



## Appraisal (including personal development planning) policy and procedure

Lead executive	Director of Nursing Therapies Patient Partnership	
Author and contact number	Learning and Development Manager - 01244 397255	

Type of document	Policy	
Target audience	All CWP staff and (non medical staff)	
Document purpose	This document aims to set the minimum standards which CWP requires its managers to implement in respect of Performance Appraisal of (non medical) employees.	

Document consultation	Staff side	
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CWP documents to be read in conjunction with	<a href="#">HR6</a> <a href="#">HR11</a>	Trust-wide learning and development requirements including the training needs analysis (TNA) Employee Performance Framework
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Training requirements	There <b>is</b> specific training requirements for this document. Performance Appraisal Training for Managers Crucial Conversations Programme	
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Financial resource implications	No	
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### Equality Impact Assessment (EIA)

Initial assessment	Yes/No	Comments
Does this document affect one group less or more favourably than another on the basis of:		
• Race	No	
• Ethnic origins (including gypsies and travellers)	No	
• Nationality	No	
• Gender	No	
• Culture	No	
• Religion or belief	No	
• Sexual orientation including lesbian, gay and bisexual people	No	
• Age	No	
• Disability - learning disabilities, physical disability, sensory impairment and mental health problems	No	
Is there any evidence that some groups are affected differently?	No	
If you have identified potential discrimination, are there any exceptions valid, legal and/or justifiable? N/A		
Is the impact of the document likely to be negative?	No	
• If so can the impact be avoided?	N/A	

<ul style="list-style-type: none"> <li>• What alternatives are there to achieving the document without the impact?</li> <li>• Can we reduce the impact by taking different action?</li> </ul>	N/A	
Where an adverse or negative impact on equality group(s) has been identified during the initial screening process a full EIA assessment should be conducted.		

If you have identified a potential discriminatory impact of this procedural document, please refer it to the human resource department together with any suggestions as to the action required to avoid / reduce this impact.

For advice in respect of answering the above questions, please contact the human resource department.

Was a full impact assessment required?	No	
What is the level of impact?	Low	

### Document change history

Changes made with rationale and impact on practice
1. Review and update as scheduled.

### External references

References
1.

### Monitoring compliance with the processes outlined within this document

Please state how this document will be monitored. If the document is linked to the NHSLA accreditation process, please complete the monitoring section below.	The effectiveness of this policy will be monitored by Workforce and Organisational Development Sub Committee (WODSC) twice a year
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## 1. Introduction

An effective annual process of staff performance appraisal is key to linking CWP's stated service delivery objectives with the day to day activities of individual employees - ensuring that all staff are productive, confident and competent. CWP employs people in a variety of different service specialisms and jobs, across a substantial geographic area and therefore in a range of organisational contexts: the trust's core staff appraisal process needs to be capable of adaptation to meet the needs of managers and staff in all services and across all non medical jobs.

This aim of this policy is to set the minimum standards which CWP requires its managers to implement in respect of the performance appraisal of all (non medical) employees. There is no direct link between the results of an appraisal process and the pay of individual employees<sup>1</sup>.

Minimum standards:

- All CWP employees participate in a review of their personal workplace performance every 12 months (formally known as 'performance appraisal');
- The annual review process includes a private 1:1 discussion between an employee and their immediate line manager;
- The annual review process is an assessment of both the employee's effectiveness in doing their job and the extent to which they have addressed personal development / training needs established previously;
- Outcomes from the annual review process are a) clarity as to the service delivery targets for the employee to meet over the following 12 months and b) a personal development plan (PDP) for the employee: the PDP is to include mandatory employee learning obligations;
- Monitoring of the implementation of the results of the performance appraisal is a standing item for discussion at formal supervision sessions;
- Line managers and employees have joint responsibility for making 'performance review' processes happen, ensuring that outcomes are recorded clearly and that progress against set targets is regularly reviewed.

## 2. Definitions

### 2.1 Who does the policy apply to?

This policy does not apply to medical staff (for whom separate arrangements are in place).

This policy and procedure does apply to a) all trust employees with a contract length of more than 12 months (whether conditioned to full or part time hours); b) all agency staff working for the trust for longer than 12 months in the same role \*; and c) all staff employed by other organisations but seconded to – or otherwise in effect working as a member of a team within – CWP for longer than 12 months \*.

**NB:** \* In both cases, appraisal discussions should be undertaken in consultation with representatives from the employer organisation and may be affected by the contractual arrangements existing within that employer organisation.

## 3. Procedure

### 3.1 What does the policy cover?

An appraisal allows for both a review of past performance and a setting of expectations for the future. As such, it provides an opportunity for an employee and their line manager to spend protected time to review what has happened over the previous 12 months – celebrating achievements, discussing the employee's contribution to their team, allowing the manager to provide constructive feedback on performance – concluding with identifying areas for future service delivery, personal and professional development.

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<sup>1</sup> But see 'pay gateways' policy for links between personal development and personal pay progression in exceptional circumstances.

