

# DIGITAL HEALTH AND CARE WALES

## APPRAISAL AND DEVELOPMENT REVIEW POLICY

The policy aims to define the actions, roles and responsibilities of staff and managers associated with the performance appraisal and development review process. The All Wales Pay Progression Policy must be read in conjunction with this Policy as Appraisal & Development Reviews will be required to be arranged in accordance with employee's annual incremental dates.

The Policy is designed to underpin the requirements of the Digital Health & Care Wales Integrated Medium Term Plan (IMTP) and the Organisations' Values.

<b>Document Version</b>	V1
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<b>Status</b>	Approved
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Document author:	Velindre NHS Trust
Approved by:	Velindre NHS Trust
Date approved:	11/05/2017
Review date:	31/03/2022

<b>STRATEGIC OBJECTIVE</b>	Delivering High Quality Digital Services
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<b>WELL-BEING OF FUTURE GENERATIONS ACT</b>	A healthier Wales
If more than one standard applies, please list below: A prosperous Wales, A resilient Wales, A more equal Wales, A Wales of cohesive communities, A Wales of vibrant culture and thriving Welsh language, A globally responsible Wales	

<b>DHCW QUALITY STANDARDS</b>	ISO 20000
If more than one standard applies, please list below: ISO 27001, ISO 9001, BS 76000:2015, BS76005, SDI (Service Desk Institute Standard)	

<b>HEALTH CARE STANDARD</b>	Staying Healthy
If more than one standard applies, please list below: Individual Care, Staff and Resources	

<b>EQUALITY IMPACT ASSESSMENT STATEMENT</b>	Date of submission: 08 May 2017
Yes, applicable	Outcome: Approved
Statement: Digital Health and Care Wales is committed to ensuring that, as far as is reasonably practicable, the way it provides services to the public and the way it treats its employees reflects their individual needs and does not discriminate against individuals or groups. An Equality Impact Assessment (EQIA) has been undertaken on this policy and the way it operates. The organisation wanted to know of any possible or actual impact that this policy may have on any groups in respect of gender (including maternity and pregnancy as well as marriage or civil partnership issues) race, disability, sexual orientation, welsh language, religion or belief, gender identity, age or other protected characteristics.  The assessment found that there was no impact to the equality groups mentioned and this policy will have a positive impact on all of the 'protected characteristic' groups. Where appropriate, the organisation will make plans for the necessary actions required to minimise any stated impact to ensure that it meets its responsibilities under the equalities and human rights legislation.	

<b>APPROVAL/SCRUTINY ROUTE:</b>		
Person/Committee/Group who have received or considered this paper prior to this meeting		
Local Partnership Forum	23/03/2021	Approved

IMPACT ASSESSMENT	
<b>QUALITY AND SAFETY</b> IMPLICATIONS/IMPACT	Yes, please see detail below
	Ensuring employees have the sufficient skill and planned development to ensure compliance with potentially changing statutory obligations related to their roles ensures quality is high and safety is a continued focus for the organisation.
<b>LEGAL</b> IMPLICATIONS/IMPACT	Yes, please see detail below
	Should the appropriate training and development for specific roles not be planned, undertaken and recorded, this could have a legal ramification for the organisation if there was a related incident.
<b>FINANCIAL</b> IMPLICATION/IMPACT	No, there are no specific financial implication related to the activity outlined in this report
<b>WORKFORCE</b> IMPLICATION/IMPACT	Yes, please see detail below
	The policy sets out clear expectations for the range of people involved in the appraisal and development review process ensuring consistent approach to appraisals across the organisation.
<b>SOCIO ECONOMIC</b> IMPLICATION/IMPACT	No. there are no specific socio-economic implications related to the activity outlined in this report

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# 1 DOCUMENT HISTORY

## 1.1 REVISION HISTORY

Date	Version	Author	Revision Summary
11/05/2017	1	Velindre NHS Trust	Policy Finalised

## 1.2 REVIEWERS

This document requires the following reviews:

Date	Version	Name	Position
11/05/2017	1	Velindre NHS Trust	Host Organisation until 31/03/2021

## 1.3 AUTHORISATION

Signing of this document indicates acceptance of its contents.

