

**CITY AND COUNTY OF CARDIFF
DINAS A SIR CAERDYDD**

Employment Conditions Committee: 23 March 2005

Report of Chief Executive

PERSONAL PERFORMANCE AND DEVELOPMENT SCHEME

Background

1. The Council despite many efforts does not have a corporate personal performance and development scheme but rather has, over a number of years allowed a range of work review/discussion/appraisal arrangements to evolve. This is unsatisfactory as it allows some managers to avoid reviewing performance or to work with employees to help them develop. It also prevents the organisation from ensuring all employees have clear objectives which link to the priorities of the Council.
2. The need to have a corporate approach linked into the Council's business planning is critical to future organisational success. All senior managers should benefit from individual performance and development meetings within the next twelve months, with a view to rolling out the system to all employees over the period of the Corporate Plan.
3. In December 2002, ECC agreed a performance development scheme which had been developed with the Trade Unions although some significant changes including a link to pay were made at ECC. This scheme has been piloted in Human Resources, Advice and Benefits, Strategic Planning and Neighbourhood Renewal and opportunities to improve have been identified. In order to address these issues and develop a framework which could be rolled out across the Council a tender exercise was conducted during the summer of 2004 to identify a supplier who would be able to develop an approach "fit for purpose" for Cardiff.
4. Hay group were successful in the tendering exercise and undertook a large scale data gathering exercise involving questionnaires, group work and one to one meetings. An initial set of documents, drafted in January 2005, were the subject of preliminary consultation in February 2005 with the Chief Executive, Assistant Chief Executive, Corporate Directors, Chief Officers, Operational Managers, Principal Officers and Trade Unions.

Issues

5. The result of this exercise is a simplified and more streamlined performance and development scheme (attached as Appendix A) which can be clearly linked to business planning. It identifies the competencies (attached as Appendix B) required of an effective manager in Cardiff and allows managers and employees to discuss development opportunities. The scheme focuses on management competencies as the system will be introduced for senior managers this year. Next year, working with trade unions competencies will be developed for all employees.

6. The process involved in the new system is that all managers are set four critical objectives which are clearly linked to the Corporate Plan plus up to four others which relate to current job roles. There should be a half yearly and a full year review meeting where a joint discussion takes place to agree the extent to which objectives have been achieved.
7. The second part of the review meeting will be a personal development discussion where progress in developing the new leadership/management competencies and any work related development is discussed.
8. To support the rollout in each service area Chief Officers have been asked to identify people who will be given extra support and development to help each service area to implement the approach. Those Operational Managers who have already been trained as coaches are also being encouraged to support the rollout.
9. During April, Willcox House Learning and Development Centre will be available on a number of days so that service areas can train their management teams in the use of the approach.
10. The first year will be used as a pilot and discussions will continue with the unions so that the approach can be refined to support a council wide implementation after year one.
11. The Trade Unions have concerns about introducing a system which links performance to pay. However, there are mixed views throughout the Council with some people feeling that rewards for high performance and contribution would be motivational. At a meeting with Operational Managers, Chief Officers on 7 March, some people said that financial rewards based on performance would be motivating. At its meeting in December 2002 ECC agreed that the performance management system for the Council should be linked to pay.
12. The difference in views needs to be resolved. A way forward might be to introduce the system this year without a link to financial rewards and to undertake further discussions with Trade Unions, employees and Members about the best ways to reward high performance and contribution and come back to a latter ECC meeting with proposals.

Proposals

13. It is proposed that:
 - i) the approach detailed in appendices A and B be approved for implementation with senior managers from April 2005,
 - ii) Chief Officers be asked to develop their implementation plans for their respective service areas to ensure that effective communication of the approach is arranged and that appropriate training arrangements are put in place,
 - iii) further discussions take place with the unions and employees about rewarding high performance. The results of these discussions to be presented to this committee at a future meeting.

Investment for Reform/Benefit to service user

14. An effectively operating Personal Performance and Development Scheme will enable individuals to concentrate on the priorities of the Council. Service users will benefit from such a focus.

Council Policies Supported

15. This report supports the Council's Performance Management Framework.

Advice

16. This report has been prepared in consultation with relevant Corporate Directors and reflects their advice. It contains all the information necessary to allow Members to arrive at a reasonable view, taking into account the following advice.

Legal Implications

17. This report raises no specific legal issues in itself. However to the extent that the process is employed in relation to the setting of salaries or the payment of increments then steps may be required to formally incorporate such arrangements into the terms and conditions of employment either by agreement or if this cannot be achieved by offering new contracts of employment following formal and proper notice. All decisions taken by or on behalf the Council must (a) be within the legal powers of the Council; (b) comply with any procedural requirement imposed by law; (c) be within the powers of the body or person exercising powers of behalf of the Council; (d) be undertaken in accordance with the procedural requirements imposed by the Council e.g. standing orders and financial regulations; (e) be fully and properly informed; (f) be properly motivated; (g) be taken having regard to the Council's fiduciary duty to its taxpayers; and (h) be reasonable and proper in all the circumstances.

Financial Implications

18. There are no direct financial implications arising from this report. Any consequential increase in expenditure in the future would need to be contained within existing budgets.

Human Resource Implications

19. The development of a corporate scheme linked into the corporate plan is essential to the success of the organisation. It is important that employees receive clear objectives linked to the priorities of the Council. It is equally important that employees have an opportunity to review their performance with their line manager.
20. The existence of a competency framework for managers will enable meaningful development discussions to take place so that managers have an opportunity to discuss ways in which they may reach their potential.
21. Reviewing employee performance in a systematic way will be new to some parts of the organisation and it is vital, therefore that the co-operation and support of employees and the Trade Unions is maintained throughout.

Trade Union Comments

22. The Trade Unions have reviewed the Personal Performance and Development Scheme and have agreed that for this coming financial year the Scheme be piloted with Corporate Directors, Chief Officers, Operational Managers (and their direct reports, where this is agreed at service area level). They have some concerns about the apparent complexity of the Leadership Competency Framework but have agreed that use of the Leadership Competency Framework should be made optional as part of the development discussion. They remain concerned about a link between performance and pay and would prefer that the scheme is piloted without a link to pay. The Trade Unions would also prefer not to include a rating scheme. However, they would be happy with an overall performance summary and would consider criteria to describe the level of performance.
23. It was further agreed that during the coming year discussions would continue to develop a scheme capable of being rolled out across the Council at all levels. They acknowledged that there be further discussions with Trade Unions and employees about the best ways to reward high performance.