The results of an appraisal will normally have 3 elements:

- A record of the key features of the past, both good and where shortfalls / gaps were evident;
- A summary of the key targets which the employee will be looking to meet over the next 12 months; and
- A personal development plan for the employee.

All 3 need to be recorded in writing and copies held by the manager and the employee.

A Personal Development Plan (PDP) identifies an employee's learning and development needs and interests and details how these will be taken forward. As a minimum, the PDP should focus on enabling an individual to develop and apply their knowledge and skills to meeting the demands of their current post (as outlined in the KSF Outline established for their job).

The process of appraisal should support, not replace, regular manager and employee exchanges such as ongoing supervision, and good day to day management practices.

### **3.2 Stages of the appraisal**

As indicated above, the appraisal comprises 3 essential stages:

- Reviewing past performance – embracing past objectives, individual and team performance and the degree to which the employee has completed training planned (including mandatory employee learning) / achieved core KSF behaviours. Any aspects not achieved may be discussed as a future objective or added to the PDP as a development need;
- Setting future performance targets (including achieving Core KSF behaviours) – these may be about 'more of the same', developing services / service standards, bringing about changes to the individual's behaviours or contribution to their team, or doing different work, perhaps with different people. The number of targets set should be agreed to be realistic;
- Development of a Personal Development plan – with the aim of bridging any gaps in current and desired future performance, this provides the opportunity to agree any training needs that are required (including those arising under the trust's adopted mandatory employee learning framework). Training needs that would enhance or refresh any skills needed within the role should be discussed

Recommended guidance documents and forms for use in conducting appraisals have been included within the appendices to this document. However in keeping with encouraging a flexible approach as to how appraisals are carried out – so long as minimum standards are met - any form of written (and agreed by both parties) record of the key features and results of the appraisal can be adopted.

## **4. Duties and responsibilities**

### **4.1 Trust Board**

The Board has responsibility to oversee this policy and ensure that appropriate processes and actions are in place to support a proactive approach to staff development and improved performance through effective use of the appraisal & PDP process

### **4.2 Director of Nursing, Therapies and Patient Partnership**

Director of Nursing, Therapies and Patient Partnership will oversee the introduction, operation, and monitoring of this policy.

### **4.3 General Managers and Heads of Service**

- Ensuring appropriate input from staff members into the development of Trust Policy, Guidance and Processes to support Appraisals and PDPs;
- Overseeing the deployment of this policy (within their sphere of responsibility) and ensure that Trust Guidance and Processes are promoted as a proactive approach to staff development and improved performance;
- Ensure that non-compliance with this policy (within their sphere of responsibility) is managed effectively

#### **4.4 Line Managers**

- Ensuring that they are familiar with the content of this policy
- Role modelling best practice in the deployment of Appraisal/ KSF PDR processes
- Overseeing the deployment of this policy (within their sphere of responsibility) and ensuring that Trust Guidance and Processes are promoted as a proactive approach to staff development and improved performance.
- Ensuring that non-compliance with this policy (within their sphere of responsibility) is managed effectively
- Ensuring they are aware when appraisals (including Gateway reviews) are due
- Recording Appraisal Activity on Electronic Staff Records
- Informing Payroll Department of Pay progression/deferment

#### **4.5 Employees**

- Engaging in the Appraisal / PDP process, and understanding what is expected of them;
- Being familiar with the Trust and departments objectives;
- Understanding the KSF Core Dimensions in relation to their role;
- Preparing for the review and ongoing supervision discussions;
- Working towards objectives identified through the appraisal process and undertake learning and development to meet needs identified through the Appraisal process;
- Regularly discussing progress and identify any issues or constraints that may be encountered.

#### **4.6 Learning and Development Service**

- Ensuring training and advice is available to enable reviewers and reviewees to carry out effective appraisals;
- Reporting to the trust board on a regular basis to ensure fair application of the policy throughout the Trust.

## Appendix 1 - A manager's guide - Five steps to conducting effective performance appraisals

### 1. Do your homework

- Review the employee's job description and requirements, and core KSF behaviours. Make sure these accurately describe the position as it is today.
- Review the last set of objectives, performance standards, and personal development plan you established with the employee.
- Review supervision notes to review the ongoing discussions, as well as successes and opportunities for improvement created during the review period.
- Seek input from people who have direct and frequent contact with the employee - both internal and external.
- Be clear how you will accurately record the key features, results and agreements made – will you use the form in the Policy appendix or follow the minimum standards using a piece of paper

### 2. Set the stage

- Set a mutually agreeable time and location for the discussion;
- Make sure the employee understands the purpose of the appraisal, the process and how the results of the discussion will be used. Emphasise the need for two-way communication;
- Be professional when extending the invitation. Do not joke or make light of the process. This will undermine both your credibility and the opportunity for achieving worthwhile objectives;
- Ask the employee to prepare for the discussion by asking themselves several questions:
  - What were my specific accomplishments during this review period?
  - What objectives or areas of performance did I fall short of meeting?
  - How have I met the core KSF behaviours for my role?
  - Have I achieved my Mandatory Employee Learning?
  - Are there any areas that need specific support from my manager?
  - Does my present job make the best use of my capabilities?
  - How could I be more productive?

