Effective Employee Appraisal and Management Development Update

Committee considering report:	OSMC 24th May 2022
Portfolio Member:	Councillor Tom Marino
Date Portfolio Member agreed report:	27 April 2022
Report Author:	Paula Goodwin
Forward Plan Ref:	n/a

1. Purpose of the Report

It is vital that the Council has the most effective staff development and performance management arrangements in place to deliver key services for our customers, both external and internal. The report seeks to demonstrate a change and enhancement to our approach to supporting leadership and management development, along with a review of the appraisal that ensures connectivity to WBC values and a clear new behaviour framework. This report also connects to the current WBC Workforce Strategy.

2. Recommendation.

For OSMC to note the information in the report and to consider whether any further scrutiny review is required.

3. Implications and Impact Assessment

Implication	Commentary
Financial:	Resource for a consultant to support the behaviour framework design and implementation has already been approved from a Leadership Development budget. Further budget may need to be considered for policy and process reviews that are required as a result of the outputs of the behaviour framework project and specifically for appraisal process and policy reviews. Funding is already available for the development and implementation of Leadership and Management Development training.
Human Resource:	As detailed in the report – HR will gain regular feedback on all development programmes and ensure they continue to meet individual, team and organisational needs.
Legal:	None
Risk Management:	None
Property:	None
Policy:	None

	Positive	Neutral	Negative	Commentary
Equalities Impact:				
A Are there any aspects of the proposed decision, including how it is delivered or accessed, that could impact on inequality?	x			It is intended there will be specific development programmes and coaching for women in leadership, and to support attendance by those from disadvantaged backgrounds.
B Will the proposed decision have an impact upon the lives of people with protected characteristics, including employees and service users?	x			Reviewing behaviours will highlight the positive behaviours that should be shown by all staff that support a diverse and inclusive culture.
Environmental Impact:		x		
Health Impact:		x		
ICT or Digital Services Impact:		x		
Council Strategy Priorities or Business as Usual:	x			Supports the delivery of the workforce strategy per section 6.3 of the Council Strategy. Support everyone to reach their full potential
Data Impact:		x		
Consultation and Engagement:	Paula Goodwin – HR Service Lead			

4. Executive Summary

Work has commenced to progress with a review of competencies underpinning the performance management framework and to remove the current competencies and/or develop a new behaviour framework for all employees as appropriate. This is an action on the Workforce Strategy. Currently the competencies are used as part of the appraisal process. This can be seen on the current appraisal form. Once the Behaviour Framework has been agreed which will hopefully be in May 2022, then a review of the appraisal process and policy can commence. This will also include cross referencing best practice in other organisations, whilst also taking account of the availability of

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digital platforms available and required to collate data on appraisals and personal development plans. This is only once policy change that will be considered as part of the Behaviour Framework implementation, but is the most relevant to this paper and update. The Behaviour Framework will also enable the further development of employee development options and most especially relating to Leadership and Managers programmes. In order to develop the programmes account will be taken of a recent Training Needs Analysis along with actions from the Workforce Strategy and feedback from the 2021 Employee Attitude Survey. Training and guidance will also be made available in undertaking 121 and appraisals and will be updated as processes and policies are reviewed and implemented.

5. Supporting Information

Introduction

5.1   The current WBC Values are as follows:

Integrity 'we act with integrity ensuring all decisions are lawful, transparent and impartial'

Customer focused 'we listen to our customers and do our best for them'

Fairness 'we will always treat everyone fairly'.

It is clear that these values are not promoted through current induction and onboarding arrangements and more could be done to ensure that all staff are able to identify how their role and their performance relates to these values.

