuss and learn from the feedback.
- **Positive before negative**
Where you are seeking to improve areas of performance, don't concentrate on what went wrong. Rather, acknowledge the positive aspects and focus on what can be improved. Ask them for their view and suggestions to encourage ownership.
- **Practice makes perfect!**
It's easy to overlook good work or extra effort, or to take it for granted. Make it a habit to give positive feedback regularly. This promotes good performance and a positive work place. Equally, some managers find it difficult to give feedback when performance is not on track. Make it a habit to give developmental feedback as soon as it's needed. You can't expect them to automatically know that they need to change or improve their performance.

Types of Feedback

- **Positive Feedback** - This applies where the person has performed well. You use it to highlight why or how the job was done well, how it linked to expected outcomes or behaviours. Use it to reinforce good performance.
- **Developmental Feedback** - This applies where a person has not performed / behaved in line with expectations. You use it to highlight where and why performance was not up to expectations and explore how they might do it better next time. Use it as a positive way of improving future performance.

Preparation for giving feedback

- Be focused and well prepared for any feedback session. De-clutter your mind of everything else!
- Have all the facts to hand and be clear.
- Consider the individual, their context, their feelings and opinions. Go into the session with an open mind.
- Control your own emotions – don't lose your cool. Talk when you are calm and objective.
- Choose a time when you are at your best and you think the staff member will be most receptive. Check you both have time to give your full attention to this feedback session.
- Take leadership and ownership of the feedback you are about to give. Use 'I think' openers, rather than, 'You are' statements.

Process for Giving Feedback

Positive Feedback

Your focus: to talk little and listen lots! Lead the process by asking a range of open ended questions.

Your purpose: to encourage the staff member to talk about their good work and for you to reinforce it, in order to keep the good performance going into the future.

The process: **AID**

- **A** - Action - what you said or did
- **I** - Impact - how it affected the business, others, me
- **D** - Desired outcome - Moving forward e.g. do more of, do differently, do less of, continue

State and describe in specific terms what the staff member did well. Describe the actual behaviour and actions. Indicate the positive impact of their behaviour/actions. Ask the staff member for their input e.g.

- What do you believe contributed to the excellent performance?
- What do you believe you did particularly well?
- What did you learn that could be applied to other work or projects in the future?
- How can you share your experience/ learning with others in the team?
- Explore and reinforce their suggestions. Set some goals and describe the positive consequences that will result from them following through on the goals.

Developmental Feedback

Your focus: to describe, be clear, and be specific (not judge, blame or accuse). Lead the process as a positive, coaching experience where you show interest in rectifying the performance issue (s) to the benefit of the individual as well as the broader team/organisation.

Your purpose: to raise the person's awareness and understanding of the issue in a way that they will take responsibility for improving. You want to enable them to commit to a change in behaviour or outlook and commit to taking action to improve their performance.

The process: **AID**

- **A** - Action - what you said or did
- **I** - Impact - how it affected the business, others, me
- **D** - Desired outcome - Moving forward e.g. do more of, do differently, do less of, continue

State and describe the concern in specific and objective terms. Focus on actual behaviours / actions, not the person. Ask for the staff member's view. Give them the chance to share with you their thinking on why the problem exists. Indicate the negative impact created as a result of their behaviour/actions on them, the team, the organisation. Describe what you would like to see happening instead. Problem solve ways to improve the performance to meet those expectations. Ask for, and listen, to their ideas. Propose a solution and set some goals. Coach them to help them achieve the goals. Review the achievement of goals and acknowledge improvements.

How to deliver the feedback: BOOST

- **B** – Balanced - Does your message balance issue with opportunity? With negative messages, are you being clear enough about the negative impact of the behaviour and are you being inspiring enough about the opportunity they are missing out on.
- **O** – Owned - How are you taking responsibility for the message? Is it your own view? To what degree are you taking (joint) responsibility for achieving change?
- **O** – Observed - Is your message founded adequately in observed evidence? Are your observations ones the person will recognise and acknowledge as significant.
- **S** – Specific - Are your observations specific? Are you being specific about the connection between your observations and the person's opportunity? Are you offering specific examples of the opportunities the person can take?
- **T** - Timely and Trusted - Will the person trust your observations and views? How can you build trust? Have you chosen the right time to have the conversation – from the person's perspective?

Receiving Feedback

The key to responding in an open and constructive way is to acknowledge that you could learn from the feedback, be it positive or developmental feedback.

Remember to:

- Check for understanding by summarising back if needed. If you are unclear, ask for specific details. It is important you understand what is being said.
- Deal with any reaction you may be having or feelings you are experiencing in your own mind or openly with the other person if you can. “I’m not sure about what you’re saying...”
- Explore what you are hearing with an open mind – look for the lesson.
- Consider the feedback as another perspective that could be worth considering in making some changes to future practice or behaviour.
- Consider the value of taking some time to reflect on the feedback before you respond, particularly if you are struggling with seeing its usefulness. “I’d like some time to think over what you’ve said...”
- Discuss the feedback with someone you trust and respect, maybe a colleague or a coach – they may be able to help you put the feedback in perspective and help you manage it constructively.

Building Positive Relationships

Feedback and coaching will be most effective where there is a good working relationship between you and your staff. Hence, the importance of building relationships with your staff based on collaboration, trust and mutual respect. Role modelling and practising every day the behaviours that build relationships based on these principles is core to being a manager, so remember to:

- Get to know your staff as individuals. Seek to understand, what makes them tick? What do they find motivating? How do they like to be recognised?
- Be reliable – do what you say you will.
- Be consistent in what you say and what you actually do. Actions speak louder than words!
- Allow your staff to speak up without fear. Listen, acknowledge, and explore differing points of view.
- Communicate clearly, often and in different ways your vision, the direction for the work area, the performance expectations.

Dealing with resistance to feedback

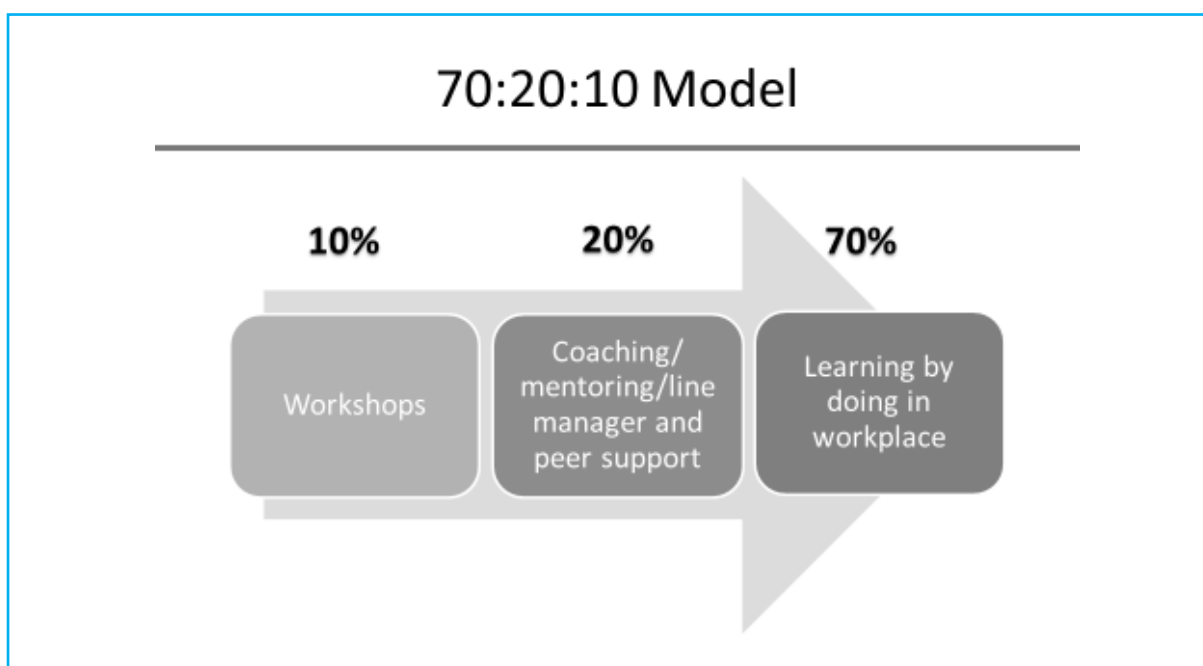
- Building trust comes first, so don’t be surprised if you don’t have a good relationship that staff will be resistant.
- Review your approach – are you doing something to raise defensiveness? Are you balancing the feedback? Are you asking them to self assess first, very often people are their own worst critics!
- Most people are resistant at an emotional level to negative feedback or criticism, so help them understand by using AID and give them time to absorb and reflect.
- Intellectual acceptance of feedback does not necessarily denote emotional acceptance: bland agreement can be a form of resistance in some people.
- Asking for specific examples can also be a device for resistance, but don’t automatically assume this.

- Creating tension or confronting someone can be appropriate when the message is not getting through.
- Encourage resistant people to explore ideas you raise with other people.
- When resistance is high clearly paint the consequences of failing to change.
- Check understanding at the end of the feedback session.
- Stick to your message.

THE 70/20/10 DEVELOPMENT GUIDE

Approach

A Best Practise approach to development incorporates the 70:20:10 learning and development framework and puts a lot of emphasis on applying learning in the practical context of everyday work. This model is based on research that demonstrates that a blend of different learning approaches "in concert" can provide the most powerful learning. It provides a framework for applying this to development plans as about 70% of learning takes place from on-the-job experiences, tasks, and problem solving about 20% of learning takes place from feedback coaching and from working with others and only 10% of learning takes place from course and reading.



Ensure the development plans only includes the critical few objectives that will really give a return on the time invested i.e. 3-4 maximum. Remember developing strengths first and then give some time to the most important performance risk areas. Think about the model above and ensure the actions take account of this blended approach.

Strengths Based Development:

Encourage people to think about their strengths and their areas for development. A strengths based approach has a number of benefits and applying your strengths at work include:

- Improved results and sense of achievement
- Higher levels of motivation and enjoyment at work as you will be applying your strengths more often
- Increased confidence and resilience to overcome performance blockages
- Improved understanding of your weaker areas and overplayed strengths
- Better teamwork

Clearly areas for development can't be overlooked and must be managed but fixating on weaknesses can often only lead to mediocre performance and use a lot of energy. So make sure staff prioritise what is most important for them in their roles and it is good to encourage line managers to explore this in the developmental discussion.

Setting Objectives:

Setting clear development objectives is a critical part of success within any role. The purpose of this Personal Development Plan is to ensure that individuals develop the specific behaviours they need to ensure that they can carry out their role as effectively as possible. As such it is structured around criteria which are important for their effective performance.

Guidelines for using this personal development plan:

1. Reflect on your performance and consider:

- What your signature strengths are and how you are going to build on them
 - Are there areas that you could develop that would deliver benefit to you in your role and into the future

2. Decide on your development objectives. These should be SMART:

Specific	The objective should clearly state exactly what you should be able to do after completing the development activity.
Measurable	The objective should indicate the level of performance you are required to achieve.
Achievable	The target should be realistic and attainable.
Relevant	The target should be appropriate to the individual's situation.
Time bound	The objective should include the timescale over which the change should occur. Depending on the content, the timescale could be weeks or months.

3. Decide upon the activities to meet the objectives.

4. Consider the support you may require to meet your objectives.

5. Establish the likely financial cost (if any) of the activities.

6. Consider the timescale in completing the activities.

7. Fill in when you actually met your objectives.

8. Review this plan regularly, both personally, with your coach and manager.

Signature Strengths

Write down the behaviours/Competences where you believe you have a key strength. Give evidence that supports why you believe you have strength in these areas.

How could you further develop these areas of strength?

AREAS FOR DEVELOPMENT

Identify competences you believe you need to develop most. What situations do you find most difficult to handle? What skills would be useful to enable you to deal with these situations more effectively?

ACTION PLAN

Objective 1:

Action:

Timescale:

•	
•	
•	
•	
•	
•	
Support required:	

Objective 2:

Action:

Timescale:

•	
•	
•	
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•	
Support required:	

Objective 3:**Action:****Timescale:**

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•	
•	
•	
Support required:	

Objective 4:**Action:****Timescale:**

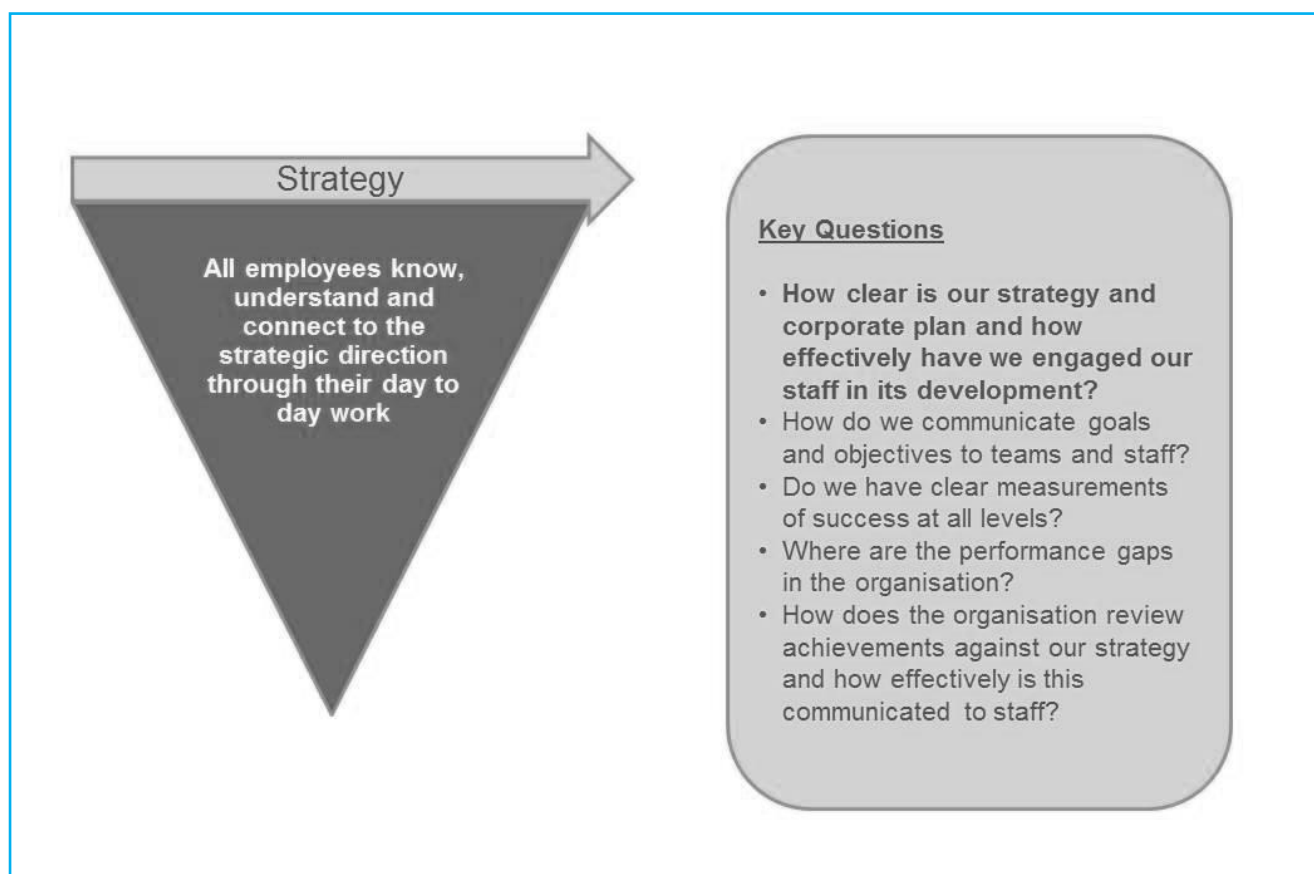
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Support required:	

ELEMENT 1: STRATEGY

Diagnosing the Required Change

There is not a right or a wrong place to start when considering the implementation of a project to build a High Performance Culture, where you start will be determined by the initial diagnostic against the Model completed by the Chief Executive and the Senior Management Team. However, if the organisation has not got a well-defined strategy, the place to start is to be clear on where the Council is going and how it is going to get there.

The Strategy Element of the Model can be described as follows:



Strategy Diagnostic Checklist:

The Chief Executive and senior management team will have completed the high level diagnostic checklist, identifying the key areas that need to be reviewed or developed. They will have created a report outlining the areas of **RED**, **AMBER** & **GREEN**. This more in-depth checklist, below, will enable you as a project team to draw out the areas that have been identified in the **RED** category by your SMT and to be really clear on the what needs to be prioritised.

All of the questions in each section are linked to the checklist completed by the CE and the SMT. There are 5 questions on strategy in the high-level diagnostic checklist, each one of these questions are directly linked and are numbered accordingly i.e. 1a. 1b etc.