### 3. Meet up

- Remember, this is a conversation. Your objective is to maximise the employee's participation;
- Do not discuss other employees' performance or behaviour. Listen and agree to investigate issues. Remember that complaints may be based on personality or style differences and may not be actual issues;
- Prepare specific questions and areas for discussion;
- Rehearse the questions if necessary. Do not begin the process until you are in full control of the issues and your emotions;
- Minimise distractions and interruptions. Clear your desk and your mind of everything unrelated to the current situation. Hold all calls and close the door. Make sure the room temperature is comfortable and that the employee will be seated in a comfortable chair. Allow plenty of time to complete the meeting so you don't have to end the discussion before it's completed;
- Be sure the employee - not the performance appraisal form / recording - is the centre of your focus;
- Create a "sandwich." Begin with the positives, fill with the areas of opportunity, and end on a positive note;
- Ask open-ended questions like, "How are things going in general?"; "How can I make things better?"; "What is your opinion of \_\_\_\_\_?"; "How do you feel about \_\_\_\_\_?"; "What do you think caused \_\_\_\_\_?"

Be careful to avoid:

- Evidence of bias or prejudice;

- Placing too much attention on characteristics that have nothing to do with the job, such as sincerity or friendliness;
- Over-emphasising favourable or unfavourable performance;
- Relying on impressions rather than facts;
- Holding the employee responsible for the impact of factors beyond his or her control, such as computer reliability.

Be sure to include the 3 essential stages (Reviewing past performance, setting future performance, and the development of a Personal Development Plan) including:

- Measuring results of past objectives and learning (including achievement of expected Mandatory Employee Learning requirements);
- Review of performance targets (including achieving Core KSF behaviours);
- Contributions made by the employee during the review period (to the team and individual targets);
- Performance issues that are new or ongoing;
- Identifying professional or personal development that may be required;
- Setting future targets and objectives for the next review period.

#### **4. Close the discussion**

- Summarise the discussion and any agreements. Be positive and enthusiastic. Be sure to include commitments you have made. If there are areas of disagreement, review how you and the employee have agreed they will be resolved;
- Provide an opportunity for the employee to ask questions as well as offer new ideas and suggestions;
- Thank the employee and reinforce any agreements;
- Confirm next supervision meeting and schedule the 6 monthly review;
- Ensure the written documentation demonstrates key features, results and agreement made by both parties, photocopy, and provide a copy to your employee;
- Ensure a record of the review is uploaded onto Supervisor Self Serve.

#### **5. Follow up**

- Keep the discussion going with regular supervision;
- Undertake a 6 monthly review of the annual discussion.

## Appendix 2 – Recommended appraisal form

### Appraisal (including Personal Development Plan (PDP))

**Our Vision: “Leading partnership to improve health and well being by providing quality care”**

**Our Values: Care, Compassion, Courage, Communication, Competence, and Commitment**

#### Section 1 - Personal details of the appraisee, their post and the appraiser

Date of review		Appraisee's name	
Place of work and CSU/CCSS		Appraisee's job title	
Name of appraiser and their status		Is a pay progression gateway applicable at this review? If so, which	
Main aspects of appraisee's job			

#### Section 2 - Objectives from last year

Any previous objectives that have not been achieved please review and include with “objectives for next year”. Any further development needs to be included in the Personal Development Plan (PDP) and review.			
Previous objectives	Achieved	How have these been achieved?	Further action / development required?

#### Section 3 - NHS KSF Core Dimensions

<b>Performance rating scale key</b> (please see appraisal guidance document for the 6 core dimensions, behaviours, actions)		
Outstanding	5	Performing at a level above and beyond the duties of the current position's requirements
Excellent	4	Excellent performance. Performing all duties in a cost-effective manner with positive, measurable results
Fully competent	3	Solid performance. Performing duties as directed with minimal supervision
Needs Improvement	2	Needs development in current position. Less than satisfactory could be doing better.
Unsatisfactory	1	Unsatisfactory performance. Major improvements needed. Performance is clearly below what is expected at current position/level.

NHS KSF core dimensions <i>What skills have been used?</i>	How is performance rated? <i>Please circle using key</i>	Evidence of performance <i>How have these behaviours been</i>	Areas for development <i>Have these been included in the</i>
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						<i>demonstrated?</i>	<i>Personal Development Plan?</i>
Communication	1	2	3	4	5		
Personal and people development	1	2	3	4	5		
Health, safety and security	1	2	3	4	5		
Service Improvement	1	2	3	4	5		
Quality	1	2	3	4	5		
Equality and diversity	1	2	3	4	5		

#### Section 4 - Personal and team effectiveness

The aim of this form is to reflect on effectiveness on a personal level, and within the team							
<b>Team Contribution</b>	<b>How is performance rated?</b> <i>Please circle using key</i>					<b>Evidence of performance</b> <i>How have these behaviours been demonstrated?</i>	<b>Areas for development</b> <i>Have these been included in the Personal Development Plan?</i>
Staying organised	1	2	3	4	5		
Satisfied with my team participation	1	2	3	4	5		
Get along with colleagues, customers, and users of our service	1	2	3	4	5		
Clear about my role and duties	1	2	3	4	5		

