

Performance and Development Framework Handbook

Scottish Information Commissioner



Scottish Information
Commissioner

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Section 1 – The Performance & Development Framework

Introduction

1. The Scottish Information Commissioner recognises that the development of all staff and the management of performance are essential to ensure that everyone can contribute fully to the achievement of our strategic and operational objectives.
2. We believe that all members of staff have a right to a clear understanding of what is expected of them, an opportunity for a detailed discussion of their contribution to the achievement of personal and organisational objectives, and to feel valued.

Overview

3. This Performance and Development Framework is designed to:
 - a. identify personal strengths and development needs
 - b. recognise and reward good performance
 - c. support the achievement of objectives
4. The Framework's core elements are:
 - a. **Personal Objectives** (which are derived from the Strategic and Operational Plans)
 - b. **A Personal Development Plan** – which articulates the knowledge or skills you will need to achieve your objectives, and the most effective way to develop them
 - c. **Ongoing performance management** – routine meetings and tools used throughout the year e.g. caseload management reviews, project status reports etc.
 - d. **Performance & Development Review & In-Year meetings** - Forms A to D are used to set personal objectives, and to prepare for and record Performance & Development Reviews (which are carried out annually) and In-Year meetings.
5. **Jobholder and Line Managers discussions lie at the heart of the Framework**, as illustrated at figure 1, below.