Strategy Checklist	
Key requirements	Dashboard R / A / G
Strategy: 1a. A clear strategy and corporate plan has been developed 1b. the Council's strategy is aligned with the community plan 1c. We have a set of defined values / behaviours that underpin how we want to work as an organisation? 2a. We have engaged our staff in the development & delivery of this strategy 2b. We have engaged our key stakeholders in the development & delivery of this strategy. (citizens, members, community groups etc) 2c. There is clear strategic alignment between all sections of the organisation 3a. We have a plan in place to communicate the organisational goals and objectives to departments, teams and staff 3b. Managers communicate on an ongoing basis with staff on progress against the plan 3c. Individual objectives & business plans are updated as a result of dialogue with staff/members 4a. Managers have taken their business plan and developed clear, unambiguous, success measurements that are achievable for their part of the business? 4b. We have clear measurements of success in place for the organisation and all levels within? 4c. We have a plan to review and track progress against the overall strategy and corporate plan 5a. We have a communication plan in place that will regularly communicate on progress and report on changes in priorities 5b. We listen, gather and capture feedback to bring back to the organisation from all stakeholders 5c. There is a two way dialogue between managers & staff, departments and the members on the business plans and they are updated accordingly	

Once you have identified the specific areas in **RED**, the following sections will take you through how to implement best practice. There are also some tools and techniques that you can draw on and case studies illustrating where other Councils have experience in developing and implementing the Strategic aspects of the Model.

ELEMENT CONTENT

This Element sets out the Toolkit guidance in the following sections:

SECTION 1: Creating and Implementing the Strategic Plan

Stage 1: Consult on Corporate Plan

Stage 2: Consolidate the Corporate Plan

Stage 3: Communicating the Corporate Plan

Stage 4: Implementing the strategic Plan

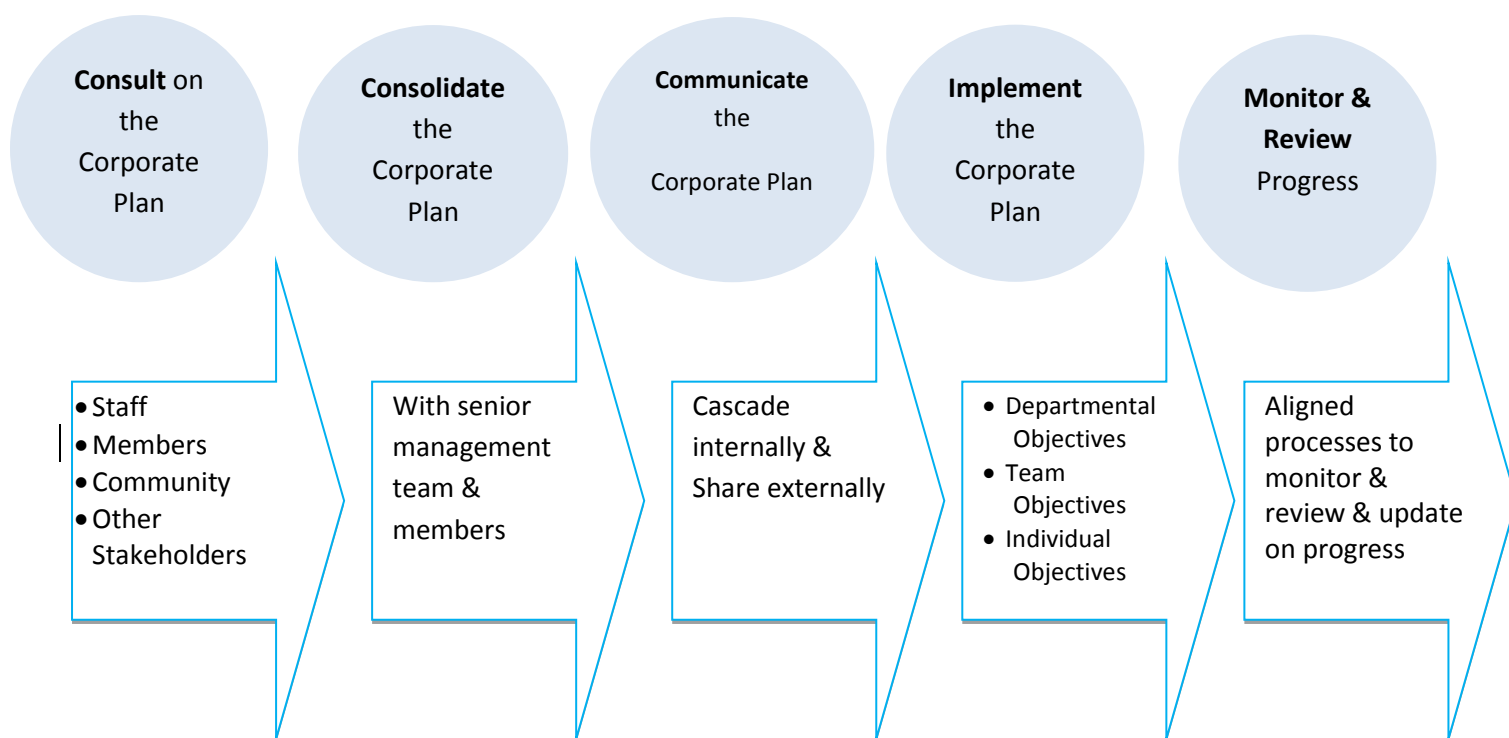
Stage 5: Monitoring & Reviewing Progress

SECTION 2: Making Change Happen

BUILDING OPTIONS FOR CHANGE IN STRATEGY

SECTION1: CREATING AND IMPLEMENTING THE STRATEGIC PLAN

Model for Creating & Implementing the Strategic Plan



STAGE 1: Consult on the Corporate Plan

The steps to take in the consultation stage include:

1. **Consultation Process:** Senior management develop and implement a timely consultation process. They need to take ownership of the consultation process and drive it, being very open to listening to the input of others both within and external to the organisation.
2. **Consult all the major stakeholders:** Consultation with all the major stakeholders to determine and clarify: “what are the key priorities for the organisation in the next 1 to 3 years & what are the expectations from the stakeholders on how we deliver these services”. Stakeholder groups to include:

- Members
- Staff groups
- Citizens
- Community groups
- Trade unions
- Other government departments

Tools to use at this stage that create the input to developing the Councils strategy include:

- SWOT analysis
- P.E.S.T.L.E. analysis
- focus groups / workshops
- Open public meetings
- Meeting representative groups
- Face to face meetings/interviews
- User panels
- Questionnaires/surveys
- IT based consultation methods

Useful tools are provided in the relevant section of this guidance manual together with suggested models for developing Council Strategy.

3. **Feedback mechanisms:** processes need to be in place to ensure the information from the stakeholders makes its way back into the organisation. There needs to be a structure in place for this, there may be a team who have been tasked with this as a project or it could be part of a department's role to gather, capture and collate feedback.

Underlying principles:

- Strong and visible commitment from senior management creates a compelling organizational direction.
- The corporate planning process seeks engagement and feedback from all stakeholders to inform content.
- Customers, local communities and committees are an integral part of building the corporate plan – understanding the external environment is key for progress and improvement.

STAGE 2: Consolidate the Corporate Plan

1. **Draft Corporate Plan:** SMT draft the corporate plan in conjunction with the members. They need to take into account the information from the stakeholder groups, the key drivers for their area but also be mindful of the constraints on them as an organisation, examples may include:
 - **External drivers:** community planning / health & well being / community safety & planning
 - **Resources:** manpower; equipment; the estate
 - **Financial:** grants; rates; budget squeeze
2. **Corporate Plan:** A plan with clear outcomes / measures of success developed with timelines created for the next 1 to 3 years. Simplicity in design is recommended and models are provided in the Tools section of the Guidelines.
3. **Values & Behaviours Defined:** Alongside the **WHAT** that needs to be delivered, the Council should consider the **HOW!** – What are the values that the Council wants to live by and what are the core behaviours that will be important to the Council in order to deliver performance excellence. This needs to form part of the consultation process and also needs to be validated. If it is created by the SMT behind closed doors then the organisation will lose stakeholder engagement, this is particularly important with staff and members, as it sets the context for service delivery. The Purpose is to describe for employees what good performance looks like. To do this you need to have a common language that is used across the organisation.
4. **Creation of a Business Plan for the Year:** The Senior management team create the top level business plan for the organisation for the next year, detailing the top level Key performance indicators (KPI's) or outcomes required. The competency framework will reflect the core behaviours that will drive high performance in the organisation. The framework should be flexible enough to allow a core set of behaviours to be outlined for each job role. Some organisations create a **Strategy Map** – outlining on one page what the Organisation is trying to achieve, simply depicting Council's Strategic Direction through a visual representation.
5. **Creation of Divisional Business Plans:** The Directors for each division or department take the Organisational Business Plan and create a divisional plan, aligning it to the corporate plan and aligning to each division. The Directors can use a number of tools to assist them in creating this plan. However, they should involve and consult with the staff in their division to ensure engagement and buy in.
6. **Cascade of the Business Planning Process:** The Divisional Business Plans are further cascaded through the organisation, using a consultative approach, engaging teams in planning their departments work for the year ahead.

Underlying principles:

- Values are the glue which holds the organisation together and leaders actively role model these in all communications
- A focus on connecting people's daily work with the organisation's direction is a central tenet of corporate planning
- Stretching goals which are linked to the corporate plan are integral to creating an environment for people to perform
- The strategic planning process is a tool which inspires, has meaning for people, is easy to understand and provides clear direction.

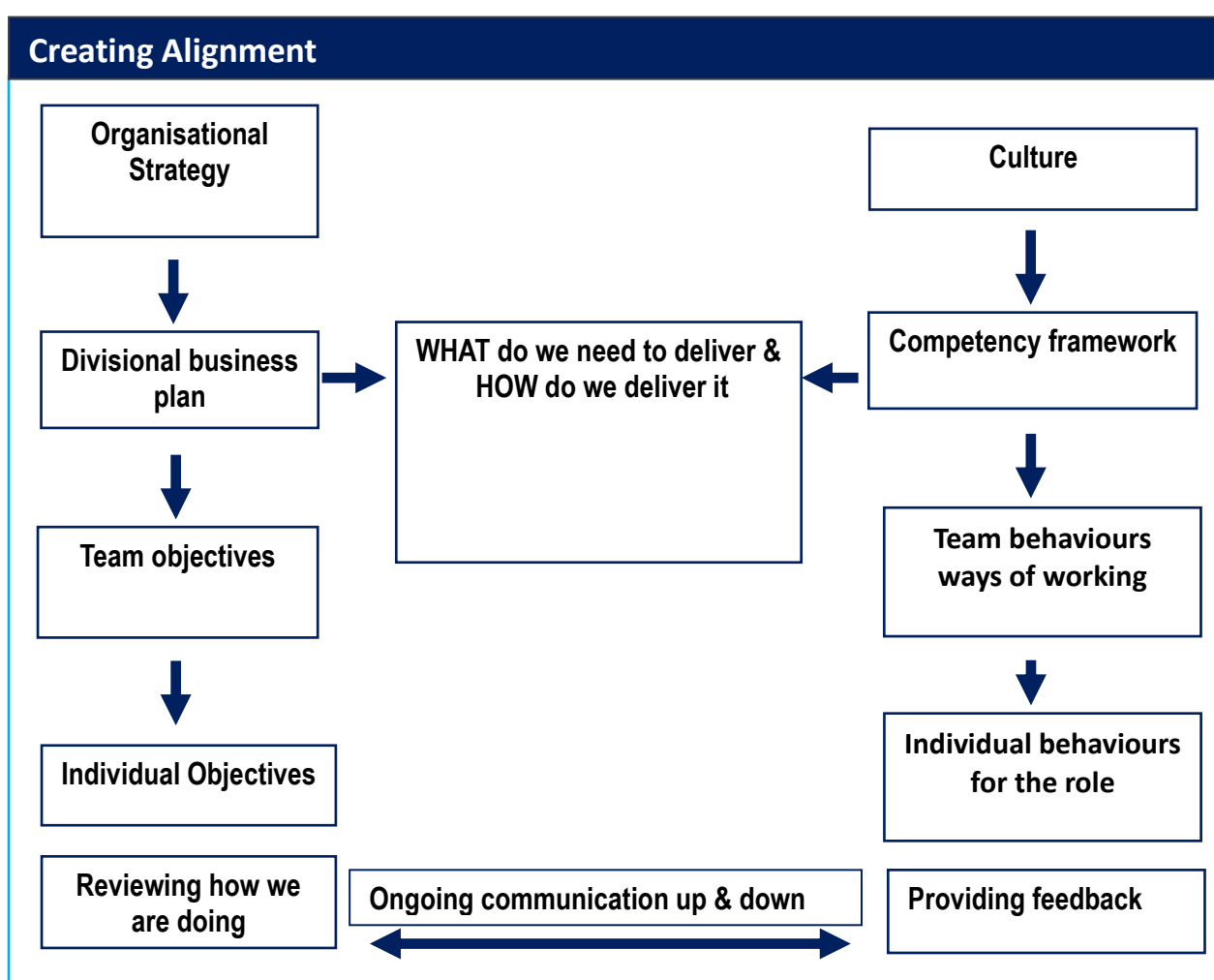
STAGE 3: COMMUNICATING THE CORPORATE PLAN

1. **Develop a Communication Strategy:** The SMT need to develop a communication strategy to share the corporate plan, gather feedback and use this to review and update the plan regularly. The communication strategy needs to have plans that take account of the internal and external stakeholders and use a range of mediums to get their message across. It will be important to give ownership of the strategy to a role that is responsible for implementing it and monitoring its success. Research shows that effective communication will lead to greater engagement with the workforce.
2. **Internal Communication Plan:** it is important to create an internal communication plan as a way of ensuring all staff in the organisation are aware of what the organisation is trying to achieve and how they contribute to it. All internal communications should be aligned with **What** (KPIs) the organisation is trying to achieve and **How (Values & Behaviours)** they want to deliver it. Examples of what other organisations use include: an intranet / corporate team brief approach / staff / manager forums / employee surveys / state of the nations by CE / breakfast briefings etc. Using the **a** would provide a simple and effective tool in which to inform all staff of Council's Strategic Themes and how they as employees play their part in achieving its Strategic Priorities.
3. Senior managers should work with their team to **communicate the divisional / departmental business plans**, using their meetings as an ongoing way to reinforce the What and How. The cascade of the organisational business plan allows teams to align their work and outcomes with that of the organisation. This level of engagement will create more buy in but also ensure that the business plans within the teams are more realistic and achievable. It also ensures joint working and greater alignment across departments.
4. Heads of Service replicate the collaborative communication with their teams and **create team business plans or scorecards**. This 2 way communication ensures clarity about what is a priority

and what is not on the agenda and how we want to work to achieve it, providing the focus for high performance.

This process of cascade needs to continue down to the individual level within the organisation, ensuring that it is made relevant at each opportunity.

5. **Individual Objectives:** Good practice would dictate that everyone in the organisation should have a set of objectives that align to the Business plan of the organisation. Each individual should have a core set of behaviours relevant to their role, which will clarify how they can achieve high levels of performance in that role. A visual representation of what alignment looks like is as follows in Diagram 3.



Underlying principles:

- Values and behaviours are the glue which holds the organisation together and leaders actively role model these in all communications
- Managers understand it is their role to create the strategic context for their staff
- Cross functionality in thinking and teamwork to build service delivery and innovation.

STAGE 4: IMPLEMENTING THE STRATEGIC PLAN

There are a number of steps to the successful implementation of a strategic plan:

1. **The implementation of the Competency Framework:** having a core set of behaviours for each job role linked to a clear understanding of the Councils Values will begin to develop the common language that allows staff and managers to discuss how they are delivering the Services required. Managers should be talking with their teams and individuals around what these competences are, are they apparent in the team and for them as individuals and giving constructive, positive and developmental feedback if required.
2. **Business Plan to Individual objectives:** each department should review the strategic plan and develop a set of objectives for the department. This plan should then be cascaded down through the team resulting in a set of linked objectives for each individual team member. A competency framework with clearly described behaviours relevant to each role and will clarify what each member of staff agrees to deliver and how they can achieve high levels of performance in that role. This should be reviewed on a regular basis, ensuring that staff know and understand how they are performing.
3. **Tracking Performance:** It's no good developing a strategy if you don't implement it successfully and this is where many organisations fail. As strategic plan cascades through the organisation, a useful way to track progress can be through the use of **balanced scorecards**. This would mean developing a scorecard for the organisation that is filtered through to each level outlining the key deliverables and measures. This can be a valuable tool to track how you are doing throughout the organisation and can be a valuable tool in your communication plan. A **RAG** (red, amber green) colour code against each objective and action is a great way to convey progress visually and simply.

Tracking performance against the plan can take many forms, a few key principles include: -

- Keep it simple – don't spend all your time measuring and not doing.
 - Make information available – Measures should be available to be seen by the team
 - Follow up – take action on the information being observed.
4. **Regular reviews:** It is important to review performance on an ongoing basis throughout the year. Communication should happen on a:
 - 1 to 1 level between manager and their staff member
 - team level
 - divisional or departmental level
 - Director and SMT level

The agenda for such reviews should be aligned to the business plan, highlighting what is on target & what is not. A good understanding of areas that are below target will assist in trying to put corrective actions in place. Discussions should also allow for discussions for how the

competencies are playing out and the impact on the culture within the organisation. For example is this a positive review, without blame or recrimination?

Information from review meetings should not remain at that level. The cascade of information up the organisation, on how “we are doing”, will allow the senior management team to position external communications to the stakeholder groups. It also allows for refining of the business plan and a refocusing of priorities.

