



*Dunbartonshire and Argyll & Bute
Valuation Joint Board*

Policy and Procedure on Individual Performance Management for Senior Officers

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Policy on Performance Management for Senior Officers

1. INTRODUCTION

- 1.1 Dunbartonshire and Argyll & Bute Valuation Joint Board (“the Joint Board/the Board”) recognises the importance of establishing a supportive framework to enable Managers to effectively manage performance, whilst ensuring employees know and understand what is expected of them, and have the necessary skills and ability to deliver on these expectations.
- 1.2 Performance Management establishes a shared understanding about what is to be achieved and an approach to leading and developing people which will ensure that it is achieved.
- 1.3 Performance Management should relate to every activity of the Joint Board set in the context of its HR policies, culture, style and communication systems. It therefore requires to be:-
 - *Strategic* – relates to broader issues and longer-term goals
 - *Integrated* – linking to various aspects of the business, people management, and individuals and teams.
- 1.4 To achieve effective management of individuals and teams and the achievement of high levels of organisational performance it requires to incorporate:
 - Performance improvement - throughout the Board, for individual, team and organisational effectiveness
 - Development - unless there is continuous development of individuals and teams, performance will not improve
 - Managing behaviour - ensuring that individuals are encouraged to behave in a way that allows and fosters better working relationships and represents the organisation’s values
- 1.5 An effective performance management framework will ensure that:
 - managers manage effectively;
 - managers ensure the people or teams they manage know and understand what is expected of them;
 - employees have the skills and ability to deliver on these expectations;
 - employees are supported by the Board to develop personal capacity to meet these expectations:

- employees are given feedback on their performance:
 - employees have the opportunity to discuss and contribute to individual and team aims and objectives
 - managers are aware of the impact of their own behaviour on the people they manage and identify and exhibit positive behaviours
- 1.6 Performance management is a process which operates as a continuous cycle. Statutory duties provide the starting point for service goals, followed by agreement on performance and development, leading to the drawing up of plans between individuals and managers, with continuous monitoring and feedback supported by informal and formal reviews.
- 1.7 The Board's Policy and Procedure on Performance Management for the Assessor/ERO and Depute Assessor/ERO has been developed with the above in mind.

2. DEFINITION

2.1 Performance management is described as

¹"a process which contributes to the effective management of individuals and teams in order to achieve high levels of organisational performance."

3. SCOPE

3.1 This Policy and Procedure provides for the performance management of the Senior Officers (Reviewees) within Dunbartonshire and Argyll & Bute Valuation Joint Board by the appropriate Reviewers.

4. KEY PRINCIPLES

- 4.1 The Performance Management Policy has three main objectives:
1. To optimise performance effectiveness within a framework of competency, skills, and behaviours
 2. To identify and address issues of under performance at the earliest opportunity and to identify and agree an Action Plan for improvement
 3. To provide a framework for continuing personal and professional development

5 LEGISLATIVE/POLICY FRAMEWORK

5.1 The Policy and Procedure has been developed in line with best practice.

6. REVIEW

6.1 The Policy and Procedure will be reviewed at appropriate intervals.

¹ Armstrong M and Baron A (2004) Managing Performance: Performance Management in Action

DUNBARTONSHIRE AND ARGYLL & BUTE VALUATION JOINT BOARD

PROCEDURES ON INDIVIDUAL PERFORMANCE MANAGEMENT FOR SENIOR OFFICERS

1. The Performance Management Framework

1.1 The overarching aims of Dunbartonshire and Argyll & Bute Valuation Joint Board's individual performance management framework are:

- to create a high performing organisation that is well equipped to meet day-to-day and future challenges
- to continuously improve the way we work
- to deliver a high quality service to the communities of Dunbartonshire and Argyll & Bute.

1.2 Performance management for individuals is designed to:

- ensure that individuals are clear about their role and how they should fulfill it;
- link the individual's role and objectives to the statutory duties and objectives set out in the Board's Service Plan;
- ensure that individuals and their line managers agree and review objectives and priorities;
- ensure that individuals review their performance against objectives and ensure they are making the best possible contribution;
- facilitate the opportunity for individuals and line managers to give and receive feedback in order to develop and improve performance;
- ensure that ineffective performance is identified quickly and support provided promptly to raise it to an acceptable standard

1.3 Ownership of the process by all those involved is fundamental in implementing the framework successfully and for it to be an integral part of our people management practice. An overview of the key roles and responsibilities is illustrated at Appendix A.

1.4 The Performance Management Framework comprises a number of key stages, each of which is carried out within the Annual Performance Review cycle:

1. Objective and target setting

2. Personal Development Planning
3. In-year review and feedback meetings
4. Formal Performance Review and Assessment

The reporting year will operate from the 1st April to 31st March and a timeline of the key stages within the performance cycle is illustrated at Appendix B.

