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University Health Board

CONDUCTING PERSONAL APPRAISAL DEVELOPMENT REVIEWS (PADRs) POLICY

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Documents to read alongside this Policy	Study Leave Guidelines Capability Policy Grievance Policy Disciplinary Policy Dignity at Work KSF managers Handbook NHS Terms and Conditions Version 7 of the Knowledge and Skills Framework Cardiff and Vale UHB Reviewer and Reviewee training materials All Wales Best Practice Guide for Development Reviews
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OUT OF DATE POLICY DOCUMENTS MUST NOT BE RELIED ON

Version Number	Date of Review Approved	Date Published	Summary of Amendments
Trust 1	Jan 2006	Jan 2006	New Policy
UHB 1	13/09/2011	09/11/2011	Reviewed in light of the re-launch of the Knowledge and Skills Framework within the UHB. Emphasis changed to reflect the importance of the KSF supporting an integrated appraisal system
UHB 2	30/09/2014	07/10/2014	Reviewed in light of the emphasis of a team based PADR approach. Section on CPD incorporated

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1. INTRODUCTION

The purpose of this policy and the supporting [Managers Handbook](#) is to provide a framework of guidance for managers and to promote best practice.

It is important that managers/reviewers are clear as to the principles underlying this process and the procedure to be followed, and that staff are treated fairly and equitably.

2. POLICY STATEMENT

The KSF and Personal Appraisal Development Review process is about Cardiff and Vale University Health Board's (the UHB's) commitment to invest in the ongoing development of all its staff. This will help to ensure that staff are supported to be effective in their jobs and committed to developing and maintaining high quality services for the public.

3. SCOPE OF THE POLICY

3.1. This policy applies to all managers and reviewers who are involved in the reviewing of UHB employees under the Agenda for Change agreement.

Separate procedures apply in respect of the reviewing of Medical and Dental staff

4. ROLES AND RESPONSIBILITIES

4.1. Outlined below are the key post holders who have a role to play in the effective application of the Personal Appraisal Development Review. It is important to note that an individual may have more than one role to play.

- Reviewee
- Designated/Peer Reviewers
- Reviewer
- Line Manager/Reviewers
- Head of Section or Equivalent
- Workforce and OD
- Directorate KSF/ PADR Champion
- Lifelong Learning Advisors/Union Learning Representative

4.2. A detailed outline of roles and responsibilities can be found in the KSF Managers Handbook

5. CONTINUING PROFESSIONAL DEVELOPMENT

The UHB believes that lifelong learning is an investment in quality. Continuing Professional Development (CPD) is one component in the drive to develop a learning culture within the UHB, thereby supporting lifelong

learning for all staff.

All employees have a personal duty as specified within their respective 'Codes of Conduct' to maintain their knowledge and skills throughout their working lives. The UHB believes that its employees have the reasonable expectation to be encouraged and supported in continuing professional development and lifelong learning. The UHB aspires to be an exemplar employer and as such will adopt a partnership approach with the individual employee to ensure continued and enhanced practice.

To ensure positive engagement in CPD, relevant codes of practices will be integrated within the UHB performance appraisal and management systems.

The UHB will support CPD activities which are aligned to the needs of the individual and the organisation in delivering the health outcomes and priorities of the UHB. This will be achieved through the annual PADR process.

6 PRINCIPLES GOVERNING KSF AND THE PERSONAL APPRAISAL DEVELOPMENT REVIEW

6.1 The NHS Knowledge Skills Framework (KSF) and associated Personal Appraisal Development Review (PADR) lie at the core of the career and pay progression strand of Agenda for Change. The KSF is designed to provide a consistent and comprehensive framework of NHS-wide knowledge and skills on which to base the development planning and review of all staff. It defines the knowledge and skills which NHS staff need to apply in their work in order to deliver quality services. It provides a single, consistent, comprehensive and explicit framework on which to base review and development of staff.

6.2 As part of the Agenda for Change agreement annual reviews are a mandatory requirement for all staff. However, good practice indicates that the review is not a once a year event rather an ongoing development feedback process between the reviewee and reviewer (who maybe line manager or designated reviewer) culminating in a formal review.

6.3 In most years pay progression will take the form of an annual increase in pay from one pay point within a band to the next. At two defined points within a pay band – which are called gateways – decisions are made about pay progression as well as development.

6.4 It is important that staff understand how they contribute to the UHBs strategic objectives. Managers should ensure that staff are aware of the UHB objectives and align team and individual objectives accordingly.