<b>Author's Name:</b>	Velindre NHS Trust		
<b>Role:</b>	Host Organisation until 31./03/2021		
<b>Signature:</b>		<b>Date:</b>	11/05/2017

<b>Approver's Name:</b>	Velindre NHS Trust		
<b>Role:</b>	Host Organisation until 31./03/2021		
<b>Signature:</b>	N/A	<b>Date:</b>	11/05/2017

## 1.4 DOCUMENT LOCATION

Type	Location
Electronic	Integrated Management System

## 2 POLICY STATEMENT

Digital Health & Care Wales is committed to the performance management and continuous development of its employees in order to meet service needs and organisational ambitions. The process of regular Performance Appraisal & Development Review (PADR) which allows for constructive discussion about individual performance, sets and measures achievement of objectives and establishes individual Personal Development Plans (PDPs) to be fundamental to achieving this aim. Completing a PADR in line with this policy is therefore mandatory for all employees.

## 3 PURPOSE

The PADR is a two-way discussion which, when performed effectively, actively involves employees, helping them to understand what is expected of them in their role, through honest and constructive feedback on role requirements and individual performance. By agreeing work and performance objectives, then regularly reviewing and discussing progress, employees become engaged in and take responsibility for their own performance and development.

The organisation is committed to the implementation, and effective use, of a PADR process which ensures that all employees have the opportunity to meaningfully discuss their performance and development with their manager on a regular basis.

## 4 SCOPE

This Policy will apply to all employees of Digital Health & Care Wales.

The organisation is committed to ensuring that all employees who take up new posts will have an induction plan and short term objectives agreed within the first fortnight of their employment with longer-term performance and personal development objectives agreed within the first 6 months of them taking up the post. Annual appraisals will be required in accordance with the Pay Progression Policy and arranged at least 12 weeks prior to the employee's incremental date.

Where there are identified capability issues with a member of staff these will be considered under the appropriate organisation policy.

## 5 AIMS AND OBJECTIVES

The aim of this Policy is to define the actions, roles and responsibilities associated with Digital Health & Care Wales PADR process.

The Executive Board monitors PADR activity against targets within the IMTP (in the organisation and its Directorates) through receiving formal monthly reports of activity data as recorded in the Electronic Staff Record database.

## 6 ROLES AND RESPONSIBILITIES

### 6.1 Senior Management

It is the responsibility of Senior Management to monitor PADR activity and to establish and maintain a Directorate/departmental/team culture which enables and tangibly encourages PADR processes being undertaken in all areas for all staff groups and professions.

### 6.2 Line Manager or Delegated Appraiser

It is the responsibility of the line manager/delegated appraiser to ensure that a PADR is undertaken with each employee annually and should be 12 weeks prior to the employee's incremental date. The PADR process should consist of:-

- A review of individual performance over the past 12 months (incorporating review of any existing objectives)
- Establishing performance objectives for the next 12 months
- Establishing a Personal Development Plan for the next 12 months
- Establishing and confirming whether a member of staff has achieved the Pay Progression Policy criteria (measuring performance against the core objectives) and will receive their pay increment (in accordance with the All Wales Pay Progression policy and guidance document – in the Integrated Management System)

*\*N.B: it is expected that two PADRs will be undertaken in the first year of a new employee's appointment to a post to support their performance and growth in the role.*

PADR forms/paperwork and guidance documentation is available on the PADR Intranet page in the workforce section, which provides appraisers with the resources to help staff and managers to make the most of their preparation for, and participation in PADR meetings.

#### PADR Reviewers MUST:-

- Complete the organisation's Appraisal & Objective Setting training course, preferably before undertaking any PADR discussions.
- Seek to meet any specific needs to ensure that the process is fair for any member of staff with a disability or other specific need.
- Ensure that the member of staff understands the implications of the Digital Health & Care Wales Integrated Medium Term Plan (IMTP) for their department, team and own role.
- Read through the job description and the previous years' appraisal.
- Facilitate a joint discussion between themselves and the member of staff about the individual's work performance, ensuring to constructively manage any different points of view.
- Review the member of staff's training records to identify if mandatory and statutory training needs have been met.
- Consider whether an employee has achieved the Digital Health & Care Wales Pay Progression Policy Criteria, and therefore whether an employee's performance over the previous 12 months has been Satisfactory or Unsatisfactory. Please refer to 7.4 below and the Pay Progression policy in the Integrated Management System.
- Work jointly with the individual to identify challenging, yet achievable objectives for the coming 12 months, which align with the plans outlined in the organisation's Integrated Medium Term Plan (IMTP) and with Digital Health & Care Wales' Organisational Values.