#### Section 5 - Objectives for coming year

Objectives should be SMART (specific, measurable, achievable, realistic and time-bound)					
<b>Objectives for year</b>	<b>Link to CWPs objectives? (1-7) &amp; Service Objectives</b>	<b>How are these going to be achieved?</b> <i>Expected outcome? How can the achievement be measured?</i>	<b>By when</b>	<b>Further support /development required</b>	<b>6 Monthly review</b> <i>How have the objectives progressed since the last appraisal?</i>

#### Section 6 - Personal Development Plan (PDP) and review

<b>What development needs are required?</b>	<b>How will these be addressed?</b>	<b>Date by which the goal will be achieved</b>	<b>Outcome</b> <i>How will practice be</i>	<b>6 monthly review</b> <i>How has the plan</i>

<i>Explain the need</i>	<i>Explain what action will be taken, and what resources will be needed?</i>	<i>The date agreed for achieving the development goal</i>	<i>changed as a result of the development activity?</i>	<i>progressed since the last appraisal?</i>
We agree that the above is an accurate summary of the agreed personal development plan				Date
Signature of Appraiser		Signature of Appraiser		

**Section 7 - Mandatory Employee Learning (MEL) plan**

Is mandatory employee learning up to date? A list of all MEL modules / courses can be found on the trust intranet page: <a href="http://nww.cwp.nhs.uk/learninganddevelopment/Pages/MEL.aspx">http://nww.cwp.nhs.uk/learninganddevelopment/Pages/MEL.aspx</a>						
Year of training	Course's required	Already completed	Date to be completed by	Achieved	Date of next update	Comments
1 year		<input type="checkbox"/>		<input type="checkbox"/>		
2 year		<input type="checkbox"/>		<input type="checkbox"/>		
3 year		<input type="checkbox"/>		<input type="checkbox"/>		
5 year		<input type="checkbox"/>		<input type="checkbox"/>		

**Section 8 - Additional comments**

Please use this space to make note of anything that may not have had the opportunity to be discussed	
<b>Appraiser</b>	<b>Appraisee</b>

**Section 9 - Annual appraisal sign off**

We agree that the above is an accurate summary of the agreed personal development plan	Date
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Signature of Appraiser		Signature of Appraisee	
Date of next 6 monthly review		Date of next annual appraisal	Date inputted into Supervisor Self Serve

## Appendix 3 – Core KSF Behaviours

<p><b>Communication – definition</b> This dimension relates to effectively communicating the needs and requirements of patients, carers, staff and others to provide excellent care and service. Effective communication is a two way process. It involves identifying what others are communicating and the development of effective relationships as well as one’s own communication skills.</p>		<p><b>Why it is important:</b> Communication underpins all else we do. Effective communication is a two way process which develops and cements relationships, keeps people informed and reduces the likelihood of errors and mistakes.</p>	
<p><b>Level 1 Communicate with a limited range of people on day-to-day matters. For example:</b></p> <ul style="list-style-type: none"> <li>• Actively listens and asks questions to understand needs</li> <li>• Shares and disseminates information ensuring confidentiality where required</li> <li>• Checks information for accuracy</li> <li>• Presents a positive image of self and the service</li> <li>• Keeps relevant people informed of progress</li> <li>• Keeps relevant and up to date records of communication</li> </ul>	<p><b>Level 2 Communicate with a range of people on a range of matters:</b></p> <ul style="list-style-type: none"> <li>• Uses a range of communication channels to build relationships</li> <li>• Manages people’s expectations</li> <li>• Manages barriers to effective communication</li> <li>• Improves communication through communication skills</li> </ul>	<p><b>Level 3 Develop and maintain communication with people about difficult matters and / or in difficult situations:</b></p> <ul style="list-style-type: none"> <li>• Identifies the impact of contextual factors on communication</li> <li>• Adapts communication to take account of others’ culture, background and preferred way of communicating</li> <li>• Provides feedback to others on their communication where appropriate</li> <li>• Shares and engages thinking with others</li> <li>• Maintains the highest standards of integrity when communicating with patients and the wider public</li> </ul>	<p><b>Level 4 Develop and maintain communication with people on complex matters, issues and ideas and / or in complex situations</b></p> <ul style="list-style-type: none"> <li>• Encourages effective communication between all involved</li> <li>• Develops partnerships and actively maintains them</li> <li>• Anticipates barriers to communication and takes action to improve communication</li> <li>• Articulates a vision for trust focus which generates enthusiasm and commitment from both employees and patients/wider public</li> <li>• Is proactive in seeking out different styles and methods of communication to assist longer terms needs and aims</li> <li>• Is persuasive in putting forward own view and that of the organisation</li> <li>• Communicates effectively and calmly in difficult situations and with difficult people</li> </ul>

Think about what behaviours and actions are positive indications that the knowledge and skills of this dimension are present and those that warn that they are absent