RECOMMENDATIONS

It is recommended that the Employment Conditions Committee approve:

- i) the approach detailed in appendices A and B for implementation with senior managers from April 2005,
- ii) that Chief Officers be asked to develop their implementation plans for their respective service areas to ensure that effective communication of the approach is arranged and that appropriate training arrangements are put in place,
- iii) that further discussions take place with the unions and employees about rewarding high performance and contribution. The results of these discussions to be presented to this committee at a future meeting.

BYRON DAVIES
CHIEF EXECUTIVE

14 March 2005

The following appendices are attached:

Appendix A - Personal Performance and Development Scheme

Appendix B - Leadership Competency Framework



Personal Performance and
Development Scheme

Version 8.3

16 March 2005

1. Introduction

Cardiff Council wants to improve its approach to personal performance and development. The focus is on reviewing and assessing performance and on motivating and developing individuals to contribute in a way that impacts the performance of their service area and Cardiff Council as a whole.

Personal performance and development is not 'just another task to be done', it is about what and how you do your job all the time and is critical to the success of the organisation. It is based on high quality two-way communication, which if effectively used, can develop and improve individual and organisational performance.

Employees have the right to know exactly how they are doing in their jobs and how their role relates to the overall objectives of the organisation and vision of the Council. Managers have the overall responsibility of utilising the resources available to them whilst also creating the best environment possible to ensure the delivery of quality services. In order that employees and managers can fulfil these expectations, it is necessary for both parties to consider the situation thoroughly and objectively. This can best be achieved by use of a formal system to review performance.

The Personal Performance and Development Scheme provides a framework for managers and employees to discuss work performance and identify training and development needs. It enables employees to be clear about their roles and responsibilities and to understand how their job and efforts contribute to organisational objectives.

2. Purpose

The purpose of this scheme is to:-

- Enable employees and managers to review, discuss and assess performance; to acknowledge success, effort and achievement; and to identify where performance has been effective and where it could be improved.

- Contribute to the Council's overall success by creating clearer links for all employees between corporate objectives and individual effort.
- Facilitate open and constructive communication between employees and their managers thereby enhancing work relationships and fostering teamwork.
- Help employees and managers to clarify and understand their respective roles and responsibilities.
- Assist in helping individuals identify training and development opportunities, along with a commitment to resource appropriately, that will help to deliver improved performance.
- Facilitate a constructive dialogue about performance against the previous year's objectives and assist in determining meaningful objectives for the forthcoming year.

3. Key Principles

As a result of research carried out within Cardiff Council, and following consultation with the Unions, the subsequent key principles have been built into the Personal Performance and Development Scheme. These key principles are as follows:

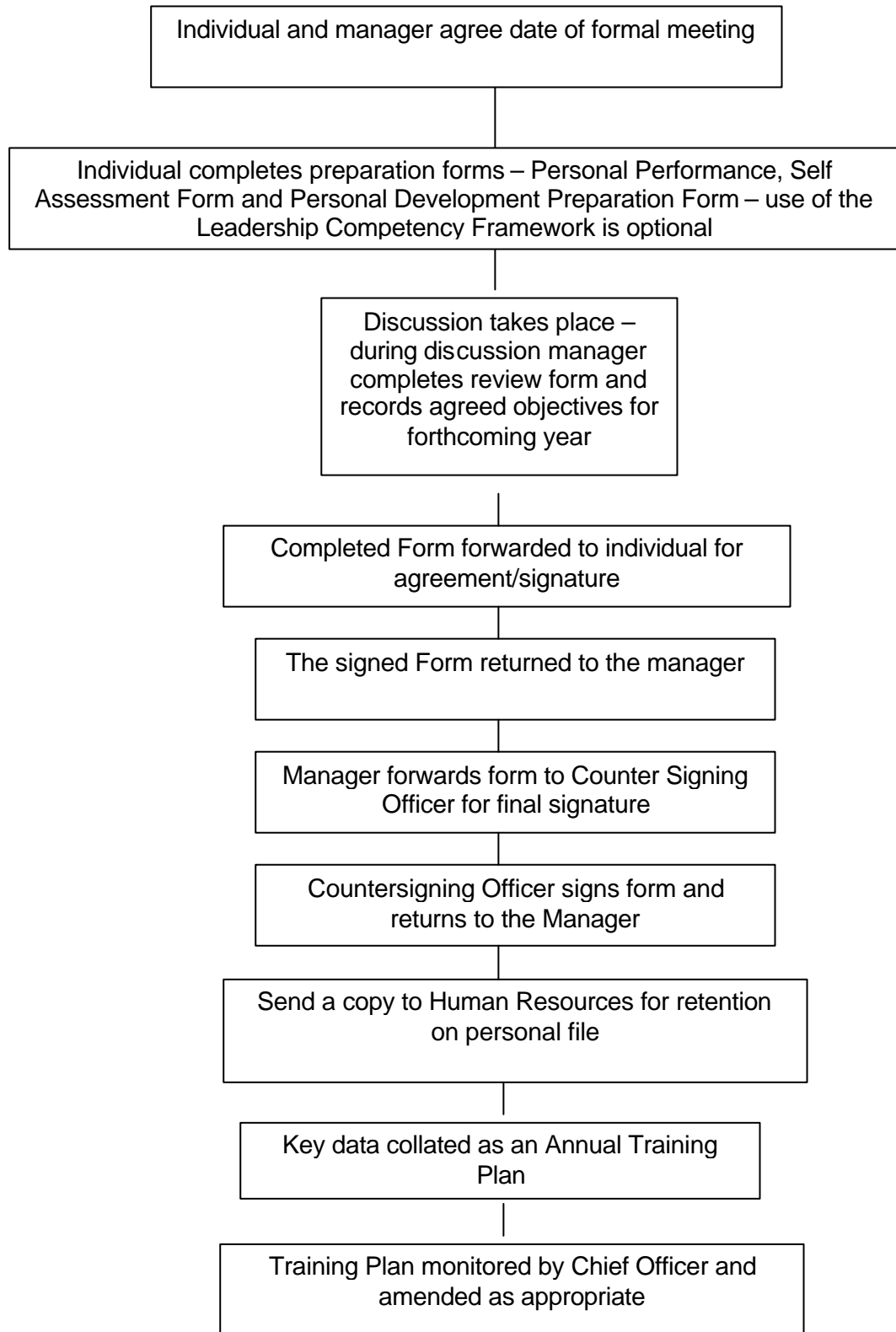
- Simple and straightforward
- Not overly bureaucratic, allowing individuals to make judgements based on sound information.
- Clearly outline respective roles and responsibilities of employees and managers.
- A joint process that involves a constructive two way discussion between the individual and manager. These discussions should be conducted with openness and fairness.
- Support the ongoing monitoring of performance levels and linked into the Council's overall performance management framework.
- Role modelled by the Chief Executive and Directors.