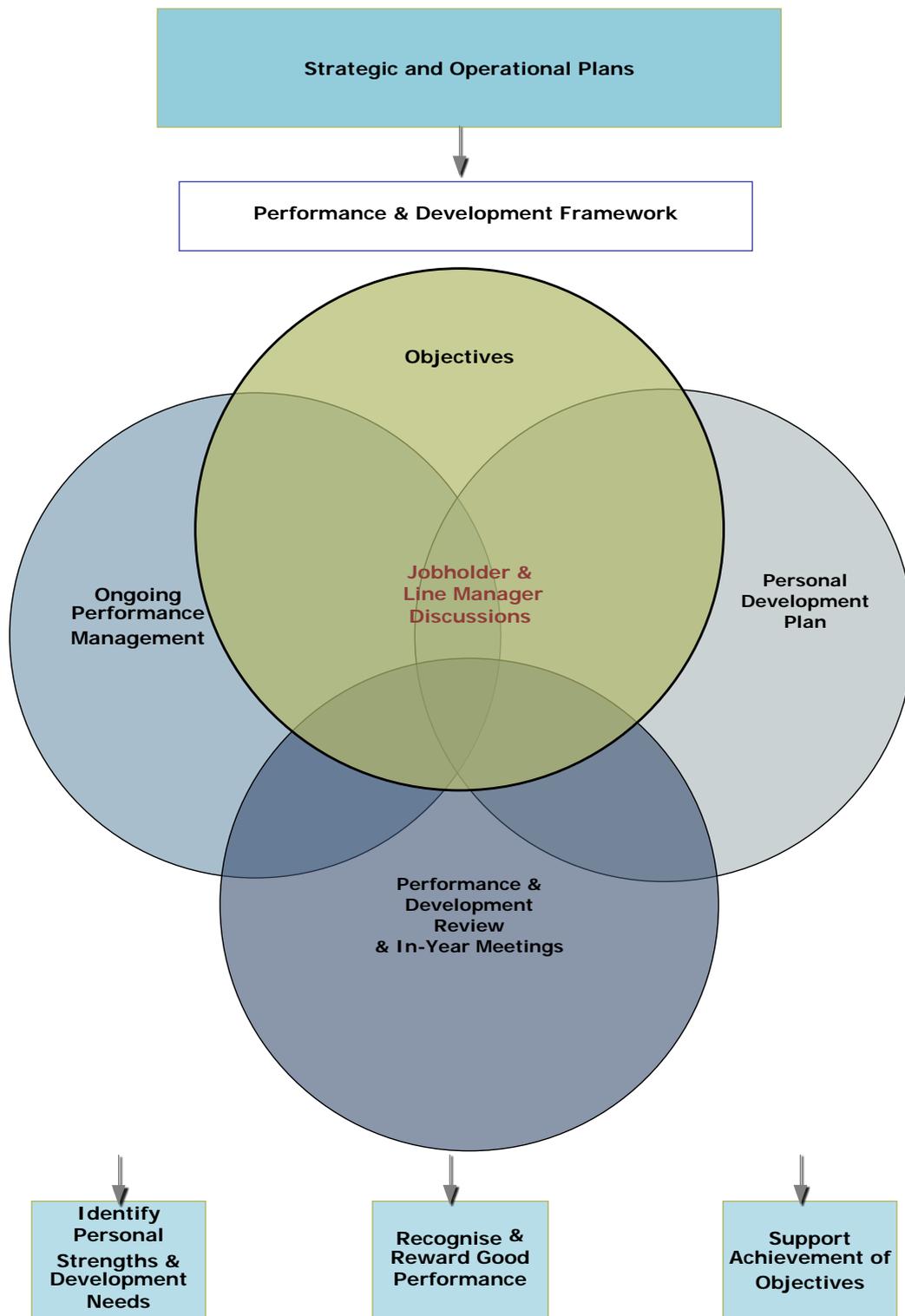


Figure 1 – Performance & Development Framework Core Elements Overview

6. The Framework is designed so that the core elements can be used flexibly, reflecting the requirements of the role, the individual and the line manager.

7. The Framework uses 4 simple forms, which are available as INVU Word templates:
- a. Form A – Forward Work Plan
 - b. Form B – In-Year Review Meeting Record
 - c. Form C – Performance & Development Review Self-Assessment
 - d. Form D – Performance & Development Review Meeting Record.
8. The Framework uses a cyclical process, as illustrated at Figure 2.



Figure 2 – Performance & Development Framework Cyclical Process

9. The following table provides an overview of how the Forms are used:

Form (Purpose)		Completed By			When (Guidance)
		Jobholder		Line Manager	
A	Forward Work Plan <i>Record of Jobholder's personal objectives (including a Personal Development Plan)</i>	<input checked="" type="checkbox"/>			April - May <i>After annual P&D Review meeting*</i> <i>Contents agreed with Line Manager.</i>
B	In-Year Review Meeting Record <i>Recording what was discussed during In-Year meeting(s)</i>	<input checked="" type="checkbox"/>	OR	<input checked="" type="checkbox"/>	July / October / January (and ad-hoc, as required) <i>Completed within 5 days after quarterly meetings, and any additional in-year meetings</i>
C	Performance & Development Review Self-Assessment <i>To prepare for annual P&D Review meeting*</i>	<input checked="" type="checkbox"/>			April - May <i>Submitted to Line Manager at least 5 days prior to annual P&D Review meeting*</i>
D	Performance & Development Review Meeting Record <i>To summarise what was discussed during annual P&D Review meeting*</i>			<input checked="" type="checkbox"/>	April - May <i>Completed within 5 days after annual P&D Review meeting*</i>

*Annual P&D Review meetings are held between 1 April and 30 May

10. Forms B to D, which support and record the In-Year and Performance & Development Review meetings, are intentionally brief as they are to be used to summarise and capture key points. It is assumed that the information created to support ongoing performance management throughout the year (e.g. statistical reports, project status reports) together with records of meetings (e.g. caseload management reviews) will provide sufficient material upon which to draw.

Core Elements

Personal Objectives

11. At the beginning of the annual performance review cycle (April/May) the line manager will:
 - a. review the requirements of the role against the Behaviours Framework (see [Section 2](#) of this document)
 - b. identify the specific observable behaviours the jobholder most needs to demonstrate to fulfil the requirements of the role and identify, with the jobholder, the objectives that will evidence those behaviours.
12. Focus should be on the behaviours most needed for the role / most relevant to the jobholder rather than trying to incorporate every behaviour observable that a job may need to demonstrate.
13. Objectives must be:
 - a. sufficiently specific to be measurable (quantitatively &/or qualitatively)
 - b. relevant to the jobholder's work
 - c. achievable within an agreed period.
14. It is acknowledged that, due to changed circumstances or priorities, objectives may change within the review period. Objectives should be updated, with discussion and agreement between the Line Manager and Jobholder, to ensure they remain current.
15. Form A (Forward Work Plan) is used to record (and update as appropriate) the jobholder's Personal Objectives.
16. [Section 2](#) of this document provides guidance on how to set Personal Objectives using the Behaviours Framework.

Personal Development Plan

17. As part of the process of setting personal objectives, the Line Manager and Jobholder should give consideration to what areas of knowledge or skills the Jobholder will need to achieve their personal objectives, and the most effective way to develop them.
18. The Personal Development Plan (PDP), which is incorporated in Form A (Forward Work Plan), should be completed.
19. The HOOM will use Jobholders' Personal Development Plans to inform the drafting of the annual organisational Learning and Development Plan. Once the annual Learning and Development Plan has been signed off by the SMT the HOOM will confirm to Line Managers and Jobholders what activities identified in PDPs have been incorporated in it.

