



**NIPEC/17/17**  
(replacing NIPEC/15/06)

**NORTHERN IRELAND PRACTICE AND EDUCATION  
COUNCIL FOR NURSING AND MIDWIFERY**

# **Staff Performance and Development Policy and Procedure**

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## **BACKGROUND**

NIPEC's Staff Performance and Development Policy and Procedure is designed to assist the organisation in meeting its remit and business objectives by ensuring that all staff are fully aware of the contribution to be made individually and collectively to organisational effectiveness.

The Performance and Development Policy and Procedure has been in place within NIPEC since 2002. With the introduction of Knowledge Skills Framework (KSF) within Agenda for Change, NIPEC took the opportunity to review its policy and procedure, and further updates were made to the policy following recommendations made within the Investor in People (IiP) post recognition report in early 2012, and the implementation of the Attributes Framework and Revalidation for Nurses and Midwives in 2015.

KSF defines and describes the knowledge and skills, which all staff need to apply in work specific to their role, in order to deliver quality services. It provides a single, consistent, comprehensive and explicit framework on which to base review and development for all staff. NIPEC has included the Framework as integral to its performance and development policy and procedure.

NIPEC supports and encourages the effective implementation of performance and development. All staff are encouraged to actively participate in this process, thus ensuring clear objective setting; appropriate and relevant personal development planning and review; and the application of relevant knowledge and skills which facilitates and enables progress through the gateways within Agenda for Change pay bands.

This policy and procedure forms part of NIPEC's overall induction programme for new staff.

## **ATTRIBUTES FRAMEWORK**

The Attributes Framework was launched in December 2014 by the Minister for Health. An action plan to roll out the framework for all NIPEC staff has been agreed, which includes completion of the relevant level of the Attributes Competence Self-Assessment Tool (Appendix 1) by all staff for discussion with their line managers at their annual performance and development meetings and to inform their Personal Development Plan.

## **REVALIDATION**

Revalidation is a process that all Nurses and Midwives need to engage with to demonstrate that they practise safely and effectively throughout their career (NMC 2015). Whilst appraisal is not a requirement of revalidation and considered to have a different aim and purpose, the NMC suggests that registrants reflect on the NMC Code as part of their annual performance and development meetings. This is not a requirement but in recognition of the need to maximise every opportunity to effectively engage with staff. The performance and development meetings can be used to provide Nurses and Midwives with an opportunity to reflect on their practice, continuous professional development, feedback and the Code in order to meet the requirements for NMC revalidation.

## **HUMAN RESOURCES PAY AND TRAVEL (HRPTS)**

The Business Service Transformation Project resulted in a number of new electronic systems introduced within the HSC. One such system, HRPTS, enables line managers and individual members of staff to complete and record a number of HR functions including annual leave, absence, and travel claims.

Another function is the completion of the annual performance and personal development process online. However, this is based on the organisational business objectives being inputted at a high level from the organisation's Business Plan and then the appropriate objectives cascading down into staff's individual objectives.

In the light of the current difficulties in HSC organisations not receiving confirmation of their RRL funding at the start of the financial year, it has not been possible to agree the exact work plan to be achieved within the financial year. Therefore, it has been agreed to postpone introducing the online process until the above funding arrangements reach a more ongoing stable position.

In the interim, NIPEC will continue with its manual system of recording the performance, objectives and personal development meetings with staff.

# SECTION 1

## **What is the Performance and Development Policy and Procedure?**

It is the policy of NIPEC that each and every individual member of staff will be actively involved in NIPEC's Performance and Development process. On completion of the Business Plan in February/March of each year, staff will have an annual meeting with their line manager to review their previous year's objectives and personal development plan (PDP), and set objectives for the coming year, together with a PDP, to reflect development needs against personal objectives and the KSF Outline. This meeting should take place in April/May of each year.

During this meeting, objectives from the previous year should be discussed and staff should be provided with feedback relating to his/her performance. If objectives have not been fully met, the reasons should be constructively discussed and objectives or timetable revised where applicable. Following feedback the job description should be reviewed to ensure that it is up to date and adequately reflects the duties of the post. The manager has a responsibility to ensure that the work of the individual is in keeping with his or her Band. Work should never be allocated to an individual that is beyond the responsibility of the Band to which he or she has been appointed, unless it is for developmental purposes and this is made very clear to the individual and is with his/her agreement. No major amendments should be made to a job description, which requires job evaluation.

Objectives should be developed against the requirements of the Business Plan and relevant KSF Outline for the year. In developing objectives, continuous reference should be made to the Business Plan and other relevant documentation outlined in Section three and the Manager should ensure that the individual knows exactly why objectives are being developed, as they are his or her contribution to ensuring that the objectives contained within the Business Plan are met. Finally, a Personal Development Plan should be agreed which adequately reflects the training and development needs of the individual against the requirements of the Business Plan and KSF Outline. Only development that is reflective of either the Business Plan or KSF Outline should be identified. It is vital that NIPEC provides relevant and appropriate training to ensure that individual needs are met against business imperatives and personal development.