- Support fair and consistent application across the Council.
- Incorporate evaluation of current job performance role and identification of development needs.
- The scheme will assist employees and managers to review performance over the last year against previous objectives, help identify factors which may affect performance and will help determine realistic objectives for the year ahead. The outcome will be personal performance objectives and a Personal Development Plan, if appropriate.
- As the process is active and requires participation by both parties for it to be effectively utilised, there will be a requirement for pre work and data collection to be undertaken by both manager and individual beforehand.
- The fundamental aim of this scheme is to constructively discuss work performance, to formally recognise efforts and achievements and to consider improvements. Details of the Performance and Development discussion will not be used in any disciplinary process. Poor performance or misconduct can and should be tackled at any time and should not be left until the Performance and Development discussion.
- Where staff genuinely require support in this process, the matter should be discussed with the line manager and advice sought from their Trade Union and representation will be made available. Every effort will be made to address those concerns before any Performance and Development review takes place. Each case will be dealt with on its merits.
- Adequate time and resources must be made available for Personal Performance and Development activities so that the system can be effectively and efficiently implemented.

4. Personal Performance and Development Scheme: Key Dates

- The **review and objective setting meeting** will be a formal meeting in April / May to discuss and agree performance objectives and a development plan for the forthcoming year.
- The **interim review meeting** will be in the October and will begin with a review of the objectives set in April / May. These may need to be revised in the light of changes, or because the individual has achieved some objectives already, or because new priorities decrease the importance of original objectives.
- It is intended that the process should operate on a 'cascade' basis. The Corporate Directors review will be held first so that their objectives can inform those set for Chief Officers / Heads of Service, whose reviews will be done next, followed by reviews for Operational Managers and direct reports which will be informed by the objectives set for the Chief Officers / Heads of Service.

5. Personal Performance and Development Scheme Procedure



6. Guidelines on Agreeing Objectives

Individual's objectives should flow from Cardiff Council objectives, and service area and team plans. **The most important aspect of agreeing objectives is to focus on the objectives that will make the most difference to the Council's performance.** To support this focus it recommended that no more than eight objectives should be agreed and typically this would be four or five. **These are objectives that are of overriding importance for the effective performance of the role.** The objectives will need to describe the broad outcomes and not be task focussed – there will be a number of detailed tasks needed to achieve each objective.

The process is flexible and individuals and managers are able to agree changes to objectives during the year to reflect changing priorities and emerging issues. Where this is necessary there should be a short meeting to agree and document the changes.

There is likely to be a mix of operational, longer term (for example those linked to service development), corporate and functional objectives depending on role. There will need to be a clear "line of sight" between the objectives agreed in the Council's Corporate Plan, Service Plans and those agreed for individuals. This will be achieved through cascading objectives from the Chief Executive to Corporate Directors to Chief Officers to Operational Managers to their direct reports. For certain roles objectives will be linked directly to achievement of the Council's "Strategic Improvement" objectives.

SMART OBJECTIVES

SMART objectives have been in common place for some time. However, there are some specific criteria within the Cardiff performance management system that are to be emphasised to ensure managers and employees set objectives that will work effectively.

- Specific
- Measurable
- Achievable
- Relevant
- Timed

Specific

A good structure for an objective is VERB-OBJECT-OUTCOME, i.e. what is done – to what – with what impact.

Measurable

The manager needs to agree with employees the means by which the objective will be measured. This can be quantitative, qualitative or a combination of the two. **Measures must be as clear as possible and ideally lend themselves towards simple, regular review.** Regular feedback on performance and corrective actions are therefore much more possible.

Achievable

- Objectives set should be stretching but **achievable** to the individual.

Individuals **must perceive the attainment of the objectives to be within their control.** Otherwise the whole exercise will be de-motivating and counterproductive.

Relevant

Within this scheme employees agree objectives, typically this will be four or five (excluding personal development objectives). The purpose of this is to ensure that there is real focus and a concentration on those things that matter most.

Timed

It should be clear when the objective needs to have been achieved.

Guidelines on giving feedback

When assessing individual performance and providing feedback, it is important that this is a jointly participative process and does not become confrontational. Some pointers on how to give and receive feedback are given below:

When giving feedback, the performance reviewer should:

- focus on behaviour, not personalities;
- be specific;
- be timely;
- own the feedback;
- offer alternatives;
- start and finish with the positive;
- check that the individual understands what is being said;
- plan in advance how to give the feedback;
- not 'beat around the bush'

<p>7. Discussing Performance against Objectives at Year End – Further Guidelines</p>

Managers should discuss with the individual the extent to which they have met their objectives, using the agreed performance measures as the basis for judgements made.

The quality of the performance discussion will be determined, to a great extent, by the rigour in which the objective setting stage was approached. If clear objectives, measures and expectations were agreed at the outset, clarity will already have been established.

Additionally, regular dialogue through the year (not just at the half-year review) will ensure that there are no surprises during the end of year meeting.

- At the end of the Performance discussion, development needs arising from a discussion on Personal Development Preparation form should be agreed and a resolution identified.

- The manager will then write up the agreed points on the Personal Performance and Development Review form and forward to individual for agreement and signature.
- Any issues not agreed should be the subject of discussion. If agreement cannot be reached, the matter should be referred to the Countersigning Officer (i.e. usually the manager's line manager who has not been party to the specific Personal Performance and Development discussion) for resolution.
- The Countersigning Officer will review all relevant forms and check for consistency. Once satisfied, the Countersigning Officer will sign off the form, a copy of which will then be forwarded to the individual concerned and the relevant Human Resources team. This does not preclude the use of the Grievance Procedure.
- Development objectives will be collated by and each Service Area will be responsible for producing an Annual Training Plan can be drafted and Chief Officers can assess and identify priorities.

8. Overall Performance Guidelines

1	Ineffective	Overall performance is weak and objectives are not being met. Development opportunities have not had a significant effect.
2	Developing	Most but not all objectives have been met. Performance is stronger in some parts of the job than in others. Further performance improvements need to be made to reach good all round standards.
3	Effective	All key objectives have been met. Performance is good with some aspects of performance being particularly strong and giving a good all round performance.
4	Outstanding	Consistently exceeds objectives and performs at a very high standard. High degree of competence in delivering key organisational objectives and recognised as producing outstanding performance in comparison to peer group.