5. **Skilled communication:** managers at all levels need to have the skills to be able to have positive meaningful conversations both with their teams and their individual direct reports. This is one of the most critical aspects of creating a culture of high performance: Is the manager able
 - to make the staff feel valued?
 - to give positive and balanced feedback?
 - to provide direction and guidance?
 - to provide support and development?

STAGE 5: MONITORING & REVIEWING PROGRESS

1. **Track & Monitor:** Having communicated and cascaded the plan throughout the internal organisation and to external stakeholders, it is important to track and monitor performance against the plan and to update the plan accordingly.

Processes for tracking: “What gets measured gets done”, is an accurate principle within most organisations. However the organisation needs to regularly review if they are measuring the right things, and what sorts of behaviours do the measures drive. If the organisation is measuring outputs that encourage a silo mentality, then the measure needs to be reviewed to ensure more cross functional ways of working. Some organisations spend so much time capturing data and producing reports that they lose sight of what it is they are trying to deliver. Some councils are using IT, as a solution, having developed software that will track performance against the target KPI’s. This can be a very effective tool and can save time once the initial data has been uploaded, various reports can be developed to produce accurate data on progress. A note of caution, the reports are only as good as the data entered, so ensure you are measuring the correct things.

2. **Update the Plan:** It is important to update the plan as a result of progress reports, which will feed into the ongoing communications plan for communicating internally and externally against priorities.

There are a number of underlying principles in making the implementation of the Strategic plan successful:

- Managers understand it is their role to create the strategic context for their staff.
- Passion, energy and ownership for the execution of the corporate plan is from leaders at all levels in the organisation
- Effectiveness - Council officers do and measure the right things well to deliver the strategy and support the aspired culture

- Measurement is always balanced across the Councils scorecard in terms of Financials, Customers, Operations and People.

SECTION 2: MAKING CHANGE HAPPEN

Communication strategy - template

A detailed timetable of events for each stakeholder group, with clarity around who is responsible for carrying the communication out and where the feedback comes back to. This plan would be regularly reviewed by the SMT and amendments made based on ongoing feedback.

A communication strategy, like an HR strategy or diversity strategy, is usually a mini strategy developed to help you achieve your corporate aims. It flows from your corporate strategy. It is designed to improve your ability to get your messages seen, heard, understood and acted upon by the right people.

Team Briefing template

Review

When you are developing your communication strategy you will probably start with a review of your current communication. You may need to do a **communications audit** and some stakeholder research.

Some of the key questions you will need to ask and answer are:

Audience - who are they? What makes them tick/what moves them? What do they need from us? Are their needs changing? What do they think of our organisation?

Culture - do we have a strong communication culture? Does our internal communication support external communication?

Skills and resources - do we have the skills and resources we need to get our voice out there?

Messages - do we have the messages we need? Are they clear? Does everyone in the organisation know what they are? How do our messages play with our audiences?

Branding - does our brand or positioning need refreshing in the light of the environment in which we work and our strategic aims?

Hype and interference in your external environment - what aspects of the external environment have a positive or negative impact on our communication?

Monitoring - do we collect the data we need to measure the effectiveness of our communication?

The organisation must develop a communication plan alongside the corporate business plan, using a variety of mediums. This is to ensure that all stakeholders are aware of what the organisation has committed to doing and how they are going to achieve performance excellence. It is also to ensure regular feedback on how the organisation is doing against that plan, what is being achieved and what corrective action plans are in place to deal with areas of underperformance.

The plan communication should have a calendar of events that will meet the needs of all of the stakeholders, for example: an internal communication plan, may begin with a “state of the nation” delivered by the chief executive once the corporate plan has been agreed. This could be followed up with quarterly or half yearly lunchtime updates by the SMT. This plan must be in place to give information on progressing but also to receive feedback in order to review key priorities. The overall

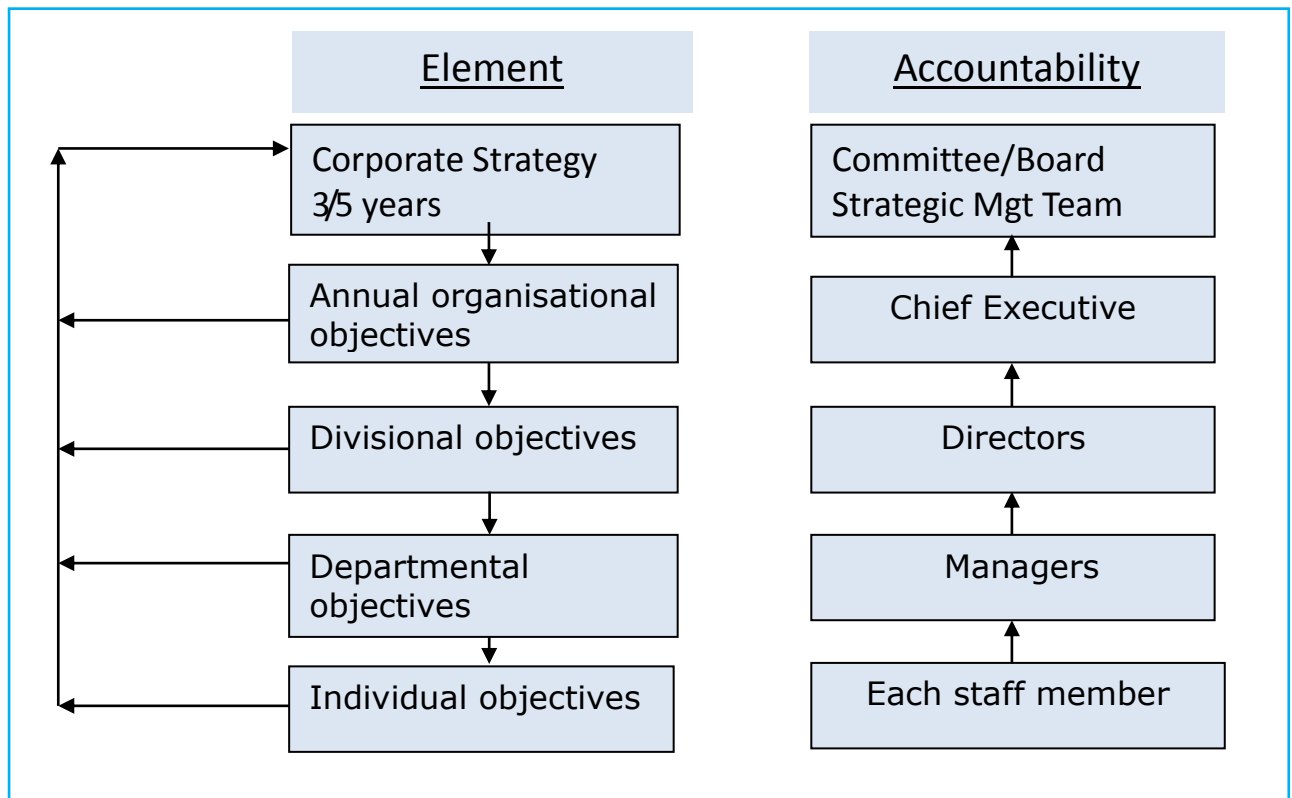
communication strategy needs to address all of the key stakeholders (see appendix 1 for hints around communicating with residents).

Key principles for communicating with staff:

- Keep it regular
- Use a variety of methods i.e. verbal (team briefs/team meetings/state of the nation/question time with CE or SMT/podcasts); written (newsletters/intranet/notice boards). The methods used need to reflect the diverse nature of the workforce and the breadth of services being offered. For example allowing for multiple geographical locations, shift work, home based, flexible hours etc.
- Keep it relevant – “What is in it for me”, ensuring that all staff understand how they fit into the bigger picture and the value they bring to the delivery of the services overall
- Keep it interesting – the skill set of the managers is vitally important
- KISS – keep it short and simple (some organisations mention the Top 5, the key areas of focus / priority for the organisation)
- Keep it aligned to the strategy of the organisation, this should form the basis of your meeting agendas.

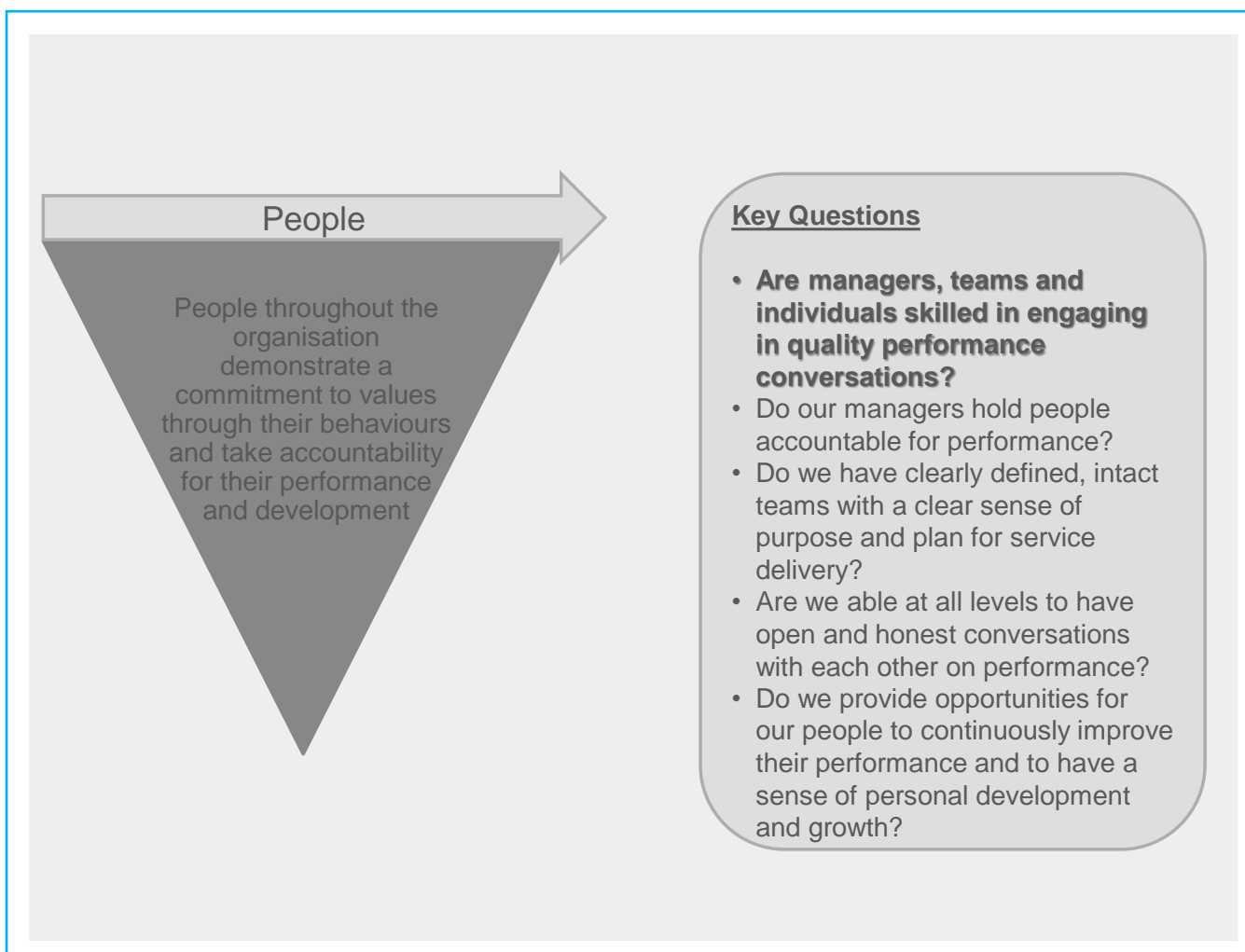
Practices:

- Senior managers engage in a corporate planning process on an annual basis which consults with key stakeholders including staff
- Robust corporate communications facilitate the consultation process and cascade goals and objectives
- Regular updates on progress against the plan are delivered i.e.: “State of the Nation” address from Chief Executive
- Teams build their annual performance plan linking it to the corporate planning process and actively seek feedback from stakeholders to inform performance and innovation and progress
- Quality performance conversations take place between management and staff at all levels to align the individual’s performance with the teams and to support the individual in their progress and hold them accountable for results.

Accountability for Strategic Development:

ELEMENT 2: PEOPLE - DIAGNOSING CHANGE

- The People Element of the Model can be described as follows:



People Diagnostic Checklist:

The Chief Executive and senior management team will have completed the high level diagnostic checklist, identifying the key areas that need to be reviewed or developed. They will have created a report outlining the areas of **RED** **AMBER** & **GREEN**. This more in-depth checklist, below, will enable you as a project team to draw out the areas that have been identified in the **RED** category by your SMT and to be really clear on the what needs to be prioritised.

All of the questions in each section are linked to the checklist completed by the CE and the SMT. There are 8 questions on people in the high-level diagnostic checklist, each one of these questions are directly linked and are numbered accordingly i.e. 1a. 1b etc.

People Checklist	
Key requirements	Dashboard R / A / G
<p>People:</p> <ul style="list-style-type: none"> 1.a Managers and teams have been given clear guidelines on how to hold quality performance conversations 1.b There is a track record of positive performance conversations being held between teams and managers 1.c Managers have conversations around the organisations core values and behaviours and the importance of them 2.a Our managers hold people accountable for performance 2.b Our managers provide positive and developmental feedback to their teams and individuals 2.c Our managers deal effectively with poor or underperformance 3.a All teams have a clear purpose, with clear objectives and a plan for service delivery 3.b The service delivery plan cascades to all individuals in the team, and they have a clear understanding of what results are expected of them and how they need to behave to deliver these 3.c Everyone knows and understands the organisation's values and accepted ways of working 4.a Everyone in the organisation is ready and set up to have open and honest conversations with each other on performance 4.b There is a track record of having performance conversations between managers, their teams and across functions and the overall organisation 4.c There is a willingness to give each other constructive feedback across the organisation 5.a We provide opportunities for our people to reflect on their performance, their areas of strength and the areas they would like to improve on 5.b We encourage our staff to stretch themselves and continuously improve their performance 5.c We encourage personal development and growth for everyone to reach their potential 	

Once you have identified the specific areas in **RED**, the following sections will take you through how to implement best practice, there are also some tools and techniques that you can draw on and case studies, where other Councils have experience in implementing aspects of the People aspects of the Model.

Element Content

This Element sets out the Toolkit guidance in the following sections:

Section 1: Building a High Performance Team

Section 2: The individual Performance Conversation model

Section 3: Practical steps to implementing the Performance Conversation

Stage 1: Levels of Performance Conversations

Stage 2: Accountability for Achieving Objectives

Stage 3: Putting the Performance Dialogue into Practice

Stage 4: Personal Development Planning

Stage 5: Performance and Development Reviews

Building Options for Change in People and Making Change Happen

SECTION 1: THE TEAM: BUILDING HIGH PERFORMING TEAMS

Within any Council employees work in and are members of teams. Councils deploy many types of teams from intact /permanent teams, Project teams, task and finish teams, the spectrum is wide. What these all have in common is bringing people together to accomplish something. How they achieve what they have to accomplish can either be left to chance or it can be organised and structured.

Research shows us that team work is one of the most critical parts of the Performance Culture and is something Councils cannot afford to play lottery with and leave to chance. In the post 2015 Council structure striving for high performance in teams and driving a culture of innovation and continuous improvement is vital. The team in any organisation is the unit where performance, innovation and continuous improvement happen – it makes business sense to focus on this unit.

This section provides a structured approach to team development and team performance that can be deployed regardless of how a team has been formed or why a team has been formed.

Leadership is core to any team's success however teams wishing to continuously improve towards excellence benefit from a Framework that shapes development. There are many approaches to team development that focus to a lesser degree on the purpose of the team and more on the way individuals within the team work together. This is all very well but a high performing team will also have an external focus and context on its place in the organisation, the service it provides and its reputation amongst the key stakeholders.