All the relevant documentation should be completed and forwarded to the designated Senior Manager. It is also this manager's responsibility to be satisfied that appropriate arrangements are in place to ensure the identified training and development is planned, implemented and reviewed.

Please note that a review of an individual's performance and development should be carried out by their line manager. All line managers should ensure that all staff, who fall under their responsibility, complete the performance and development system on an annual basis and that this includes the development of objectives and personal development plans.

**NIPEC's Performance and Development Policy and Procedure aims to identify what the organisation does, the role and responsibilities of individuals, what needs to be done to move the organisation forward and meet its objectives, and what support and development is needed by individuals and teams.**

## **Why Performance and Development?**

Performance and development:

- ensures that all staff are clear about the contribution they make to NIPEC and its organisational performance outcomes;
- facilitates the development of services so that they better meet the needs of users through investing in the development of all members of staff;
- supports the effective learning and development of individuals and teams;
- supports the development of individuals and their effectiveness;
- ensures managers and staff are clear about what is required within a post and staff to develop within their post;
- promotes equality and diversity of all staff; and
- ensures that staff acquire and/or possess the competencies required to execute the duties of the post.

## **SECTION 2**

### **Outline of the process**

The performance and development process is one based on an ongoing cycle of learning.

Prior to the commencement of this process, the reviewer and reviewee should take time to individually reflect on achievements, challenges, developments, improvements, effectiveness of development methods and generate evidence which supports the critical review. Reviewees are advised to complete their personal preparation form (see Appendix 2) and bring this to their meeting with the reviewer – this document is for their record only.

Evidence to support the process may include the following:

- Verbal feedback from the individual, manager or others.
- Written and electronic work produced by the individual staff member.
- Records of work (such as minutes/notes of meetings showing the individual's contribution).
- Extracts from individual's personal development portfolio, eg. in-house training and reflections on learning/practice.

Throughout the process, the reviewer will support the individual in undertaking and achieving the agreed development activity within their Personal Development Plan.

<b>Process</b>	<b>Documentation to be kept</b>
<b>Prior to annual meeting between member of staff and their line manager</b>	
Reviewer and reviewee individually reflect on achievements, challenges, developments, improvements, effectiveness of development methods and generate evidence which supports the annual review.	Personal preparation form (Appendix 2)
<b>Review of previous year's Objectives and Personal Development Plan and development of new Objectives and PDP for forthcoming year</b>	
<p>Evaluating and noting progress made on the achievement of previous year's objectives, any constraints in achieving these, and if required, any further development/support needed.</p> <p>Reviewer and reviewee also undertake an evaluation of how the individual is applying their knowledge and skills to meet the demands of their current post, how well objectives set at the start of the year have been met and evaluating any development activities undertaken. The demands of the post are described in the KSF outline for that post.</p> <p>Reviewer and reviewee should also look at any objectives and/or development needs which, as a result of the end-of-year review, need to be taken forward to next year.</p>	Record review of achievement against agreed objectives and PDP, noting progress, any constraints and any further development required (Appendix 3).
<p>Referring to the organisation's current Business Plan and the reviewee's job role, reviewer and reviewee develop and agree objectives for the forthcoming year. In discussion, any learning and development are identified and actions agreed to achieve these.</p> <p>The development and agreement of individual objectives should take account of NIPEC's strategic and organisational objectives within its Corporate Strategy and annual Business Plan.</p> <p>Individual objectives should also reflect the KSF core and general dimensions detailed in individual KSF post outlines.</p>	Record agreed objectives and PDP (Appendix 3)

If, as a result of the performance and development process, agreement is reached between both manager and staff member that the KSF outline requires changing, managers should forward their recommendations to the Chief Executive for approval.

### **Associated organisational documentation**

The review process and the development and agreement of objectives should take account of NIPEC's strategic and organisational objectives within its Corporate Plan and annual Business Plan. Individual objectives should also reflect the KSF core and general/specific dimensions detailed in individual KSF post outlines.

In addition, the following documents, as appropriate, may also be considered:

- Job Description
- Copy of existing objectives and PDP
- Service Level Agreement/s
- Performance Indicators / Quality Standards
- Competency Frameworks, if relevant
- Relevant extracts from Personal Development Portfolio
- NIPEC's Learning and Development Strategy.

## **SECTION 3**

### **KSF Outline**

There are specific knowledge and skills that individuals need to possess for a job. A KSF outline is about how someone applies these knowledge and skills to meet the demands of work in NIPEC.

Each post within NIPEC will have a KSF Outline that has been developed in partnership with staff.

