

Appraisal Principals & Guidance

“Golden Thread”



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Introduction

SBC has designed a new Appraisal System & Competency Framework to work together and to support the “Fit for 2024” modernisation and transformation agendas through the development of an organisational culture that enables more effective, performing teams and supports and encourages employee to be flexible, customer focused & committed to delivery of quality and excellent services.

All employees and managers are required to participate in the Appraisal & Competency Framework. The outcomes and development plans can now be recorded on Business World.

The Appraisal is the method of evaluating this with the employee, along with agreeing & monitoring individual SMART objectives and producing individual development plans. The Competency Framework sets out examples of the positive standards of behaviours to deliver our roles, which reflect the behaviours of successful, performing teams.

SBC’s purpose is to deliver Public Services, and everything we do directly or indirectly, underpins Corporate & Service objectives, thereby contributing to delivering and continuously improving our Services, so we can improve outcomes for people in the Scottish Borders. When all our teams are successfully playing their part to deliver the commitments we have made in our SBC Corporate Plan and ‘Fit for 2024’, with an ethos based on shared values, we know we are at our most effective.

The Competency Framework & Appraisal Working Together

COMPETENCY FRAMEWORK

HOW we do our jobs

This is measured by how well the 6 Competencies (below) are displayed in our day to day work

Great Service

Change

Working Together

Diversity

Communication

Performance

In an Appraisal meeting employees are evaluated on two main areas of performance

SMART OBJECTIVE

WHAT we are doing

Agreeing & setting SMART objectives that reflect our role purpose & key tasks. These may be Role, Development, Service & Corporate objective, appropriate to the Role

Role & Remit Objectives

Development Objectives

Service Objectives

Corporate Objectives

Appraisal Outcome

Manager & Employee Responsibilities

	Manager Responsibilities	Employee Responsibilities
Appraisal meeting outcomes & Agenda	<p>Keep in mind the outcomes of the Appraisal meeting, and use this as an Agenda :</p> <ul style="list-style-type: none"> • Agreeing the performance of SMART objectives to date, and the rating. • Setting and agreeing future SMART objectives. • Agreeing the performance against the Competency Framework 'behaviours' - positive & negative. • Agreeing any areas for improvement against the Competency Framework for the coming year. • Reviewing the success and effectiveness of Employee training & development to date. • Agreeing new areas for training & development and any support needed for the Development plan. • Ensuring the Employee knows to update SMART objectives, Competency Framework ratings and development plan in Business World, and to send to you for approval. 	
Day to Day Line Management	<ul style="list-style-type: none"> • Develop a constructive relationship with your team. • Continuously improve your Management skills & ability to engage your team. • Communicate the overall direction of the Organisation & Service in relation to your team and to clarify expectations & standards. • Continuously develop your team and give on-going constructive guidance & feedback on Competencies, SMART objectives and development plans. • Ensure you and your team are confident with the Appraisal & Competency Framework, through team meetings & one to ones. • Ask employees to self-assess themselves against their SMART objectives, the behaviours in the Competency Framework & development plan progress. • Carry out constructive Appraisal meetings with your direct reports on an annual basis. 	<ul style="list-style-type: none"> • Continuously improve your own Skills & Competencies. • Clarify anything that is unclear in relation to expectations, regarding your role, Competencies ('behaviours') Service & Corporate direction. • Agree your individual SMART objectives with your line manager for your development and delivery of Service & Corporate objectives. • Ensure you understand and are confident with the Appraisal & Competency Framework. • Self-assess your own performance of your SMART objectives & 'behaviours' in the Competency Framework. • Attend Appraisal meetings annually with your line manager, prepare in advance & contribute constructively.