9. Key Roles and Responsibilities

It is important that all employees understand their respective roles and responsibilities in the Scheme. Below are outlined the key roles and responsibilities of those concerned.

1. Overall, **Corporate Directors will support Chief Officers** who will be responsible for:
 - identifying the span of review in discussion with their Operational Managers i.e. who will be reviewed by whom
 - a timetable for action in the Service Area
 - organising the overall process within his/her Service Area in accordance with the relevant timescales
 - production of a training plan based on the outcomes of the Personal Performance and Development Review

2. Overall, **Operational Managers** will be responsible for:
 - identifying the span of review in discussion with their Senior Managers i.e. who will be reviewed by whom.

3. **The Manager:**
 - for organising the process i.e. programme dates and making necessary arrangements.
 - actively listen to the individual, give praise where appropriate and offer assistance and/or training / development options where possible.
 - bear in mind the discussion is a two way process and participate fully in the discussion
 - support comments with evidence

- help and support the individual to recognise how she/he may be able to improve performance by offering constructive suggestions for specific actions
- should address individuals in a professional and considerate manner and accept reasonable and constructive criticism.
- create a climate which will enable the individual to share dilemmas and concerns and encourages full participation
- any differences of views and any conflict of interest should be identified and dealt with openly and honestly so that they do not compromise the discussion and its outcomes
- agree S.M.A.R.T. objectives and development plans
- accept reasonable and constructive criticism
- once the discussion is completed, the relevant documentation should be completed and then forwarded to the individual for agreement and signature

4. **The Individual:**

- be well prepared for the discussion
- bear in mind that the discussion is a two way process, participate fully in the discussion
- accept reasonable and constructive criticism
- think carefully about how the Performance Objectives and Personal Development Plans agreed at the meeting will be achieved
- seek the assistance and / or training / development necessary
- offer constructive comments on actions required by the manager and be open to feedback

- participate actively in the process, seeing it as a shared activity

5. Countersigning Officer:

- ensure that the key principles of the scheme have been maintained and consistently applied
- review each Personal Performance and Development Review Form to ensure that it has been "fair" and that evidence used is realistic and based on as full a picture as possible
- adjudicate on any disagreement between the manager and the individual
- add any comments as appropriate

10. Consistency Checking

Consistency checks will be built in to the approach.

Corporate Director:

- monitor the overall approach to ensure that all discussions are carried out as planned

Human Resources:

- ensure the process is carried out fairly and consistently across the Council
- review the operation and effectiveness of the scheme in consultation with managers and recommend changes to the scheme in the light of operational experience
- gather development information

11. The Benefits of Performance Management

For Cardiff Council the new Personal Performance and Development Scheme will:

- Create better alignment between strategic objectives and individual objectives.
- Mean that individuals will focus on doing the 'right things' – the things that are important to Cardiff Council and the particular role they perform.
- Translate organisational targets and objectives into meaningful individual objectives.
- Promote a motivational climate, which will lead to superior performance.
- Allow performance issues to be dealt with in a constructive way and development discussion to take place.

For individuals the Personal Performance and Development Scheme will:

- Clarify what is expected of them and how it will be measured/assessed.
- Provide regular and consistent feedback about how they are doing.
- Provide opportunities to build on individual strengths and address development needs through continuous professional development.
- Clearly recognise contribution, personal development and performance improvement.

Personal Performance and Development Review Form

Personal Details	
Name:	Date of Performance Review:
Job Title:	Date of Last Performance Review:

Objectives linked to business plan

Objectives agreed at start of year	Half Yearly Review	Year End – Extent to which objectives met
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		

Corporate Plan

Service Area Plan



Team Plan



Individual Objectives

Overall Performance Rating

Provide a rating that reflects how the individual has performed against the range of agreed objectives, according to the criteria.

Please tick:

? Ineffective

? Developing

? Effective

? Outstanding

Rationale for the provisional rating awarded:

Personal Development Objectives agreed during Development Discussion

	Half Yearly Review	Year End – Extent to which objective met

Comments

Individual's comments

Manager's comments

Countersigning managers comments

Signed _____
(Individual)

Date _____

Signed _____
(Manager)

Date _____

Signed _____
(Countersigning Manager)

Date _____

Personal Performance - Self-Assessment Form

Name	Date of last review
Job title	Date of Performance Review
Service Area	

Section One – Performance Against Objectives	
(A) Reflect on your main achievements during the past 12 months. Review these against the objectives that were agreed at the beginning of the year. Be as specific as possible.	
Objectives agreed at the beginning of the year	Achievements
1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	
(A) List any other achievements during the past 12 months.	
(B) Any other points that will be important to discuss	
<i>Use this space to record any factors during the year, which may have affected your ability to deliver the objectives</i>	

PERSONAL DEVELOPMENT PREPARATION FORM

List your achievements in your personal development over the past 12 months and consider your own competency levels against the development objectives agreed.

--

WORK RELATED DEVELOPMENT

Consider all other aspects of your personal development. Use this space to record any other development needs, for example ICT, Project Management or role specific needs.

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PERSONAL DEVELOPMENT PLAN

Current Strengths

Current Development Opportunities

Potential Solution

How Measured

Completion Date

Career Development Options



Leadership Competency Framework

Optional as part of Development Discussion

**Version 8.3 draft
16 March 2005**

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How to Use the Framework

Introduction

This competency framework builds on previous competency work within the Council and is the result of input from focus groups of managers and the senior management team. There are nine competencies and they focus on those areas of management behaviour and skill that will lead to high performance. If the leaders and managers within the council develop their behaviours in the ways laid out in this framework, the Council will achieve its aims of being an excellent service provider and of developing Cardiff into a great capital city.

What Are Competencies?

Competencies are defined as:

“The behaviours or characteristics that mean an individual performs a job more successfully in more situations more often. They focus on HOW an individual does things – their attitudes and behaviours – rather than what they do. They are those factors which distinguish the best from the rest, those that really make a difference”

The Importance of Competencies

Competencies will form a key part of the development discussions that form a part of the wider performance management process. Competencies are defined as the behaviours or characteristics that mean an individual performs a job more successfully in more situations more often. They provide a **common language** for managers to describe their strengths and development areas. Competencies focus on *how* an individual does things – their attitudes and behaviours – rather than what they do. They are those factors which distinguish the best from the rest, those that really make a difference.