<p>Positive indications:</p> <ul style="list-style-type: none"> <li>• Positive patient / public / partner and colleague relationships</li> <li>• Positive patient / public / partner feedback</li> <li>• Timely and accurate performance</li> <li>• Accurate information given</li> <li>• Appropriate information given</li> <li>• People feel communication in the trust is effective and different parts of the trust communicate with each other</li> <li>• People feel patient confidentiality is respected</li> </ul>	<p>Warning signs:</p> <ul style="list-style-type: none"> <li>• Patient / public / partner complaints about communication and unmet needs</li> <li>• Others not treated nor considered with respect</li> <li>• Over-reliance on email</li> <li>• Information given inaccurate</li> <li>• Information given inappropriate</li> <li>• Recipient not understood information given</li> <li>• People do not feel patient confidentiality is respected</li> </ul>
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<p><b>Personal and People Development – definition</b></p> <p>This dimension is about developing oneself using a variety of means and contributing to the development of others during ongoing work activities. This might be through structured approaches (e.g. appraisal and development review, mentoring, professional/clinical supervision) and/or informal and ad hoc methods (such as enabling people to solve arising problems and appropriate delegation)</p>	<p><b>Why it is important</b></p> <p>Everyone needs to develop themselves in order for services to continue to meet the needs of patients, clients and the public.</p>
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<p><b>Level 1 Contribute to own personal development. For example:</b></p> <ul style="list-style-type: none"> <li>• Identifies whether own skills and knowledge are in place to do own job</li> <li>• Prepares for and takes part in own appraisal</li> <li>• Identifies (with support if necessary) what development gaps exist and how they may be filled</li> <li>• Produces a personal development plan with appraiser</li> </ul>	<p><b>Level 2 Develop own skills and knowledge and provide information to others to help their development</b></p> <ul style="list-style-type: none"> <li>• Seeks feedback from others about work to help identify own development needs</li> <li>• Evaluates effectiveness of own learning/development opportunities and relates this to others</li> <li>• Identifies development needs for own emerging work demands and future career aspiration</li> </ul>	<p><b>Level 3 Develop oneself and contribute to the development of others</b></p> <ul style="list-style-type: none"> <li>• Assesses how well met last year's objectives and helps set this year's. Assesses self against KSF outline</li> <li>• Takes responsibility for meeting own development needs</li> <li>• Identifies development needs for others emerging work demands and future career aspiration</li> <li>• Enables opportunities for others to apply their developing knowledge and skills</li> </ul>	<p><b>Level 4 Develop oneself and others in areas of practice</b></p> <ul style="list-style-type: none"> <li>• Contributes to development in the workplace as a learning environment</li> <li>• Actively creates opportunities to enable everyone to learn from each other and from external good practice</li> <li>• Uses a coaching approach to encourage others to develop</li> </ul>
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<ul style="list-style-type: none"> <li>• Takes an active part in learning / development activities and keeps a record of them</li> </ul>	<ul style="list-style-type: none"> <li>• Offers help and guidance to others to support their development or to help them complete their work requirements effectively</li> <li>• Offers feedback promptly</li> </ul>	<ul style="list-style-type: none"> <li>• Actively provides learning and development opportunities to others</li> <li>• Actively contributes to the evaluation of the effectiveness of others' learning/development opportunities and relates this to others</li> <li>• Ensures all employees managed have annual appraisals and personal development plans in place and comply with mandatory training</li> </ul>	
<p>Think about what behaviours and actions are positive indications the that the knowledge and skills of this dimension are present and those that warn that they are absent</p>			
<p>Positive indications:</p> <ul style="list-style-type: none"> <li>• Identified development needs and feedback accepted positively</li> <li>• People feel they have the knowledge and skills to do their jobs</li> <li>• People feel there is strong support for learning and development in their area</li> <li>• Time and provision are made for on the job and informal development</li> <li>• Everyone has a PDP that they understand</li> <li>• People feel responsible for developing their own expertise</li> <li>• People feel they have opportunities to progress</li> </ul>		<p>Warning signs:</p> <ul style="list-style-type: none"> <li>• Staff defensive about development needs</li> <li>• Staff do not feel they have the knowledge and skills to do their jobs</li> <li>• Development frequently cancelled or senior staff too busy to offer informal development to others</li> <li>• People do not feel there is strong support for learning and development in their area</li> <li>• PDPs not completed or incomplete</li> <li>• People feel development is done to them and it is not their responsibility</li> <li>• Development needs and training/development opportunities available do not match</li> </ul>	