Ongoing Performance Management

20. Line Managers and Jobholders monitor and manage performance throughout the year using a range of meetings and resources appropriate to the role, and to the experience, abilities and development needs of the Jobholder.
21. These might include, for example, caseload management reviews, project status reports, team meeting notes and statistical reports.

22. Line Managers and Jobholders must meet at least quarterly to discuss performance. Heads of Department will agree with Line Managers the most appropriate approach depending on the role, and the experience, abilities and development needs of individual Jobholders.

Performance Review & In-Year Meetings

In-Year Meetings

23. Each quarter Line Managers and Jobholders should meet to reflect upon the activity for the year to date.
24. The review should be informed by Ongoing Performance Management discussions, making reference to the materials produced to support and record them. Reference should be made to the objectives established at the start of the year, as recorded on Form A (Forward Work Plan).
25. If appropriate, the objectives recorded in Form A (Forward Work Plan) may be amended or updated to reflect changed circumstances or priorities.
26. Form B (In-Year Review Meeting Record) should be completed to capture a note of what was discussed. This form may be completed by either the Line Manager or the Jobholder.
27. If it is felt to be beneficial, Line Managers may wish to hold additional In-Year meetings throughout the year. This might be to respond to changed circumstances or priorities, or to discuss concerns regarding performance or training needs which have emerged, for example.

Performance & Development Review

28. Each April /May Line Managers and Jobholders will meet to review the full year's activity.
29. To prepare for this meeting Jobholders should complete Form C (Performance & Development Review Self-Assessment) and give it to their Line Manager at least five working days before the review meeting.
30. The Self-Assessment must refer to the personal objectives recorded on Form A (Forward Work Plan) and should be informed by the Ongoing Performance Management discussions and the In-Year Review(s), making reference to the materials produced to support and record them.
31. Form D (Performance & Development Review Meeting Record) should be completed by the Line Manager within five working days following the meeting and should summarise the content of the discussion.
32. The Line Manager must indicate in the appropriate section of Form D whether the Jobholder has met, or not met, objectives.
33. Once the Line Manager has completed Form D the Form should be passed to the Jobholder for signature. The Form should be returned to the Line Manager who will pass it to the HOOM.

Forward Work Plan (Form A)

34. The discussion at the Performance & Development Review meeting should help Line Managers and Jobholders prepare for setting personal objectives and the PDP for the next year. Line Managers and Jobholders may elect to establish these at the Performance & Development Review meeting itself, or choose to do so separately.
35. In the event that the Jobholder has not met personal objectives the Line Manager will, wherever possible, aim to support and enable the Jobholder within the Performance and Development Framework to demonstrate improved performance by discussing and setting suitable personal objectives.

36. Form A (Forward Work Plan), which should be completed by the end of May, is used to record the agreed personal objectives. A copy of Form A should be passed to the HOOM along with Form D.

Jobholder and Line Manager Discussions

Preparation

37. Thorough preparation for a Performance & Development Review meeting by both the Line Manager and Jobholder is very important. Sufficient time should be set aside for the meeting and the Line Manager should ensure that a suitable room is available, which offers privacy and freedom from interruption.
38. Prior to a round of Performance & Development Review meetings members of the Senior Management Team should ensure Line Managers have been trained and are aware of any organisational plans, objectives and priorities (e.g. the Operational Plan) for the next review period that will affect Jobholders.
39. In preparing for the meeting Jobholders should consider the key tasks undertaken since the last review (in light of the personal objectives for that period), their strengths and any new skills they might need in the context of the challenges likely to be encountered in the year ahead. Form C (Performance & Development Review Self-Assessment) is designed to facilitate preparation for the review meeting. It should be completed by the Jobholder and given to the Line Manager at least five working days before the review meeting.
40. Prior to the meeting, the Line Manager should give consideration to the individual's achievements and contributions to the work of the SIC since the last review, their strengths and any new skills or development areas the Jobholder may need in light of their likely range of personal objectives for the next review period.

Review Discussion

41. A Performance & Development Review is a planned and structured meeting that enables the Line Manager and Jobholder to discuss, agree and record achievements related to performance in the job, the plan of work for the coming year, and any work-related developmental requirements.
42. The process is most beneficial when it generates an open and honest review of past achievements, future goals and the assistance and support needed to achieve them.
43. The discussion should include any changes to the individual's job (either over the last year or foreseen in the coming year) and a review of workloads and working arrangements. The Line Manager and Jobholder should be mindful of the SIC's approach to building resilience to stress (see the Health and Safety Policy (INV44938)) in their discussions.
44. The review discussion should centre on the work of the Jobholder in light of their major responsibilities over the review period. Progress against objectives set at the last review should be examined and, if objectives have not been met or have changed, the reason(s) for this should be discussed.
45. Objectives for the forthcoming review period should then be discussed.
46. Performance & Development Reviews provide an opportunity for Line Managers to formally recognise and, where possible, reward Jobholders' performance and contributions. Line Managers should recognise good performance in their discussions and this should be reflected in their notes on Form D.

