

## Integrated Impact Assessment (IIA)

### Part 1 Scoping

#### 1 Details of the Proposal

<b>Title of Proposal:</b>	Scottish Borders Council Appraisal Process incorporating Competency Framework
<b>What is it?</b>	A revised practice
<b>Description of the proposal:</b> (Set out a clear understanding of the purpose of the proposal being developed or reviewed (what are the aims, objectives and intended outcomes (including the context within which it will operate)).	<p>Following on from the previous Equality Impact Assessment completed in 2017, the singular electronic appraisal form on Business World has been established within SBC as the main evaluation process for employees and managers. Re-evaluation of the New Appraisal Process with Competency Framework was to be carried out five years after the initial EIA completion, hence this review.</p> <p>The original goals for the Appraisal process with Competency Framework were to enhance employee performance through growth &amp; personal development, whilst ensuring that Managers and Employees felt confident using the: Competency Framework, Appraisal Process, and Objectives &amp; Development plans. In order for these goals to be met, a restructure and simplification of the literature and supporting materials for the appraisal form must be carried out. The appraisal process will still see that all employees are evaluated on two areas: how well the Six Competencies are displayed in day to day work (in other words the way in which we do our job), and the individual objectives agreed within the Appraisal (the 'what' we are doing, which comprises our contribution to the SBC Business Plan to deliver the Corporate Priorities).</p> <p>Similarly, the Competency Framework will give consistency and guidance for all Employees and Managers.</p> <p>The benefits of the Competency Framework for Scottish Borders Council remain the same, they are:</p>

	<ul style="list-style-type: none"> <li>• Clearer, shared expectations for great service provision</li> <li>• Increase in quality &amp; consistency of SBC's Managerial skills</li> <li>• Increase in quality &amp; quantity of completed Appraisal</li> <li>• Individual &amp; team development is closer aligned to Service delivery</li> <li>• Greater consistency &amp; quality of Change projects linked to Service outcomes</li> <li>• Continuous Improvement to resolve recurring problems &amp; avoid duplication of effort.</li> <li>• A workforce that is more engaged, effective &amp; responsive to change.</li> </ul> <p>The intended development upon the Equality Impact Assessment carried out in 2017, is to streamline the literature and supporting materials for the Appraisal Process. The simplified version of the Appraisal Principles &amp; Guidance document will contain similar explanatory guidance, whilst re-structuring it to become more user friendly and accessible to all employees at SBC. The focus of the documents rework will be upon "usability", attempting to make the Appraisal Process as efficient and time-saving as possible: in an attempt to increase the usability for employees in all services and departments.</p>
<b>Service Area: Department:</b>	HR – Organisational Development (OD)
<b>Lead Officer:</b>	Erick Ullrich - Organisational Development/HR Manager
<b>Other Officers/Partners involved:</b>	Joe Bridges – MA Organisational Development Simone Doyle – Equality & Diversity Officer (HR)
<b>Date(s) IIA completed:</b>	22.03.2022, 26.05.2022, 24.06.2022, 18.08.2022, 31.08.2022, 29.09.2022.

**2 Will there be any cumulative impacts as a result of the relationship between this proposal and other policies?**

No
If yes, - please state here:

**3 Legislative Requirements**

<b>3.1 Relevance to the Equality Duty:</b>	
Do you believe your proposal has any relevance under the Equality Act 2010?	
<b>Equality Duty</b>	<b>Reasoning:</b>
<b>Elimination of discrimination (both direct &amp; indirect), victimisation and harassment.</b>	<p>Yes – All employees and managers are required to participate in the Appraisal process. No-one will be excluded. The Competency Framework sets out examples of the positive standards of behaviours to deliver our roles. These reflect the Values, Aspirations &amp; Standards of Scottish Borders Council e.g. Be fair, equal &amp; open, respect for all and support the delivery of our 8 Corporate Priorities.</p> <p>There is a specific competency based on “Diversity” which should positively impact all staff and work towards the elimination of discrimination, victimisation and harassment.</p>

<p><b>Promotion of equality of opportunity</b></p>	<p>Yes -The Appraisal Guide sets out managers' and staff responsibilities which should enable implementation. Reference is made to the Corporate Priorities, reflecting Values, Aspirations &amp; Standards of Scottish Borders Council which support the expected behaviours outlined in the competency framework.</p> <p>The specific competency based on "Diversity" promote and strives to maintain a positive culture of respect for all employees, customers, partners &amp; stakeholders feel valued as individuals, can give their best and participate in Services. We embrace the values &amp; benefits of a diverse living and working environment.</p> <p>Employees should feel valued as individuals and able to give their best in a safe environment working effectively, competently and confidently. Staff reflect the community and enable our customers &amp; communities to engage in our Services</p>
<p><b>Foster good relations</b></p>	<p>Yes -The Appraisal Process with Competency Framework will raise awareness of unacceptable behaviour and will assist the Council in the advancement of equality and diversity, prevention of discrimination for all people who share protected characteristics. The specific competency based on "Diversity" will assist in fostering good relations between different equality groups.</p>

**3.2 Which groups of people do you think will be or potentially could be, impacted by the implementation of this proposal? (You should consider employees, clients, customers / service users, and any other relevant groups)**

Please tick below as appropriate, outlining any potential impacts on the undernoted equality groups, this proposal may have and how you know this.