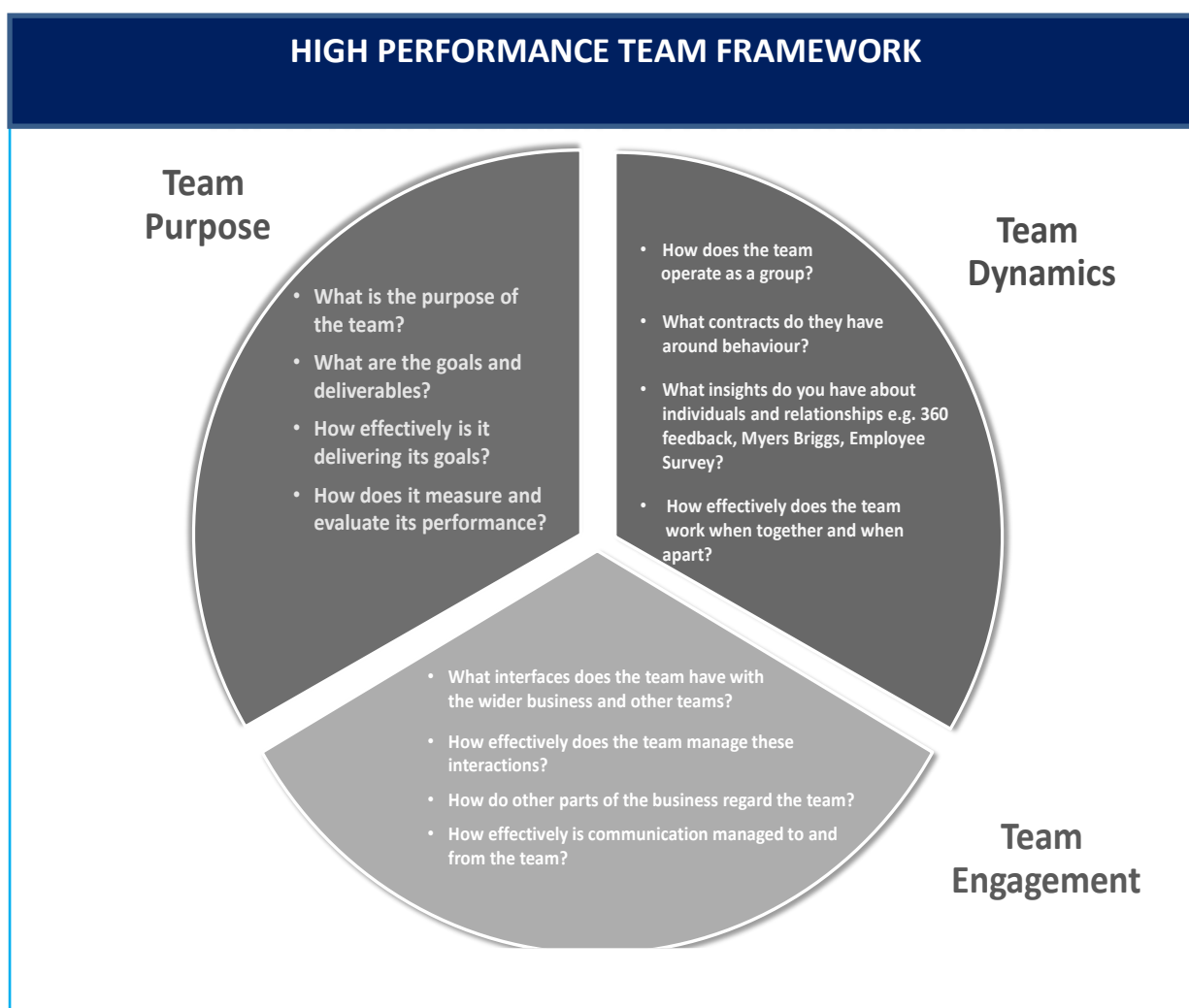
Focusing equally on the team reason for being, its method of working and its external impact and reputation make up the core elements of high performance. Measurement is key and high performing teams, rather than shying away from feedback, actively seek it out and focus the improvement and change plans around their key performance indicators that are clearly understood by all members of the team.

The following is the framework that provides structure to teamwork within local government.

There are a number of things to note:

- The framework is complementary to any approach to leadership development especially one that encompasses a Coaching approach.
- The term "Framework" is used as it is recognised that not all teams are in the same place, even if the collective goal is high performance; this therefore allows the team working with the facilitator to flex the approach to meet each individual team's needs.

The following sets out our high Performance Team Framework:



As discussed above there are three elements to this framework. Team Purpose examines the team role, its key goals and measures and provides for the team members to collectively develop the Purpose statement for the team thus engendering a sense of ownership, identity and belonging. How the team turns strategy into action is explored and auctioned and the team is challenged on how it turns performance promises into reality.

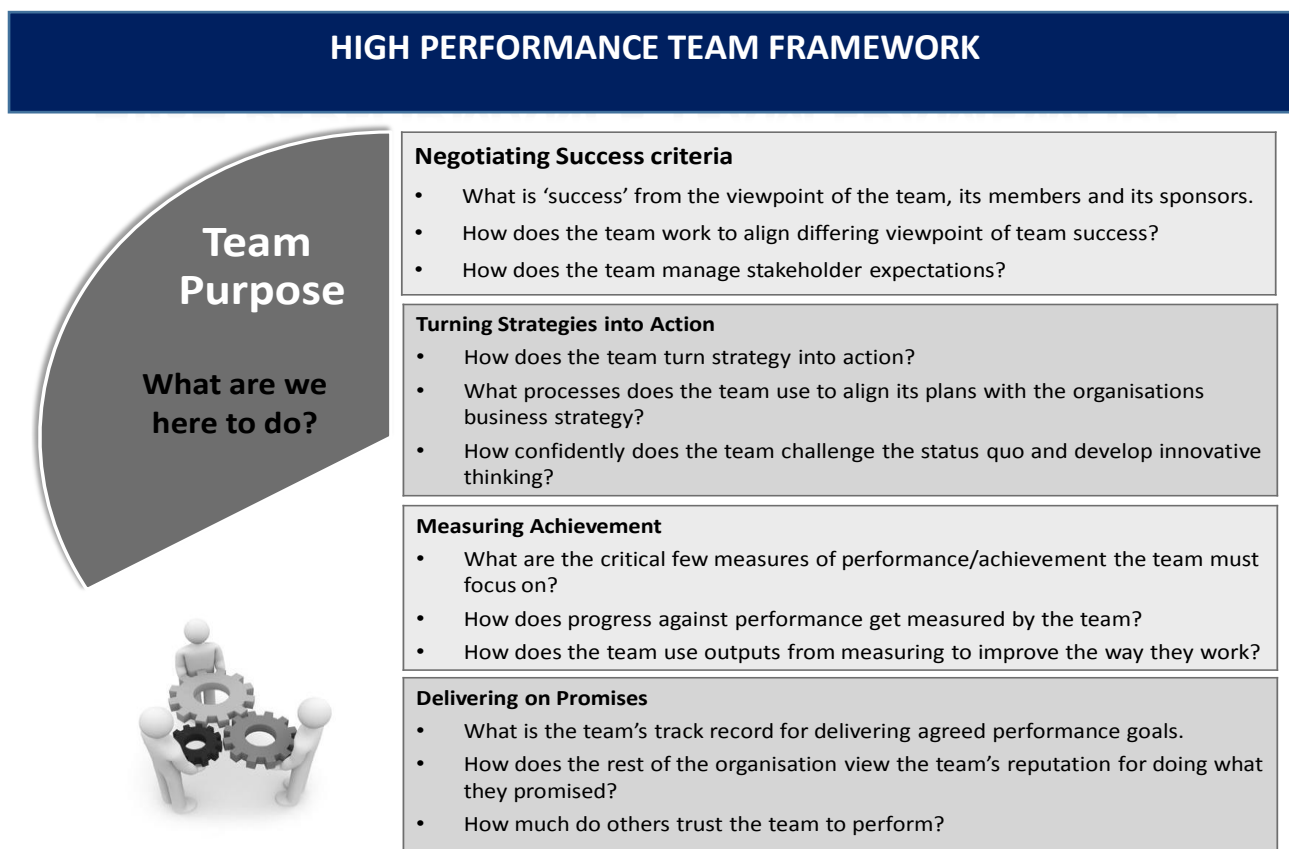
The Team Dynamics requires the team to really understand how they work together and to create a sense of deeper understanding of each other through the use of disclosure and insights tools. In this section the team explores the concepts of coaching and learning, examines how they make communications and team meetings highly effective and looks at celebrating success.

The Team Engagement is focused primarily on how the team manages the “outside”. It examines in depth its reputation, its stakeholder engagement and how the team balances staying up to date and learning with day to day operational execution.

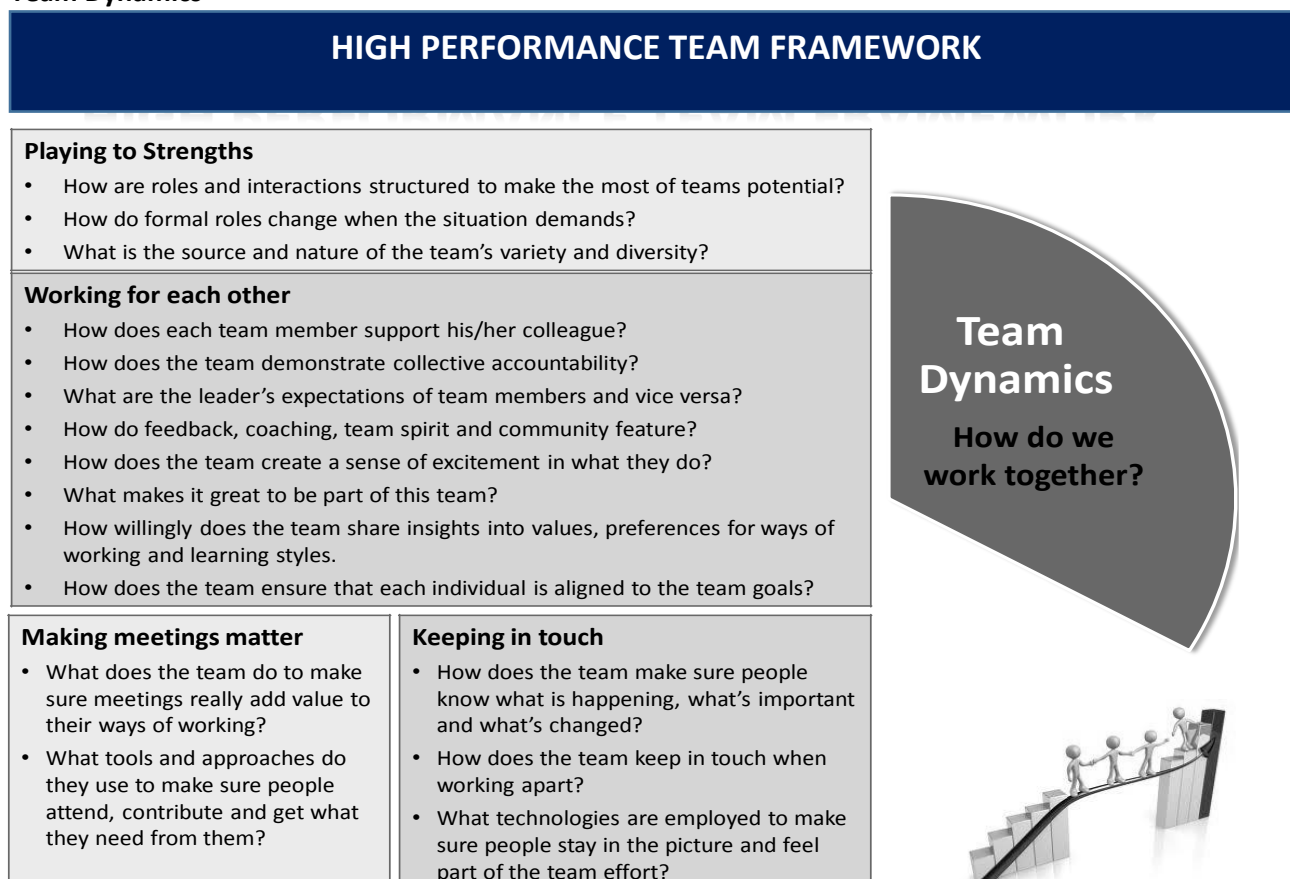
Based on a Coaching approach to Leadership and Team Development, this framework is structured around a series of questions that the team consider as they progress through their development programme. The first layer of high level questions are as follows:

Each of the three elements of the framework are then broken down into component parts as follows:

Team Purpose



Team Dynamics



HIGH PERFORMANCE TEAM FRAMEWORK

Managing the key relationships

- How does the team work with stakeholders inside and outside of the organisation to create and maintain positive relationships?
- What do they do to make it an inclusive process?

Building Reputation

- How does the team celebrate success and make sure the right people know?
- What does the team do to increase trust and believe in their ability?
- How do they balance pride and humility in their public relations?

Connecting with the Future

- How does the team focus on the future and constantly consider what it needs to do differently?
- How does the team incorporate new thinking into its own team agenda?
- How does innovation feature in the teams work?
- How does the team view the future of the team & its work?

Making Learning the Norm

- What does the team do to ensure individuals and the team as a whole is engaged in development and growth as they work?
- How does the team maintain competence and strive for excellence?
- How effectively is Performance Coaching utilised as a way of working.



SECTION 2: THE INDIVIDUAL: INDIVIDUAL PERFORMANCE CONVERSATION

Any effective performance culture is predicated on a culture of inspirational and motivational leadership. It is leaders who create the climate for people to perform whether that leadership comes from the most senior or most junior leaders in an organisation.

Performance ultimately is a behavioural matter not simply systems or processes (these are important supports dealt with in the other Elements of this tool kit).

The following model is based on the assumption that leaders within Councils have developed or are developing the confidence, competence and capability to have inspiring, supportive and edgy performance conversations. And, they have the mind-set that emphasises the behavioural/human factors of performance.

This model provides a frame for the full performance conversation between an individual and their manager. **A conversation that should be continuous throughout a year.**

Context is a critical factor in informing this conversation. This context is at:

- Council level: there is a clear Council wide Strategy and Corporate plan.
- Service Level: there is a clear Service Plan linked to the Corporate plan

- Team Level: there is a clear team plan linked to the Service and Corporate plan. One that the individual will have contributed to building.

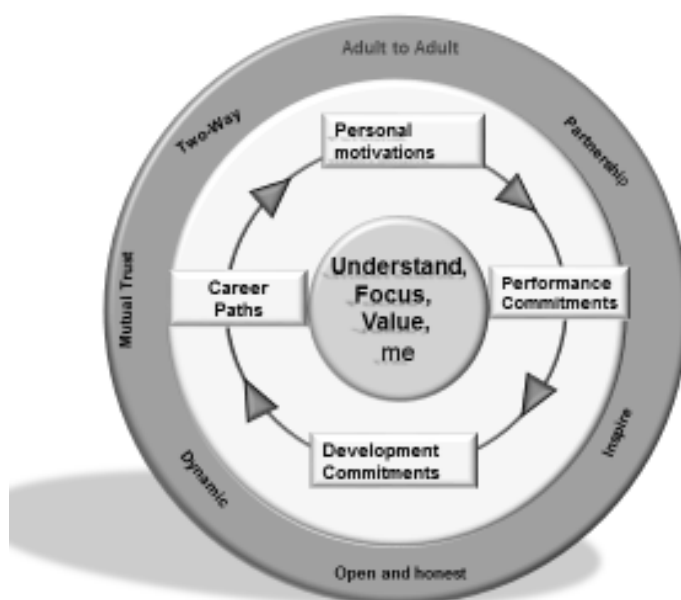
At the heart of the model and therefore the conversation is the individual. The focus is on a manager creating the conditions to develop a depth of understanding of the individual, focusing them on what is important based on the context above and providing inspiring feedback that demonstrates the individual is valued (even if that feedback is corrective in nature and is provided in a constructive, developmental way – see having the Courageous Conversation section of this tool kit).

Many Performance Management systems demand that a manager speaks to individuals formally once or twice per year and usually about personal objectives and training. This model is constructed around 4 related conversational areas as described. This places an extra focus for the Council and its Managers to be able to have the systems and policies that support the conversations.

The model is also based on the individual fully participating in the process and, within their comfort, giving of themselves so that the manager can get to know their motivations and aspirations and can support them in their performance and development

Additionally the model describes in the outer circle the conditions that create the best climate for highly effective performance conversations.

HIGH PERFORMANCE TEAM FRAMEWORK



- **Personal motivations**
 - what's important to me ?
 - What drives me in my life and work?
 - what's important for the organisation?
- **Performance Commitments**
 - What is the context of my performance - the organisations Commitments
 - What are my team commitments?
 - what am I going to achieve this year and what behaviour will be important?
- **Development Commitments**
 - what will I do to make sure I achieve my performance and future development goals?
 - What will my manager do to support me?
 - What will I do to achieve my life goals?
- **Career Paths**
 - What are my aspirations and possible next steps.

Underpinning this model for Performance is the focus on: an individual's strengths (not a skew towards their 'weaknesses'), the conversation and its link to building trust, and the context of Personal Vision. These are explained as follows:

Building on Strengths

Managers should:

- Understand what individuals are already very good at and focus and build on these strengths.
- Recognise a strength is a combination of an individual's talent, skills and knowledge.
- Recognise an individual's greatest room for growth is in the areas of their greatest strength.
- Balance the achievement of short term results with the sustained growth of the department / service
- Harness the energy and commitment of each individual to perform at their very best.

Managing the Conversation

Managers should:

- Establish understanding, trust and respect as the foundations of good relationships.
- Establish good relationships as the foundation of great performance.
- Hold regular conversations between with team members as an on-going process.
- Encourage the individual to suggest ways in which they can add value to the department ie suggest improvements to how things are done, take on new challenges etc.
- Encourage the individual to give their opinion on how they feel they are being managed.

Personal Vision

Managers should:

- Establish what is important to the individual support the individual to understand the department/council's vision and what is important for it.
- Create the conditions that enable the manager and individual to get to know each other on a different level, which in turn forms a better working relationship and trust.
- Help individuals understand their personal vision in terms of the Council's development and enable the individual to make choices around career etc.

SECTION 3: PRACTICAL STAGES IN IMPLEMENTING THE PERFORMANCE CONVERSATION

This section sets out practical steps that ensure the embedding of the performance conversation as part of the Councils Performance Management Culture.

Stage 1: Levels of Performance Conversations

There are a few interconnected formal and informal conversations that should be held throughout the year.

1. Senior Managers should meet formally collectively on a monthly basis with their own Management Teams to discuss how the Service is performing against the Service Plan objectives and their Balanced Scorecard KPI's
2. Managers should, as a result of 1 above, meet with their teams through the recognised team meeting process.
3. Managers should also meet with individuals, on a monthly basis informally, to have a conversation regarding how they are performing against their individual objectives as outlined in their performance management document.