47. Rewards will normally take the form of a particular development opportunity identified by the Line Manager and Jobholder, for example:
- a. leading a project
 - b. training to support career development
 - c. a secondment to another team, or another organisation
48. SIC will seek to support proposals for rewards wherever possible. However, resources are limited and proposals will need to be considered on a case-by-case basis, taking into account operational priorities and budgetary constraints.
49. It is important to ensure that the meeting closes with both parties having a mutual understanding of what needs to be done in the next review period, by whom, and any follow-up actions that is required.

Equalities

50. Line Managers must be mindful of our Equality Policy (INV30083) and Anti-harassment, -bullying, and –victimisation Policy (INV5152).
51. When reviewing performance it is important to:
- a. avoid any preconception or assumptions about the abilities or ambitions of a particular groups or individuals
 - b. avoid stereotyping how different people will react to different situations or their suitability for particular types of work
 - c. ensure assessments of performance and other comments are based solely on evidence and are not influenced by impressions, expectations or hearsay
 - d. include measures for performance based on outcomes and results, and not just presence in the office and hours worked.
52. Changes in performance cause by pregnancy must not form any part of a review; the dates of any absence due to pregnancy or maternity leave should be noted.

Scope

53. The Framework applies to all of the Commissioner's staff.
54. The Framework is not linked to pay or grading arrangements.
55. The Framework must not be used to address matters which fall within the remit of the Disciplinary Procedures, the formal stages of the Procedures for Dealing with Unacceptable Performance, or the Procedures for Dealing with Unacceptable Attendance. The Employee Handbook (INV29190) provides full detail of when and how these procedures are applied.
56. The HOOM will review Personal Development Plans in order to prepare the annual Learning and Development Plan.
57. The HOOM will review Performance and Development Review Meeting Records to prepare an annual report to the SMT, in line with the Governance Arrangements.

Records Management

58. For ease of reference, examples of Forms A to D are provided as appendices to this Handbook.
59. Standard forms for completion are available as INVU template files. Once created they should be saved in INVU under the Jobholder's HR>Personal interest.

Section 2 – Behaviours Framework

Introduction

60. The Behaviours Framework reflects the behaviours that will support effective performance, and around which personal development needs will be identified. It joins up all elements of people and performance management and enables us to ensure our management processes are consistent with our strategic and operational plans.
61. As an organisation we aim to consolidate and build on our strengths, and focus on areas that need improvement.
62. [Part A](#) of this section sets out the Behaviours that we expect of Jobholders. There are core behaviours which apply to all Jobholders and there are job-specific behaviours covering the main job groups in the organisation. To help illustrate the characteristics of the behaviours, examples have been provided in [Section 3](#).
63. These behavioural characteristics are not an exhaustive list – Jobholders and Line Managers have flexibility to identify additional characteristics for each behaviour as appropriate to best support effective performance and personal development.
64. [Part B](#) of this section explains how the behaviours are used to create the Personal Objectives which are recorded on Form A (Forward Work Plan) for each Jobholder.

Part A – Core and Job Specific Behaviours

Core Behaviour A: Communication (Oral and Written)
Description: Communicating confidently and clearly to influence and persuade others, and adapting style to the needs of each audience
Characteristics <ul style="list-style-type: none">A. Demonstrates an understanding of the other person's view and treats everyone fairly, with respect and dignityB. Understands the motivations, concerns and values of others, and tailors how they communicate with themC. Uses persuasive and justifiable arguments or points to explain reasoningD. Remains suitably firm and assertive with persistent and unreasonable partiesE. Able to accept feedback, and continuously improves on own communicationF. Shows awareness of the impact that disability, ethnicity and age can have on communication and adapts to the individual appropriatelyG. Writing is clearly structured and in plain languageH. Communications are understandable by, and appropriate to, the audience