5.2   The following table shows the WBC competencies:

	All employees	**Leaders of people**
When working with people	Display respect for customers/clients/colleagues Work as part of a team to achieve goals Listen to other points of view Deliver a high standard of customer service Communicate effectively	Understand stakeholders' motivation and objectives. Be a skilled influencer (communicate the vision and objectives, inspire and motivate, develop buy-in and trust). Expect, encourage and support high standards of performance from team members. Use a range of leadership styles appropriate to

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	All employees	**Leaders of people**
		individual team members and the situation Develop team working and a sense of common purpose; manage conflict
In relation to learning and development	Learn continually through experience. Seek opportunities to improve skills and understanding. Coach and guide colleagues.	Actively develop the team to meet current and future challenges. Encourage team members to reflect on experience and learning; actively encourage transfer of learning. Seek feedback on own performance to improve self awareness and own development needs.
In their approach to work	Focus on priorities Work to the best of his/her ability Strive to deliver high standards Use initiative and seek creative solutions Display integrity and openness Ensure own personal safety and that of others in the workplace	Be a role model (demonstrating drive, purpose, integrity, fairness, enthusiasm, openness, resilience) Adapt to change, taking prompt and appropriate remedial action where required
When managing performance		Set/agree clear objectives, and quality and performance measures (for tasks and staff). Monitor and evaluate budgets, staff performance, and objectives. Recognise good performance, and challenge underperformance and conduct.

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	All employees	**Leaders of people**
		Develop and empower team members to make decisions (coaching)

5.3 What is not clear from this competency framework is how this connects to the WBC values and strategic objectives of the organisation. It is also unclear as to what good and perhaps more controversially what bad might look like in meeting these competencies, and without that clarity it becomes harder to establish whether staff are showing these behaviours and if so to what extent and what could be improved upon. It was recently agreed as part of the review of the Workforce Strategy that there should be a review of these competencies. Many organisations are now moving away from competencies and implementing a behaviours framework, and this is what is being developed for WBC.

5.4 A behaviour framework sets the expectations of how individual employees go about doing day to day work. This is one framework and there would be specific management behaviours as well as those that would apply for all staff regardless of what job they were doing. All staff would have a corporate objective of role modelling the vales and behaviours of the council when developed. Appendix A provides an example that a Council have recently implemented. This would feed through all people processes in order to become fully embedded. This is especially important for recruitment where behaviours would be tested along with knowledge and skill to ensure organisational fit, as well as through induction, probation and appraisals as well as 121's. Some behaviours may be more relevant to some roles and the framework will be established to ensure that regardless of the role it will have the desired outcomes. During 121 and Personal Development Plan (PDP) conversations it is good practice to consider what the areas of strength are in terms of our behaviours, and if there are any areas of development/improvement. This will further embed the positive behaviours that the organisation wishes to embed. It would also be expected that staff would be evaluated on the behaviours as part of the appraisal process.

5.5 This proposal is seeking to achieve a greater level of leadership consistency and capability across WBC management, and to enhance career aspirations for those that might want to be a future manager or leader.

Background

5.6 The Council approved the Workforce Strategy at the Personnel Committee in September 2019 with an updated strategy being approved by Personnel Committee in December 2021.

5.7 The following is the extract from the workforce strategy in relation to the Leadership and Management theme:

Leadership & Management Development Programme	The Council already offers a wide range of development opportunities to its managers and senior leaders. These include qualifications through the apprenticeship route, from level 3 (Team Leader & Supervisor) through to the masters programme with Birmingham University in Strategic Public Management and Leadership. Short courses in specialist topics are also available in-house. The development of apprenticeship routes has diversified the development options available to managers and leaders, so we plan to review all the activities currently on offer to ensure that we are providing access to a comprehensive programme which meets the Council's needs and priorities. In addition to the current offer, there is a need for management and leadership development in-house to ensure that the Council's managers have the required skills in line with our competency framework, and a shared understanding of the expectations of those with management responsibilities across the organisation. We will procure any additional training which is deemed necessary and then publish as a full programme. By publicising the development opportunities more widely, we aim to support the career aspirations of all, and grow our own future leaders, in line with our ambitions.
Senior Leaders	To support and encourage progression into senior roles (at Tier 3 and above), the assistance and development available to staff moving into these roles will be set out clearly to ensure consistency, and in a way which can be used in recruitment to those posts. This will include, for instance, the offer of mentoring through SOLACE as a standard.
Management Induction	In order to ensure that new managers feel confident and supported, as well as having the information and confidence to undertake their people management roles, it is proposed that a management induction be established. This would