An example of a summary KSF Outline for a Grade 2 Clerical Officer is provided on the next page. This was developed from the KSF Framework documentation in association with a job description for this grade of post. It includes the 6 KSF core dimensions, ie:

- communication;
- personal and people development;
- health, safety and security;
- service improvement;
- quality; and
- equality;

plus a further dimension, information processing, which is also relevant to this particular job.



**OUTLINE SUMMARY for foundation gateway  
FOR CLERICAL OFFICER GRADE 2 – Organisational Wide  
(to be achieved within first 51 weeks of appointment)**

<b>KSF DIMENSION</b>	<b>RELEVANT INDICATORS</b>	<b>EXAMPLES OF APPLICATION</b>
1. Communication	A,C,D	Methods, efficiency & effectiveness of communications
2. Personal and people development	A,B,C,D,E	Examples of on the job development
3. Health, safety and security	A,B,C,D,E	Work in accordance with H&S Policy
4. Service Improvement	A,B,C	Completion of staff questionnaire as appropriate Attends team meetings Offers suggestions
5. Quality	A,B,C,D,E	Minimise complaints & learn from them
6. Equality and diversity	A,B,C,D,E	Give examples of how equality & diversity are dealt with in the workplace
7. Information Processing	A,B,C,D,E	Data processed on a daily basis

## SECTION 4

### Responsibilities

All staff working in NIPEC have significant responsibilities within the Performance and Development Policy and Procedure, ie.

- Reviewers; and
- Reviewees.

They are as follows:

REVIEWERS	REVIEWEES
<b>Preparation for process</b>	
Ensure staff are appropriately developed to engage in the performance and development process and that all relevant and prioritised training is delivered and reviewed.	Ensure they undertake training in the performance and development process and they access and undertake the development need identified within their PDP.
Participate fully in the process.	Participate fully in the process.
<b>Preparation for review</b>	
Set aside protected time and space for the preparation, review and planning stages.	Set aside protected time and space for the preparation, review and planning stages.
Make sure they are fully prepared for the process including having the right information available at the time.	Make sure they are fully prepared for the process including having the right information available at the time.
Agree the time, location and venue of the review.	Agree the time, location and venue of the review.
Gather information on the individual's work against the objectives and KSF Outline for the post – this could be their own views of the individuals work, outputs from the individuals work or be information from other people who have worked with the individual.	Gather information on their work against the objectives and KSF Outline for the post – this could be their own views, outputs from their work or information from other people who have worked them.

REVIEWERS	REVIEWEES
<b>Review meeting</b>	
Facilitate a joint discussion between themselves and the individual about the individual's work using the objectives and the KSF outline as the basis (plus other organisational documentation as deemed relevant) and effectively and constructively managing different points of view.	Fully participate in a joint discussion about their work, using their objectives and the KSF outline as the basis.
Ensure that they understand the role and responsibilities of the post and the KSF outline.	Ensure that they understand the role and responsibilities of their post and the KSF outline.
Review the individuals' work against the objectives and the KSF outline for the post. Identify the different ways the individual has shown s/he has met the objectives and the KSF outline for the post in which they are employed.	Reflect on their work against the objectives and the KSF outline using feedback from others as well as their own thoughts and views. Identify the different ways they can show where and how they have met the objectives and the KSF outline.
Work jointly with the individual to identify where the individual needs further development and the areas that are most important. Identify if an individual has particular needs for support to ensure that the process is fair for that individual.	Identify where they need further development and suggest those areas that seem to be the most important.
Jointly review the information that is available on the individual's work and come to a decision about how it meets the agreed objectives and KSF outline and where there are areas for development.	Jointly review the information that is available on their work and come to a decision about how it meets the agreed objectives and KSF outline and where there are areas for development.
Record the outcomes of the review meeting and keep a copy.	Record the outcomes of the review meeting and keep a copy.
Forward information to relevant Senior Manager for quality assurance purposes.	Share information with relevant senior manager.

## SECTION 5

### Gateways

The performance and development process enables individual members of staff to develop their knowledge and skills to meet the demands of their current post and to progress their career should they wish to do so.

In most years, pay progression will take the form of an annual increase in pay from one point to the next within each band, unless there are serious concerns about how a member of staff is carrying out their role.

At defined points in a pay band – known as ‘gateways’ – decisions are made about pay progressions as well as development.

There are two gateways in each of the nine pay bands:

1. The **foundation gateway** – this takes place no later than twelve months after an individual is appointed to a pay band regardless of the pay point to which the individual is appointed.
2. The **second gateway** – this is set at a fixed point towards the top of a pay band as set out in the Agenda for Change National Agreement.

The second gateway for each pay band is detailed below:

Pay Band	Position of Second Gateway
1	Before final point
2 – 4	Before first of last two points
5 – 7	Before first of last three points
8: A – D	Before final point
9	Before final point

### Purpose of Gateways

The purpose of the foundation gateway is to check that individuals can meet the basic demands of their post on that pay band. Its focus is the knowledge and skills that are needed, coupled to fulfilling an agreed personal development plan during the first 12 months of being in a post for new appointees.