Core Behaviour B: Stakeholder Focus
Description: Understanding, anticipating and supporting the needs of different stakeholders to deliver a high quality service
Characteristics: <ul style="list-style-type: none">A. Sensitivity to diversity of stakeholders, respects 'difference' and responds appropriately to individual needsB. Manages stakeholders' expectations realisticallyC. Is committed to continuous improvement of services, sharing ideas with the teamD. Seeks stakeholder feedback and considers the information in adapting serviceE. Accurately and empathetically identifies stakeholder concerns and circumstances and gives appropriate, professional responseF. Pro-actively keeps relevant stakeholders informed of plans and updates them when things changeG. Committed to achieving high standards of service

Core Behaviour C: Co-operative Working
Description: Working supportively and effectively with colleagues and others, and contributing positively to the organisation's objectives
Characteristics <ul style="list-style-type: none">A. Proactively shares all relevant and useful information with othersB. Works flexibly with colleagues and others on major tasks, priorities and projectsC. Contributes constructively to discussions about how to achieve goals and objectivesD. Recognises that colleagues may be faced with competing prioritiesE. Shows empathy towards colleagues facing professional or personal difficulties, and offers support appropriate to the working relationshipF. Is aware of and respects others' views and differencesG. Is aware of own strengths, preferences, and areas of development and shows ability and willingness to complement those of the workgroupH. Fully contributes to successful team performanceI. Works across teams, building relationships in pursuit of common interestsJ. Engages with, communicates and supports corporate decisions

Core Behaviour D: Workload Management & Results Orientation

Description:

Meeting or exceeding targets and objectives by managing workloads efficiently, setting priorities, goal setting, seeking opportunities to improve quality and productivity, and being adaptable to changing working conditions

Characteristics

- A. Understands importance of, and is committed to, achieving Operational Plan objectives, KPIs and other key targets and objectives
- B. Maintains a working knowledge of the Operational Plan, and contributes to its development for own work area
- C. Keeps priorities under review, plans and works flexibly to cope with changing circumstances and changing demands
- D. Sets personal goals to improve own performance
- E. Meets agreed time targets and deadlines without compromising quality
- F. Manages own time effectively and sets priorities according to changing needs without losing sight of deadlines
- G. Provides clear and accurate reports on own performance
- H. Manages projects from inception to closure and reports status as required
- I. Identifies potential work pressures and seeks ways to manage them
- J. Identifies and adopts methods to improve effectiveness
- K. Accurately estimates resources and time needed to achieve plans

Core Behaviour E: Information & Records Management

Description:

Applying information and records management procedures to support efficient working, and to protect the Commissioner's reputation

Characteristics

- A. Has understanding of and complies with IRM policies and procedures
- B. Has understanding of and complies with the procedures for Enquiries and Responding to Information Requests
- C. Creates accurate records and information that adequately documents the decisions and processes they undertake as part of their duties
- D. Captures information in the correct information keeping system and has awareness of good filing practices so that information can be quickly retrieved
- E. Finds needed information effectively and efficiently
- F. Carries out destruction of paper and electronic information of no significant operational, informational or evidential value requiring its retention as soon as it has served its immediate purpose
- G. Maintains and develops knowledge and skill in the use of IT software and systems, as appropriate for the role

Job Specific Behaviours	
Role	Characteristics
Administrator	<ul style="list-style-type: none"> A. Actively keeps stakeholders informed of plans and updates them when things change B. Strong organising and planning skills C. Has well-developed skills and knowledge in own area(s) of responsibility (e.g. Records Management; IT, PA function etc.) D. Highly responsive, adapting to changing demands E. Focused on accuracy, quality and attention to detail F. An understanding of the process of making an information request and an application to SIC G. An understanding of the requirements on public authorities to respond to information requests and requests for review within the timescales set down by FOISA and the EIRs
Enforcement Team Support Assistant	<ul style="list-style-type: none"> A. Good organising and planning skills B. An understanding of the process of making an information request and an application to SIC C. Focused on accuracy, quality and attention to detail D. Responsive to the needs of the team, but recognising where work needs prioritised
Finance and Administration Manager	<ul style="list-style-type: none"> A. Analyses complex information and situations and uses judgement to make recommendations B. Presents complex and technical arguments in an accurate and understandable way C. Advises and assists others to help them understand complex issues D. Highly responsive, adapting to changing demands E. Highly focused on accuracy, quality and attention to detail F. Excellent planning and organising skills G. Maintain and develops ability to extract data from different sources to create statistics and information H. Applies advanced IT skills and techniques to manipulate and interrogate data, and produce reports I. Maintains and develops knowledge of a wide range of statutory and legal obligations, including those relating to finance and accounting, pensions administration, health & safety, data protection and employment law J. Maintains a good understanding and awareness of the SIC's governance arrangements, including SIC's relationship with key stakeholders e.g. SPCB, Audit Scotland K. An understanding of the process of making an information request and an application to SIC and responds confidently to them L. An understanding of the requirements on public authorities to respond to information requests and requests for review within the timescales set down by FOISA and the EIRs