	consist of two days' training covering the competency framework for leaders of people (shown below) together with discussion of the Council's values of *Integrity, Customer Focused, and Fairness.* The aim would also be to improve management consistency and foster a positive and productive organisational culture, in line with our ambitions. Any further development needs should be identified through the appraisal process, which includes assessment against these competencies.
Manager Networks	To encourage further consistency in people management, it is proposed that manager networks be set up. The aim would be to connect a group of managers who could meet together, in person or virtually, and use their connections to share issues and learning in their management roles. It is hoped that these networks might encourage the sharing of good management practice and information, provide support, and act to increase knowledge and consistency across different services, also reducing the risk of silo working. The members of each network would have something in common e.g. first line managers. It is proposed that a pilot network be set up first with the aim of encouraging a wider take up after considering the learning for six months.

5.8 It should be noted that a project has already started on a pilot for an internal coaching framework as well as utilisation of SOLACE for external coaching options for senior leaders. In addition a project to look at career progression for women is reaching its conclusion. The new manager induction project is underway with a future aspiration to develop a managers' toolkit. All of this work needs to take account of WBC values and leadership and management competencies/behaviours.

Proposals

5.9 It was previously proposed to review the current competencies/behaviours in accordance with the workforce strategy requirements and to ensure that these meet future WBC organisational people aspirations and current organisational values. This will form the basis in determining the content of any Leadership and Management Development programmes as well as being intertwined into all people processes and will start to shape the future culture of the organisation where staff can live by WBC

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values and undertake their roles by showing WBC leadership competencies/behaviours.

5.10 Having the right leadership behaviours are essential to:

- **Increasing the productivity of each team:** Consistent leadership can motivate a team to greater performance.
- **Retaining people:** Employees are less likely to leave if they receive great leadership and mentorship in their current roles.
- **Nurturing future leaders**: Leadership behaviours are integral to develop and nurture future leaders within an organisation.

It should also be noted that a new behaviour framework will be able to focus on teamwork not only in individual teams but also for cross council teams where behaviours can be specified to meet this need. With the continuation of hybrid working by the use of Timelord 2, and greater use of digitalisation, this will also require staff to ensure more connectedness and a greater reliance on flexible team working to meet personal and organisational objectives. This will be considered as part of the review of the behaviour framework and subsequent policy review.

5.11 There will be a variety of processes that form part of a performance management framework. An example of this can be seen in Appendix D. Generally these would include at least induction, probation, recruitment, 121's, and appraisals although disciplinary and capability would also be part of this too.

5.12 It is important that behaviours are included in these processes to thoroughly embed not just the knowledge and skill requirements but the how in terms of the way employees should undertake their role. Managers will then need to provide regular feedback to employees on how they doing to meet objectives but also how they behave in meeting behavioural standards to ensure there is an ambition of excellent and consistent performance and a motivated and happy workforce who meet organisational objectives and standards.

5.13 At present some of the above policies and procedures mention the current competency framework and appraisal is a good example of that. The new behaviour framework will provide clarity on what good behaviour looks like and what poor behaviour might also look like to ensure that this is absolutely clear to both manager and employee. Employees can be provided with positive feedback when performance and behaviours meet required standards or above and vice versa can more easily manage poor performance. In order to ensure that staff are provided with effective feedback in relation to their performance including how they behave against the behaviour framework then appropriate 'measure' will need to be considered to establish this. Once the framework is approved then an appropriate measure for performance management policies such as appraisals will be considered. It is suggested that this is not based on a numeric scoring system but levels such as 1-4 based on a range of words from does not meet/not completed, partially meets, meets, exceeds and this 'measure' can be used for recruitment as well as all other people policies to ensure consistency of approach an ease of use. This is especially important as this will be a new framework.