By developing the competencies of managers the Council will support the success of its leaders and raise performance across the organisation.

What Is This Framework For?

The framework provides a common language for describing management capabilities and where strengths and areas for development lie. As part of the performance management process the levels within each competency can be used to:

- Describe the level at which someone is currently operating
- Set development objectives to achieve even higher levels of performance
- Describe what is required in a given role.

How It Works

There are nine competencies divided into three groups

- Drive for Results
- Courage
- Understanding Others
- Customer Focus

- Developing Potential
- Leading Change

- Initiating Change
- Organisational Awareness
- Partnering and Corporate Working

Each is split into three main sections:

- Competency Title
- Why It Is Important
- Behavioural Levels

Why It Is Important

This section includes a definition of the competency and a description of why it is important to the Council and its leaders.

Behavioural Levels

There are three main behavioural Levels within each competency: One, Two and Three. This represents the development scale for each competency.

The scales are **cumulative**, i.e. if a job/individual is operating at Level Three, they should also be demonstrating the behaviours at Level One and Two.

For each Level there is a one or two sentence **definition** describing the main characteristics for an individual to be operating at that level.

Each Level also contains **behavioural indicators** (a series of bullet points). They provide a series of examples of what operating at that Level looks like. Individuals

and line managers should use the main definition and the behavioural indicators to develop their own understanding of what the behaviours at each level are on a job by job basis. The bullet points should be used as the starting point for developing this understanding. It is sometimes useful to be able to think of the **unacceptable behaviours** related to any competency. These can be used to challenge any unhelpful behaviour that exists. Examples of unacceptable behaviour are shown for each competency.

How the Competency Framework relates to Cardiff Council's Values Statement

A commitment to Cardiff Council's Values goes in hand in hand with a commitment to developing the leadership behaviours and characteristics that are described in this document. The Courage competency, for example, would require somebody to make a commitment to and "live out" the value statement in full.

However, on a detailed level, Courage would also have a specific relationship with the Council's values of **Openness** and **Professional Integrity**.

The Council's value of **Respect** is directly supported by the Understanding Others competency. The definition for Understanding Others given in this framework specifically mentions that *"It is based on the belief that individuals matter and deserve to be treated with respect"*. When a leader puts this respect into practice, and to take on people's development, there would be a relationship with the Developing Potential competency.

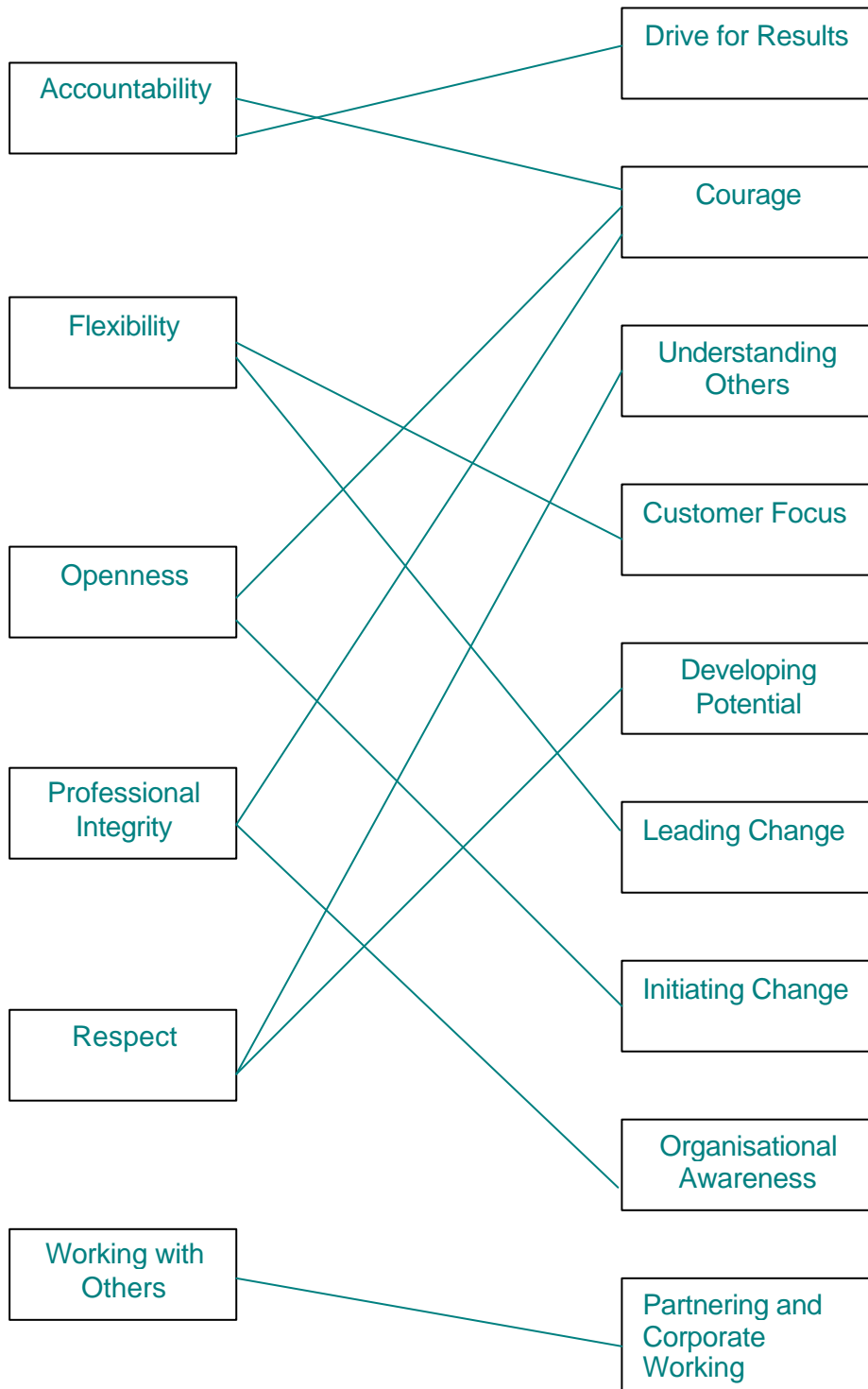
The Council's **Working with Others** value has a direct relationship to the Partnership and Corporate Working competency.

The **Accountability** value is reflected in three places within the competency framework - in Drive for Results and Courage when it comes to our own accountability and commitments and in Leading Change when it comes to holding others' accountable.