Job Specific Behaviours	
Role	Characteristics
Freedom of Information Officer (Enforcement)	<ul style="list-style-type: none"> A. Identifies key issues in an application and applies judgement consistently to reach sound and justified decisions as quickly as possible B. Develops effective and appropriate relationships with applicants and public authority staff C. Presents complex and technical arguments in an accurate and understandable way D. Gathers, interprets and analyses complex information and situations E. Uses judgement to make recommendations F. Advises and assists others to help them understand complex issues G. Maintains and develops knowledge of the structure and operation of public bodies and uses this to advise the public on legal or individual rights H. Maintains and develops a comprehensive knowledge of FOISA and the EIRs, associated secondary legislation and Codes of Practice and relevant case precedent I. Maintains and develops an appreciation of the political, legal and practical issues around freedom of information
Freedom of Information Officer (P&I)	<ul style="list-style-type: none"> A. Presents complex and technical arguments and information in an accurate, digestible and understandable way B. Gathers, collates, interprets and analyses information to present it in summary form and reports C. Maintains and develops strong analytical and research skills D. Maintains and develops an appreciation of the political, legal and practical issues around FOI. E. Maintains and develops a good working knowledge of the functions and work of central government, the Scottish Government and Scottish Parliament F. Has an understanding of the structure and operation of public bodies in Scotland G. Maintains and develops skills and knowledge in own area(s) of specialism H. Manages relationships with a range of stakeholders, including media

Job Specific Behaviours	
Role	Characteristics
Heads of Department	<ul style="list-style-type: none"> A. Initiates discussions with key influencers and decision makers and gains confidence and support B. Develops and implements influencing strategies C. Maintains a full knowledge of the Operational Plan, and takes a leading role in its development for own work area D. Ensures everyone is clear what their role is and how it links to the organisations' objectives E. Promotes collaborative working within the SMT and within & across teams F. As a member of the SMT, shares responsibility for organisational governance and maintains an appropriate knowledge of relevant statutory and legal requirements G. Seeks new ways to improve performance, setting an example to others H. Establishes clear monitoring systems for team/individual performance I. Encourages colleagues to try out new approaches to their work and manages risk sensibly J. Maintains and develops technical and professional skills and knowledge as appropriate
Line Manager	<ul style="list-style-type: none"> A. Builds communication networks beyond immediate team B. Creates a supportive and challenging environment, helping team members to realise their potential C. Implements positive change D. Ensures others understand their role objectives and how they contribute to team performance E. Is committed to continuous improvement of services, sharing ideas with managers and colleagues F. Gives clear direction to the team and keeps them informed of wider organisational issues G. Provides a clear appreciation of the team's efforts and supports them when there are difficulties H. Encourages the team to share ideas, solutions and new approaches I. Provides learning opportunities for the team J. Takes responsibility for planning and developing courses of action, including responsibility for the work of others and the overall performance of the team K. Recognises and pursues opportunities to improve productivity L. Explains ideas in a clear and concise manner and presents a well-structured case

Job Specific Behaviours	
Role	Characteristics
Validation Officer / Failure to Respond Investigator	<ul style="list-style-type: none"> A. A full understanding of the process of making an information request and an application to the Commissioner, in particular the requirements, under FOISA and the EIRs, for a valid information request, requirement for review and application to the Commissioner. B. A full understanding of the requirements on public authorities to respond to information requests and requests for review within the timescales set down by FOISA and the EIRs C. Good drafting skills, including the ability to write letters and decisions based on templates D. The ability to explain technical legal matters regarding validation to applicants and public authorities E. Actively keeps stakeholders informed of plans and updates them when things change F. Strong organising and planning skills G. Focused on accuracy, quality and attention to detail

Note

As a guide, the job specific behaviours for Heads of Department, Deputy Heads of Enforcement and the Finance & Administration Manager are derived by combining behaviours, as set out in the table below:

Head of Enforcement	Head of Policy & Information	Head of Operational Management
Head of Department	Head of Department	Head of Department
Line Manager	Line Manager	Line Manager
Freedom of Information Officer (Enforcement)	Freedom of Information Officer (Policy & Information)	Finance and Administration Manager
Deputy Head of Enforcement	Finance & Administration Manager	
Line Manager	Line Manager	
Freedom of Information Officer (Enforcement)	Finance & Administration Manager	

The emphasis placed on the characteristics for each behaviour should be adjusted to reflect the role and responsibilities, as appropriate.

