

TAYSIDE CONTRACTS' LEADERSHIP AND MANAGEMENT TAY REVIEW POLICY

INTRODUCTION

Tayside Contracts' Leadership and Management Tay Review is a cycle of appraisal, planning, development and evaluation for appraisees; when all the discussions that have taken place throughout the year are brought together in a structured way and jointly reflected on.

The main purpose is to look at the way an appraisee performs and is developing in relation to the:

- Duties and responsibilities of their post and current agreed objectives.
- Application of the performance behaviours required in their post.
- Consequent development needs.

SCOPE OF POLICY

Tayside Contracts' Leadership and Management Tay Review process will apply to all employees at grade 7 or above, including Chief Officers but excluding the Managing Director. New employees or employees new to a role will receive a Tay Review only after having been in their new role for at least 3 months.

BASIC PRINCIPLES

The principles of the Leadership and Management Tay Review are to:

- Support and cultivate a culture of high-quality leadership and management behaviours.
- Assist Tayside Contracts leaders and managers fulfil their job description and realise their full potential.
- Promote equality for and diversity of all Tayside Contracts leaders and managers.
- Facilitate the development of Tayside Contracts services so that they better meet the needs of client, customers and users.

The guiding principle of the appraisal and development scheme is 'no surprises'. If any issues have been identified in the appraisee's work or development during the review period these should have been addressed at the time they arose, they should not be left until the review meeting. Any disciplinary or sickness absence issues etc must be dealt with through the normal channels. However, should an issue arise during the Tay Review meeting that has not been previously identified and discussed, it is imperative that it is discussed as part of the process and the appropriate actions and support to plan for improvement are considered and/or taken.

Note: The Tay Review process may trigger a step into the formal stage of the Performance at Work Policy where the appraiser has sufficient concerns in relation to an employee's performance. The discussions and documentation completed during the Tay Review process may be used as supporting information in any subsequent formal work performance meeting.

GUIDANCE FOR USING THE LEADERSHIP AND MANAGEMENT TAY REVIEW

The delivery of Tayside Contracts Business Plan depends on every leader and manager having:

- a clear understanding of their role and the part they play in their team and the organisation

- an agreed set of priorities and objectives for their work
- the knowledge and skills they need to perform that role effectively and to achieve their objectives

All Tayside Contracts employees at grade 7 and above, to be referred to as the appraisee, at least once a year will meet with their appraiser to review and agree these through the appraisal and development scheme, to be referred to as the Leadership and Management Tay Review. Every third year, the Tay Review will entail a more detailed process, requiring completion of a self assessment and observers assessment (360 degree feedback).

THE LEADERSHIP AND MANAGEMENT TAY REVIEW PROCEDURE

To ensure that the principles work in practice and that the appraisee has a high quality Leadership and Management Tay Review, there are 5 key stages to the process (see The Leadership and Management Tay Review Procedure).

RELATED POLICIES

- Grievance Policy
- Performance at Work Policy

The above list is not exhaustive.

POLICY REVIEW

The Leadership and Management Tay Review Policy will be reviewed at three yearly intervals, or as required by legislative changes.

GENERAL DATA PROTECTION REGULATION

Tayside Contracts respects the privacy of our employees, any personal data processed during the application of this policy will be in line with Data Protection Legislation. Further information on how we may process personal data for the purpose of applying this policy can be found in our Privacy Notice.

Should you have any queries or require further clarification regarding any aspects of this policy or related policies please contact, HR Services on 01382 812721 or employment.policies@tayside-contracts.co.uk

If you would like this document translated into another language or in another format such as audio or large print then please contact Angie Thompson, Equalities and Communications Manager on 01382 834165 or angie.thompson@tayside-contracts.co.uk

THE LEADERSHIP AND MANAGEMENT TAY REVIEW PROCEDURE

To ensure that the principles work in practice and that the appraisee has a high quality Leadership and Management Tay Review, there are 5 key stages to the process:

Stage 1: Set Out and Communicate the Tay Review Process

Prior to the start of the annual Leadership and Management Tay Review process, all appraisers will be reminded of the intended dates and a communication issued by the Managing Director to:

- Set out the detailed timetable for the Tay Review meetings and the receipt of outputs from them.
- Remind managers of their respective roles in this process.
- Remind managers to prepare properly and offer them guidance on this.
- Give more detail and guidance on what needs to be covered in the Tay Review.

Stage 2: Preparation and Self Assessment

Once a date has been agreed, both the appraiser and appraisee need to prepare for the meeting.