The **Flexibility** value is reflected in several places within the Competency Framework, particularly in Customer Focus and Initiating Change. Lastly, for Organisational Awareness to be truly effective, and well placed, there must be an alliance with **Professional Integrity**.

Cardiff Council's Values

Leadership Competencies



Different competencies for different roles

All competencies are important

It is likely that, whatever management role you do, the personal characteristics of high performance described in the nine Cardiff competencies will be important in your work.

Below are some **suggestions** to help you prioritise competencies in recruiting, managing performance and development.

The Focus Four are likely to be highly important whichever management role is being considered. There is more flexibility in the other areas so consideration is required to ensure that any additional competencies to be focused on are those that will make the most.

“The Focus Four”

There are four competencies that are of great importance regardless of role and of these, four in particular tend to drive results across a very wide range of jobs:

- Drive For Results
- Courage
- Understanding Others
- Customer Focus

The top three are vital high performance characteristics. They are usually the competencies that are most difficult to develop. This is because they are deeply held personal behaviours that are tough to change. Therefore particular focus, commitment and dedication are required to improve personal performance in these areas.

Customer Focus is easier to develop than the first three. This is vital in all roles (internal and external customers exist within the Council) because all managers need to focus on service delivery and supporting service delivery.

Roles where the primary focus is on managing people

In these roles, two particular competencies come into play because they are about leading people effectively and developing employees:

- Leading Change
- Developing Potential

It is important to emphasise that, in prioritising these two competencies, we are not saying that the remaining three (see below) are unimportant in people management roles. Rather, we are suggesting that Leading Change and Developing Potential tend to make the most difference between an average manager and an outstanding manager.

Roles where the primary focus is on providing advice and/ or working across different parts of the Council and externally

Three competencies will often be of key importance in these roles:

- Partnership and Corporate Working
- Initiating Change
- Organisational Awareness

We must stress that in these roles there may well be an element of people management and, in particular, managers will be required to develop others. However, the competencies above **tend** to be the ones that most strongly distinguish between average and outstanding performers.

Target performance levels for each competency

Competency Levels required to perform well in a role will vary on a job-by-job basis.

However, for **high performance within the organisation**, the following is suggested as a guide to benchmark performance (for recruitment, development and performance management).

	People management focus	Advisory/cross functional/external focus
Corporate Director	<p>Focus 4: Drive For Results and two others at Level Three; other at Level two</p> <p>Role specific: BOTH CLUSTERS APPLY: Leading Change at Level Three plus at least one other and rest at Level Two</p>	
Chief Officer	<p>Focus 4: Drive For Results and two others at Level Three; other at Level Two</p> <p>Role specific: At least one at Level Three and one at Level Two</p>	<p>Focus 4: Drive For Results and two others at Level Three; other at Level Two</p> <p>Role specific: At least two at Level Three and one at Level Two</p>
Operational Manager	<p>Focus 4: Drive For Results and one other at Level Three; at least one other at Level Two; none below Level One</p> <p>Role specific: At least one at Level Two with other not less than Level One.</p>	<p>Focus 4: Drive For Results and one other at Level Three; at least one other at Level Two; none below Level One</p> <p>Role specific: At least one at Level Two with others not less than Level One.</p>
Direct Reports to Operational Managers	<p>Focus 4: Drive For Results at Level Two and at least two others at Level Two; none below Level One</p> <p>Role specific: At least one at Level Two with other not less than Level One.</p>	<p>Focus 4: Drive For Results at Level Two and at least two others at Level Two; none below Level One.</p> <p>Role specific: At least one at Level Two with others not less than Level One.</p>



THE FOCUS FOUR

- **Drive for Results**
- **Courage**
- **Understanding Others**
- **Customer Focus**

Drive for Results

Why is it important?

The council must strive for excellence in all that it does, in meeting our customers' demands and in fulfilling our commitments to each other. This competency is about the personal, inner motivation, enthusiasm and drive to meet and exceed targets. Individuals must take responsibility for improving their own performance in order to improve the council's performance. We must focus on what needs to be done and make it happen.

One
Conscientiously completes tasks to high standard <ul style="list-style-type: none">• Determined to do the job well or right• Focuses on the tasks at hand and sees them through to completion• Challenges positively ways of working that are wasteful or inefficient
Two
Constantly seeks improvement and sets stretching standards. Monitors own and team's performance against these standards. <ul style="list-style-type: none">• Sets stretching standards for oneself and monitors against these. These personal standards are an example to others• Constantly drives towards better results by improving methods, approaches or ways of working in team, service area or for oneself• Establishes ways of measuring performance, benchmarks performance and constantly refers to performance data to drive improvements
Three
Drives organisational performance to achieve better and better results. <ul style="list-style-type: none">• Makes decisions and sets priorities on basis of calculated costs, benefits or risks. Drives new improvement initiatives• Commits significant resources and time to improve results in service delivery or in the Council's internal processes• Overcomes organisational barriers to deliver better results

Unacceptable behaviours
<ul style="list-style-type: none">• Is apathetic about results. Doesn't drive own work through to deliverables• Criticises performance measures – particularly those that relate to own work• Unfocussed approach – does not prioritise. Procrastinates and is easily distracted• Expands work to fill time – contributes to inefficient ways of working, knowingly duplicates effort

Courage

Why is it important?

We need resilience and integrity to achieve what we want to achieve. Individuals must have optimism and be able to stay positive and single-minded when faced with difficulty and adversity. We need to be straight with one another, treating each other fairly, equally and with respect. Securing and maintaining a reputation for straight dealing with our customers and partners is crucial. This competency is about “walking the talk” – being consistent with our own values and those of the council, treating people with respect and having the courage to see change through.

One
Acts consistently in the workplace according to basic values of openness and fairness. Wants to shape practices to the ethical values espoused by the council. <ul style="list-style-type: none">• Reliable and fair in dealings with colleagues, customers, members and partners• Resilient when faced with tough circumstances or environment. Copes and helps others to cope with uncertainty, difficulty or change• Admits mistakes and seeks to rectify them.
Two
Optimistic and realistic. Creates a climate of respect and openness by challenging others and being a role model. <ul style="list-style-type: none">• “Walks the talk” – is consistent with own values. Is honest and fair in all dealings, even when it is difficult to be so or involves some personal risk. Encourages others to be fair and build trust by being open and honest• Seeks to turn difficult situations around by managing and helping others to manage uncertainty, difficulty or change• Challenges established practices where they are not consistent with fairness and openness. Demands and makes changes, taking others with them
Three
Drives an organisational commitment to public service. Deals with threats to this even when it is difficult to do so. <ul style="list-style-type: none">• Ensures full disclosure and makes organisational practices transparent• Challenges powerful individuals to act on organisational values and speaks out even when it jeopardises a trusted or valuable relationship• Takes significant risks to ensure that practices are ethical or right.