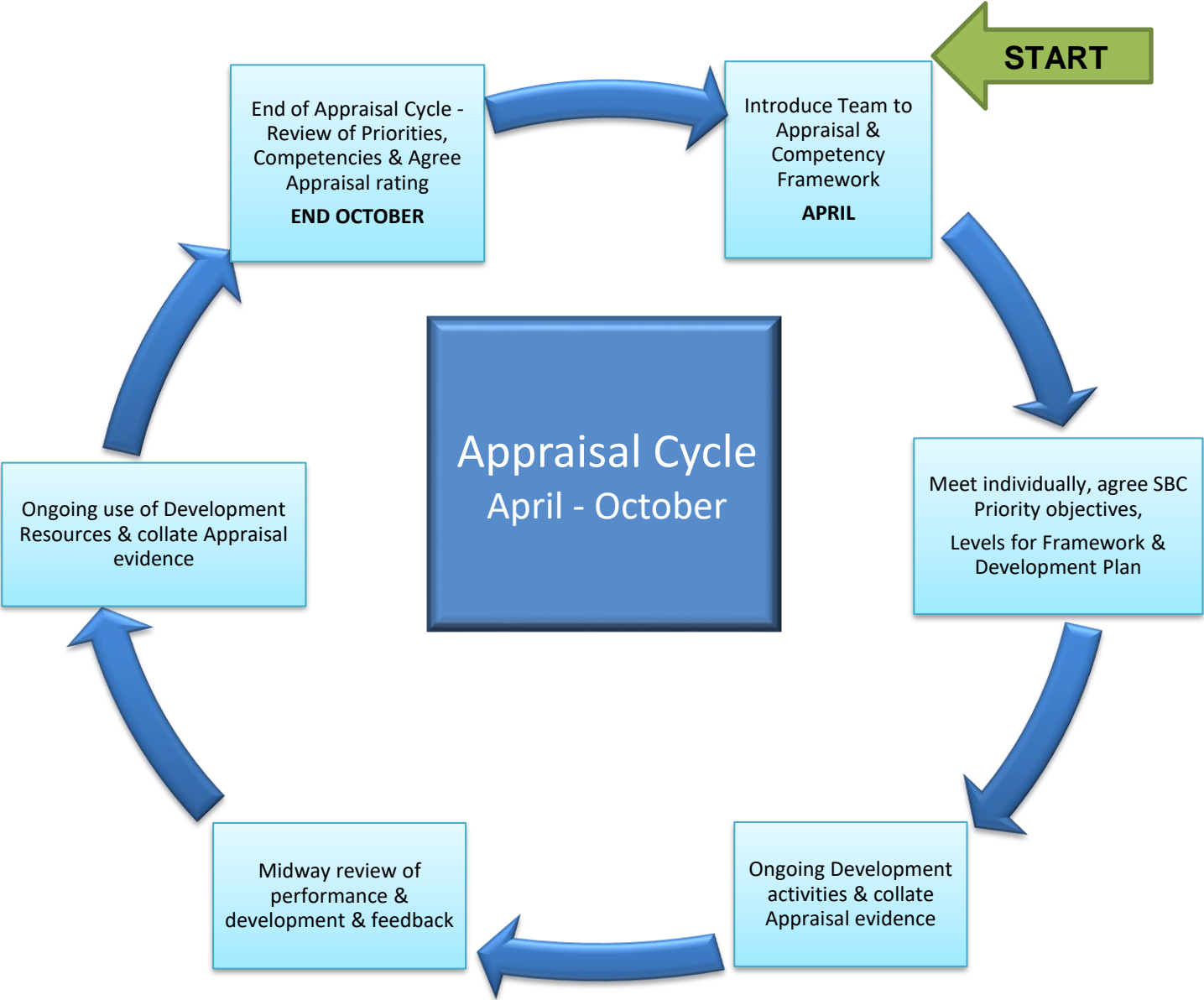
Preparing for the Appraisal Meeting	<ul style="list-style-type: none"> • Arrange to meet confidentially. • Use an agenda (see top of table, above). • Note the key areas of performance, SMART objectives & Competency Framework behaviours with examples and observations (if SMART objectives haven't been formally set yet, use the key purpose and tasks from the Recruitment Profile to identify key areas of work). • Consider what the new SMART objectives will be. • Note how well the employee performed in relation to positive & negative Competency Framework 'behaviours' with examples. • Identify factors which may enable or inhibit performance • Have an up to date Recruitment Profile (job description). • Have a note of the Development plan (or main activities). • Where you use a team Training matrix, have it with you to identify progress to date and any further development. • Ask your Employee to self-assess before the meeting, on how they feel they have performed SMART objectives, the Competency Framework behaviours and the development plan. This will be helpful where there is a difference of opinion on level of performance. 	<ul style="list-style-type: none"> • Prepare an update on what you have achieved for your Appraisal meeting, e.g. SMART objectives, the 'behaviours' in the Competency Framework and any areas for improvement. • Prepare what you think you will need in terms of training & development with your manager, and what you can do yourself, which may include potential future roles. • Identify factors which may enable or inhibit your performance. • Identify anything new or different you need from your Manager. • Have an up to date Recruitment Profile (Job description).
During the Appraisal Meeting	<ul style="list-style-type: none"> • Follow the agenda format. • Engage & encourage your Employee to give feedback, especially if they are feeling anxious. • Discuss factors that may affect performance (inhibitors & enablers). • Ask if they need anything different from you as line manager. • Listen, ask exploring questions, remain non-judgemental, be factual and share relevant observations. • Also ask your employee to think of areas for improvement, i.e. their thoughts on the last year – what's gone well, what's not gone so well, what the barriers and enablers are for them. • What the Development Plan consists of – how productive has it been to date, what they've completed, what's outstanding and why, what training & development they think they need. Ask what outcome that will give them, what they've done on their own initiative, i.e. on line learning to improve a skill or knowledge, attending training, gaining exposure to a specific area, earning from a colleague, etc. • Give constructive feedback on performance and how they perform against the Competency Framework for positive and negative indicators (as above). 	<ul style="list-style-type: none"> • Share your update on what you have achieved, SMART objectives, your development plan, the behaviours in the Competency Framework and any areas for improvement. • Discuss factors that may have impacted on your performance (inhibitors & enablers). • Give input into the rating for SMART objectives & Competencies, and be able to evidence. • Ask for any new or different support you need from your Manager. • Discuss your development plan, and any development you may have undergone yourself. • Agree ratings for your SMART Objectives, Competency Framework 'Behaviours', and agree areas for improvement, your Development Plan & your new SMART objectives • Update Business World with your SMART objectives, 'Behaviour' competencies & development plan & send to your Manager for approval through 'Workflow'.