This is the minimum required and suggested cascade of performance review each month. How it is designed will be in accordance with the structures of a Service/Division/team.

These meetings should not be viewed as onerous; more as an essential part of the ongoing conversation on how Service/Team/People are getting on.

Additionally it is important to consider that Individual performance management conversations should be based, not only on their performance within the department or team, in terms of achieving the Service/Team targets, but also their personal development and wellbeing. This again can only be achieved through regular discussions between the staff member and their respective line manager.

The focus of such discussions should include:

1. The individuals Job role and the associated requirements of their role within the team
2. Discussing or setting the objectives for the role based on the service plan and ultimately the corporate plan.
3. Identifying specific learning and development opportunities required to achieve the objectives/targets along with any appropriate training for career development. These should be based on the 70/20/10% model, whereby opportunities for development on the job or project work are identified first(70%), then consider opportunities for support through internal or external mentoring or coaching (20%); and finally, identify any relevant training / learning or study inputs that might be relevant and important (10%).

The learning construct in 3 above is an important pointer in considering the wider area of development and growth for the individual. It is based on research into adult learning in the workplace that tells us:

Most adults learn mostly by experiencing things – belonging to a project; acting up in responsibility; changing their role through job swaps or external secondments – this represents proportionately the 70% of learning.

Support such as mentoring and coaching are effective support interventions particularly when used within a greater programme of Learning activity- this represents proportionately 20%.

Formal classroom learning events as a standalone medium for learning and development are the least effective learning interventions. They are effective as part of a broader programme of learning held just in time with a clear plan for learning application – this represents proportionately the 10% of learning.

Most organisations put most or all of their emphasis and spend on the 10%.

It is recommended that under the Development Commitments the broader interpretation is adopted and taken as part of the implementation of this Performance Culture Tool Kit.

Underlying principles:

There are a number of critical components that create the right conditions in which to have powerful performance conversations.

- The strategic and operational context is in place and forms an integral part of the individual performance conversation.
- Managers are equipped to have motivational conversations with their teams and the individual team members; they have the right mind-set to do so and are accountable for doing so.
- The conditions are created in which the individual's motivations can be *Understood* and can influence the climate that enables the individual to perform at their best.
- The Individual is *Focused* on what is important for the organisation and for themselves developmentally.
- Individuals feel *Valued* and recognised for their effort and contribution
- There is *continuous dialogue* on performance providing a sense of support and engagement.
- In the round the relationship between the manager and each team member is open and enables trust to flourish.

These are the key components of the inspirational performance conversations that take Performance Management beyond any annual paper exercise.

STAGE 2: ACCOUNTABILITY FOR ACHIEVING OBJECTIVES

A key element of Managing Performance effectively is ensuring that accountabilities are clear and commitments to delivering on requirements have been discussed and agreed. The goal of all employees, regardless of status, in the Council is its performance and reputation. It therefore can be argued that the role of the Manager is to Partner with their team members to achieve objectives and optimise performance. In a Partnership relationship managers at times, can lead from the front, they can stand side by side with their team and at times can stand behind and support the team and the individuals. The key for managers is knowing when and how to flex their style. Continuous performance dialogue with their team members provides that opportunity and insight.

Individuals in the Partnership relationship must take greater responsibility to think and act proactively, seeking to understand the greater context for their role and performance. They need to have clear understanding and agreement to what they are accountable for and engage with the Performance conversation as something that helps and supports them and not something that is done onto them. In this context the tool kit introduces the concept of

Joint commitment is defined as:

- Joint commitments between the individual and manager that support the individual's performance and development.
- A focus on the key things the individual and manager commit to do to ensure objectives are achieved and also when each will do these.
- Supports for the individuals career and performance development.
- A joint aim to, maximise the strengths of the individual; build their capability and their contribution to team success.

STAGE 3: PUTTING THE PERFORMANCE DIALOGUE INTO PRACTICE

Performance Commitments

Within the context of the overall model, Performance Commitments enable the individual to understand specifically what they must focus on in the year ahead. They clarify and set clear expectations at the beginning of the year **'what'** has to be delivered and **'how'** it will be delivered in line with the overall strategic goals and corporate / business and service plans

'What' needs to be achieved?

- Objectives and key deliverables should have clear links to the service plan.
- These objectives should be agreed by the individual and relevant manager.
- They should focus on priority areas.
- Objectives should come in the form of targets, where you are looking for a quantifiable result or tasks related to a specific piece of work or project.
- Objectives should be defined in terms of being **SMARTER** i.e. be

- ✓ Specific
- ✓ Measureable
- ✓ Achievable
- ✓ Relevant to the individuals work?
- ✓ Time bound
- ✓ Extending and challenging
- ✓ Reviewable throughout the year

How this should be done?

Objective Setting conversations should also help:

- Define the key capabilities, competences and behaviours required to deliver the objectives.
- Share examples of best practice.
- Identify any gaps in current performance or capability.
- Identify any training or development needs required to achieve the agreed objectives and for future career opportunities in line with the 70/20/10 approach.

Objective Setting:**Definition of an Objective**

An objective is a statement which describes what an individual, team or organisation is hoping to achieve over a given time period.

Whilst objectives set out an individual, team or organisation's intent on what they will work towards achieving, they are should also complemented and accompanied by an individual or set of targets or tasks.

These targets can be used to benchmark whether the objective(s) is being achieved as intended and should take the form of being either directional (increase, maintain or decrease) or quantifiable in nature to communicate the degree of achievement in the delivery of the relevant objective(s).

Both objectives and associated targets provide a sense of direction, something to aim for and if properly set, will contribute towards achieving individual, team and organisational goals.

It is critical that objectives align to the overall goals and objectives of Council and progress against their delivery is monitored regularly.

The key to achieving overall goals and objectives and communicating on progress is to ensure the individual, team or organisational objectives are accurately developed. An effective way to set objectives is to follow the well-known acronym SMARTER in ensuring they're Specific, Measureable, Achievable, Realistic, Time-bound, Extending and Reviewed.

When writing objectives from an individual, team or organisational perspective always ask the following:

Specific

- Is it meaningful and clear and does it state the desired outcome?
- Does it avoid jargon, words and phrases which are misleading or ambiguous?

Measurable

- Will you be able to measure it, so you know when the objective has been or is being achieved?
- Can the measurement within the objective be obtained?

Achievable

- Is it achievable within the timeframe and resources available to you?
- Is it challenging and motivating?

Realistic

- Is the objective realistic and based on sound performance data from the past?
- Is the objective stretching and demanding but not so much so that there is little chance of success?
- Have you identified any potential obstacles and how these might be overcome?

Time-bound

- Does the objective have a deadline or date when the objective should be achieved or reviewed?
- Can the objective be accomplished within the timeframe?
- Should interim timeframes be included?

Extending

- Does it stretch and challenge and motivate you to improve performance?
- Does it go beyond what you have been doing and encourage some innovative thinking?

Reviewable

- Is there specific review times built in?
- Is there an opportunity to learn and evaluate?

Personal development is a systematic approach to continuously develop abilities and competencies to ensure that people have the necessary skills and knowledge to perform, progress or develop.

To address a development need effectively it is necessary to:

- Define what the desired result, for current role or career and set appropriate objectives
- Agree actions required to achieve these objectives.
- Define any gaps in current performance, capability or competence that may hinder achieving these objectives.
- Define specific activities, inputs and support required to close these gaps using the 70/20/10 approach.
- Evaluate development and review progress to determine if further action needs to be taken to achieve these.

STAGE 5: PERFORMANCE AND DEVELOPMENT REVIEWS

Reviewing personal development has three elements:

- **Regular informal meetings** - where managers discuss current work and development. Managers should offer feedback to recognise achievement and to encourage progress and identify any possible problems. This ensures by the time of the formal meetings there should be no surprises and obstacles have been addressed. Should priorities change and the need for new objectives arise these should be immediately recognised.
- **Formal reviews** - where the individual and manager discuss progress against the objectives set. This is an opportunity for the manager to give support, celebrate achievements and offer constructive feedback where more needs to be done. This formal meeting should take place at the set time within the performance management process.
- **An annual review** - where progress against the previous year's objectives are reviewed and rated and the new objectives for the year ahead are determined. This formal meeting should take place at the set time within the performance management process.

In every organisation the level of performance provided by organisation members forms the familiar bell-shaped curve.

- At one end of the curve there will be a small number of people whose performance is outstanding.
- At the other end will be another small number whose performance is unacceptable.
- In the middle will be the great majority of individuals, some of whom will be performing better than others, all of whom will fall between the two extremes of outstanding and unacceptable.

When thinking about managing performance, it is very easy to focus on under performance. However, managing good performance is equally important, and should not be overlooked.

If good performance indicators have been clearly identified and are realistic and attainable, then the identification of poor performance should be much more straightforward.

Recognising Good Performance

“Good Performance” can be recognised when:

- An individual has done something “above and beyond the call of duty.”
- An employee has significantly improved performance either after a development opportunity, coaching, a disciplinary transaction or by his/her own efforts.
- An employee has met all the organisation’s expectations consistently over a long period of time.

Since those in the third group are doing exactly what we expect, the need for recognition is often overlooked. The manager’s challenge is to find examples of good performance to recognise.

Guidelines for Effective Recognition

Based on best practice and research it is recommended that:

- Good performance is acknowledged often.
- Recognition is most influential when it rapidly follows the behaviour being reinforced.
- Recognition is most effective when it is directed to specific individuals rather than to teams or groups of employees.
- Recognition is most effective when it is tailored to the preferences of the individual. For example, some employees like to have their contributions made known to the group directly. Others prefer that their achievements be acknowledged privately.
- Minor achievements that contribute to the ultimate result are recognised. So don’t wait until a person has performed perfectly to provide recognition.
- Recognition needs to be proportionate to the performance. The sincerity and good sense of a manager who praises a minor contribution lavishly is questioned by the recipient and by others.

Recognition Tools

Our words are the most important tool we have to influence the performance of others. Simply telling someone that you have noticed and appreciated his/her good performance in one area of his/her job increases the probability that the good performance will continue.

Other tools/methods for recognising performance:

- Write a memo to the employee and put a copy in his/her personnel file.
- Write a quick thank you on a Post-It note and leave it on the employee’s desk.
- Write your boss a memo about what the employee is accomplishing and send a copy to the employee.
- Ask the employee’s advice about a business-related matter, such as how to reduce waste, how to improve customer service, how to reorganise the work flow when someone is out, etc.
- Give the employee flexi leave or an early finish time.
- Clip an article of interest from the newspaper and pass it along to the employee.

- Assign the employee to work on a desirable project.
- Introduce the employee to a visitor and explain to the visitor how the employee's work contributes to the success of the department.
- Nominate the employee for any organisational reward or recognition schemes.

Dealing with Poor Performance

As a Council you should endeavour to identify poor performance across all departments on both a team and individual level to help accomplish the council's goals and objectives.

Managing poor performance is about identifying when people or processes are not performing to the level expected, or delivering the results expected.

Any time there is a gap between what is required and what is being achieved there is a problem. Performance management processes should help identify when this is happening, what the root cause might be and to take action to solve the problem.

Once poor performance has been identified, there needs to be a system for managers to address the situation in a timely and proportionate manner.

Steps for Dealing With poor Performance

Step 1

- Poor performance management hinges on early intervention, usually in an informal manner.
- It is important that the problem is not allowed to grow and fester through managerial inactivity. In an initial meeting, it is important for a manager to identify the performance gap, and work with the employee to ascertain why the poor performance has arisen. In getting to the root cause it is important to identify if the problem is due to a lack of motivation or ability by the employee, or is it due to a lack of resources provided for the employee to do their job effectively or is the work process or procedure ineffective?
- It is important at this stage that the manager does not assume that the problem rests with the employee, but is open to other reasons for the poor performance.
- It is also important that if the employee offers reasons for the poor performance, that the answers are reflected back and the employee should help identify how these obstacles can be overcome.
- It is also important that the manager understands where the problem has arisen from, and can intervene with support such as additional training, support or resources if necessary.
- At the conclusion of this meeting, a way forward should be agreed with the employee, with clearly defined and easily understood targets for them to attain. If it is an employee issue then the employee's performance should continue to be monitored over an agreed period (normally 10-12 weeks).
- A review should be conducted at the end of this period, and the employee should be informed that they are either now performing to the desired level, or if necessary, informed that they are still performing poorly. If the employee is still performing poorly it would be necessary to proceed to the next stage of the process.

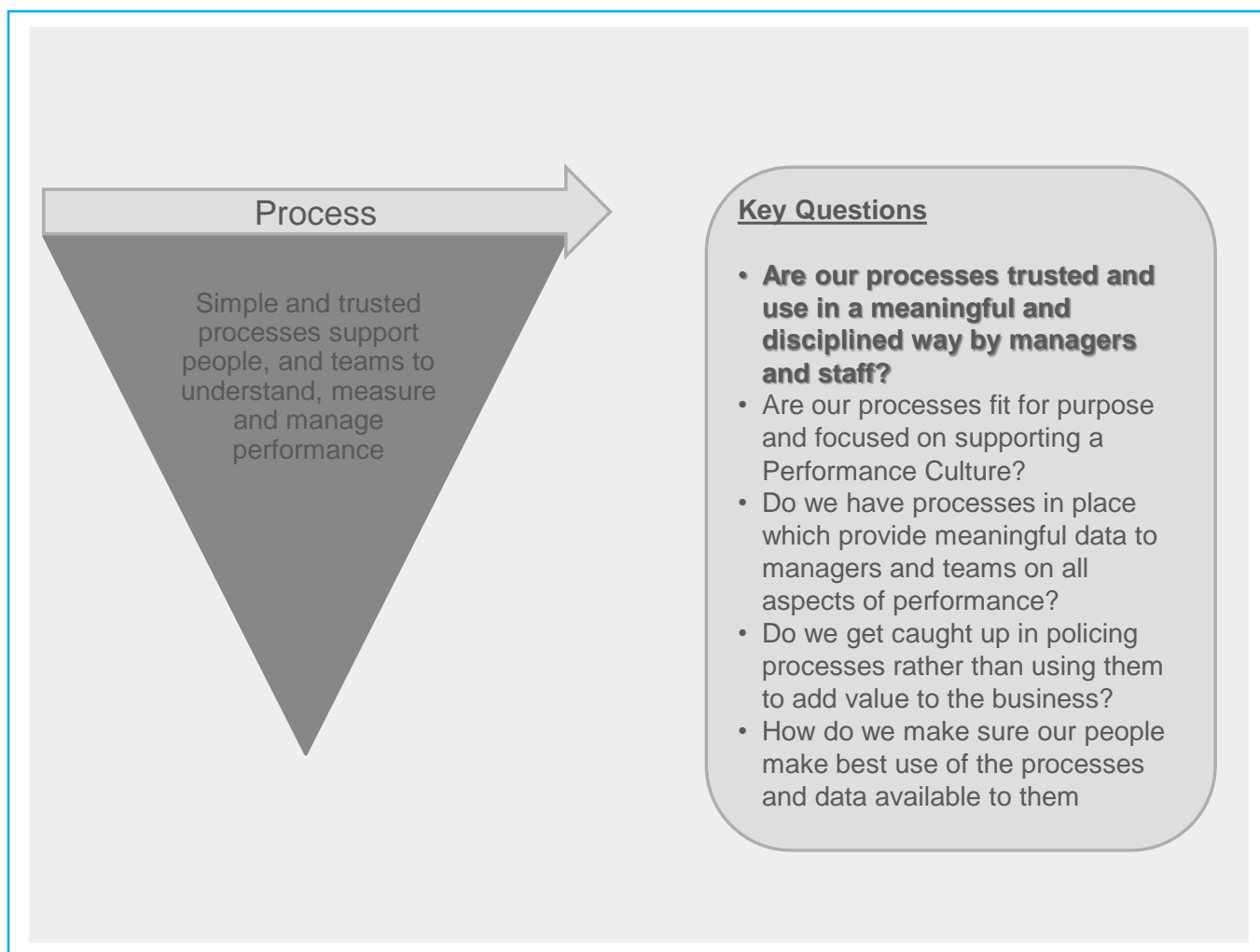
Step 2

This involves a more formalised meeting, and may include a member from HR in attendance. Following discussion, a Personal Improvement Plan (PIP) should be drawn up, with clearly identified targets set for the employee and any specifying any support required. Once again, a review period would be agreed, usually 10- 12 weeks again.

On the conclusion of this period a further meeting would take place again, if appropriate, with HR present. If the employee is now achieving satisfactory performance the matter can be completed. However, if the employee is still underperforming, the matter should be escalate to the Councils formal disciplinary process.

ELEMENT 3: PROCESS - DIAGNOSING THE REQUIRED CHANGE

- The Process Element of the Model can be described as follows:



Process Diagnostic Checklist:

The Chief Executive and senior management team will have completed the high level diagnostic checklist, identifying the key areas that need to be reviewed or developed. They will have created a report outlining the areas of **RED** **AMBER** & **GREEN**. This more in-depth checklist, below, will enable you as a project team to draw out the areas that have been identified in the **RED** category by your SMT and to be really clear on the what needs to be prioritised.