Unacceptable behaviours
<ul style="list-style-type: none">• Reneges on promises made• Treats people unequally – has favourites• Panics or becomes pessimistic when conditions or circumstances are adverse. Pulls morale down• Ignores or “goes along” with bad practices

Understanding Others

Why is it important?

We need to work together as a council and as individuals if we are to meet our objectives and create an excellent working environment. This competency is about having the ability and desire to demonstrate an understanding of others. It is based on the belief that individuals matter and deserve to be treated with respect. It is also the recognition that, in order to break down barriers and work across boundaries, it is critical to value the contributions of others even when they may be different or at odds with yours.

One

Listens to people and cares about their feelings. Acknowledges the emotions that people have.

- Asks about others' feelings and listens to them
- Recognises emotion in others. Tries to understand their emotions by placing them within the context in which they arose. Creates a picture of what is being said and done and what is felt
- Produces "balanced assessments" of people – identifying positive and negative characteristics in others

Two

Empathises with other's feelings and concerns, shaping the environment so that people feel positive and conflict is minimised.

- Perceptively goes beyond the explicit content and emotion by understanding and communicating the current, unexpressed or poorly expressed concerns and feelings
- Displays an in-depth understanding of the ongoing reasons for a person's behaviour or responses. Seeks to address and change things when these behaviours are negative or disruptive – shapes communications and drives changes to produce positive emotions and support
- Consults with people and strives to build bridges and to resolve conflict.

Three

Shows real understanding and deep insight when relating to others. Uses these abilities to change hearts and minds and build team spirit.

- Makes assessment of a person's strengths and weaknesses based on a deep understanding of the individual. Aligns their strengths to the demands and requests made of them
- Sponsors ongoing and regular forums where people can express their feelings. Takes these forward and addresses the source of negative emotions within and external to the organisation
- Pre-empts situations where strong, unhelpful emotions will be aroused. Educates others about the impact of their actions

Unacceptable behaviours

- Labels or stereotypes people, e.g. as "troublemakers" or "moaners"
- Complains about people's negative characteristics
- Seems oblivious to other people's emotions and doesn't listen to people
- Becomes impatient when people are emotional

Customer Focus

Why is it important?

We must strive to identify and meet the needs and desires of our customers, both inside and outside the council. Finding out what customers want by engaging and consulting with them must be central to our practices and we must then go on to deliver, keeping our promises and improving services. This competency is about placing the customer at the heart of our activities, listening to them and being prepared to do things differently to meet their needs.

One
Asks for feedback, responds to customer needs by taking action and ensures satisfaction. <ul style="list-style-type: none">• Identifies and understands who their real customers are. Takes time to listen to customers.• Proactively engages with customers to find out how to improve things.• Polite, helpful and considerate and does what they say they will, e.g. gets back to customer as promised
Two
Sets high standards for customer service and delivers, constantly looking for ways to make the service better. <ul style="list-style-type: none">• Takes actions to improve levels of customer service and challenges others to be more customer focussed.• Takes ownership of service delivery to meet customer needs and takes personal responsibility for resolving complaints• Consults and engages with community and customer groups to find best solution
Three
Drives customer delivery to be excellent. Creates ways of working and structures for continual improvements in customer service. <ul style="list-style-type: none">• Pushes for structural changes to ensure better service delivery for customers. New initiatives have customers at their centre• Establishes ongoing systems to consult and engage with customers and ensures that their views are fully taken into account in the planning of services• Works across service areas to improve customer care. Challenges others outside of own area to improve service delivery

Unacceptable behaviours
<ul style="list-style-type: none">• Thinks customers are a nuisance• Puts process or rules before customers – doing what is easy rather than what customer wants• Doesn't listen to customers – presumes that they know best• Not taking ownership of customers' problems. Passing the buck when problems arise



People management roles focus

- **Developing Potential**
- **Leading Change**

Developing Potential

Why is it important?

We need to develop and enhance people's capability to meet existing and new demands, especially if we are to continue to improve services and make Cardiff an even greater city. To reach and sustain high performance we need to invest time as well as resources in people development. This competency is about identifying and growing the talent pool to ensure we have the capability needed for the future. Actively and systematically identifying talent, engages people, enhances their motivation and therefore encourages performance.

One
Actively supports staff to do job ensuring they have the right resources and skills <ul style="list-style-type: none">• Provides “on the job” training to colleagues and staff. Supports people to complete tasks• Conducts skills based needs analysis and sends staff on appropriate courses• Makes helpful suggestions to colleagues and staff
Two
Values development of others that goes beyond task <ul style="list-style-type: none">• Coaches members of staff regularly to improve performance. Supports staff in their career progression and helps them acquire the skills needed for the future• Within sphere of control assesses and develops potential, undertakes career planning with individuals• Gives positive and negative feedback – de-personalises feedback by concentrating on specific situational examples
Three
Sponsors staff development beyond own work area and takes personal responsibility for staff development over the long term. <ul style="list-style-type: none">• Takes responsibility for encouraging the development of others both inside and outside the service area. Takes action to create a resource pool outside of the council with an eye for the council's long-term talent requirements• Actively coaches and mentors staff over a long period. Sponsors people's career, helping them to progress and add value• Seeks to develop people over a period of years – helping colleagues and staff to develop competencies and skills that equip them for leadership roles

Unacceptable behaviours
<ul style="list-style-type: none">• Doesn't believe staff can develop• Doesn't believe staff development is an integral and important part of their job• Removes tasks from members of staff when they are underperforming• Doesn't seek to understand staff's real development needs

Leading Change

Why is it important?

Creating and driving change will need strong leaders. Leaders will need to build ownership for change, create momentum, provide vision and win hearts and minds, especially when there is resistance. They will need to differentiate strongly between average and excellent performance and hold people to account. This competency is about taking responsibility for change, encouraging initiative and making the council's objectives real and relevant for team members. Individuals need to know how they can contribute and need protection from uncertainty.