	<ul style="list-style-type: none"> • Give your own observations and feedback, ask exploring questions, and ask for clarification. Be prepared to talk through sensitive or difficult topics in a constructive way (see the link below for help with this). • Where there are areas of under-performance, the employee may be defensive, so clarify what they see their role and responsibility was in this, and what the impact of the under-performance was, what other factors that led to this, others' contributions, then focus on their contribution. • Confirm the performance rating for SMART objectives & Competencies. • Confirm the Development Plan. • Finally, run through the main points to ensure you both share the same understanding, and where you agree or disagree so the Employee is able to update their SMART objectives and Competency Framework performance on Business World. 	
After the Meeting	<ul style="list-style-type: none"> • Check & approve workflow on Business World. • Ensure your employee has the support to achieve outcomes. • Follow up progress on agreed SMART objective, Competencies, and development throughout the year through one to one's, (or Supervision for SSSC employees) checking support or amendments as appropriate. 	<ul style="list-style-type: none"> • Follow up on the above agreed actions throughout the year and discuss at one to one's or Supervision with your line manager.
For Larger employee groups	<ul style="list-style-type: none"> • The majority of these posts will fall within the Level 1 competency (Grades 1-4) where duties, responsibilities and tasks may be alike or similar, therefore SMART objectives and development plans will be similar. Line Managers may use standardised wording for shared objectives, and should have individual meetings with each employee member to discuss their performance, Competencies and individual training needs. It may be helpful to discuss common SMART objectives at team meetings to ensure a shared understanding. • It's likely you will use a training matrix which sets out all the training needed as standard and / or statutory for the post. 	
For SSSC Employee	<ul style="list-style-type: none"> • For Employee groups where Supervision applies, use the Supervision discussion to inform your Appraisal meetings and development plan. The Appraisal & Competency Framework does not replace the need for Supervision or vice versa. 	