<p><b>Health Safety and Security– definition</b>  This dimension focuses on maintaining and promoting the health, safety and security of everyone in the organisation or anyone who comes into contact with it either directly or through the actions of the organisation. It includes tasks that are undertaken as a routine part of one’s work such as moving and handling</p>		<p><b>Why it is important</b>  Everyone needs to promote the health, safety and security of patients and clients, the public, colleagues and themselves</p>	
<p><b>Level 1 Assist in maintaining own and others’ health, safety and security. For example:</b></p> <ul style="list-style-type: none"> <li>• Follows trust policies, procedures and risk assessments to keep self and others safe at work</li> <li>• Helps keep a healthy, safe and secure workplace for everyone</li> <li>• Work in a way that reduces risks to health, safety and security</li> <li>• Knows what to do in an emergency at work, knows how to get help and acts immediately to get help</li> <li>• Reports any issues at work that may put self or others at a health, safety or security risk</li> </ul>	<p><b>Level 2 Monitor and maintain health, safety and security of self and others</b></p> <ul style="list-style-type: none"> <li>• Looks for potential risks to self and others in work activities and processes</li> <li>• Manages identified risk in the best way possible</li> <li>• Works in a way that complies with legislation and trust policies and procedures on health, safety and risk management</li> <li>• Takes action to manage an emergency, calling for help immediately when appropriate</li> <li>• Reports actual or potential problems that may put health, safety or security at risk and suggests solutions</li> <li>• Supports and challenges others in maintaining health, safety and security at work</li> </ul>	<p><b>Level 3 Promote, monitor and maintain best practice in health, safety and security</b></p> <ul style="list-style-type: none"> <li>• Identifies and manages risk at work and helps others to do the same</li> <li>• Makes sure others work in a way that complies with legislation and trust policies and procedures on health, safety and risk management</li> <li>• Carries out, or makes sure others carry out risk assessments in own area. Checks work area to make sure it is free from risks and conforms to legislation and trust policies and procedures on health, safety and risk management</li> <li>• Takes the right action when risk is identified</li> <li>• Finds ways of improving health, safety and security in own area</li> </ul>	<p><b>Level 4 Maintain and develop an environment and culture that improves health, safety and security</b></p> <ul style="list-style-type: none"> <li>• Evaluates the extent to which legislation and trust policies and procedures on health, safety and risk management have been implemented across the trust, in own sphere of activity</li> <li>• Evaluates the impact of policies, procedures and legislation across the trust in own sphere of activity</li> <li>• Identifies the processes and systems that will promote health, safety and security in the trust</li> <li>• Regularly assesses risks and uses the results to make improvements and promote best practice</li> <li>• Takes appropriate action when there are issues with health, safety and security</li> <li>• Investigates any actual or potential health, safety or security incidents and takes the required action</li> </ul>

Think about what behaviours and actions are positive indications the that the knowledge and skills of this dimension are present and those that warn that they are absent	
<b>Positive indications:</b> <ul style="list-style-type: none"> <li>• Trust procedures are followed including for hand hygiene</li> <li>• Confidential information is kept safe and secure</li> <li>• Work areas are clean and tidy</li> <li>• Health, safety or security risks or incidents are reported, at all levels</li> <li>• Behaviour is monitored and action taken when necessary</li> <li>• Incidents are handled appropriately and acted up immediately at all levels</li> <li>• Health, safety and security incidents are declining</li> </ul>	<b>Warning signs:</b> <ul style="list-style-type: none"> <li>• Legislation, policies and processes around health, safety and security are not followed</li> <li>• Confidentiality is breached</li> <li>• Incidents are not reported or not reported by staff at all levels</li> <li>• There is not monitoring of compliance or monitoring exists but action is not taken when required</li> <li>• People do not know what to do if an incident occurs</li> <li>• Health, safety and security incidents are increasing (which is not due to increased reporting)</li> </ul>

<b>Service Improvement– definition</b> This dimension is about improving services in the interests of the users of those services and the public as a whole. The services might be services for the public (patients, clients and carers) or services that support the smooth running of the organisation (such as finance, estates).The services might be single or multi-agency and uni or multi-professional. Improvements may be small scale, relating to specific aspects of a service or programme, or may be on a larger scale, affecting the whole of an organisation or service.		<b>Why it is important</b> Everybody has a role in implementing policies and strategies and improving services for users and the public	
<b>Level 1 Make changes in own practice and offer suggestions for improving services. For example:</b> <ul style="list-style-type: none"> <li>• Discusses with line manager changes that might need making to own work practice and why</li> <li>• Adapts own work and takes on new tasks as agreed and asks for help if needed</li> <li>• Helps evaluate the service when asked to do so</li> </ul>	<b>Level 2 Contribute to the improvement of services</b> <ul style="list-style-type: none"> <li>• Discusses with team the likely impact of changing policies, strategies and procedures on practice. Also about changes the team can make and how to make them effective</li> <li>• Takes on new work and make changes to own work when agreed, requesting relevant help if needed</li> <li>• Supports colleagues in understanding and making agreed changes to their work</li> </ul>	<b>Level 3 Appraise, interpret and apply suggestions, recommendations and directives to improve services</b> <ul style="list-style-type: none"> <li>• Identifies and evaluates potential improvements to the service</li> <li>• Discusses improvement ideas with appropriate people and agrees a prioritised plan of implementation to take forward agreed improvements</li> <li>• Presents a positive role model in times of service improvement</li> </ul>	<b>Level 4 Work in partnership with others to develop, take forward and evaluate direction, policies and strategies</b> <ul style="list-style-type: none"> <li>• Involves and engages users of the service and others in discussions about service direction, improvements and the values on which they are based</li> <li>• Works with others to make sure there is a clear direction for values, strategies and policies and leads the way when interests are in conflict</li> </ul>