5.14 Time will need to be allowed to fully implement any changed processes and to allow time to fully embed the changes along with appropriate training for managers and

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employees. This is likely to take a year when a review of the impact of the changes is advisable and further changes made if required. There is also a review of processes to look at better data collection and digitalisation to help inform performance management for the organisation. Next steps will include:

- Agree behaviour framework and consider implementation plan – May/June 2022;
- Development of Leadership Development, Management Development and Aspiring Managers programmes between July to October 2022;
- Review reward and recognition arrangements and consider how these can support engagement with the behaviour framework and promote a positive work culture from July 2022 onwards;
- Review affected policies and procedures and consider changes to embed behaviour framework by July 2022 (Note: to consider use of digital approaches where possible and use of data collection to allow reviews of effectiveness of these changes ;
- Consult on new policies and procedures by October 2022;
- Implement new/updated policies and procedures including appropriate training and support for all employees from October 2022;
- Review new arrangements based on available data from January to March 2023.

6 Other options considered

Approval to develop and implement a new behaviour framework has been approved. As part of the implementation process consideration will be given to changes that need to be made and how best to engage with staff to make the changes successful.

7 Conclusion

That progress is being made on developing and proposing changes to the current performance management framework including appraisals that will support a more robust, clear and consistent approach. This will enhance the current performance management arrangements by ensuring staff are celebrated for their excellent performance, and to manage those few employees that have poor performance with clear and consistent guidance and management arrangements. Performance management should be about supporting everyone to perform at their best and these new arrangements are intended to achieve that by being open, honest and consistent.

8 Appendices

Appendix A – Example of a leadership behaviours framework.

Appendix B – Equality Impact Assessment - Stage One

Appendix C - Data Protection Impact Assessment – Stage One

Appendix D – Performance Management Framework

Appendix A

Example of a Behaviour Framework

Organisational Statement

I believe that success in any organisation is achieved not just by '**what we do**' but also '**how we do it**'.

I want us all to continue to build our confidence and competence and be proud of what we've achieved and how we achieved it. I expect all staff to be focused on delivering our priorities, while behaving in a way that defines us as a highly regarded public service that people want to work for and with. Our behaviour framework provides us with a common language for **how** we go about our daily work alongside our PDP objectives that describe **what** we do; helping us to manage and improve our performance to build a better, more effective organisation with better outcomes for our customers and stakeholders.

The framework applies to all of us no matter what general or specialist skills our job requires. It is a tool to help us and will enable us to identify the behaviours we need to do our job to the highest standard, but also to recognise and feel comfortable addressing behaviours that don't. It includes two sections that set out what we expect of our managers and leaders – Leading and Managing Teams and Services.

Part of our people promise to you is that we will offer you opportunities to do your best, and be a great place to work so that we can do our best for the towns and parishes. You and your manager will use your PDP and performance reviews to help you do well in your current job, and also allow you to identify what you could do to progress into a new role, should you want to. I hope you will experience the benefits of focusing our efforts not just on what we do, but how we do it.

Respect

Creating a fair and inclusive workplace and recognising the value and needs of everyone.

- I value people as individuals regardless or their job role or grade.
- I am polite and respectful to everyone.
- I listen to people when they speak and don't talk over them.
- I speak up if I hear language or see behaviour that is offensive or discriminatory.
- I am aware of the assumptions I make about people.
- I do not purposefully exclude or discriminate against anyone.
- I manage my emotions and their impact on others.
- I handle confidential matters and information discreetly and within set guidelines.
- I do my best to resolve conflict considerately at work.
- I am prepared for meetings and engaged with what people are saying.

Our People Promise

Respect · Collaboration · Efficiency · Openness · Creativity · Customer Focus

Our Behaviours

Performance & Accountability

Collaboration

Working with others and contributing to the creation of successful teams and partnerships.

- I recognise the value of working with people from different backgrounds with different views.
- I look for opportunities to work with a range of other people/organisations to be able to deliver what is needed.
- I share key messages and information with the right people.
- I think about who I am talking to so I can plan what I am going to say, and how I'm going to say it.
- I connect with colleagues who I know are working on similar projects to prevent duplication.
- I am open others' ideas, trusting, and create good working relationships.
- I offer my time, skills and knowledge to others when I can.
- I problem solve with others to find the best solutions.
- I think about the most efficient and inclusive way to communicate with people.