6.5 For new staff in post, objectives will be agreed to achieve the requirement of their KSF subset (which may be a condensed version of the full KSF outline). During the foundation period (first 12 months) all staff who have newly joined a pay band will have at least two discussions

with their reviewer to review progress against the KSF outline for their post. A second gateway will be reached after subsequent annual reviews against the full KSF. It will only be in exceptional circumstances that an individual will not go through a gateway. Further information can be found in the KSF Managers Handbook.

6.6 A Personal Development Plan (PDP) is jointly produced to meet the gaps identified against the KSF outline between the reviewer and reviewee. Identification of learning and development needs and goals and how these will be met within a given time frame, should ensure a fair and equitable approach to the allocation of resources and opportunities for development. This will be the responsibility of the line manager.

6.7 If it is impossible for a reviewer and a reviewee to reach an agreement on the content, focus and outcome of their PADR/PDP then the reviewee and reviewer can seek support. The policy has an agreed appeals procedure to deal with this. (Please refer to section 9).

6.8 All reviewers will have undertaken training in the application of the KSF and PADR process. Classroom training will be available for reviewers who are new starters or new to post, for existing staff competence will be based on completion of the Reviewer e-learning package and the evidence against the reviewers KSF.

7. THE PERSONAL APPRAISAL DEVELOPMENT REVIEW PROCESS

7.1 The PADR process has two core parts;

- Performance/ Personal Appraisal is the process of agreeing objectives and how their achievement can be measured, and then assessing how teams/ staff perform against them, in the context of the organisations goals and values.
- Personal development planning and review (PDP/R) is the process of defining the types and levels of skills, knowledge and behaviour that staff require in carrying out their work, assessing their current skill levels against these requirements, and then putting development plans in place to close any gaps or shortfalls.

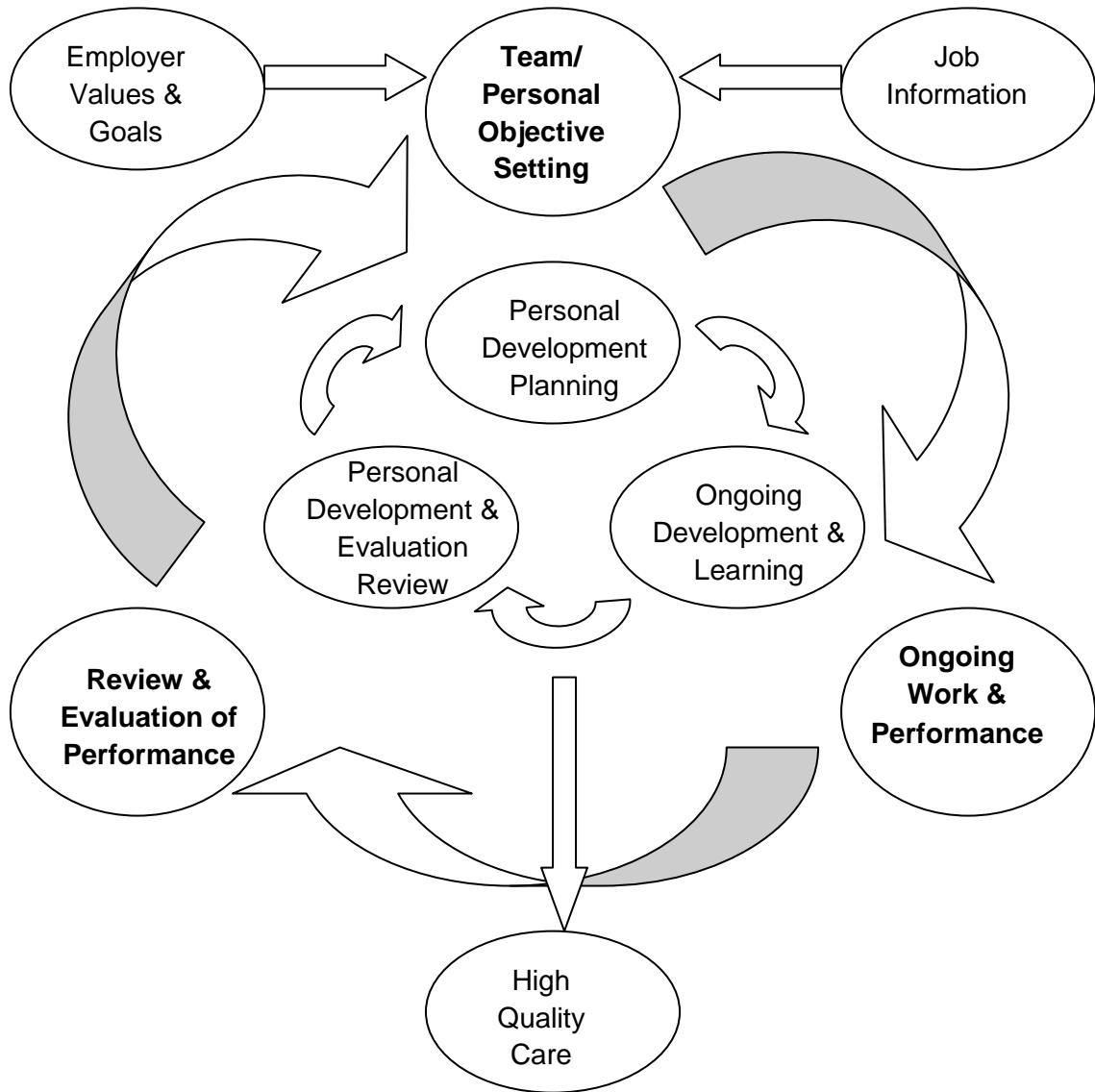
7.2 The KSF Outline is designed to form the basis of the development review process. This is an ongoing cycle of review, planning, developing and evaluation for all staff employed on the Agenda for Change Terms and Conditions which links organisational and individual development needs – a commitment to the development of all those affected. It will promote effectiveness in work with managers and staff being clear about what is required within a post and how an individual can be more effective by undertaking appropriate learning and development opportunities.