The Performance Management and Development Plan Form

- 1.5 A Performance Management and Development Plan (PMDP) form (Appendix C) has been designed to capture a record of the objectives set, assessment of competency, a personal development plan and feedback on performance. Further guidance on completion of the relevant sections is included within this guidance

2 Personal Performance Objectives

- 2.1 For the Assessor/ERO and Depute Assessor/ERO, most objectives are likely to be statutory or strategic in nature. However, they should also be cognisant of 'maintenance' objectives. Performance management provides an opportunity to align the goals and objectives of individuals with those of the organisation set out within the Service Plan. Objectives should focus on the most important aspects of the role and should be Specific, Measurable, Achievable, Realistic and Timescaled (SMART).
- 2.2 Objectives will be agreed with the line manager and incorporate tangible measures of achievement, i.e. targets. An average of 5 - 7 objectives is appropriate.

Aligning performance measures to organisational goals

- 2.3 Prior to the start of the performance cycle a top-down approach will be adopted with a focus on key corporate issues which will be necessary to embed in all managers objectives. The Assessor/ERO will lead in identifying organisational performance priorities for the forthcoming year, which will then cascade to all management levels.
- 2.4 It is envisaged that this approach will focus on only one or two key areas which are fundamental for all managers to embed within their personal and team performance.

People management objective(s)

- 2.5 The management and development of our staff is vital in creating a culture of high performance where the contribution of everyone to organisational success is valued. All people managers should have at least one people management objective which reflects actions relating to key people management practice, including:
- managing individual and team performance
 - team communication
 - personal development of staff
 - networking and cross-boundary working

3 **The Annual Performance Review Cycle**

Stage 1: Agreeing objectives and targets

- 3.1 The first stage of the process will be a meeting between the individual and line manager to discuss and agree objectives and targets. Both parties should prepare for the meeting beforehand to facilitate a successful outcome and encourage an open discussion on performance expectations. Jobholders are encouraged to take the lead and forward draft objectives to their line manager prior to the meeting.
- 3.2 **Objectives** are the tangible goals for measuring individual performance and it is important that these reflect:
- specifically what needs to be achieved and by when
 - a link to strategic and Board priorities
 - a link to Service Plan objectives
 - personal improvement
- 3.3 **Targets** are the agreed measures of achievement which underpin the objectives and describe the specific high level actions and/or milestones which progress development and delivery of the objective. There are no restrictions on the number of targets and its expected these will incorporate more detail and measures on what will actually be completed by the job holder.
- 3.4 Section 1 of the PMDP form should be completed to reflect the agreed objectives and targets. There may be a need to meet on two or three occasions to finalise the agreement of objectives.
- 3.5 Objectives should be set in accordance with the annual objective setting and performance review timeline (see Appendix B) and dates should be agreed for relevant review and feedback meetings.

Stage 2: Reviewing Competency and Personal Development Planning

- 3.6** The individual performance management process is a vehicle through which personal development is focused and encouraged. A Personal Development Plan must therefore be developed annually for each individual covered by the framework. However, the personal development planning process is flexible and responsive to the changing needs of the Board and should be reviewed regularly to reflect ongoing development needs.
- 3.7** The objective setting meeting and subsequent performance reviews will afford both the individual and line manager the opportunity to discuss any development needs. This may focus on broadening the current role, learning new skills for a different role, or considering how the individual's career could develop.
- 3.8** In agreeing a Personal Development Plan, the line manager must always take account of affordability.
- 3.9** The Personal Development Plan will be completed and signed by the individual and line manager.

The Competency Framework and assessing competence

- 3.10** The Competency Framework (Appendix D) underpins the Performance Management Framework and is a combination of the skills and behaviours needed to perform a senior officer role to the required and expected level. However, it should be recognised that not all competencies will apply to every senior officer.
- 3.11** There are ten Management Competencies in the Framework and they are:
1. Leading others
 2. Co-operative working
 3. Developing others
 4. Communicating effectively
 5. A driver for service improvement
 6. Problem solving and analysis
 7. Strategic awareness and commitment
 8. Management planning
 9. Taking initiative and managing change
 10. Organisational, political, and financial awareness
- 3.12** The competencies encompass more than the ability to carry out a task or activity (a skill), and accentuate the focus on "how" the individual should carry out the role in the achievement of his or her objectives (behaviour).

- 3.13** A review of an individual's competency should be completed by comparing the level of competence demonstrated by the individual against the organisation's competence framework. An evidence based approach must be adopted by reflecting on real examples and situations and reviewing the skills and attributes demonstrated by the individual. Section 2 of the PMDP form should be completed to reflect the outcomes of this assessment.
- 3.14** Where a gap is highlighted in a particular competency this should be discussed and relevant learning and development interventions identified. In deciding appropriate learning activities consideration should be given to the value of development via experiential learning, utilising in-house expertise and talent to mentor or coach the individual.
- 3.15** The development needs and related learning activities should be recorded within the personal development plan at section 3 of the PMDP form.