	Impact			Please explain the potential impacts and how you know this
	No Impact	Positive Impact	Negative Impact	
<b>Disability</b> e.g. Effects on people with mental, physical, sensory impairment, learning disability, visible/invisible, progressive or recurring		X		The Appraisal Process with Competency Framework will be accessible with regards to facilities and locations. Where requested reasonable adjustments will be made in order to ensure participation in the process.  It is anticipated that the impact will be positive, as the Appraisal Process with Competency Framework and roll-out plan will be delivered to ensure that all of these protected characteristics will have access: in addition, the process will be consistently applied.
<b>Age</b> Older or younger people or a specific age grouping		X		
<b>Gender Reassignment Trans/Transgender Identity</b> anybody whose gender identity or gender expression is different to the sex assigned to them at birth		X		
<b>Marriage or Civil Partnership</b> people who are married or in a civil partnership		X		
<b>Pregnancy and Maternity</b> (Pregnancy is the condition of being pregnant/expecting a baby. Maternity refers to the period after the birth, and is linked to maternity leave in the employment context. In the non-work context, protection against maternity discrimination is for 26 weeks after giving birth),		X		

<b>Race Groups:</b> including colour, nationality, ethnic origins, including minorities (e.g. gypsy travellers, refugees, migrants and asylum seekers)		X		
<b>Religion or Belief:</b> different beliefs, customs (including atheists and those with no aligned belief)		X		
<b>Sex</b> women and men (girls and boys)		X		
<b>Sexual Orientation</b> , e.g. Lesbian, Gay, Bisexual, Heterosexual		X		
<p><b>3.3 Fairer Scotland Duty</b></p> <p>This duty places a legal responsibility on Scottish Borders Council (SBC) to actively consider (give due regard) to how we can reduce inequalities of outcome caused by socioeconomic disadvantage when making <u>strategic</u> decisions.</p> <p>The duty is set at a strategic level - these are the key, high level decisions that SBC will take. This would normally include strategy documents, decisions about setting priorities, allocating resources and commissioning services.</p>				
<p><b>Is the proposal strategic?</b></p> <p>Whilst the Appraisal process and Competency Framework is strategic. For the purposes of this Integrated Impact Assessment it is deemed not relevant to the Fairer Scotland Duty due to the processes and procedures being solely internal matters.</p> <p>If No go to Section 3.4</p>				
<p><b>If yes, please indicate any potential impact on the undernoted groups this proposal may have and how you know this:</b></p>				
	<b>Impact</b>			<b>State here how you know this</b>
	<b>No Impact</b>	<b>Positive Impact</b>	<b>Negative Impact</b>	
<b>Low and/or No Wealth</b> – enough money to meet basic living costs and pay bills but have no	X			

savings to deal with any unexpected spends and no provision for the future.				
<b>Material Deprivation</b> – being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure and hobbies	X			
<b>Area Deprivation</b> – where you live (rural areas), where you work (accessibility of transport)	X			
<b>Socio-economic Background</b> – social class i.e. parents' education, employment and income	X			
<b>Looked after and accommodated children and young people</b>	X			
<b>Carers</b> paid and unpaid including family members	X			
<b>Homelessness</b>	X			
<b>Addictions and substance use</b>	X			
<b>Those involved within the criminal justice system</b>	X			

#### 4 Full Integrated Impact Assessment Required

If a full impact assessment is not required briefly explain why there are no effects and provide justification for the decision.

The original Appraisal process with Competency Framework had a positive Equality Impact Assessment completed in 2017. The EIA stated that:

*“This is a new appraisal process with a competency framework and at this stage it is anticipated that there will be no negative implications.*

*No employees will be excluded from the appraisal process; however there is awareness that there is currently an IT infrastructure upgrade due to take place which will enable those who do not have access to IT equipment currently to undertake the new electronic appraisal system. The roll-out of the appraisal process will be delivered around the implementation of this IT upgrade as it becomes available.*

*Therefore the recommendation is that there is no need for a full equality impact assessment. However as this is a new appraisal process there will be a re-evaluation of its content, delivery and if it has achieved its objectives.”*

Following on from the previous EIA, this equality assessment similarly flags no issues concerning inclusion and equality concerns. Furthermore, the intended simplification of the literature and supporting materials is in a bid to become more inclusive and accessible for all employees at SBC.

The Appraisal process and the Competency Framework has been piloted within SBC ahead of a corporate launch. Evidence so far indicates that both process implemented fairly and consistently should meet our equality obligations.

Both the Appraisal process and the Competency Framework are accessed electronically. To ensure that all employees have access to the electronic systems, SBC are currently piloting “*Total Mobile*” (TM). A key aspect of TM is to provide electronic access to posts that aren’t typically on site. The utilisation of TM will ensure that access to technology and electronic communication is equal for all employees.

It is therefore recommended that the Appraisal process and Competency Framework be implemented within SBC. Furthermore in keeping with HR monitoring processes both the Appraisal and Competency Framework will be reviewed on an annual basis to ensure that they remain relevant, fit for purpose and through the implementation of TM are accessible to all.

<b>Signed by Lead Officer:</b>	<b>Erick Ullrich</b>
<b>Designation:</b>	<b>Organisational Development Manager</b>
<b>Date:</b>	<b>29<sup>th</sup> September 2022</b>
<b>Counter Signature Service Director</b>	<b>Clair Hepburn</b>
<b>Date:</b>	<b>23<sup>rd</sup> October 2022</b>