7.3 Individual or team performance objectives will be agreed against the requirements of the job and the KSF outline for the post creating a flexible, skilled workforce enabling service modernisation. A PDP will be jointly agreed to support the reviewee to develop in areas identified as

a need against their KSF. Figure 1 below demonstrates the integrated appraisal system.

7.4 An outcome of the PADR meeting should be agreed work objectives or performance expectations which relate to the UHBs strategic objectives.

Fig 1. KSF Supporting an integrated appraisal system (IES)



7.5 Monitoring of progression in a pay band is via defined points known as gateways, decisions are made about pay progression as well as development using the KSF. At these two points on the pay band assessment of the post holder's application of knowledge and skills required in the post's KSF outline is necessary in order to progress up the pay scale. The two gateway points are the Foundation gateway and the Second gateway. Further information can be found in the KSF Managers Handbook, Agenda for Change Terms and Conditions Handbook.

7.6 It is mandatory to record the outcome of the PADR meeting and PDP. This may be either on the [paper documentation](#) available on the intranet site or alternatively the outcome can be recorded on the via the Self Service module on the Electronic Staff Record (ESR). However it is important to note that this tool does not replace the need for a face to face meeting; rather, its purpose is to capture the data from the meeting. Further guidance can be found in the KSF Managers Handbook.

8. TRAINING

8.1 Development of Reviewers

Provision has been made to provide the skills development programme listed below for the ongoing implementation of the Personal Appraisal Development Review. Details of this can be found in KSF Managers Handbook.

- Reviewer Skills Workshops for new starters or staff who are new to post
- Softer Skills Workshops
- e-learning solution

8.2 Support for Reviewees

A brief introduction to KSF and the PADR process is provided on the classroom and e-learning Corporate Induction Programme. A number of areas of support are available for managers, reviewers and reviewees for implementation of the Development Review Process. Details can be found in the KSF Managers Handbook.

8.3 Equality Training

Equality training is available for reviewers and line managers through e-learning or tutor led programmes to ensure the approach to undertaking PADR's is fair and equitable. Details can be found in the KSF Managers Handbook.

8.4 Essential Skills Support

As part of the Employers Pledge the UHB is committed to develop the essential skills of the workforce. Literacy programmes are available to support reviewers. Details can be found in the KSF Managers Handbook.

9. APPEALS PROCEDURE

9.1 General Information

In cases where the reviewee disagrees with the outcome of their Personal Appraisal Development Review every effort will be made to ensure that locally these disagreements will be resolved.

In exceptional circumstances the grounds for an appeal on a disagreement regarding a decision between the reviewee and their line manager or designated reviewer should be in relation to:

- Using the NHS Knowledge and Skills Framework in the
- Development Review Process
- The provision of resources and opportunities to support training and development activities
- The progression of staff through pay band gateways

An appeal must be lodged by the reviewee to their line manager within two weeks of being notified of a decision being made regarding one of the above using letter 1, appendix 5 contained in the KSF Managers Handbook

9.2 Stage One (local resolution in department)

9.2.1 Reviewees who wish to make an appeal against a decision made using the KSF (using form 1, appendix 5 contained the KSF Managers Handbook) should first attempt to resolve the issue of concern informally with their Reviewer/Line Manager before recourse to Stages Two and Three.