Part B – Using Behaviours to Create Personal Objectives

65. Please refer to paragraphs [11 to 13](#) for an explanation of Personal Objectives.
66. Personal Objectives are set in the context of the relevant Behaviour(s). In some instance articulating a Personal Objective may cut across multiple Behaviours. In these cases, simply use the primary Behaviour to label the Personal Objective.
67. Remember, the characteristics of the behaviours given are examples. These behavioural characteristics are not an exhaustive list – Jobholders and Line Managers have flexibility to identify additional characteristics for each behaviour as appropriate to best support effective performance and personal development.
68. Personal Objectives should be recorded in Form A (Forward Work Plan) using the table format provided in the template:

1	Behaviour	
	Objective	
	Success Criteria	
	Stretch (optional)	
	Measures	

69. The information in each section of the form should be clear, simple and preferably in list format. It is essential that the Jobholder and the Line Manager have a shared understanding of what is expected.
70. The following table describes what is meant by each heading:

1	Behaviour	Selected from the Core and Job-Specific Behaviours provided at Part A
	Objective	A succinct description of what is to be achieved
	Success Criteria	What does good look like?
	Stretch (optional)	To go the extra mile, do this
	Measures	How will we know if the objective has been achieved?

71. Illustrative examples of Personal Objectives are provided on the following pages.

Section 3 - Illustrative Personal Objectives

Administrator

1	Behaviour	Job Specific
	Objective	Provide high quality administrative support to SIC and HOE
	Success Criteria	Anticipate needs and demands of management Maintain confidentiality and exercise discretion Work to defined targets and deadlines
	Stretch (optional)	Become increasingly proactively in providing support
	Measures	A well organised manager Feedback from the manager(s) concerned

2	Behaviour	Workload Management & Results Orientation
	Objective	Demonstrate effective planning and organisation of workload
	Success Criteria	Good prioritisation skills New tasks captured and built into plans Tasks completed on time (including to agreed revised timescales)
	Stretch (optional)	
	Measures	Majority of work completed within prescribed timescales Good quality of work

3	Behaviour	Job Specific
	Objective	Maintain and develop expertise in Information and Records Management
	Success Criteria	Changes in legislation and good practice are identified and raised with HOOM
	Stretch (optional)	
	Measures	Feedback from HOOM Internal Audit Evidence of training and reading undertaken

4	Behaviour	Job Specific
	Objective	Successful implementation of records review process
	Success Criteria	Retention and Disposal procedures applied effectively in line with schedule Documentation reviewed and updated in line with schedule
	Stretch (optional)	Additional improvements developed and introduced
	Measures	Feedback from HOOM Annual governance report to SMT Internal Audit

5	Behaviour	Information and Records Management
	Objective	Meet standards for Records Management, and for responding to Enquiries, Information Requests(IRs)
	Success Criteria	Enquiries and IRs responded to by target dates Enquiries and IRs responses are accurate and appropriate Records are managed in line with procedures
	Stretch (optional)	
	Measures	Review of Enquiries report from Workpro Review of IRs report from Workpro Review of records management performance

Freedom of Information Officer (P&I)

1	Behaviour	Workload Management & Results Orientation
	Objective	As Project Manager, deliver allocated projects as detailed in the Operational Plan
	Success Criteria	PID, Workplan and project reports prepared in line with procedures Project Outputs delivered on time Project Outputs delivered are of required quality
	Stretch (optional)	Reduced need for support and guidance from Project Executive
	Measures	PID, Workplan and other project documents approved by SMT / Programme Board Feedback from Project Executive SMT approval of Outputs

2	Behaviour	Workload Management & Results Orientation
	Objective	Demonstrate effective planning and organisation of workload
	Success Criteria	Good prioritisation skills New tasks captured and built into plans Tasks completed on time (including to agreed revised timescales)
	Stretch (optional)	
	Measures	Majority of work completed within prescribed timescales Good quality of work

3	Behaviour	Job Specific
	Objective	Maintain and develop expertise in XXXXXXXXXXXX
	Success Criteria	Changes in legislation and good practice are identified and raised with HOPI
	Stretch (optional)	
	Measures	Feedback from HOPI Evidence of training and reading undertaken