All of the questions in each section are linked to the checklist completed by the CE and the SMT. There are 5 questions on Process in the high-level diagnostic checklist, each one of these questions are directly linked and are numbered accordingly i.e. 1a. 1b etc.

Process Checklist	
Key requirements	Dashboard R / A / G
<p>Process</p> <p>1a. Our performance management processes are trusted, tested and adhered to by all managers</p> <p>1b. Staff see the value in the process and find it meaningful</p> <p>1c. Staff and managers are trained on how to use the process?</p> <p>2a. Our performance management processes are fit for purpose, and easy to access and use?</p> <p>2b. Our performance management process is clearly aligned to the corporate plan</p> <p>2c. The process is flexible enough to be used and embedded across the organization</p> <p>3a. There are information processes in place, that can be drawn upon to provide meaningful data to managers on organisational, team and individual performance</p> <p>3b. The performance management process reflects the “what” is expected to be delivered and the “how”, we should behave in delivering our objectives</p> <p>3c. The performance management process includes personal development requirements, career aspirations and the opportunity to address these?</p> <p>4a. Our performance management process adds value to our citizens by improving service delivery</p> <p>4b Our process supports continuous improvement and the reduction of bureaucracy</p> <p>4c. The organisation uses the performance management process to track overall organisational performance</p> <p>5a. The performance management process is used as the means to communicate, deliver and track performance on the corporate plan</p> <p>5b. The process is reviewed and monitored</p> <p>5c. We take feedback on how the process could be improved and this is acted upon</p>	

Once you have identified the specific areas in **RED**, the following sections will take you through how to implement Best practice, there are also some tools and techniques that you can draw on and case studies, where other Councils have experience in implementing the People aspects of the Performance model.

ELEMENT CONTENT

This Element sets out the Toolkit guidance in the following sections:

Section 1: The Performance Management Process

Stage 1. Establishing a Process Design Team

Stage 2. Designing the Process

Section 2: Rating and Calibrating Performance

Building Options for Change

SECTION 1: THE PERFORMANCE MANAGEMENT PROCESS

STAGE 1 Establishing a Process Design Team

The establishment of a process design team will very much depend on the SMT analysis that prioritises the Council's needs. It is assumed that the results of this analysis have categorically concluded that the People element and cultural elements are of a high level and it is the process that needs reviewed. Before a Process Design Team is established it is recommended that there is agreement and clarity on the other aspects of the model. If so then establishing a team is the first step in developing a fit for purpose Performance Management process.

Underlying Principles

There are some key principles that the Process Design Team should be set up to address

- No involvement = No commitment
- Staff need to trust and value the process
- The process facilitates a great performance conversation.
- The process is driven by the conversation and not vice versa
- The process design and associated documentation is as simple as possible
- The process is primarily owned by the individual and not the manager.
- The process must be fit for purpose
- The process needs to be flexible enough to be useable in every department
- The process must be aligned to achieving the overall strategic goals and corporate objectives of the organisation in terms of meeting citizens needs
- The process must provide for the alignment of performance goals from Strategy to the individual staff member.
- The process will need to define for all levels what is expected of them in terms of results **and** behaviours
- The Process should contribute to the overall continuous improvement processes in the Council

Team Roles

In keeping with best practice it is recommended that the Process Design team has an overall Champion/Sponsor at Director Level, a subject matter expert business partner from HR and a line manager Project Manager. The team should represent as much as possible of the service lines and grades that the process will apply to.

In the Tool kit: Project management Guidance there is general guidance on establishing, planning and implementing projects. However, the Performance Management Process Design team may need further guidance as Follows.

Establishing the Process Design Teams Scope

Depending on how far advanced the current Performance Management process is within your own Council some or all of the following guidance may be relevant. However, the design team should be clear from the start what the scope and outputs of a new or revised Process should be.

Where to Start?

Whilst not all Councils will need to start from scratch it may be worth considering that the initial Process design team are in a unique position at this stage in the New Clusters development to design and implement a comprehensive Performance Management Process that will be aligned to the Corporate Plans and Values of the New Council.

Consultation

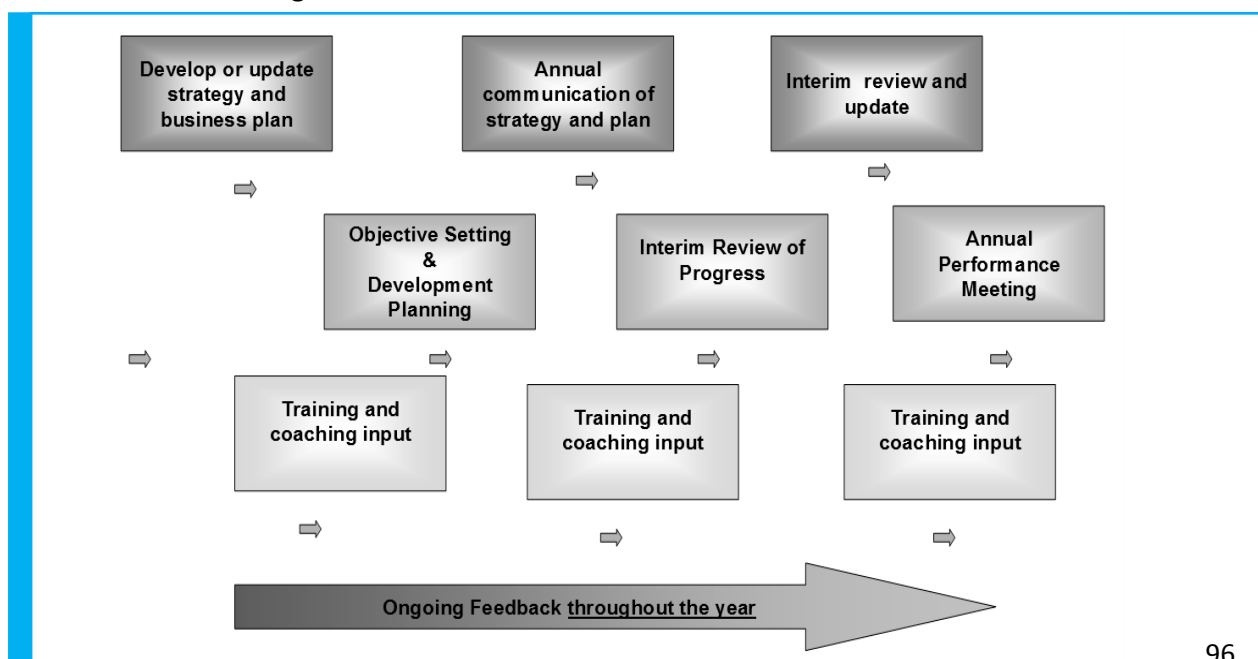
As part of the design process we would recommend that the design team consults with a range of staff and managers on their experience of previous Performance Management Processes and what they would like to get from a new one. This could be done by survey or focus groups or a combination of both. This will also add to the sense of ownership and involvement from the very beginning. It can also be used as a way of ensuring that managers and staff can be challenged during implementation as they have been consulted on the purpose, outputs and design of the process.

STAGE 2: Making Change Happen

Designing the Process

Whilst there is likely to be unique features within individual Councils on what the final process will look like, it is likely that if based on best practice the process will consist of the following key elements.

A. Align the Performance Management Process to the overall Organisations Corporate / Business Planning Process

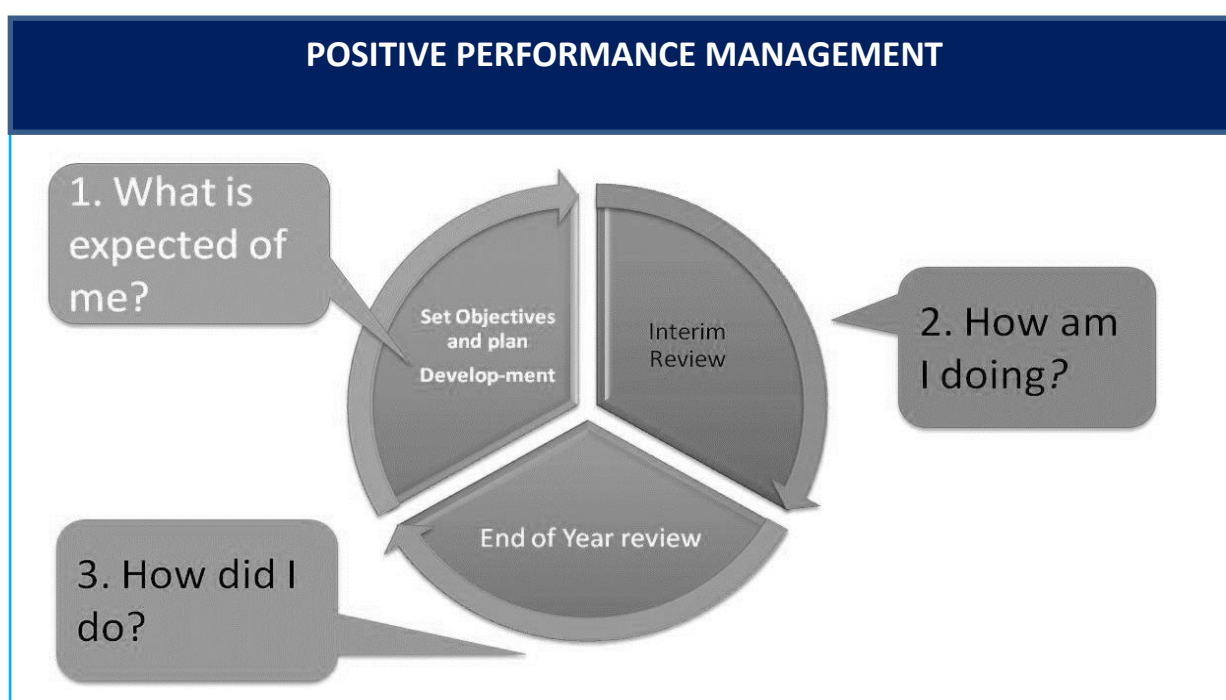


Establish Links to Corporate Metrics

Managers should brief all team members on the overall corporate goals and plans and involve the team in planning and agreeing how they will be met. If a Corporate Scorecard has been established it will be important, in the long term, that Departments and then teams and ultimately individuals are able to establish their own scorecards that are aligned to this. However, developing and implementing a Balanced Scorecard can take time and should not be used as a reason for delaying discussions with employees on what is expected of them.

B. Follow the Five Steps for Effective Performance Management

The core purpose of a Performance Management Process should aim to clarify three key questions for every manager and employee.



Step 1 Establish Role Purpose and Accountabilities

Each manager should meet with each employee to discuss and agree the overall purpose of their role, how it adds value, and identify no more than five core areas of accountability for the role. Guidance for this conversation should be created for managers and employees and a document for capturing what is agreed should be developed and utilised. Section 3 contains some samples of similar documents and guidelines.

Step 2 Establish and Agree the Expectations for the Role

The manager should discuss and agree with each employee WHAT needs to be delivered or accomplished that year and when it needs to be accomplished. Managers and employees also need to agree HOW the objectives will be achieved, what resources and time frames might be required and how success will be measured. These should be captured as a number of SMARTER objectives

for each individual and recorded in simple formatted forms as part of the Objective Setting Stage of the process. See later for examples.

Step 3 Development Planning

- **Individual Development Plans**

As part of establishing expectations it is also vital that managers discuss and agree with employees what development needs and commitments can be made during this year. This can be set in the context of the employee's career aspirations, the organisation's requirements and employees' current levels of knowledge, skills, competence and behaviours. Guidance on Development conversations and planning can be found in the people section pages.

The outputs and detailed plans for addressing the employee's development priorities should also be recorded in a simple form as part of the objective setting stage of the process.

- **Organisational Development Plans**

The Individual Development Plans agreed for each employee can also be used by managers, HR and the overall organisation to prioritise development activities, programmes and expenditure and ensure that these are aligned to the overall Corporate Goals and Objectives of the Council.

Step 4 Progress Reviews

- **On Going Conversations – (see People Element for detail)**

Managers should be continuously monitoring performance and giving teams and individual's feedback on how they are progressing. Good and Poor performance should be recognised and addressed on time and not left to a formal interim or annual review. (Guidance on Informal Performance Conversations and Recognition are given in the people section pages)

Managers should be trained on Performance Conversations and Giving Feedback and evaluated on how effectively they are doing this as part of their own performance and development objectives.

- **Interim Reviews**

Managers should meet at least half way through the year if not quarterly to formally review individual's performance and contributions. When implementing a new process this may highlight the need to revise or reset objectives or acknowledge changes in roles or priorities. It is also a good time to discuss how the employees' overall performance may be rated by the end of the year and realign them to their development and operational objectives.

Simplified and user friendly documentation to record the outputs from these reviews should be created along with guidance notes for managers and employees.

Just in Time

As with the introduction of Steps 1 to 3 managers and staff should be supported, trained and provided with guidance and coaching on this stage just before it is required as this is likely to be more effective and will build focus and confidence ahead of the formal reviews.

Step 5 Final Review of Accomplishments

Managers and employees should be trained / briefed, just in time, to conduct the final reviews. This is the opportunity to review the employee's whole year of performance and acknowledge.

- Operational and Developmental Accomplishments
 - What was achieved
 - How these were achieved
 - What impact these have had
- Learning and Insights
 - What can be learned from this
 - What might need to be changed
 - What worked and what didn't
 - What circumstances impacted on performance
- Overall Rating of Performance
 - What rating scale will be used
 - How will operational and developmental performance be linked
 - How this will impact on future career, pay, development, talent or succession planning
- Next Year's Goals
 - How will outputs from this review effect priorities and objectives for next year
 - Are there any other organisational or personal factors that we need to take account of

SECTION 2: RATING AND CALIBRATING PERFORMANCE

There is a degree of controversy over the concept of assessment, ratings and calibration. It is the next natural step in the process of Performance Management and is integral to the creation of a performance culture.

Based on the idea that not all employees are equal therefore to treat them as equal is unfair and does not help the individual and the organisation recognise the best and deal with the worst. It would be a new approach for local government and one that this tool kit provides only guidance on. It is not one to be rushed into until there was trust in the process; trust in the assessment system; trust that managers have confidence in the Performance conversation, managing their teams effectively and apply the ratings in a consistent manner, trust that the right motives are in place throughout the system.

The following should be considered carefully when introducing a rating element to the Performance management process:

Concerns

One of the most contentious areas for Performance Management processes is the whole issue of rating individual's performance. Some concerns include:

- Potential subjectivity in managers ratings of individuals
- The risk of favouritism
- Potential inconsistencies between managers in or across departments
- Lack of clarity on what each rating means
- The assumption that there will be a normal distribution of performance across the organisation and this will be equally spread across individual departments or teams
- Reducing an individual's contribution to a number
- How the ratings will be used

Rating Performance

A lot of research has been carried out on rating performance and ensuring that ratings reflect an evaluation of both what has been accomplished and how it was accomplished.

Some research recommends defining each scale item in detail after consulting with a range of managers on what, for example, GOOD, POOR, OUTSTANDING, ADEQUATE OR SATISFACTORY performance looks like. Once agreed all managers should be trained and given guidance notes on these scales and a system of signing and counter signing is implemented to monitor for inconsistencies and skewed ratings in particular teams.

Others favour numbered rating scales to remove subjective interpretations of the scales and to make it easier to compare "scores" across teams and departments.

There are arguments for and against using 3 part, four part, five part or even seven part scales but there needs to be some criteria applied to whatever scale the organisation ultimately uses.

Rating Scales should be seen to be:

- Objective
- Consistently applied
- Unambiguous
- Clearly defined
- Valid
- Practical
- Relevant
- Fair
- Comparable across the organisation

You may have to try a scale out and be prepared to review and revise it as part of the ongoing continuous improvement Process Design. However, to make a start it may be worth considering a relatively simple version such as these three examples below.

Simplified Rating Scales

1. Rating Quantifiable Goals:

Use a simple, three-part scale for rating quantifiable goals:

- Did not meet goal
- Met goal
- Exceeded goal

2. Objective-Based Rating Scale

Instead of beating around the bush, make it black and white.