Stage 3: Reviews and feedback

- 3.16** For performance reviews to be truly successful they need to encourage a continuous dialogue with regular feedback meetings. The third stage of the process will be formal in-year performance review meetings and it is recommended that at least two meetings should be held within the review cycle (see Appendix B).
- 3.17** Similar to the objective setting meetings both parties should prepare beforehand with individuals undertaking some level of self-assessment by evaluating their performance and using this as a basis for discussion. This can improve the quality of the meeting and encourages the job holder to feel actively involved in the process. The individual self-assessment (PMDP section 4) should be completed and referred to the line manager at least two weeks prior to the review meeting.
- 3.18** The purpose of these meetings will include reflection on past performance and achievement but also a focus on future plans and aspirations. In discussing performance it is important to use examples and evidence based feedback to avoid a subjective discussion. The discussion should include:
- a measure of progress towards meeting objectives and targets
 - feedback for the individual on their performance, emphasising what has been done well, their management style, and what may need to improve
 - exchanging views on performance

- identifying what needs to be accomplished next
- assessing any further support (including development) that may be required

The outcomes of these meetings are recorded at section 4 on the PMDP form.

Stage 4: Performance Review and Assessment

3.19 The final stage of the process is the formal performance review and assessment meeting. Both parties need to prepare for this meeting and individuals should again complete a self-assessment (PMDP section 4) and forward this to the line manager approximately two weeks in advance of the performance assessment meeting.

3.20 In self-assessing performance the individual should:

- review progress and achievements during the performance year and assess whether each target is complete, partly complete, or ongoing
- provide reference to evidence of achievements and/or progress
- include supplementary comments to explain the assessment
- include explanation of anything which helped and/or hindered their performance

3.21 The line manager will undertake a written performance review for the individual and prepare for the assessment meeting to include discussion on:

- how well the individual has performed and achieved their objectives, including how the competencies have been demonstrated
- feedback and evidence that supports this
- factors which may have affected performance (inside and outside the individual's control)
- a review of how development plans have been implemented
- the individual's self assessment form
- the overall performance assessment ratings for performance

The line manager will then complete section 5 and 6 of the PMDP form and provide an overall performance assessment.

3.22 The performance review and assessment meeting is the opportunity for the line manager and individual to have a full and frank discussion about the achievement of objectives, the competencies used in achieving objectives and the personal and professional development during the

previous review year. The line manager should also discuss with the individual the rationale for the assessment. Following the meeting, both parties should sign the form to confirm the outcomes of the performance assessment meeting and the individual may also, if he/she wishes, complete the 'comments' box on the form.

3.23 The performance assessment meeting may also include some preliminary discussions on objectives and personal development for the forthcoming year. However, a separate meeting should always be held to agree and document objectives for the following Performance year.

3.24 All forms will be retained securely and confidentially by the line manager and copies will be provided to the individual for their personal file.

4 Performance Review and Assessment markings

4.1 Performance will be formally reviewed and assessed on an annual basis at the performance review and assessment meeting.

4.2 The overall performance assessment will take into account the achievement of objectives and targets (i.e. **what** has been achieved); the levels of management competency displayed (i.e. **how** the objectives have been delivered); and the commitment to and use of personal and professional development.

4.3 The overall rating will fall into one of the following 4 categories of:

- Exceptional
- Fully effective
- Partly effective
- Unsatisfactory

4.4 The four performance levels are defined below. The definitions are necessarily broad, and some judgement requires to be exercised.

- **Exceptional:** The individual is likely to
 - i. Deliver and significantly exceed their agreed objectives;
 - ii. Have gone beyond their agreed objectives and expected levels of performance, producing viable new ideas and new approaches which may, for example, improve efficiency, deliver savings or develop team working; and
 - iii. Worked in partnership with colleagues, and others, helping them as required.

- iv. Regularly demonstrate high levels of competency in line with the '*Competency Skills and Behaviour Framework*' and the appropriate behavioural competencies in the achievement of objectives and day-to-day contact with others.
 - v. Display a high level of commitment to personal and professional development and utilise this to achieve effective outcomes.
- **Fully effective:** The individual is likely to
 - i. Have delivered a strong overall performance within their agreed objectives.
 - ii. Have a clear understanding of the appropriate behavioural competencies and demonstrate the application of most of the competencies in the achievement of objectives and in day-to-day contact with others.
 - iii. Show commitment to personal/professional development and utilise this to achieve effective outcomes.
- **Partly effective:** The individual is likely to
 - i. Deliver some acceptable work but show weaknesses in overall performance.
 - ii. Fall short of demonstrating application of the appropriate behavioural competencies, however, displays evidence of understanding the importance of these.
 - iii. Display some commitment to personal / professional development but generally fails to demonstrate application in effective performance outcomes.
- **Unsatisfactory:** The post-holder is likely to
 - i. Fall short of the standards required in meeting short and long-term objectives
 - ii. Fail to demonstrate general understanding and application of behavioural competencies
 - iii. Fail to demonstrate commitment to, or application of personal / professional development.

4.5 Assessment markings of 'Partly effective' or 'Unsatisfactory' should be tackled quickly and support provided promptly to raise performance to an acceptable standard. Under such circumstances performance improvement measures should be formally implemented.