One
Positive about change, manages change and encourages team spirit. <ul style="list-style-type: none">• Encourages staff to take initiative and delegates where possible. Shares information with team so that team members can act effectively• Conducts performance reviews and regular one-to-ones• Sets objectives for staff that result in or contribute to the change agenda
Two
Sets out a vision and rationale for change and is clear about the steps to get there. <ul style="list-style-type: none">• Brings the organisational vision down to a meaningful level for team and individuals. Provides a clear sense of priority. Connects individuals' objectives to the council's objectives.• Gives clear direction on how individuals and teams can improve performance• Consistently addresses under performance and challenges mediocrity
Three
Communicates a powerful agenda for organisational change. <ul style="list-style-type: none">• Simplifies a complex or ambiguous environment to provide a clear and compelling vision that others are able to buy into and act upon• Takes dramatic and symbolic actions to bring about change• Differentiates very clearly between excellent, average and poor performance and rewards people appropriately

Unacceptable behaviours
<ul style="list-style-type: none">• Sceptical and cynical about initiatives for change or the possibility of change• Tolerates mediocrity• Sidesteps change and hides behind precedent, process or hierarchy• Unapproachable and aloof from team



Advisory / cross functional and external focus roles

- **Initiating Change**
- **Organisation Awareness**
- **Partnering and Corporate Working**

Initiating Change

Why is it important?

Tapping creative ideas, shaping these and coming up with new ones is key to our success in the future. We must be able to take good ideas forward, taking direct action to grasp opportunities and address issues. This competency is about having the ability to look ahead, anticipate events, see opportunities and take action now to shape the future. We will succeed if we do so, gaining a reputation for being a truly excellent local authority and an example to others.

One
Heads off potential problems and acts on opportunities. <ul style="list-style-type: none">• Reacts to immediate obstacles and opportunities• Volunteers suggestions for improving services without needing to be asked• Applies common sense to solve problems and takes action accordingly
Two
Looks ahead and seizes opportunities, using best practice, adapting good ideas and coming up with new approaches. <ul style="list-style-type: none">• Adapts best practice (from inside or outside local government) to improve service delivery within Cardiff• Uses theories and own knowledge effectively to come up with and implement new approaches to improve customer service• Anticipates and takes action to create opportunities/avoid crises by looking ahead over at least a period of months. Is decisive in taking action in the face of a crisis
Three
Comes up with brand new ways of thinking and bold ideas to respond to opportunities that lie years ahead. Surveys trends and insists that the council adapts. <ul style="list-style-type: none">• Spots patterns and connections that others have not seen and uses this to transform service delivery• Comes up with breakthrough thinking (“never seen before”) and puts it into practice to revolutionise service to customers• Spots long-term opportunities (more than three years ahead) that will create positive change for customers and takes action to make these a reality

Unacceptable behaviours
<ul style="list-style-type: none">• Rigorously adheres to established ways of working “because its always been done that way” even when there are alternatives• “Shoots down” or discourages new ideas• Rarely makes improvement suggestions• Spots opportunities and doesn’t act on them

Organisational Awareness

Why is it important?

We need leaders and staff who understand the public service environment, know who to approach and how to get things done. This competency is about understanding formal and informal structures, decision-making, climate and culture and organisational politics, which shape how the council works. For success, we need people who can use this knowledge to win support and build coalitions for improvement and change.

NB: An organisation is defined as group of people working together

One

Understands the environment and how it affects effective working in own area. Forms relationships that will be useful.

- Recognises both the formal and informal structures of power and influence within an organisation. Uses this knowledge to build relationships with key decision makers/influencers
- Takes steps to understand the history and background to why things get done in the way they do
- Understands the rules, regulations and policies that govern one's own area and communicates their purpose and effect.

Two

Understands the environment – building relationships to get things done.

- Builds a network of individuals and cultivates relationships, based on an understanding of the informal (and formal) power structures, in order to get results
- Recognises unspoken or intangible organisational limitations – what is and is not possible at certain times or in certain positions. Challenges these when necessary and builds alliances for change
- Recognises and uses the corporate culture and language to produce the best results

Three

Uses depth and breadth of knowledge and contacts to build powerful alliances for wide and far reaching change. Builds relationships that will benefit the whole council and its position nationally and regionally.

- Recognises and addresses the reasons for ongoing organisational behaviour. Uses knowledge and relationships to shift the horizons of what is doable and desirable
- Recognises and responds to underlying and external forces affecting the organisation. Prepares and shapes the organisation's response
- Spots trends and changes – both internal and external – that will affect the organisation in the future. Cultivates relationships with key provincial and national institutions, bodies and individuals to protect and enhance the council's position

Unacceptable behaviours

- Recognises only the immediate hierarchies and chains of command
- Uninterested in using and cultivating networks
- Politically "clumsy" – creates resistance, fails to get things agreed
- Impatient or dismissive of "politics"

Partnering and Corporate Working

Why is it important?

Delivering excellent services will depend on individuals, teams and service areas to work cross-functionally. Partnering with external bodies is key to delivering our agenda and for making Cardiff an even greater city. Working towards a common goal by sharing information and valuing the expertise of others is crucial to the council's success in the future. This competency is about valuing, building and maintaining networks and relationships to achieve objectives.

One

Works with others readily and shares information.

- Participates effectively as member of a cross functional team
- Consults with colleagues in other areas of the Council to ensure that own work integrates with other projects and existing processes and systems
- Shares information and ideas openly both within own team and across council

Two

Proactively builds and cultivates relationships that foster partnerships and corporate working.

- Builds and maintains partnerships, acting to align all parties to a common purpose to improve service
- Proactively maintains contacts with a network of internal and external colleagues to enable service improvement and delivery
- Promotes and forms cross-functional teams to deliver service improvement

Three

Leads and orchestrates partnership and corporate working, across and outside the organisation. Creates real value by doing so.

- Forges and nurtures long-term partnerships with external organisations to deliver great improvement in service
- Thinks and acts on an organisation wide basis, leading cross-functional working
- Challenges and acts to change existing structures when they prevent corporate working

Unacceptable behaviours

- Works exclusively within own work area
- Doesn't share information
- Puts own service area' or team's needs ahead of needs of wider council
- Pays lip service to partnership working and does not see value in partnering with other organisations

PERSONAL DEVELOPMENT PREPARATION FORM

List your achievements in your personal development over the past 12 months and consider your own competency levels against the development objectives agreed.

WORK RELATED DEVELOPMENT

Consider all other aspects of your personal development. Use this space to record any other development needs, for example ICT, Project Management or role specific needs.

PERSONAL DEVELOPMENT PLAN

Current Strengths

Current Development Opportunities

Potential Solution

How Measured

Completion Date

Career Development Options