FURTHER USEFUL TIPS FOR MANAGERS CARRYING OUT APPRAISAL MEETINGS

<http://intranet.scotborders.gov.uk/yourjob/Pages/human-resources/policy-procedures-guidelines.aspx> under Appraisal section

The Appraisal Cycle



Performance Ratings Explained

Does Not Meet Expectations

There is no evidence of a contribution to the achievement of the commitments in Scottish Borders Council's Corporate Plan/Behaviours.

(For an employee who was previously NOT PERFORMING under formal performance management, this rating could be applied to demonstrate that despite support, coaching, training and guidance being provided, performance improvement has not been evident.)

Rating 1

Partially Meets Expectations

There is no/little evidence of a contribution to the achievement of the Scottish Borders Council's Corporate Plan/Behaviours

(For an employee who was previously NOT PERFORMING under formal performance management, this rating could be applied to give evidence that they have demonstrated some improvement.)

Rating 2

Consistently Meets Expectation

There is evidence of a contribution to the achievement of the Scottish Borders Council vision and commitments in the Corporate Plan/Behaviours

Rating 3

Exceeds Expectations

There is evidence of additional effort/ output in order to exceed agreed objective.

Achievement at this level could be recognised internally or externally.

There is evidence of a considerable contribution to the achievement of commitments in Scottish Borders Council Corporate Plan/Behaviours.

Rating 4

Far Exceeds Expectations

There is strong evidence of significant additional effort and/or output in order to exceed all agreed objective.

Achievement at this level could be recognised both internally and externally.

There is evidence of a major contribution to the achievement of the commitments in Scottish Borders Council's Corporate Plan/Behaviours.

Rating 5

Using Business World to Record the Appraisal Meeting, Competency Levels, SMART Objective & Development Plans

- Most of your employee details should be filled, once you open your appraisal form.
- If you have more than one position you will have to choose the correct "**Employee Position**" for the post being appraised.
- A Review & Next Appraisal Date is also required to be completed before submitting to your manager where it can be finalised and agreed.
- There is also an option to arrange a mid-year review. This can be used as often as required e.g. 6 monthly reviews.

Objectives

- This area allows for all agreed SMART objectives with your Line Managers to be reviewed or new ones added or removed as the appraisal progresses.
- This area also allows for Professional/Personal Development to be discussed and agreed, that would support development.
- If training has been identified as part of the objective(s), note this within the Professional/Personal Development section.
- To view and book training, please use the '**Course Catalogue**' which can be found in *Your Employment > Your Development*

Behaviours

- This area allows for each employee to be measured against the Scottish Borders Council Competency Framework which accessed through the links on the appraisal form or can be found on the intranet - **Your Job > Human resources > Policies, procedures and guidelines > Competency behaviours**.
- The expected competency level for each post to be achieved is indicated on the Role Profile and you should refer to the relevant levels for your appropriate grade as a guide.
- A discussion should take place, progress and examples noted and a rating **must** be entered for each of the 6 competencies.

Employee Notes

- This is a space where employees can record notes, comments and anything else they wish to discuss with their Line Manager. This can be updated throughout the year but should be completed prior to the meeting with your Line Manager. These notes will help keep track of the work you are currently undertaking, progress on agreed objective, training and qualifications you may have done since the previous appraisal and form part of your discussions.
- **Employee Notes:** record any updates on objectives throughout the year and any new ones.
- **Notes/Comments:** record notes and comments you wish to discuss in addition to set objective(s).