- Work jointly with the individual to identify their learning and development needs.
- Record the details of the PADR on the Electronic Staff Record via Manager Self-Service.

### 6.3 Employees

All employees are required to assist with the identification of appropriate objectives and their individual training needs; and to bring training and development needs, which support IMTP ambitions to the attention of their manager.

Before their PADR individual employees should:

- Ensure that they have completed the mandatory and statutory training needs as required by their role on the Electronic Staff Record.
- Ensure that they have an understanding of the implications of the Digital Health & Care Wales IMTP for their department, team and their own role.
- Reflect on their work performance (particularly in relation to demonstrating the Organisational Values) and be ready to discuss their views with their line manager during the PADR.
- Consider what objectives they would like to work towards over the coming 12 months.
- Identify where they need further learning and development.

## 7 MONITORING, ESCALATION AND IMPLEMENTATION ARRANGEMENTS

It is important that the PADR be actively implemented as a shared and constructive process, owned by both the individual employee and their manager/appraiser.

The PADR reviewer will usually be the individual's line manager, but the role can also be delegated to someone else within their management structure. If the reviewer role is delegated, then the individual to whom it is delegated will need to be competent to act in that role, have completed Manager's Induction training, and also have sufficient authority to be able to arrange learning and development opportunities.

## 8 EQUALITY

The organisation is committed to ensuring that, as far as is reasonably practicable, the way it provides services and the way it treats its employees reflects their individual needs and does not discriminate against individuals or groups.

The organisation has undertaken an Equality Impact Assessment (EQIA) and received feedback on this policy and the way it operates. The Trust wanted to know of any possible or actual impact that this procedure may have on any groups in respect of gender (including maternity and pregnancy as well as 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 no impact to the equality groups mentioned and this policy will have a positive impact on all of the 'protected characteristic' groups. Where appropriate the Trust will make plans for the necessary actions required to minimise any stated impact to ensure that it meets its responsibilities under the equalities and human rights legislation.

## 9 TRAINING

Managers responsible for undertaking PADR processes must attend the following training:



- Manager's Induction training which includes Equality & Diversity Training and Appraisal Training.

In terms of general training implications – the PADR aims to enable employees, managers and the organisation to be clear about the knowledge and skills that need to be applied in various roles across the organisation, and enable employees to access appropriate learning and development in order to effectively carry out their role, learn and develop throughout their careers.

## 10 IMPLEMENTATION

The PADR is an ongoing cycle of review, planning, development and evaluation which links individual and organisational development needs.

### 10.1 Paperwork and Record Keeping

PADR paperwork to support this process has been approved for use in Digital Health and Care Wales and provides a written framework which supports each stage of the PADR. The approved forms are the mandatory record of PADR discussions and must be completed with signed completed copies kept by both manager and member of staff as a record of PADR discussions and agreements. These can be stored electronically on the employees personnel file. The paperwork is presented in full as Appendix 1 and is available via the Workforce and Organisational Development intranet pages.

### 10.2 Pay Progression

The All Wales Pay Progression policy **must** be considered when undertaking PADRs with staff. The approved core organisational objectives against which a decision is made with regard to pay progression, are defined in the guidance document which is available as an appendix in the Pay Progression policy.

If a manager is deferring an employee from receiving their increment in accordance with the Pay Progression Policy, it is their responsibility to inform the Payroll Department using the Pay Progression Deferral Form (Appendix 2).

### 10.3 Timing

PADRs should be aligned at least 12 weeks prior to a member of staff's incremental date. This date can be accessed through ESR using either Manager Self Service or Supervisor Self Service, by utilising the Business Intelligence tool.

## 11 AUDIT AND MONITORING

It is the responsibility of the manager to ensure that the date that the PADR is undertaken is recorded in the Electronic Staff Record (ESR) database to allow for analysis and reporting. A step-by-step process guide to completing this online record is available on the Workforce and Organisational Development intranet pages.

Staff perceptions of PADR activity and quality will be monitored through the NHS Wales Staff and Pulse Survey's, with results discussed and any associated actions supported by Workforce & Organisational Development and Executive Management Board.

## 12 DISTRIBUTION

Further information on the content of this policy can be obtained from Workforce & Organisational Development.