In order to gain maximum benefit from the meeting, some protected time must be given to prepare properly. The aspects of preparation for both the appraiser and appraisee involve:

- Reviewing current information on job, person and skill and knowledge requirements for the post of the appraisee and objectives from the main sources: the job description, which describes the major components of the job; the person specification, which outlines the requirements of the individual in the job, and the Service Plan.
- Becoming familiar with the core dimensions and key performance behaviours in Appendix 1 of the Leadership and Management Tay Review form. Reading the definition of each carefully, and thinking about the behaviours described within each dimension in the context of the role/job description (every third year only)
- Considering performance and achievements over the previous year in the context of the appraisee's role and consider how well the appraisee has performed.

The aspects of preparation for the appraisee (only) involve:

- Agree with appraiser your chosen observers and contact the Safety and Training Manager with your names (every third year only).
- The Safety and Training Manager will invite you to complete Appendix 1: Key Performance Behaviours (Self Assessment) and then your selected observers such as line manager, peers, direct reports, partnership colleague to complete Appendix 2: Key Performance Behaviours (Observer Assessment) and return back to Safety and Training Section within 5 days (every third year only).

- On completion of these observations the Safety and Training Manager will email you and the appraiser a summary of your observation reports (every third year only).
- Complete the self assessment sections in Section 1 and return ALL to the appraiser in advance of the Tay Review meeting (every year).
- Gather information and evidence to support achievements over the previous year. Example of supporting evidence include: Achievement of KPIs within Service Plan, Employee Survey data/action plan outcomes, no of completed Tay Reviews, no of RIDDOR/accident data, % employees who attend training events against plan, Inspections score/severity of issues, EHO/HSE/HSC visit outcomes, % employees with current qualifications, commitment to development of RA/SWA, outcome of IIP (every year).

The Tay Review Form provides a checklist of preparatory questions, including the self assessments for the appraisee to complete before the meeting.

You can download your copy of the Tay Review Form from Tayside Contracts Intranet - <http://maw/ti/> - Reports and Forms / Forms and Pro Formas / HR and Payroll.

Stage 3: The Leadership and Management Tay Review Meeting

The meeting should be seen as a joint responsibility with two-way discussion between the appraiser and appraisee. The focus must be on dialogue and not a form filling exercise, and the outcome of improving knowledge, skills and performance.

For appraisees with less experience of the process the appraiser will take more of a lead, while still encouraging as much appraisee input as possible. Meetings will typically last between one and two hours. The key parts to a successful Tay Review meeting are described below. They may not be covered in this exact sequence, but they still provide a checklist of the areas that need to be covered.

Initial discussion.

The front cover of the Tay Review form lists the pertinent details of the meeting. Following the preparation and self assessment just described, the meeting should typically open with a confirmation of the job content and skill and knowledge requirements, followed by a general overview discussion of how the last 12 months has gone from a **Performance and Development** perspective.

Section 1 - Review of past year's performance and development (Key Performance Behaviours).

The introductory part of the Tay Review meeting is to review the key performance behaviours which apply to the appraisee's role and underpin the effective performance.

The appraiser using the Self Assessment part of Section 1 and Appendix 1 should:

- Encourage the appraisee to discuss their current performance and observers perceptions against the key performance behaviours over the past 12 months from Appendix 1, highlighting and describing key achievements and examples of work that demonstrate this.
- Move on to consider any concerns or issues they have faced which have held back their performance behaviours and prevented any objectives being fully achieved.
- Summarise the discussion and actions to address skill and knowledge development needs over the next 12 months.
- Allocate the overall rating for the required level of skill/knowledge, based on a balance of displaying key behaviours from the core dimensions.
- Complete the personal development plan/actions to address development needs.

Section 2 – Personal Development Plan.

Taking account of relevant organisational and divisional goals, service plan and objectives and the appraisee's likely areas of work focus over the next 12 months, a Personal Development Plan must be established to:

- Agree objectives for the forthcoming year.
- Agree on the specific actions and outcomes which will be needed to meet these.
- Identify how the objectives will be measured and set realistic and achievable timescales for completion.
- Plan training or support, to address key performance behaviours, development actions, identified shortfalls or gaps in the required skills and knowledge from the Person Specification.
- Prioritise this development in terms of which is the most important.

Section 3 - Summary of Performance and Achievement.

To conclude the process, the appraiser and appraisee must comment and sign off section 3 of the Tay Review Form.

The appraiser will ultimately allocate the overall rating based on a balance of achievements against the objectives set; however the emphasis should be on two-way discussion, providing solid grounds for allocating the relevant rating.

The appraiser will summarise the discussion and actions and development plans agreed and then provide a written summary on the final page of the form. The appraisee will then add any comments as well.

In the event that the appraisee isn't satisfied with the outcome of their Tay Review they can seek redress and appeal through Tayside Contracts Grievance Policy.