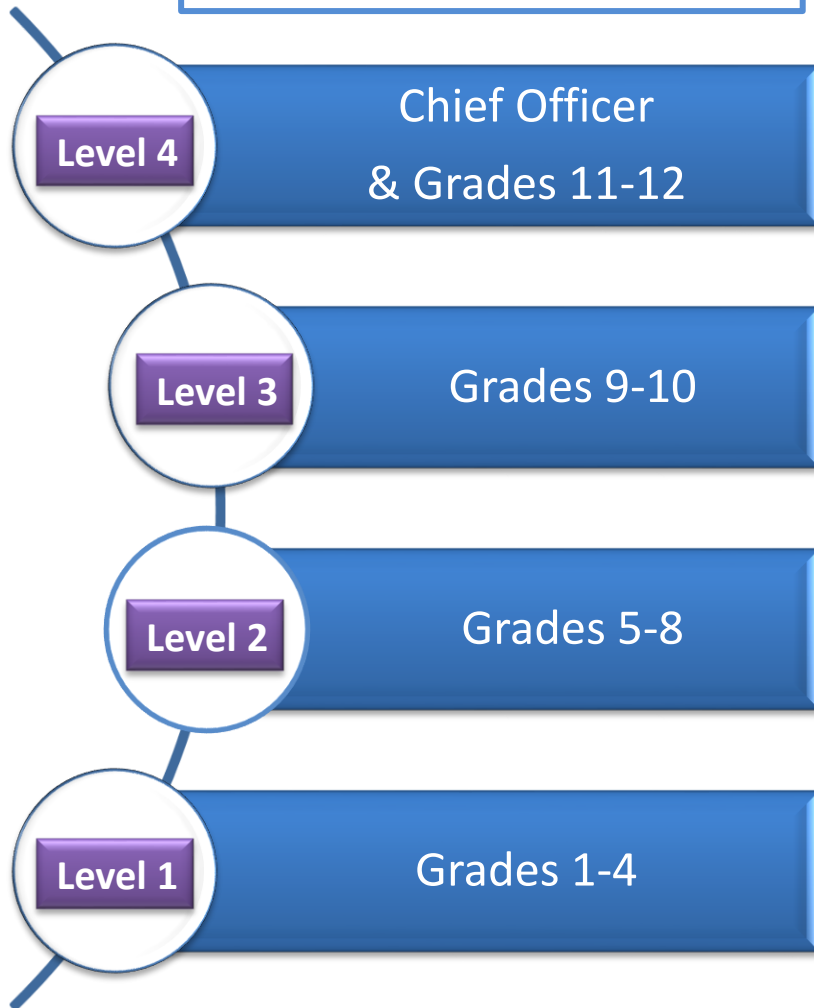
Manager Sign-Off

- At the meeting and content discussed, the Line Manager will archive the appraisal by ticking the **snapshot box**.
- Final overall comments can be placed here by the line manager including anything that hadn't been resolved through the appraisal.
- An overall rating based on the full appraisal **must** be entered.
- If agreement can not be reached, the **disagreed box** such be ticked and comment noted.

FOR QUICK REFERENCE GUIDES (QRG'S) ON USING BUSINESS WORLD FOR RECORDING APPRAISAL MEETINGS:

<http://intranet.scotborders.gov.uk/yourjob/Pages/human-resources/policy-procedures-guidelines.aspx> under Appraisal section

The Four Competency Framework Levels



Employees are expected to work to the level of the grade and role profile for the post

Role Expectations & Responsibilities

For their own individual performance & development, and that of their whole Directorate or equivalent area

For their own individual performance & development, and that of their whole Service or equivalent area

For their own individual performance & development, and that of their direct reports or technical area

For their own performance & development

SMART Objectives

It's important to take enough time to clarify what outcome you're aiming for before you begin. It's easy to assume that the employee knows what is wanted, or to set quite general objectives which can result in misunderstandings or confusion. The more your team buy into what their key objectives are, and are involved in setting those, the more likely you will see the change and improvements needed, so share this guidance, and encourage employees to think for themselves, and check understanding.