4	Behaviour	Information and Records Management
	Objective	Meet standards for Records Management, and for responding to Enquiries, Information Requests(IRs)
	Success Criteria	Enquiries and IRs responded to by target dates Enquiries and IRs responses are accurate and appropriate Records are managed in line with procedures
	Stretch (optional)	
	Measures	Review of Enquiries report from Workpro Review of IRs report from Workpro Review of records management performance

5	Behaviour	
	Objective	
	Success Criteria	
	Stretch (optional)	
	Measures	

Freedom of Information Officer (Enforcement)

1	Behaviour	Workload Management & Results Orientation
	Objective	To meet the attached KPIs
	Success Criteria	KPIs met
	Stretch (optional)	Target higher than above
	Measures	Monthly statistical report
2	Behaviour	Co-operative Working
	Objective	Share examples of good and bad authority practice internally
	Success Criteria	Contributions at Enforcement Team Meetings Issues and non-compliance records in Workpro updated appropriately
	Stretch (optional)	
	Measures	Feedback from DHOE Review of Workpro Records
3	Behaviour	Job Specific
	Objective	Write clear, concise and well-argued Decisions
	Success Criteria	Decisions written in plain English Arguments well-presented Analysing and judgement skills evidenced
	Stretch (optional)	
	Measures	Extent editing required Feedback from SIC / HOE / DHOE Number of times draft returned for additional work
4	Behaviour	Co-operative Working
	Objective	Ensure smooth introduction of revised investigation procedures
	Success Criteria	Familiar with and applies revised procedures Supports colleagues where requested Contributes to problem solving where necessary
	Stretch (optional)	
	Measures	Feedback from SIC / HOE / DHOE
5	Behaviour	Workload Management & Results Orientation
	Objective	Meet standards for responding to Enquiries, Requests for Information(RFI), and Records Management
	Success Criteria	Enquiries and RFI responded to by target dates Enquiries and RFI responses are accurate and appropriate Records are managed in line with procedures
	Stretch (optional)	
	Measures	Review of Enquiries report from Workpro Review of RFI report from Workpro Review of records management performance

Appendices

Examples of Forms A to D follow

The Forms are available as INVU Word templates

Performance and Development Framework

Form A – Forward Work Plan

Jobholder name:	
Job title:	
Line manager name:	
Period covered by this plan:	
Date this plan agreed:	

Personal Objectives¹

1	Behaviour	
	Objective	
	Success Criteria	
	Stretch (optional)	
	Measures	

2	Behaviour	
	Objective	
	Success Criteria	
	Stretch (optional)	
	Measures	

3	Behaviour	
	Objective	
	Success Criteria	
	Stretch (optional)	
	Measures	

4	Behaviour	
	Objective	
	Success Criteria	
	Stretch (optional)	
	Measures	

5	Behaviour	
	Objective	
	Success Criteria	
	Stretch (optional)	
	Measures	

¹ Delete or add boxes as required. See P&DF Guidance (VC45564) for further information

Personal Development Plan

Consider the areas of knowledge or skills that you will need to achieve your objectives and the most effective way to develop these skills.

	What is your learning need?	How do you think you could meet this need?	What objective(s) (above) does this link to?
1			
2			
3			
4			

Performance and Development Framework

Form B: In-Year Review Meeting Record

Jobholder name:	
Line manager name:	
Period covered by this review:	
Date of review:	

Summary of Discussion

Record progress and performance against objectives
Record any objectives that have been achieved and the standard of performance
If appropriate, amend objectives to reflect changed circumstances or priorities (Form A), and note the changes here
Consider any learning and development actions and review the personal development plan (Form A) as appropriate
Record any action points agreed during the meeting

Please list major activities, tasks and priorities anticipated in the coming review period, and any training or other support that you will need to assist you in achieving them. (In planning your priorities and development activities for the coming period you should take account of known/anticipated Operational Plan activities, discussions with your Line Manager or HoD etc.)

Performance and Development Framework

Form D: Performance & Development Review Meeting Record

Jobholder name:	
Line manager name:	
Period covered by this review:	
Date of review:	

Summary of Discussion

To be completed by the Line Manager

Record the achievements in relation to the Objectives, Key Results and Personal Development Plan for the review period.

--

Record any Objectives, Key Results and Personal Development Plan activities not achieved and any factors affecting achievement. If appropriate, note any action agreed to reduce the impact of such factors in the future.

--

Record any views on future development needs / opportunities

--

Record any action points agreed

--

Line Manager

The Jobholder has met/ has not met objectives

Met Not Met

Signed:	Date:
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Jobholder

Comments (optional)

Signed:	Date:
---------	-------

Scottish Information Commissioner

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