Managers must refer to the Pay Progression Policy and guidance notes when undertaking PADRs.

## 13 REVIEW

The Performance Appraisal and Development Review Policy will be reviewed three years, after approval.

## 14 FURTHER INFORMATION

Associated Policies/Strategies available on the link below

[Management System - All Documents \(wales.nhs.uk\)](https://wales.nhs.uk/Management-System-All-Documents)

- Capability Policy
- Dignity at Work Policy
- Healthcare Support Workers Code of Conduct
- New Staff Induction Procedures
- Risk Management Policy and Strategy
- Standards of Behaviour Framework Policy
- Study Leave Policy & Guidelines
- OD & People Management Strategy
- Equality Act 2010

## Personal Appraisal Development Review (PADR)

1. Complete all sections
2. Ensure to record the date of this PADR on ESR

### 1. PADR Details

<b>Reviewee Name:</b>	<b>Job Title:</b>	<b>Department:</b>	<b>Incremental Date:</b>

<b>Reviewer Name:</b>	<b>Review Date:</b>	<b>Review Period:</b> From: To:

## 2. Building Talent – Self Assessment

It is recommended that the individual completes the interactive ‘Building Talent - Self Assessment Tool’ before attending the PADR discussion:



Building Talent - Self  
Assessment Tool - 20

Insert the total scale scores from the Self Assessment:

Desire:	Current Performance:	Current skill:	Readiness:	Values:
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Does the Self Assessment identify that this colleague is Immediately ready for further development? £ Yes      £ No	If YES – describe the basic next steps to be taken here & ensure that the Objectives & PDP reflect the necessary actions and success measures:	If NO – describe what action needs to be taken to increase scores and ensure to incorporate relevant issues into the discussions in section 3:
Does this colleague wish to be engage with further development at this time? £ Yes      £ No	If YES – describe the basic next steps to be taken here & ensure that the PDP reflects necessary actions and success measures:	If NO – describe the reasons why and whether this may alter in the future:

### 3. Pay Progression Criteria Review

To be completed for ALL Staff:		
Pay Progression Incremental Award Criteria:		If 'No' provide details of the reason/s why and describe any mitigating circumstances:
Is this member of staff 100% compliant with their CSTF mandatory & statutory training requirements?	£ Yes £ No	
Has this member of staff engaged with a completed PADR discussion in the past 12 months?	£ Yes £ No	
Has this member of staff made sustained and meaningful commitment to personal objectives which develop self/team in line with the organisation's approved 'Integrated Medium Term Plan' and Organisational Values?	£ Yes £ No	

This section should ALSO be completed for Staff with Supervisory or Managerial Responsibility:		
Pay Progression Incremental Award Criteria:		If 'No' provide details of the reason/s why and describe any mitigating circumstances:
Have PADR processes been 100% completed for all staff supervised/line managed by this member of staff?	£ Yes £ No	
Has this member of staff demonstrated their commitment to engaging their staff with creating and delivering 'Integrated Medium Term Plan' objectives, and aligning their team activities/behaviours to Organisational Values	£ Yes £ No	

#### 4. Performance Review

What is the status of this member of Staff's:	100% Achieved	If No – provide detail about reason why & what action/development is required?
Previous Objectives	£ Yes £ No	
Previous PDP	£ Yes £ No	
Job Description	£ Yes £ No	

**Discuss current performance across all four organisational Values:**

**N.B Open embedded document below and use as prompts for examples of how behaviours and actions relate to the Trust Values**



Values into  
Behaviours - Final.docx

Performance in Relation to Being:	What has Gone Well?	What has Been Challenging?	Have there been any Barriers which have made it difficult?
Accountable			
Bold			
Caring			
Dynamic			

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## 5. Understanding Of the Role

Discuss the following questions with the member of staff and record their reflections on each below:

<p><b>Do you always know what you're doing in work, and why you're doing it?</b></p>	
<p><b>Do you always know how you should behave, and do you feel that you're enabled to do your best?</b></p>	
<p><b>Do you feel supported in your role and able to make workplace improvements where you identify them?</b></p>	
<p><b>Do you understand the difference that you, and your role, are making to patients/donors?</b></p>	