Our People Promise

Respect · Collaboration · Efficiency · Openness · Creativity · Customer Focus

Our Behaviours

Performance & Accountability

Openness

Communicating with honesty about ourselves and our service. **Accept where we have to change** in order to **improve.**

- I can be open about who I am at work.
- I identify and manage my own emotions.
- I have regular, honest conversations with my manager about my health, safety and wellbeing at work.
- I embrace new ideas and ways of working.
- I am honest about my development needs and when I need help.
- I look for opportunities to learn and improve myself.
- I listen to feedback and demonstrate how I have taken it on board.
- I recognise that I can learn from others and that I can help others to learn.
- I am open to being challenged.

Our People Promise

Respect Collaboration Efficiency Openness Creativity Customer Focus

Performance & Accountability

Our Behaviours

Efficiency

Working in a way that makes the best use of resources and asking ourselves **'How can I improve that?'**

- I am on time and prepared for work.
- I scrutinise evidence, data and risks before I make a decision or a recommendation.
- I regularly review how we do things and think about what could make it better.
- I speak to the right person if there are any problems I can't solve myself.
- When things go wrong I think about why, and what I could have done differently.
- I plan my work so that I can deliver what is needed on time.
- I am willing to take considered risks to deliver better results.
- I show determination in delivering services despite any set backs.
- I do what is required of me in my role and want to do a good job.
- I maximise the benefits of new technology in service improvement.

Our People Promise

Respect Collaboration Efficiency Openness Creativity Customer Focus

Performance & Accountability

Our Behaviours

Creativity

Sharing ideas that **challenge** the 'tried & tested', **using evidence** of **what works** and **listening** to **feedback.**

- I share my ideas and experience.
- I give credit to people for their ideas.
- I listen to feedback from others and make good use of it.
- I think about what would deliver the best outcome not just how we've always done things.
- I seek a diverse range of views so we can be more creative and innovative.
- I am flexible and try things out, knowing that I can then learn and improve things.

Our People Promise

Respect | Collaboration | Efficiency | Openness | Creativity | Customer Focus

Performance & Accountability

Our Behaviours

Customer Focus

Delivering our Customer Promise & Customer Experience Vision – **'Getting things right first time, every time'.** For internal customers as well as external customers.

- I make it clear how customers can contact or access our service.
- I am clear in my communication and treat all customers with politeness and respect.
- I take the time to understand individual customer needs and then get things done.
- I respond to customer contacts across all channels (e.g. email, telephone, face to face, post, social media) in a timely way.
- I provide the best service to meet different customers needs across all personal characteristics, backgrounds and identities.
- I apologise to customers if mistakes are made, and I try my best to put them right as soon as possible.
- I play an active role in the council's work to improve customer experience including learning from our customers' feedback.
- I make sure the customer's experience when contacting the council is as seamless as possible by working with colleagues in the ethos of 'One Council'.
- I am honest with customers about what we can and can't do for them and always explain why.
- I make it clear that my service is a safe and inclusive environment for all customers and colleagues.

Our People Promise

Respect | Collaboration | Efficiency | Openness | Creativity | Customer Focus

Performance & Accountability

Our Behaviours

Leading and managing the delivery of Our People Promise; building strong and resilient teams.

Leading & managing teams

- I strive to lead a diverse team so that our workforce reflects and understands our diverse city.
- I make time for our team to come together regularly and listen to what they have to say.
- I coach and mentor my team, helping them to reach their full potential.
- I recognise and celebrate good performance.
- I am fair and consistent when applying employee policies and procedures.
- I create a supportive environment that encourages people to be themselves at work.
- I involve people when making decisions that will affect them.