<ul style="list-style-type: none"> <li>• Passes on any good ideas to improve services to line manager or appropriate person</li> <li>• Alerts manager if new ways of working polices or strategies are having a negative impact on the service given to users or the public.</li> </ul>	<ul style="list-style-type: none"> <li>• Evaluates own and others' work when needed</li> <li>• Make suggestions to improve the service</li> <li>• Constructively identifies where new ways of working, polices or strategies are having a negative impact on the service given to users or the public.</li> </ul>	<ul style="list-style-type: none"> <li>• Supports and works with others to help them understand the need for change and to adapt to it</li> <li>• Enables and encourages others to suggest change, challenge tradition and share good practice with other areas of the trust</li> <li>• Evaluates the changes made and suggests further improvements where needed</li> <li>• Evaluates draft policies and strategies and feeds back thoughts on impacts on users and the public.</li> </ul>	<ul style="list-style-type: none"> <li>• Continually reviews the values, strategic plans and directions of the service to take account of changing circumstances</li> <li>• Works with others to develop strategic plans and business objectives for the service. These need to be consistent with values, realistic, detailed and take account of constraints</li> <li>• Communicates values, strategic plans and service direction to help all colleagues understand how they are affected. Also creates opportunities for people to contribute their views and ideas</li> <li>• Works with people affected by service improvements to evaluate the impact of the changes on the service. Feeds this information into ongoing improvements.</li> </ul>
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Think about what behaviours and actions are positive indications the that the knowledge and skills of this dimension are present and those that warn that they are absent

<p>Positive indications:</p> <ul style="list-style-type: none"> <li>• Staff at all levels question poor practice, process and behaviour</li> <li>• Staff at all levels feel they are involved in deciding on service improvements that affect them</li> <li>• Staff feel able to make suggestions that improve their work or their area</li> <li>• Staff feel they deliver a service to a standard that they are personally pleased with</li> <li>• Staff adapt to change</li> <li>• Consistently improving care and service are provided</li> </ul>	<p>Warning signs:</p> <ul style="list-style-type: none"> <li>• Staff do things the way they've always been done, without question</li> <li>• Staff feel that service improvement is "nothing to do with them"</li> <li>• Staff feel that they are not involved in decision making</li> <li>• Staff do not feel they deliver a service to a standard that they are personally pleased with</li> <li>• Staff struggle to adapt to change or openly resist it</li> <li>• Services are considered to be static or declining rather than improving</li> </ul>
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<p><b>Quality – definition</b>  This dimension relates to maintaining high quality in all areas of work and practice, including the important aspect of effective team working. Quality can be supported using a range of different approaches including codes of conduct and practice, evidence-based practice, guidelines, legislation, protocols, procedures, policies, standards and systems. This dimension supports the governance function in organisations – clinical, corporate, financial, information, staff etc.</p>		<p><b>Why it is important</b>  Quality is a key aspect of all jobs as everybody is responsible for the quality of their own work. It underpins all the other dimensions in the NHS KSF.</p>	
<p><b>Level 1 Maintain the quality of own work. For example:</b></p> <ul style="list-style-type: none"> <li>• Works as required by relevant trust and professional policies and procedures</li> <li>• Works within the limits of own competence and area of responsibility and refers any issues that arise beyond these limits to the relevant people</li> <li>• Works closely with own team and asks for help if necessary</li> <li>• Uses trust resources efficiently and effectively thinking of cost and environmental issues</li> <li>• Reports any problems, issues or errors made with work immediately to line manager and helps to solve or rectify the situation.</li> </ul>	<p><b>Level 2 Maintain quality in own work and encourage others to do so</b></p> <ul style="list-style-type: none"> <li>• Follows trust and professional policies and procedures and other quality approaches as required. Encourages others to do the same. Maintains professional registration if has one</li> <li>• Works within the limits of own competence and area of responsibility and accountability. Gets help and advice where needed</li> <li>• Works to support the team. Can be counted on when people ask for help or support</li> <li>• Prioritises own workload and manages own time to ensure priorities are met and quality is not compromised</li> <li>• Uses trust resources and effectively and encourages others to do the same</li> <li>• Monitors the quality of work in own area and alerts others to quality issues, reporting any errors or issues to the appropriate person.</li> </ul>	<p><b>Level 3 Contribute to improving quality</b></p> <ul style="list-style-type: none"> <li>• Promotes quality approaches making others aware of the impact of quality</li> <li>• Understands own role, its scope and how this may change and develop over time in developing a high quality organisation</li> <li>• Reviews effectiveness of own team and helps and enables others to work as a team</li> <li>• Prioritises own workload and manages own time in a manner that maintains and promotes high quality</li> <li>• Evaluates the quality of own and others' work in own area and raises quality issues and related risks with the appropriate people</li> <li>• Supports changes in own area that improves the quality of systems and processes</li> <li>• Takes appropriate action when there is a persistent problem with quality.</li> </ul>	<p><b>Level 4 Develop a culture that improves quality</b></p> <ul style="list-style-type: none"> <li>• Initiates, implements, supports and monitors quality and governance systems and processes</li> <li>• Alerts others to the need to improve quality. Ensures others maintain professional registration</li> <li>• Is an effective member of the organisation. Works with others to develop and maintain high quality services</li> <li>• Role models quality delivery</li> <li>• Enables others to understand, identify and deal with risks to quality</li> <li>• Actively promotes quality in all areas of work</li> <li>• Responsible for continually monitoring quality and takes effective action to address quality issues.</li> </ul>