Goal Achieved:	All milestones and success measures have been achieved
Active Goal:	The goal is still in progress, some milestones may have been achieved
Goal Not Met:	Timeframe for Goal has been met; however, some or all milestones and success measures have not been met
Goal Deferred:	For timing or business reasons, this goal has been deferred

3. Rating Behavioural Factors:

A frequency or observability scale may be preferable in rating behavioural factors since behaviours are more complex and more difficult to quantify. For example:

Consistently Observed	This competency is observed on a constant basis; everyone in contact with this person would observe excellence in this area
Observed	This competency is observed, please continue to focus on it so that it is observed constantly without exception
Observed Sometimes	The competency is observed on an infrequent basis, there is a clear development opportunity here
Seldom Observed	Needs Immediate Improvement

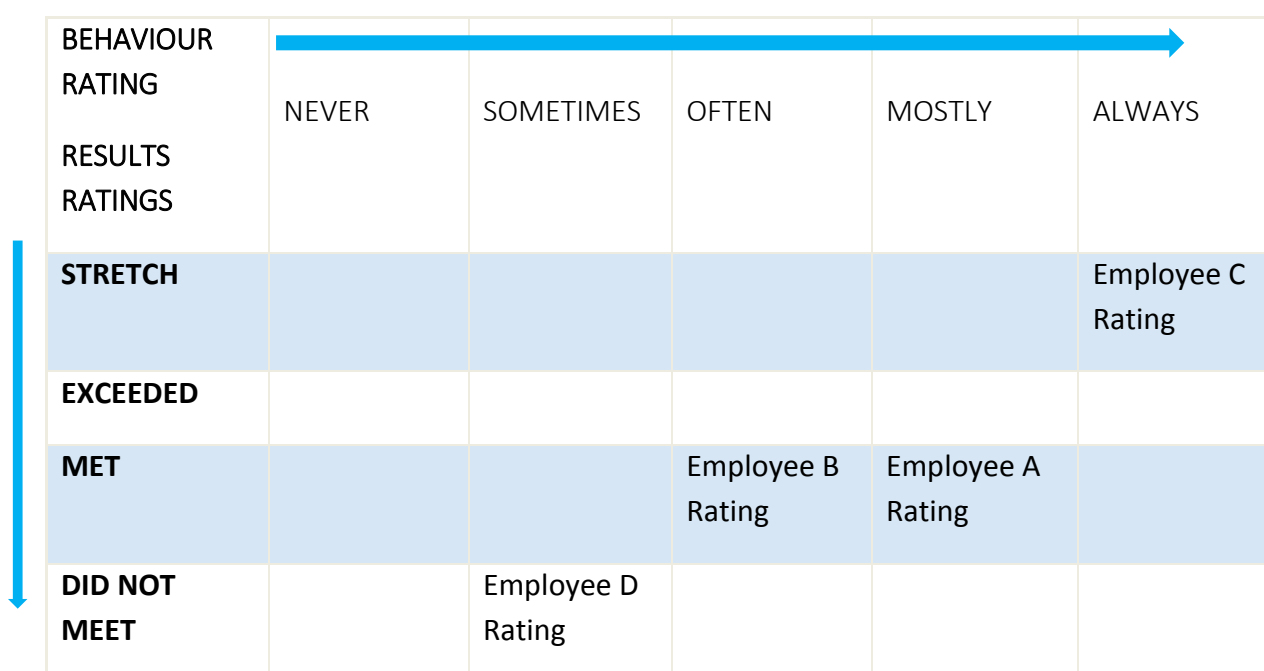
What matters most here is that this scale lends itself to BOTH employee and manager understanding.

Calibrating Performance

Many organisations now see the importance of rating not only WHAT an employee has achieved but also HOW they achieved this and therefore see the need to capture this in how overall performance is rated.

One way to do this is for managers to rate both elements separately then to discuss and agree an overall rating with the employee that would reflect the balance of performance across the two factors. Again an issue is with how this can be quantified or expressed in words. One solution is to represent this overall rating visually.

For example:



BEHAVIOUR RATING	NEVER	SOMETIMES	OFTEN	MOSTLY	ALWAYS
RESULTS RATINGS					
STRETCH					Employee C Rating
EXCEEDED					
MET			Employee B Rating	Employee A Rating	
DID NOT MEET		Employee D Rating			

The advantage of this approach is illustrated between Employee A and Employee D. Employee A meets stretch objectives and always demonstrates the expected behaviours. On the face of it the Council could stop here and not look more deeply at A. Whilst there is no doubt that A is a 'Top Talent' relative to their peers, it is worth spending time with and on A to determine are they underemployed can they be provided with even greater stretch?; are they ready for a move? Should they be on a Succession plan and their development tailored accordingly? This bridges the gap between performance and Talent Management and should be considered as an important step up in the area of People management in the Council.

Employee D is the lowest performing employee in this group. Again D should be looked at initially from a developmental perspective – does he/she have the skills and knowledge to do the job well? Do they understand the behavioural expectations and what support is in place to build their confidence and capability? Only when these things are considered with D and no satisfactory response is in place from D should the Council then move to a Performance Improvement Plan – PIP – see people element section which then becomes the first stage of the Councils Disciplinary process.

Comparing Ratings

One advantage of the example above, is that it can also be used for comparing employee's performance, and be used for calibration/verification meetings, commonly known as Peer Group Review meetings, between managers when evaluating ratings across teams or departments.

Some organisations also use similar systems for differentiating in terms of employee rewards, succession planning and talent development programming.

Stage 3 Implementing and Monitoring the Process

The **Process Design Team** are accountable for the implementation, monitoring, review and continuous improvement of this process.

Following best practice for continuous improvement they should follow the PDCA principles.

Plan – As part of the initial design process the team should plan to:

- Consult, draft and finalise each step of the process
- Launch each step with relevant training, briefings, guidance notes and documents design the steps

Do – We recommend that Steps 1 to 3 are implemented first with the relevant Just in Time training and this stage is reviewed by the Design Team.

Check – The Process Design Team should elicit feedback on the process, training, notes and implementation from a range of managers and employees immediately after that stage has been implemented.

Adjust – Based on the feedback any amendments should be made to the process, guidance and documents and everyone briefed on these changes. This should be recorded as the new Standard Procedure.

Stage 4 Continuous Improvement

Like any process the Performance Management Process should be seen as a dynamic and flexible way of working that focuses on optimising the delivery of the Council's Corporate Objectives. Regular reviews and adjustments should be built into the management of this process to ensure it is continuously being improved and aligned to the strategic and corporate goals of the organisation.

Linking Performance Management to other Organisational Processes

For a Performance Management process to have real impact on the overall organisations performance it is vital that there are clear links to other core processes in the organisation.

Common Criticisms

Common criticisms of Performance Management Processes include:

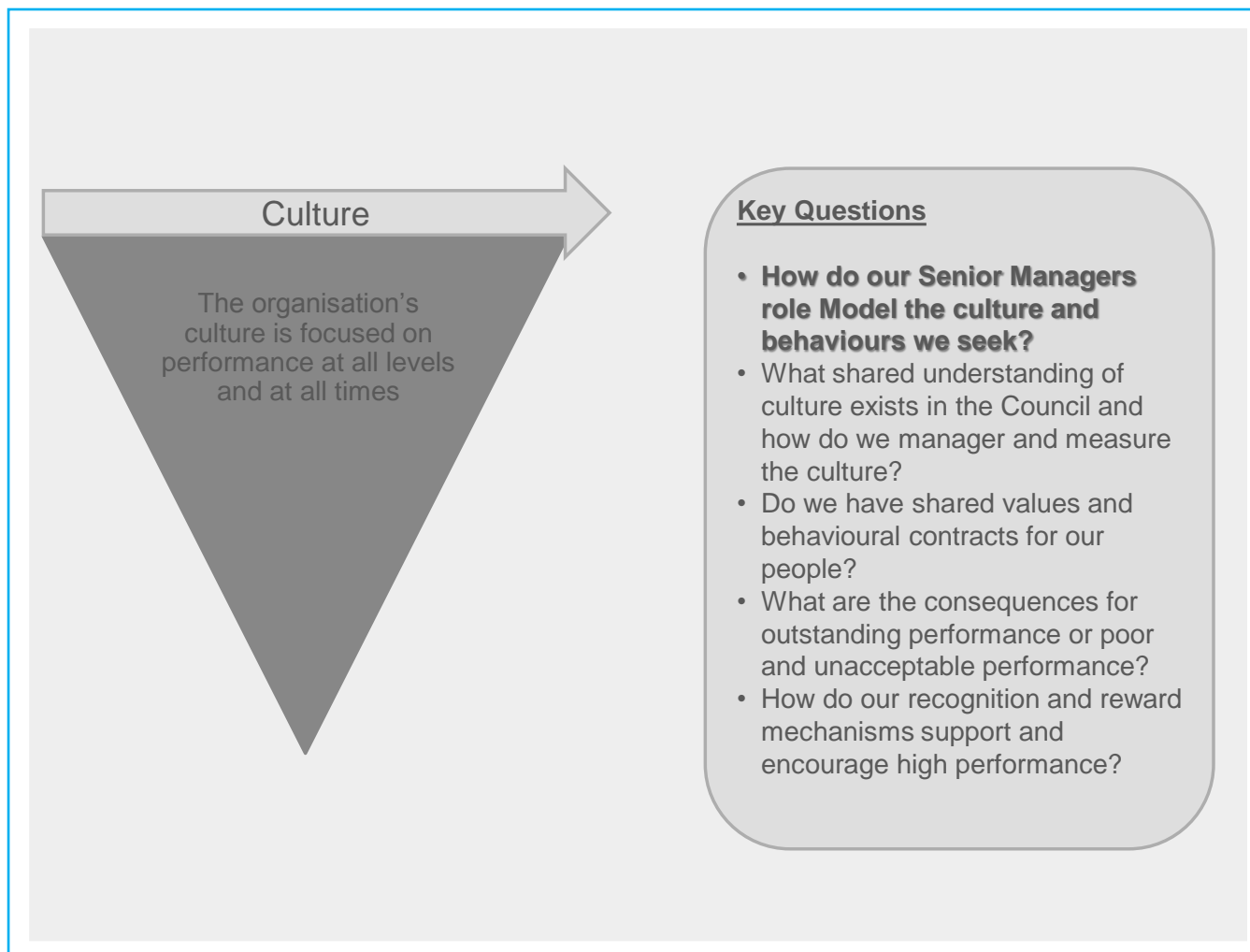
- Employees do not see tangible links to their day jobs
- Managers and employees see it as a paper exercise policed by HR and does not have any real impact on their performance
- Managers see it as a distraction, rather than the core process for ensuring that their teams deliver on the corporate goals and priorities
- There is no real consequence if managers do not implement the process
- There is no real linkage to how people are managed, developed, rewarded or promoted
- Information on performance metrics are too cumbersome or difficult to relate to individuals or teams contributions
- Circumstances are so changeable it is difficult to set longer term objectives
- Poor performance is not managed effectively anyway
- Public Sector terms and Conditions make it too difficult to address poor performance or recognise and reward good performance

Unless the Performance Management Process is aligned to the overall HR, Management and Business Performance processes in the Council then it is likely that many of these criticisms will still apply.

Using this tool kit will mitigate against these criticisms and will support the proper adoption of best practice in creating a Performance Culture.

ELEMENT 4: CULTURE - DIAGNOSING THE REQUIRED CHANGE

The Culture Element of the Model can be described as follows:



Culture Diagnostic Checklist:

The Chief Executive and senior management team will have completed the high level diagnostic checklist, identifying the key areas that need to be reviewed or developed. They will have created a report outlining the areas of **RED** **AMBER** & **GREEN**. This more in-depth checklist, below, will enable you as a project team to draw out the areas that have been identified in the **RED** category by your SMT and to be really clear on the what needs to be prioritised.

All of the questions in each section are linked to the checklist completed by the CE and the SMT. There are 5 questions on Culture in the high-level diagnostic checklist, each one of these questions are directly linked and are numbered accordingly i.e. 1a. 1b etc.

Culture Checklist	
Key requirements	Dashboard R / A / G
<p>Culture</p> <p>1. Shared Understanding of a Performance Culture</p> <p>1a. We have a shared agreement on how we define organisational culture 1b. We have a shared agreement on the desired culture we are striving for 1c. We have a clear understanding of where we are now and how far we have to go</p> <p>2. Measuring the Culture</p> <p>2a. We have a set of clearly defined metrics in place to track and manage our culture 2b. These metrics are focused on enhancing the culture to improve overall organisational performance 2c. we have plans in place to review progress and adapt plans where necessary</p> <p>3. Performance Culture, Values and Behaviours</p> <p>3a. We have clear linkages between our core values, management practices, and performance and culture metrics 3b. all staff see a clear link between individual behaviours and organisation performance 3c. There are clear processes for managing, recognising, rewarding and developing performance and dealing with poor performance</p> <p>4. Leadership Culture and Performance</p> <p>4a. We have a clearly defined Leadership Brand, Values and behaviours 4b. Managers role model these values and behaviours 4c. Leaders communicate and develop the desired values and behaviours consistently</p>	

Once you have identified the specific areas in **RED**, the following sections will take you through how to implement Best practice, there are also some tools and techniques that you can draw on and case studies, where other Councils have experience in implementing aspects of the Culture Elements of the Model.

Element Content

This Element sets out the Toolkit guidance in the following sections:

Section 1: Creating and Embedding a Performance Culture

Stage 1: Establishing a Performance Culture Team

Stage 2: Defining the Desired Culture

Stage 3: Aligning Values, behaviours and Leadership to the Culture

Building Options for Change

SECTION1: CREATING AND EMBEDDING A PERFORMANCE CULTURE

Stage 1 Establishing a Performance Culture Team

Underlying Principles

There are some key principles that a Performance Culture team should be set up to address

- No involvement = No commitment
- Staff need to trust and value the process
- Every team and individual should see Performance Management as positive, motivational and helpful.

Team Roles

It is therefore recommended that the **Performance Design** team has an overall Champion at CEO or Director Level, a Project Manager and a team representative as much as possible of the service lines and grades.

In Appendix X Project management Guidance there is general guidance on establishing, planning and implementing projects. However, the Performance Culture Team may need further guidance as follows.

Establishing the Performance Culture Teams Scope

Depending on how far advanced the current Performance Culture has been defined, measured and embedded within the New Council, some or all of the following guidance may be relevant. However, the team should be clear from the start what the scope and outputs of a new or revised Performance Culture should be.

Underlying Principles of an Effective Performance Culture

- There must be clear links between organisational culture and organisational performance
- Culture metrics should be anchored in measurable behaviours that reflect the assumptions, beliefs, vision and values of the organisation
- Improvements in Cultural metrics should have a direct correlation with improvements in performance
- Leadership behaviours and management practices must be aligned to creating and embedding the desired culture **and** delivering results
- There should be clear linkages to individuals results and behaviours and how their performance is recognised, rewarded, developed and addressed.

Where to Start?

Whilst not all Councils will need to start from scratch it may be worth considering that the initial team are in a unique position at this stage in the New Clusters development to design and

implement a comprehensive Performance Culture that will be aligned to the Corporate Plans and Values of the New Council.

Stage 2 Making Change Happen

Defining the Desired Culture

Underlying Principles

- The organisation should have a clear Mission in terms of Vision, Strategic direction and intent, and goals and objectives
- This should be reflected in a set of agreed core values and behaviours linked to delivering this mission
- Managers and Staff must be empowered and developed to deliver this mission and held accountable for this
- The culture encourage adaptability, learning and openness to changes in customer requirements.

Research on Organisation Culture and Performance

Whilst there are a wide range of models for aligning culture to performance in organisations some are more clearly linked to having a direct impact on organisational performance. One such model is the Denison Culture Model which over years has demonstrate a direct correlation between cultural metrics and organisational performance metrics across a wide range of sectors. However, we recommend that the Performance Culture Team research and selects a model that will reflect the aspirations of the New Council and have a direct link to improving performance.

Consultation

As part of the development process, we would recommend that the Performance Culture team consults and involves a range of staff and managers on their experience of previous Cultures and what they would like to get from a new one. This could be done by survey or focus groups or a combination of both. This will also add to the sense of ownership and involvement from the very beginning. It can also be used as a way of ensuring that managers and staff can be challenged during implementation as they have been consulted on the purpose, outputs and design of the process.

Selecting Culture Performance Metrics

We recommend that the Performance Culture Team works to establish a set baseline culture metrics either through a formal survey, focus groups or agreed reviews with a range of stakeholders. The objective is to highlight areas of strength, prioritise areas for action, and set improvement targets in specific areas, with the confidence that improving in these, will improve overall organisational performance.

- **Suggested Performance Culture Factors**

These factors are based on the Denison Model and some, or all of them, may apply to the new Council. However, it is important to note, that other models may be equally as valid. It is also important to note, that a new organisation has to prioritise activity in a small number of Cultural

factors, rather than striving for excellence in all 12. The team should strive to get agreement on what elements will be prioritised for action in the short, medium and longer term.

- **Mission – “Do we know where we are going?”**

A definition of the long term direction, and aspirations of the Council.

Factors to measure and target could include how well defined and clearly communicated are

- I. **The Strategic Direction and Intent of the Council**
- II. **The Councils Goals and Objectives**
- III. **The Councils Vision**

- **Involvement – “Are our people aligned and engaged?”**

These metrics focus on evaluating how well the Council build human capability, ownership for performance and responsibility.

The key factors to measure or target could be how effective we are or need to be in

- I. **Empowerment**
- II. **Team Working**
- III. **Developing Capability**

- **Adaptability – “Are we listening to our citizens and key stake-holders?”**

These metrics focus on how effective is the Council at translating citizens and other stake-holders demands into action.

The key factors to measure and track could be how effective the Council is at

- I. **Creating and delivering change**
- II. **Focusing on Customers**
- III. **Organisational Learning**

- **Consistency – “Does our Performance Management System create and support the desired culture?”**

These metrics focus on how well the Performance Process leverages and improves the overall Organisational Culture and Performance.

The factors to measure and track could be how effective the Council is at

- I. **Embedding Core Values and behaviours**
- II. **Achieving Agreement on Priorities and Objectives**
- III. **Coordinating and integrating values and behaviours into how performance is managed**

Stage 3 Aligning Values, Behaviours and Leadership to the Culture

Assuming that the overall Vision, Direction, Goals and Objectives of the Council has been defined and agreed, it is vital that as soon as possible a core set of values and behaviours are aligned to these.