- I make it clear that language or behaviour that is offensive or discriminatory will not be tolerated.
- I take the time to get to know my team's strengths and what motivates them, so we can be the best we can be together.
- I take responsibility for my development and support my team to do the same.
- I take responsibility to manage unsatisfactory performance.
- I am comfortable having difficult conversations with my team when needed.
- I empower people to be creative and make considered decisions.
- I support my team to manage their health, safety and wellbeing.

Our People Promise

Respect | Collaboration | Efficiency | Openness | Creativity | Customer Focus

Performance & Accountability

Our Behaviours

Leading and managing the delivery and development of services; working as one big team delivering the council's priorities.

Leading & managing services

- I take advantage of social, cultural, environmental and technological change to establish the most effective and efficient delivery of our service.
- I communicate what needs to be achieved clearly so that people understand their role in delivering the service.
- I manage my budget with integrity and care.
- I look ahead to anticipate change and take time to plan for the future.
- I take accountability to ensure sound governance of our organisation.
- I create opportunities to work with partners in the City, other councils and regional bodies.

- I am politically savvy and astute.
- I monitor the progress of our business plans and KPIs.
- I consider how we could generate income to re-invest in services.
- I am open and honest about change, helping others find the opportunities it brings.
- I consider potential risks and opportunities before I make any decisions.
- I work proactively to engage with our customer and understand their diversity to ensure needs are met.

Our People Promise

Respect | Collaboration | Efficiency | Openness | Creativity | Customer Focus

Performance & Accountability

Our Behaviours

Appendix B

Equality Impact Assessment - Stage One

We need to ensure that our strategies, polices, functions and services, current and proposed have given due regard to equality and diversity as set out in the Public Sector Equality Duty (Section 149 of the Equality Act), which states:

(1) *A public authority must, in the exercise of its functions, have due regard to the need to:*

   (a) *eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under this Act;*

   (b) *advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; This includes the need to:*

      (i) *remove or minimise disadvantages suffered by persons who share a relevant protected characteristic that are connected to that characteristic;*

      (ii) *take steps to meet the needs of persons who share a relevant protected characteristic that are different from the needs of persons who do not share it;*

   (c) *foster good relations between persons who share a relevant protected characteristic and persons who do not share it, with due regard, in particular, to the need to be aware that compliance with the duties in this section may involve treating some persons more favourably than others.*

(2) *The steps involved in meeting the needs of disabled persons that are different from the needs of persons who are not disabled include, in particular, steps to take account of disabled persons' disabilities.*

(3) *Compliance with the duties in this section may involve treating some persons more favourably than others.*

The following list of questions may help to establish whether the decision is relevant to equality:

- **Does the decision affect service users, employees or the wider community?**

- **(The relevance of a decision to equality depends not just on the number of those affected but on the significance of the impact on them)**

- **Is it likely to affect people with particular protected characteristics differently?**

- **Is it a major policy, or a major change to an existing policy, significantly affecting how functions are delivered?**

- **Will the decision have a significant impact on how other organisations operate in terms of equality?**

- **Does the decision relate to functions that engagement has identified as being important to people with particular protected characteristics?**

- **Does the decision relate to an area with known inequalities?**

- **Does the decision relate to any equality objectives that have been set by the council?**

Please complete the following questions to determine whether a full Stage Two, Equality Impact Assessment is required.

What is the proposed decision that you are asking the Executive to make:	N/A
Summary of relevant legislation:	N/A
Does the proposed decision conflict with any of the Council's key strategy priorities?	No
Name of assessor:	Paula Goodwin
Date of assessment:	30 November 2021

Is this a:		Is this:	
Policy	No	**New or proposed**	No
Strategy	No	**Already exists and is being reviewed**	Yes
Function	No	**Is changing**	Yes
Service	No		

What are the main aims, objectives and intended outcomes of the proposed decision and who is likely to benefit from it?	
Aims:	To improve the clarity around expected behaviours for all employees
Objectives:	Updated competency framework
Outcomes:	As above and a review of all performance management processes affected.
Benefits:	More engaged employees and more consistent and better performance to meet customer needs.