Think about what behaviours and actions are positive indications the that the knowledge and skills of this dimension are present and those that warn that they are absent	
<p>Positive indications:</p> <ul style="list-style-type: none"> <li>• People are confident in asking for support where necessary and feel well supported</li> <li>• People respond positively when colleagues ask for help and support</li> <li>• People feel encouraged to report errors and near misses</li> <li>• When errors and quality issues occur the focus is on resolving the issue and learning from it</li> <li>• There is a no-blame culture</li> <li>• Resources are used effectively</li> <li>• People adapt to changing priorities and changing quality systems</li> <li>• High quality care and services are delivered and improving</li> </ul>	<p>Warning signs:</p> <ul style="list-style-type: none"> <li>• People do not feel they can ask for help or support and do not feel well supported</li> <li>• People do not make time to help and support others when asked</li> <li>• When errors and quality issues occur the focus is on blaming someone else</li> <li>• Resources are wasted</li> <li>• People struggle to cope with or moan about changing quality systems or processes</li> <li>• Care and services are not considered to be high quality or are declining in quality.</li> </ul>

<p><b>Equality and diversity – definition</b></p> <p>It is the responsibility of every person to act in ways that support equality and diversity. Equality and diversity is related to the actions and responsibilities of everyone – users of services including patients, clients and carers; work colleagues; employees, people in other organisations; the public in general</p>		<p><b>Why it is important</b></p> <p>This is a key aspect of all jobs and of everything that everyone does. It underpins all dimensions in the NHS KSF. Successful organisations are the ones that reflect the richness of diversity that exists in society and will include people of different: abilities; ages, bodily appearances; classes; castes, creeds; cultures; genders; geographical localities; health, relationship, mental health, social and economic statuses; places of origin; political beliefs; race; religion; sexual orientation; and those with or without responsibilities for dependants. Where diversity and equality are not integral to the organisation, discrimination may occur.</p>	
<p><b>Level 1 Act in ways that support equality and value diversity. For example:</b></p> <ul style="list-style-type: none"> <li>• Acts in accordance with legislation, policies, procedures and good practice</li> <li>• Treats everyone with dignity and respect</li> <li>• Allows others to express their views even when different from one's own</li> </ul>	<p><b>Level 2 Support equality and value diversity</b></p> <ul style="list-style-type: none"> <li>• Challenges bias, prejudice and intolerance if appropriate or brings it to the attention of a manager</li> <li>• Uses plain language when carrying out duties</li> <li>• Aware of the impact of own behaviour on others.</li> </ul>	<p><b>Level 3 Promote equality and value diversity</b></p> <ul style="list-style-type: none"> <li>• Interprets equality, diversity and rights in accordance with legislation, policies, procedures and good practice</li> <li>• Actively acts as a role model in own behaviour and fosters a non-discriminatory culture</li> <li>• Promotes equality and diversity in own area and ensures policies are adhered to</li> </ul>	<p><b>Level 4 Develop a culture that promotes equality and values diversity</b></p> <ul style="list-style-type: none"> <li>• Actively promotes equality and diversity</li> <li>• Monitors and evaluates the extent to which legislation and policies are applied</li> <li>• Monitors and act on complaints around equality and diversity</li> <li>• Actively challenges unacceptable behaviour and discrimination</li> <li>• Supports people who need assistance in exercising their rights.</li> </ul>

<ul style="list-style-type: none"> <li>Does not discriminate or offer a poor service because of others' differences or different viewpoints.</li> </ul>		<ul style="list-style-type: none"> <li>Manages people and applies internal processes in a fair and equal way.</li> </ul>	
<p>Think about what behaviours and actions are positive indications that the knowledge and skills of this dimension are present and those that warn that they are absent</p>			
<p>Positive indications:</p> <ul style="list-style-type: none"> <li>Patients / public / partners, colleagues and staff feel fairly treated</li> <li>People feel confident in speaking up if they feel there is bias in a system or process or if they feel they have witnessed bias, prejudice or intolerance</li> <li>Staff understand what diversity is and why it is important.</li> </ul>		<p>Warning signs:</p> <ul style="list-style-type: none"> <li>High level of staff and patient or wider public complaints about unfair treatment, bias or discrimination</li> <li>Policies and procedures only exist in writing with little application in day to day activity</li> <li>Bias in the application of processes affecting equality of outcome.</li> </ul>	