This guide will help you to think of the outcomes that are needed to ensure that objectives are more than just wishes, and are a call to action, by ensuring they are 'SMART': **Specific, Measureable, Achievable, Relevant & Time bound** - so that both of you clear on what the required outcome is, as well as what the success measures are. When **SMART** objectives are unambiguous, you are both clear when the Objective has been successfully completed.

SMART objectives will be made up of a combination of Corporate Objectives / Themes, Service Objectives / Themes, Role & Remit Objectives and Development Objectives, depending on the nature of the role. They may be short, medium or longer term. Where an employee is new to a role, or there are performance concerns, they may have more Development objectives, to help them focus on the knowledge, skills or Competencies to be able to perform in their role.

SMART objectives should also underpin or link to the overall Service and Corporate Objectives.

Corporate Objectives & Themes	<ul style="list-style-type: none"> • Developing & delivering on-line services. • Improving efficiency & streamlining for 'back office' and 'business as usual' processes. • Delivering budget savings. • Aspects of Corporate work and projects such as 'Fit for 2024', Corporate Landlord, as relevant to the role.
Service Objectives & Themes	<ul style="list-style-type: none"> • Transforming the Service, or aspects of Service delivery, as relevant to the role. • Reviewing and / or Transforming the Service, or aspects of Service delivery or policies, and / or will support delivery of areas of work from the Service's business plan. • Aspects of delivering 'Fit for 2024' or other Corporate / Service projects, and / or will support delivery of areas of work from the Service's business plan.
Role & Remit Objective	<ul style="list-style-type: none"> • Improving performance in delivering aspects of the role, and will relate to points from the Role Profile, and in turn underpin the Service & Corporate Objectives.
Development Objective	<ul style="list-style-type: none"> • Developing the employee's abilities, Competencies or knowledge, to improve their performance, e.g. developing Competencies identified in the Competency Framework, activities from their Personal Development Plan or from their role Induction or Supervision meetings where they are SSSC registered. • Developing the employee's skills and abilities for succession planning, talent management and/or developing line manager skills, as appropriate.

Setting SMART Objectives

SMART objectives need to show the outcome clearly and be able to address the questions below:

- **What?** What benefit or saving will be made, or what value will it add?
- **When?** When does it need to be completed by?
- **How?** How much, how many?
- **Why?** Is it relevant to the role, and to the Service Delivery / Corporate Themes?

SPECIFIC	<ul style="list-style-type: none"> • The objective must describe what change or improvement needed when the objective is completed. • What do we want key customers & stakeholders to say? • Use adjectives such as reduce, improve, develop, • What change or improvement do we need to see when the objective is completed?
MEASUREABLE	<ul style="list-style-type: none"> • The SMART objective must describe how successful completion of the objective will be measured, i.e. how much, how many, what will be happening, what will stakeholders say? • How will I know when it's completed, what will be happening? • Does this match what key customers & stakeholders need?
ACHIEVABLE	<ul style="list-style-type: none"> • How realistic is it, based on other constraints? • What needs to be put in place to make it attainable? • How will they achieve this SMART objective?
REALISTIC	<ul style="list-style-type: none"> • Does this relate to the key elements of the role purpose and level of the role? • Does this support the wider Service and Corporate objectives?
TIMEBOUND	<ul style="list-style-type: none"> • When does it need to be delivered by, in full and in milestones? • What if any, stages or milestones need to be identified?

Employee should record these in Business World and send to the Line Manager for online approval.

How the Appraisal & Competency Framework fits with People Management