The Leadership Challenge

The New Councils will all face the challenge of integrating a diverse range of people, functions, practices and cultures. Everyone will have their own way of working and potentially have different values, habits and leadership styles that have worked in their own area.

It will be important that leaders agree and communicate that the new council will only be successful in delivering services through having capable, ethical, service oriented and accountable staff who share the same values and behaviours and focus on the council's performance.

To achieve this Senior Managers must work together to agree a Leadership Brand for the Organisation and a set of core values and behaviours that they will hold each other and staff accountable for demonstrating.

The Vision, Values and Behaviours will become the cornerstone of building a Performance Culture in the organisation.

Whilst there are many approaches to creating vision, values and behaviours there are some key steps common to all. Some of the steps outlined below, flow from the excellent work and research conducted by ie/se, which focused on developing a specific toolkit in the context of the NI Local Government reform Programme.

Step 1 Create a Vision

It is important that once the senior leadership team has been appointed, that they work together with elected members to create an agreed vision for the Council. In the first instance this team should work to:

Understand the Current and Desired Future State

- What are the Councils Priorities
- What are they required to deliver
- What financial and resource constraints are in place
- What are the Councils unique capability, geographical and asset features
- Where do we want to be
- How do we want to be seen by our citizens and other stakeholders
- How do we want to be seen by our current and potential future employees
- What kind of culture do we want
- What kind of performance standards do we want

Develop the Vision Statement

- Test this with members, staff, other stakeholders
- Be prepared to cut, edit, and amend the draft this
- Test against the key questions above
- Redraft the statement and get a single person or small team “wordsmith” it
- Test with focus groups to assess how inspirational, motivational, clear, memorable and concise it is

Communicate and Embed the Vision

- Develop a Communications plan to disseminate and reinforce the Vision
- Link the vision to future scorecards
- Refer to the vision in all performance and team discussions
- Put the Vision at the centre of the Performance Management Process
- Use the Vision to define Values and Behaviours

Step 2 Create Core Values

Underlying Principles

- Less is More
- Values should determine how we behave
- Values should reflect what is important to the Council and those who benefit from it
- Values should differentiate you from other organisations
- Values are long term but Strategies can change

Drafting and Agreeing the Core Values

We recommend you conduct large facilitated group session to generate, test and agree a core set of potential values, then test and refine these in focus groups before developing a communication plan for the final set of core values.

There are many examples of potential values and it may help to create a set of cards with initial Value Words to help facilitate the selection of a “Short List” of core values.

These should then be tested against the vision and strategic direction of the council and reduced to a core set of no more than 5 or 6.

Translating Values to Behaviours

Having agreed the core it is important to define what these values would look like in terms of behaviours for different levels of management and staff.

Initially it may be relevant to define a Leadership Brand and Leadership Behaviours for Senior Managers and build this into their Performance Metrics as part of developing the New Performance Culture. Having agreed the behaviours, ultimately, these should be communicated to all staff and reinforced by integrating them onto the Council’s Performance Management Process.

(See elements 2 and 3 for guidance on this)

Embedding the Values

It is critical that a Communication Plan for disseminating the values and reinforcing them is implemented. However, communicating the values is only part of embedding them. A number of other factors will have to be in place to ensure they are embedded into the Culture of the New Council.

- Leaders should be held accountable for modelling the values
- Behaviours associated with the values should be built into everyone's Performance Expectations and Reviews
- Positive examples of where the behaviours have been observed should be highlighted and where feasible, rewarded
- Inconsistencies or non-adherence to the values should be addressed promptly and consistently.

The Performance Culture Journey

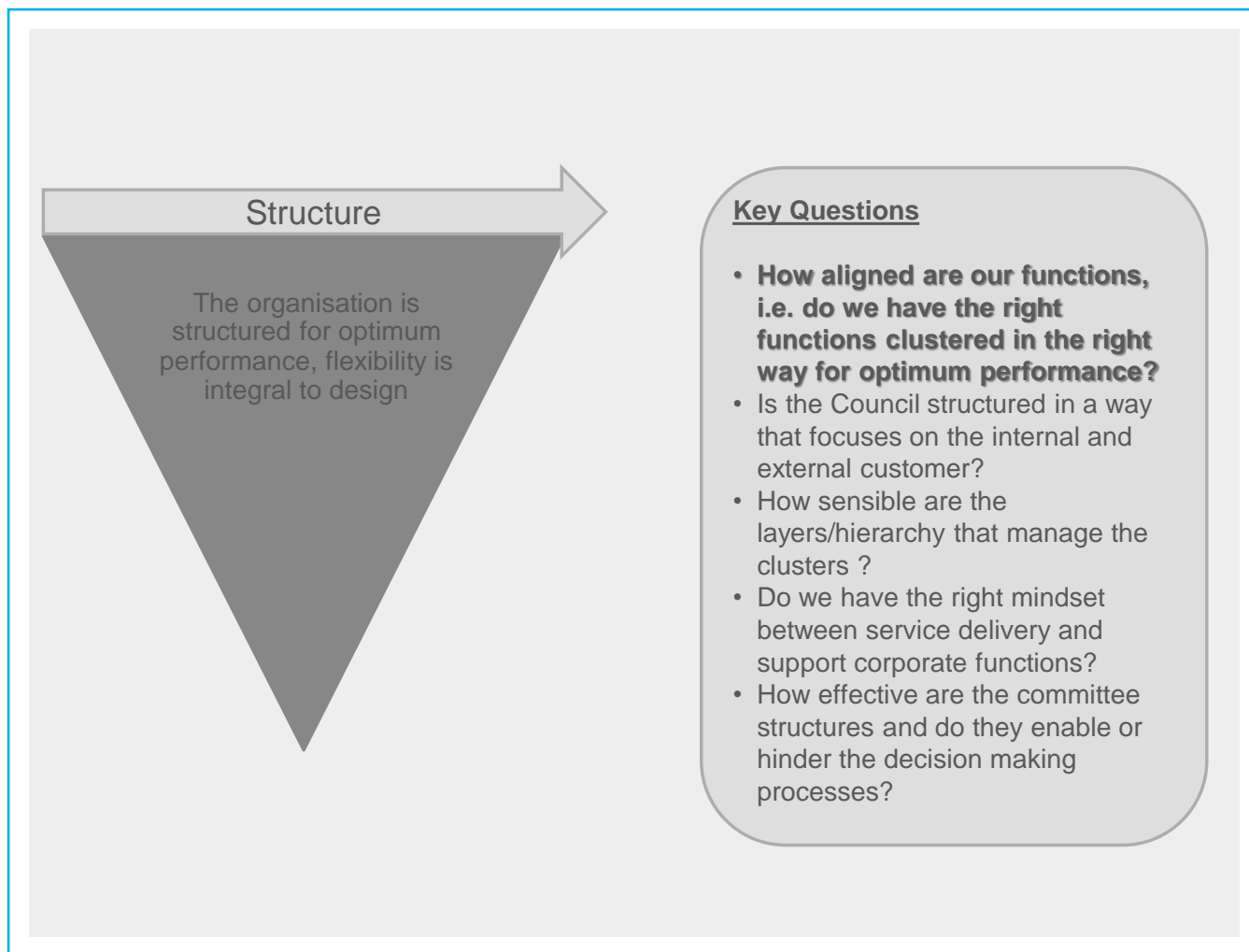
It is important to recognise that organisational cultures and habits have formed and developed over years and that to change these may take a long time. It will also take a long time to embed a new culture in the New Council.

It is important that wherever possible managers model and reinforce the Vision and Values of the new Organisation and are held accountable for this. It is also important to link improvements in the culture to improvements in organisational performance so that all stake holders can see tangible service, cost, environmental, quality and satisfaction levels are being achieved as a result of this.

It is also vital that progress is measured, monitored and communicated throughout and that staff and other stakeholders are continued to be consulted on the impact the new culture is having and how it can be improved even further.

ELEMENT 5: STRUCTURE - DIAGNOSING THE REQUIRED CHANGE

The Structural Element of the Model can be described as follows:



Structure Diagnostic Checklist:

The Chief Executive and senior management team will have completed the high level diagnostic checklist, identifying the key areas that need to be reviewed or developed. They will have created a report outlining the areas of **RED** **AMBER** & **GREEN**. This more in-depth checklist, below, will enable you as a project team to draw out the areas that have been identified in the RED category by your SMT and to be really clear on the what needs to be prioritised.

All of the questions in each section are linked to the checklist completed by the CE and the SMT. There are 5 questions on Structure in the high-level diagnostic checklist, each one of these questions are directly linked and are numbered accordingly i.e. 1a. 1b etc.

Structure Checklist	
Key requirements	Dashboard R / A / G
<p>Structure</p> <p>1a. Our functions are aligned to our vision and values</p> <p>1b. Our functions are aligned to the strategic direction and financial capacity of the Council</p> <p>1c. Our Functions are aligned to the Corporate and Business Plans</p> <p>2a. Our functions are clustered to optimise performance</p> <p>2b. The functions are clustered to focus on the delivery of local services</p> <p>2c. The functions reflect the priorities in the community plan</p> <p>3a. We are structured to ensure cohesive leadership at all levels</p> <p>3b. All roles and accountabilities are clearly defined</p> <p>3c. There are clear distinctions between strategic, operational and transactional functions</p> <p>4a. The Council is structured in a way that focuses on breaking down silos</p> <p>4b. The Council is structured in a way that will ensure cross functional collaboration</p> <p>4c. The Council is structured in a way that will ensure effective partnering within and with external agencies and stakeholders</p> <p>5a. We have a customer focused mindset between service delivery and support/ corporate functions</p> <p>5b. Structures are designed to manage specialisms and expertise in line with citizens needs</p> <p>5c. Structures are flexible and adaptable to respond to new needs and strategic priorities</p> <p>6a. Structures are aligned to support the Governance Structures</p> <p>6b. Decision making is clearly defined to minimise bureaucracy and sign offs</p> <p>6c. The structure streamlines the number of layers and maximises spans of control</p>	

Once you have identified the specific areas in **RED**, the following sections will take you through how to implement Best practice, there are also some tools and techniques that you can draw on and case studies, where other Councils have experience in implementing aspects of the Structural aspects of the Model.

ELEMENT CONTENT

This Element sets out the Toolkit guidance in the following sections:

Section 1: Organisational Design Options

Stage 1. Establishing an Organisation Design Team

Stage 2. Organisational Design

Building Options for Change

A considerable amount of work has been carried out already by ie/se on Organisational Design within the context of the Northern Ireland Local Government Reform Programme. This includes a whole Organisational Design Toolkit which we would strongly recommend you refer to particularly if structures, governance or vision and values work are identified as priorities.

We therefore, have aligned the guidance notes below and toolkit to this work.

SECTION1: ORGANISATIONAL DESIGN OPTIONS

Underlying Principles

In designing the organisational structure for the new Council there are two core principles to be considered

Strategic Fit

How well does the proposed structure reflect the organisations:

- Vision and values
- Strategic and Financial direction
- Leadership brand
- Governance structure
- Community Plan
- Partnership Working
- Citizens needs
- Talents

Structural Design

Will the structure provide:

- Clear strategic, operational and transactional distinctions
- Streamlined layers of management
- Maximum span of control
- Minimum decision points
- Citizen centric service delivery
- Minimised silos
- Maximised cross functional working

Stage 1 Establishing an Organisation Design Team

Team Roles

We recommended that the Organisation Design Team has an overall Champion at CEO or Director Level, a Project Manager possibly from HR and a team representative as much as possible of the service lines and grades that the design will apply to.

In the toolkit, the section on Project management Guidance, there is general guidance on establishing, planning and implementing projects. However, the Organisation Design Team may need further guidance as Follows.

Establishing the Organisation Design Teams Scope

Depending on how well the current structure is aligned, some or all of the following guidance may be relevant. However, the design team should be clear from the start what the scope and outputs of a new or revised structure should be.

Design Considerations

The following considerations may be important in establishing the scope of the Organisational design team

- What are the drivers for the new organisation
- What considerations arise from the strategic direction and corporate plans
- What culture and vision are you setting out to deliver
- What impact will the Governance and Decision making arrangements have
- What has worked well in previous Councils
- How do we intend to manage external relationships
- Have we a clear understanding of citizens expectations
- Have we a clear picture of the organisations current and future talents and skill sets requirements
- How easy or difficult will it be to integrate transferring functions

Consultation and Research

Bearing in mind the above it will be vital for the design team to undertake a comprehensive consultation and research process with a wide range of stakeholders. We recommend that directors, once appointed, work with the CEO in establishing the strategic Direction of the Council along with the new Council members and then take the lead in championing the consultation and design process.

Stage 2. Making Change Happen

Organisational Design

Steps in the Design Process:

Where to Start?

Whilst not all Councils will need to start from scratch, it may be worth considering that the initial organisational design team are in a unique position, at this stage in the New Clusters development, to design and implement a comprehensive structure that will be aligned to the Corporate Plans and Values of the New Council.

In line with best practice and research and the recommendations emerging from the ie/se tool kit we would recommend 5 keys steps in the design process.

- **Step One** **Agree Criteria for Evaluating Options**

The design team should first establish a set of criteria to be used to evaluate any structural options. These should be aligned to the strategic direction and desired culture for the organisation

- **Step Two** **Current and Future Services**

You should now consider what services need to be delivered now, what will be required in the future and if any are likely to be expanded, reduced or dropped

Service Considerations

A number of service factors will have to be considered when looking at potential organisational structures.

Before making any changes the design team should consider some or all of the following:

- **Current Services** – Strengths, weaknesses, costs, what works, what can we learn, good practices, standards, delivery levels, flow charts, lean thinking
- **Future Requirements:**
 - ✓ **Necessity Test** – Will we still need to provide this, is it statutory, is it mandated, what would happen if we stopped, should others be involved in the delivery
 - ✓ **Service Level Test** – What standards will be required, what is driving this, who is driving the standard, are there financial, time or quality standards, what if we reduced the standard
 - ✓ **Accountability Test** – Who owns this, can this service be delivered in one place, is there a single point of accountability, who is accountable if we are not meeting standards, who has authority to make changes
 - ✓ **Specialism Test** – Is this a specialist task, does it require professionally qualified staff, at what level, can some work be done by non-specialists, Do decisions require specialist knowledge or experience, can we sustain specialisms in this area

- ✓ **Synergy Test** – Could we achieve efficiencies by working with other functions, can we improve the system or work flow, do we have to be located in a particular place, what IT, managerial, administrative or other process synergies possible.

It may also be useful to conduct an overall PESTLE analysis for the service or organisation at this stage to inform the decision making process.

- **Step Three** **Align to Service Delivery and Governance**

Each Option can be matched to a Service / Governance Grid to ensure chosen options meet all criteria

- **Step Four** **Cost Effectiveness**

Each option should then be evaluated for likely costs, affordability and efficiency in terms of decision flow, lines of accountability and adaptability.

This should help reduce the number of options to be considered and reviewed with Councillors and Other stakeholders.

- **Step Five** **Test Options**

It will be important to test the selected options against the original principles and criteria selected in step one.

Factors to Consider

There is no right way to structure the organisation but again a number of factors should be considered:

- The nature of the services
- Service standards
- Size
- Geography
- Culture
- Strategy

Structural Options

Whilst there are a wide range of possible structures to consider, there are a number of more common structures, each with its own pro's and con's.

Hierarchical Structural - (Bureaucratic or Command and Control)

Traditional, many layers, range of grades, demarcated roles and responsibilities

PROS	CONS
Chain of Command	Protracted Communications
Discrete areas of control	Risk of distorted messages
Clear roles	Inflexible
Allows for close supervision	Decisions remote from delivery
Allows specialisation	Risk to employees becoming disenfranchised, demotivated or restricted in focus
Discreet Layers of responsibility	
Clear promotion structure	

Functional Structure

Some organisations prefer a flatter structure aligned to key functional areas eg Finance, Planning, Delivery, Corporate Services / Administration

PROS	CONS
Fewer layers of management	Heavier workloads particularly for managers
Empowered employees	Too many direct reports
More autonomy and self-direction	Open to Manipulation
Democratic and Collaborative decision making	Role confusion and replication
Faster communications	Silos can evolve between functions
Quicker decisions	Conflicting priorities
Facilitative managers	Isolated specialisms
Flexibility in roles	Over dependence on specialists
Quicker to respond to change	

Matrix Structure

A hybrid of the hierarchical and functional structures. Services seen as a series of projects and teams formed as and when required.

PROS	CONS
Managerial and Project management roles combined Maximises utilisation of skills across the organisation Focuses on citizens needs and priorities Encourages culture of collaboration Develops ethos of accountability and responsibility Encourages self-management and resilience	Conflict of demands from project and line managers Imbalance of leadership authority and resources Competition for resources and power Limited time to meet Needs high levels of interpersonal, conflict management and communications skills More difficult to review performance

Team Based Structure

This is often suitable where there are geographical or location based services required and a team can undertake all the functions in one area.

PROS	CONS
Quicker response and efficiencies to respond to area needs Front line aligned to strategy More alignment between specialisms Focused on local requirements and results Broadened experience for managers and leaders Opportunity to manage diverse workforce and range of services	Can decrease overall Council efficiency Duplication of activity and infrastructure "Postcode" variations in service Competition for resources Silo working Different working practices and standards Potential of different localised cultures emerging or being reinforced