Stage 4: Validation

The completed original Tay Review form must be returned to the HR Manager within 5 working days of the meeting. The document will be scanned and held securely on the HR System; it may also be subject to a review by the validation panel which has been established to replace the review of the appraiser element from the last Tay Review.

The validation will be undertaken by the Managing Director, HR Manager and Safety and Training Manager who will be advised of each submitted and completed Tay Review by the Training and Development Adviser. The panel will collectively sample an agreed number of Tay Reviews to ensure that the system is not being undermined at any stage of the process, there is consistent and equitable implementation across the organisation, each stage of the process along with the respective paperwork is adequately completed and there is evidence towards an active Personal Development Plan.

Stage 5: Ongoing

In between the annual Leadership and Management Tay Review, ongoing discussion and reviews should be undertaken to:

- Ensure progress is being made against objectives.
- Discuss and agree any areas where changes or unexpected developments mean that personal objectives should be adjusted.

- Review progress in skills and knowledge required and any planned development initiatives undertaken.

The appraiser and appraisee should retain and regularly refer to the Personal Development Plan - both the agreed list of objectives for the year, and the list of development actions planned to support the appraisee in achieving them.

Leadership and Management Tay Review

Name	
Post	
Manager	
Date of review	
Validation date	

PREPARATION AND SELF ASSESSMENT FORM

Thinking about the past year, please consider the following questions prior to your Tay Review. The questions are designed to stimulate your thinking, and to help prepare you to get maximum benefit from the discussion. This form should be used in conjunction with your training course notes and along with the self assessments in section 1, must be completed and returned to your appraiser 5 working days before your Tay Review.

What do you consider to be the most important aspects of your current role?

What have been your main achievements for the past year/since your last review?

What examples of your work demonstrate this?

What barriers to achievement did you encounter?

What do you consider are your main objectives and actions in the coming year?

What support or learning do you require to help you meet your objectives?

What else would you like to discuss during the review?

Section 1 – Review of Key Performance Behaviours

Completed by: appraisee BEFORE the review		Completed by: appraiser DURING/AFTER the review		
Key Performance Behaviours	Self assessment performance achieved? (please tick)	Briefly describe performance during the past year/period, including examples of work and achievements demonstrating levels of skills and knowledge	Overall Rating (please tick)	Personal development plan/actions to address development needs over the next 12 months. <i>This information should be carried over to Section 2 – Personal Development Plan.</i>
1 Leadership – this is about how you develop and promote the values and goals of Tayside Contracts	<input type="radio"/> Not met <input type="radio"/> Met <input type="radio"/> Exceeded		<input type="radio"/> Not met <input type="radio"/> Met <input type="radio"/> Exceeded	
2 Health & Safety – this is about how you ensure an effective approach to health and safety, in all business decisions.	<input type="radio"/> Not met <input type="radio"/> Met <input type="radio"/> Exceeded		<input type="radio"/> Not met <input type="radio"/> Met <input type="radio"/> Exceeded	
3 Service Improvement – this is about how you improve team and unit performance and services in the interest of the organisation and its customers.	<input type="radio"/> Not met <input type="radio"/> Met <input type="radio"/> Exceeded		<input type="radio"/> Not met <input type="radio"/> Met <input type="radio"/> Exceeded	
4 Equality and Diversity – this is about you acting responsibly and in ways that support equality and diversity.	<input type="radio"/> Not met <input type="radio"/> Met <input type="radio"/> Exceeded		<input type="radio"/> Not met <input type="radio"/> Met <input type="radio"/> Exceeded	
5 Communication – this is about how you provide effective communication in whatever form it takes place.	<input type="radio"/> Not met <input type="radio"/> Met <input type="radio"/> Exceeded		<input type="radio"/> Not met <input type="radio"/> Met <input type="radio"/> Exceeded	
6 Management – this is about how you manage individuals and teams, and how you get the best from them.	<input type="radio"/> Not met <input type="radio"/> Met <input type="radio"/> Exceeded <input type="radio"/> N/a		<input type="radio"/> Not met <input type="radio"/> Met <input type="radio"/> Exceeded <input type="radio"/> N/a	
7 Financial Management – this is about your financial management.	<input type="radio"/> Not met <input type="radio"/> Met <input type="radio"/> Exceeded <input type="radio"/> N/a		<input type="radio"/> Not met <input type="radio"/> Met <input type="radio"/> Exceeded <input type="radio"/> N/a	

Section 2 – Personal Development Plan

Completed by: appraiser DURING/AFTER the review

Area of Development:	Expected Outcome/Measure : (behaviour/ knowledge/skill/ experience)	Support/Learning to be provided	Review Date	Review outcome <ul style="list-style-type: none"> • Further Training • Further Experience • Competent

Note: In between the annual Leadership and Management Tay Review, ongoing discussion and reviews should be undertaken to ensure progress is being made against each area of development and expected outcomes etc. The appraiser will be expected to maintain a current copy of the Personal Development Plan to support these discussions, and to share this information with the appraisee.