Note which groups may be affected by the proposed decision. Consider how they may be affected, whether it is positively or negatively and what sources of information have been used to determine this.

(Please demonstrate consideration of all strands – Age, Disability, Gender Reassignment, Marriage and Civil Partnership, Pregnancy and Maternity, Race, Religion or Belief, Sex and Sexual Orientation.)

Group Affected	What might be the effect?	Information to support this
Age	More inclusive and equality lead behaviours.	Staff survey results
Disability	More inclusive and equality lead behaviours.	Staff survey results
Gender Reassignment	More inclusive and equality lead behaviours.	Staff survey results

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Marriage and Civil Partnership	More inclusive and equality lead behaviours.	Staff survey results
Pregnancy and Maternity	More inclusive and equality lead behaviours.	Staff survey results
Race	More inclusive and equality lead behaviours.	Staff survey results
Religion or Belief	More inclusive and equality lead behaviours.	Staff survey results
Sex	More inclusive and equality lead behaviours.	Staff survey results
Sexual Orientation	More inclusive and equality lead behaviours.	Staff survey results

Further Comments relating to the item:
A review and change to the competency framework to align with clarity around positive behaviours expected from staff.

Result	
Are there any aspects of the proposed decision, including how it is delivered or accessed, that could contribute to inequality?	**No**
Please provide an explanation for your answer:	
Will the proposed decision have an adverse impact upon the lives of people, including employees and service users?	**Yes**
Please provide an explanation for your answer: Will encourage positive behaviours.	

If your answers to question 2 have identified potential adverse impacts and you have answered 'yes' to either of the sections at question 3, or you are unsure about the impact, then you should carry out a Stage Two Equality Impact Assessment.

If a Stage Two Equality Impact Assessment is required, before proceeding you should discuss the scope of the Assessment with service managers in your area. You will also need to refer to the [Equality Impact Assessment guidance and Stage Two template](#).

Identify next steps as appropriate:	
Stage Two required	
Owner of Stage Two assessment:	
Timescale for Stage Two assessment:	

Name: **Date:**

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Please now forward this completed form to Rachel Craggs, Principal Policy Officer (Equality and Diversity) (rachel.craggs@westberks.gov.uk), for publication on the WBC website.

Appendix C

Data Protection Impact Assessment – Stage One

The General Data Protection Regulations require a Data Protection Impact Assessment (DPIA) for certain projects that have a significant impact on the rights of data subjects.

Should you require additional guidance in completing this assessment, please refer to the Information Management Officer via dp@westberks.gov.uk

Directorate:	Strategy and Governance
Service:	HR
Team:	HR
Lead Officer:	Paula Goodwin
Title of Project/System:	Review of competency framework
Date of Assessment:	30 November 2021

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Do you need to do a Data Protection Impact Assessment (DPIA)?

	Yes	No
Will you be processing SENSITIVE or "special category" personal data? Note – sensitive personal data is described as "*data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs, or trade union membership, and the processing of genetic data, biometric data for the purpose of uniquely identifying a natural person, data concerning health or data concerning a natural person's sex life or sexual orientation*"	☐	☒
Will you be processing data on a large scale? Note – Large scale might apply to the number of individuals affected OR the volume of data you are processing OR both	☐	☒
Will your project or system have a "social media" dimension? Note – will it have an interactive element which allows users to communicate directly with one another?	☐	☒
Will any decisions be automated? Note – does your system or process involve circumstances where an individual's input is "scored" or assessed without intervention/review/checking by a human being? Will there be any "profiling" of data subjects?	☐	☒
Will your project/system involve CCTV or monitoring of an area accessible to the public?	☐	☒
Will you be using the data you collect to match or cross-reference against another existing set of data?	☐	☒
Will you be using any novel, or technologically advanced systems or processes? Note – this could include biometrics, "internet of things" connectivity or anything that is currently not widely utilised	☐	☒

If you answer "Yes" to any of the above, you will probably need to complete Data Protection Impact Assessment - Stage Two. If you are unsure, please consult with the Information Management Officer before proceeding.