9.2.2 If the issue is resolved between the reviewee and the reviewer/line manager then progress to stage two is not necessary.

9.2.3 If there remains a disagreement and the matter needs to be resolved in the informal appeal stage then the reviewee should confirm the failure to agree in writing and progress to stage two within two weeks of the meeting. Failure of the reviewee to inform the Line manager within two weeks will indicate acceptance of the decision and 7.2.2. will apply.

9.3 Stage Two – Informal Appeal Stage

9.3.1 Reviewees who wish to pursue the informal stage having been unable to resolve the issue in stage one will be expected to provide evidence for the points outlined in 7.3.2. Reviewees if they wish can be supported by their trade union representative, friend or colleague not acting in a legal capacity.

9.3.2 The informal review of the issue raised in stage one (using information contained in form 1, appendix 5 contained in the KSF Managers Handbook) should establish in particular whether:

- The area of concern is based on evidence provided by the Reviewee
- The matter is KSF/PADR related, and not based on an objection to the principles of KSF
- Reasonable attempts have been made to first resolve the issue without recourse to an appeal

9.3.3 Further support for reviewees will be available from the Union

Learning Representatives throughout the UHB. Details available from the Staff Representative Lead for KSF. Reviewers will be able to access support in the form of coaching from their Line Manager or Human Resources.

- 9.3.4 Once evidence is gathered an informal meeting to review the evidence will take place between the reviewee, their line manager and trade union representative, friend or colleague not acting in a legal capacity.
- 9.3.5 If no agreement can be reached and it is agreed that the matter needs to be resolved in the formal appeal stage then the reviewee should confirm the failure to agree in writing and progress to stage three within two weeks of the meeting. Failure of the reviewee to inform the Line manager within two weeks will indicate acceptance of the decision made in stage two.

9.4 Stage Three – Formal Appeal Stage

- 9.4.1 This stage will be managed within the Clinical Board
- 9.4.2 If a reviewee chooses to proceed with the appeal they are required to produce a statement in writing and submit it to their line manager (using statement template 1, appendix 5 contained in the KSF Managers Handbook). The appeal in relation to the matter identified at stages one and two should then be heard by the appeals panel consisting of the:
 - Clinical Board Workforce and OD representative or Executive equivalent
 - Head of Operations and Delivery or designated deputy
 - Staff Representative Lead for KSF
- 9.4.3 The decision of the formal appeal stage is final and there will be no further levels of appeal.
- 9.4.4 The decision of the local appeals procedure does not establish any precedents beyond the Cardiff & Vale UHB.

An appeals pack is contained in the KSF Managers Handbook which includes a form and standard letters to be used in the event of an appeal.

10. EQUALITY STATEMENT

Cardiff and Vale UHB is committed to ensuring that, as far as is reasonably practicable, the way we provide services to the public and the way we treat our staff, patients and others reflects their individual needs and does not discriminate, harass or victimise individuals or groups. These principles run throughout our work and are reflected in our core values, our staff employment policies, our service standards and our Single Equality Scheme- FAIR CARE. The responsibility for implementing the scheme falls to all employees and UHB Board members, volunteers, agents or contractors delivering services or

undertaking work on behalf of the UHB.

We have undertaken an Equality Impact Assessment and received feedback on this policy and the way it operates. We wanted to know of any possible or actual impact that this policy may have on any groups in respect of gender, maternity and pregnancy, marriage or civil partnership issues, race, disability, sexual orientation, Welsh language, religion or belief, transgender, age or other protected characteristics. The assessment found that there was little impact to the equality groups mentioned. Where appropriate we have taken or will make plans for the necessary actions required to minimise any stated impact to ensure that we meet our responsibilities under the equalities and human rights legislation.

11. AUDIT

Regular monitoring and reporting of PADR activity will be provided to the Performance Management Report for Management Executives and People, Performance and Delivery Committee.

12. DISTRIBUTION

This Policy will be available on via the UHB Clinical Portal, Intranet and Internet web sites. Where staff do not have access to these resources, the line manager must ensure that they are aware of the content of this Policy.

Responsibility for distribution within the Clinical Boards will be undertaken by the Head of Operations and Delivery.

13. REVIEW

This Policy will be reviewed every 3 years, to ensure its relevance.