Section 3: Summary of Performance and Achievement

Performance Rating.

Appraiser will review all ratings and enter the number that best represents the overall evaluation of the appraisees performance.	
3	EXCEEDED - Demonstrates an advanced level of expertise and performance above that expected for the job grade. Continuously seeks to improve working practices, role models successful behaviours and attitudes, and encourages others to do the same.
2	MET - Demonstrates consistency and achieves and sustains a good standard of skills, knowledge, behaviours, attitudes and working practices, appropriate to the job grade.
1	NOT MET - Performance is unsatisfactory , objectives have not been met, does not deliver the level of skills, knowledge, behaviours, attitudes and working practices, appropriate to the job grade or are currently developing .
OVERALL RATING: <input type="checkbox"/>	

Overall comments.

<u>Appraiser's comments.</u>

Signed (appraiser) _____ Date _____

<u>Appraisee's comments.</u>

Signed (appraisee) _____ Date _____

Note: Employee's signature indicates the appraisal was conducted. It does not necessarily denote agreement.

Appendix 1

Key Performance Behaviours (self assessment to be used every third year only)

The Key Performance Behaviours are intended to underpin performance and can be assessed using evidence on the workplace. Please complete this self assessment of your behaviours using the following ratings, if you do not consider behaviour to be part of your job, please write N/A:

1	Almost never	6	Sometimes
2	Rarely	7	Fairly Often
3	Seldom	8	Usually
4	Once in a while	9	Very Frequently
5	Occasionally	10	Almost Always

Leadership – is about the development and promotion of the organisations values and goals

Do you:

	Self
1 model behaviour that sets a personal example of what is expected of Tayside Contracts managers	<input type="text"/>
2 show respect, helpfulness and co-operation to anyone you are in contact with	<input type="text"/>
3 put forward Tayside Contracts view in a persuasive, enthusiastic manner to gain commitment	<input type="text"/>
4 clearly demonstrate and communicate the values and goals of Tayside Contracts	<input type="text"/>

Health and Safety – is about ensuring an effective approach to health and safety

5 include and encourage health and safety in all business decisions	<input type="text"/>
6 ensure your team/employees support and understand the importance of health and safety	<input type="text"/>
7 comply with, and ensure others comply with, legal requirements, and organisation policy	<input type="text"/>
8 ensure your team remain vigilant for possible risks and hazards	<input type="text"/>

Service Improvement – is about improving organisational performance and services

9 search outside the organisation for innovative ways to improve	<input type="text"/>
10 work effectively with others, taking into account their point of view to build a better service	<input type="text"/>

Equality and Diversity – is about acting responsibly and in ways that support equality and diversity

11 treat everyone with dignity and respect	<input type="text"/>
12 promote equality, diversity and inclusion	<input type="text"/>
13 ensure that your team members are aware of their responsibilities in respect to equality, diversity and inclusion and behave accordingly	<input type="text"/>

Communication – is about providing effective communication in whatever form it takes place

14 present information clearly, concisely, accurately and in ways that promote understanding	<input type="text"/>
15 ensure that your communications are being received and understood	<input type="text"/>
16 consider the multiple communication channels available to you and choose an appropriate one to ensure effective communication	<input type="text"/>

Management – is about the management of individuals and teams

- 17 give people support and opportunities to meet their personal development plan
- 18 seek feedback regarding your own management style and support/actions
- 19 express confidence in people's abilities and encourage and support others to take decisions
- 20 recognise and acknowledge individual commitment and contribution
- 21 make time available to support others

Financial Management – is about the effective management of financial resources

- 22 accurately calculate risks, and make provision so that unexpected events do not impede the achievement of objectives
- 23 actively monitor ongoing information on performance against budget

SAMPLE

Appendix 2

Key Performance Behaviours (observer assessment to be used every third year only)

The Key Performance Behaviours are intended to underpin performance and can be assessed using evidence on the workplace. Please complete this self assessment of your behaviours using the following ratings, if you do not consider behaviour to be part of your job, please write N/A:

1	Almost never	6	Sometimes
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4	Once in a while	9	Very Frequently
5	Occasionally	10	Almost Always

Leadership – is about the development and promotion of the organisations values and goals

Do you:

	Obs
1 model behaviour that sets a personal example of what is expected of Tayside Contracts managers	<input type="text"/>
2 show respect, helpfulness and co-operation to anyone you are in contact with	<input type="text"/>
3 put forward Tayside Contracts view in a persuasive, enthusiastic manner to gain commitment	<input type="text"/>
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SAMPLE