## 5. Objectives

<p><b>List &amp; discuss the Integrated Medium Term Plan Objectives which are relevant for this role &amp; post holder:</b></p>	
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Discuss and agree individual objectives (*only agree objectives as appropriate & relevant – don't feel that all boxes have to be filled, or alternatively, add rows if necessary*):

What I will achieve:		By date:	Taking Action – how I will achieve this:	Evaluation - success will be measured via:	Progress: (complete over 12 months)
1	Self completion of Welsh Language competencies in ESR (if not already completed)		Follow the online instructions <a href="http://howis.wales.nhs.uk/sitesplus/972/document/361644">http://howis.wales.nhs.uk/sitesplus/972/document/361644</a>	100% completion of Welsh Language competencies in ESR	
2					
3					
4					
5					

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7					
8					

## 7. Personal Development Plan

Discuss & agree what development an individual needs to undertake in order to:

1. improve/develop their performance in role
2. develop their personal talent and career aspirations as discussed via the Building Talent Self Assessment (section 2)

### Welsh Language Scheme Related Development:

Does this member of staff wish to develop/improve their current level of Welsh language competence?

£ Yes £ No

*If yes add to the PDP below  
and contact the Welsh Language Officer for advice and guidance*

Development Activity:	By Date:	Taking Action – how I will achieve this:	Evaluation - success will be measured by:	Progress: (complete over 12 months)

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**PDP approved by manager (please tick box)**

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## 8. PADR Sign Off:

For ALL STAFF for the Purposes of PAY PROGRESSION:		
<b>Select one of the following options:</b> This member of staff's performance over the past 12 months is deemed to be:	£ SATISFACTORY	<i>NB: If UNSATISFACTORY it is ESSENTIAL that reference is made to the Trust's PADR Policy and all necessary steps to halt pay progression, and establish the necessary supportive action plans are followed</i>
	£ UNSATISFACTORY	

For REGISTERED NURSES ONLY – for the Purposes of REVALIDATION			
NMC PIN Number:		Part(s) of the Register: <i>(i.e. part 1)</i>	
Name of Register carrying out professional discussion:		Revalidation Date:	
Name of Register carrying out professional discussion:		NMC PIN of Registrant carrying out Professional Discussion:	
Name of Confirmer:			
<b>Professional Discussion:</b> <i>Undertaken relating to the Reflective Accounts based on CPD, Practice Related Feedback or an event/experience and how it relates to the code.</i>		<b>Confirmation Undertaken:</b>  £ 450 practice hours <i>(please refer to Practice Hours log in revalidation folder)</i>  £ 35 hours of Continuing Professional Development – at least 20 hours participatory <i>(please refer to CPD log in revalidation folder)</i>	
<b>Medicines Practice Review:</b>			
Signature of Registrant carrying out PADR/Professional Discussion:		Signature of confirmer:	

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## 9. Overall Comments / Feedback:

*Add additional comments as necessary and sign as evidence of agreement with all information completed on this form.*  
*If no additional comments are required you must ensure both parties sign as evidence of agreement with information completed in sections 1-8.*

Reviewee's Signature & Comments:	Reviewer's Signature & Comments:

**DON'T FORGET TO RECORD THE DATE OF THIS PADR IN ESR & TO PUT THE DATE/S OF REVIEW MEETINGS/NEXT PADR IN DIARIES**

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GIG  
CYMRU  
NHS  
WALES

Ymddiriedolaeth  
GIG Felindre  
Velindre NHS Trust



GIG  
CYMRU  
NHS  
WALES

Iechyd a Gofal  
Digidol Cymru  
Digital Health  
and Care Wales

## Pay Progression Deferral Form

(All fields must be completed and sent to the Payroll and Workforce Departments)

### Department Details

Cost Centre

Directorate

Title

Surname

Employee Number

Job Title

Pay Band

Incremental  
Date



GIG  
CYMRU  
NHS  
WALES

Iechyd a Gofal  
Digidol Cymru  
Digital Health  
and Care Wales

Department

**Employee**

First Name

**Post Details**

**Pay progression Bands 1-8b**  
**Please tick if deferring payment of increment**

Unsatisfactory – has not met all of the core organisation objectives, has not met the expected work objectives, and/ or has not demonstrated the right behaviours and ways of working, and/ or has not shown how they have developed or improved their area of work. Therefore, no increment will be awarded.

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**Manager's Details**

Name

Job Title

Contact Number

Date

**Reviewer Details**

Name

Job Title

Department

Date