The purpose of the second gateway is to confirm that individuals are applying their knowledge and skills to consistently meet the full demands of their post. Once through the second gateway, individuals will progress to the top of the pay band provided they continue to apply the knowledge and skills required to meet the KSF Outline for that post.

### Progression through the final Gateway

The whole system is based on the principles of no surprises. If difficulties occur with an individual developing towards the full KSF Outline for the post, or there are disciplinary issues, these must be addressed by reviewers before the gateway reviews. There must

always be formal notification of any concern to the individual by the Line manager/ reviewer. An action plan must be drawn up to try to remedy any issues.

If staff do not demonstrate the requisite skills and knowledge to pass through the first gateway, the following will occur:

- A specific action plan of learning and development will be agreed between an individual and their Line Manager in order to ensure that they can pass through the gateway. At the same time the individual will be supported and encouraged to achieve the requisite skills and knowledge by being given training and relevant opportunities.
- Then, one of two things will subsequently happen.

**Either**

1. the individual will not have achieved the required skills and knowledge within their probationary time and they will therefore not be invited to stay within the organisation; **or**
2. the individual will have acquired the requisite skills and knowledge within the agreed timeframe and will pass through the gateway and their post will become substantive.

If, at the second Gateway review, progress has not been met as per the KSF Outline, movement through the gateway will be deferred until all issues are resolved.

## **SECTION 6**

### **Documentation**

In order to allow sufficient time for you to prepare for your staff performance management meeting, a number of documents, together with a copy of your post KSF outline, will be forwarded to you by your line manager 8 weeks prior to the date of the agreed meeting. As the information contained within these forms relates to individuals, access is restricted to the individual her/himself, the individual's reviewer and any agreed person with the Human Resource Department.

#### **Personal preparation form – Appendix 2**

In order to get the most out of your review meeting, this form has been designed to assist you in thinking about your future objectives, development needs and where you wish to develop in your career. You should allow at least one hour in a quiet environment to go through the form and record your view/thoughts on the areas listed.

#### **Performance, appraisal and development proforma – Appendix 3**

A number of forms have been developed to act as templates for the staff appraisal meetings. These will be used to record KSF outline information, objectives agreed with individuals and progress on achieving these, training needs and individual personal development plans.

**The appendices are samples of the minimal detail required of all staff. NIPEC staff who are required to be on the live Nursing and Midwifery Council register will use adapted versions of these proforma to ensure that they facilitate an accurate record of:**

- meeting of business objectives
- 1:1 / supervision meetings
- NMC revalidation requirements.

## **SECTION 7**

### **Equality and Human Rights Compliance**

This policy has been screened for equality implications as required by Section 75 and Schedule 9 of the Northern Ireland Act 1998. Equality Commission guidance states that the purpose of screening is to identify those policies which are likely to have a significant impact on equality of opportunity so that greatest resources can be devoted to these.

Using the Equality Commission's screening criteria, no significant equality implications have been identified. The policy will therefore not be subject to an equality impact assessment.

Similarly, this policy has been considered under the terms of the Human Rights Act 1998, and was deemed compatible with the European Convention Rights contained in the Act.

**Signed:** \_\_\_\_\_ **Date:** \_\_\_\_\_  
**Chief Executive**

## THE ATTRIBUTES COMPETENCE ASSESSMENT TOOL

When you are undertaking a self-assessment, the *Attributes Competence Assessment Tool* can help you identify the knowledge, skills and attitudes required for your role. You will be expected to discuss your self-assessment with your line manager, as part of your annual appraisal and/or personal development plan, in order to agree an action plan addressing your identified learning and development needs. If you are in training within Health and Social Care, you can discuss the results of your self-assessment with your mentor or supervisor and agree your learning and development needs.

### Assessing yourself

You should use the following rating scale to assess your learning and development needs against each of the attribute statements within your level:

<b>LD</b>	<b>I need a lot of development</b>
<b>SD</b>	<b>I need some development</b>
<b>WD</b>	<b>I feel I am well developed</b>

It generally takes about 15 minutes to assess yourself against the attribute statements. When you have finished, review the number of LDs, SDs, and WDs. You can then plan, with your line manager, the learning and development activities which are relevant to your role.

### Best Practice Tips

Before starting your assessment, you may find it helpful to discuss the attribute statements with one of your peers. You can also test your self-assessment with your line manager. Be honest with yourself when thinking about your role and your learning and development needs and rate them realistically.

The *Attributes Framework* and *Competence Assessment Tool* can also enable you to focus on areas for career development and, where relevant, support your preparation for job interviews. They can also be used in conjunction with other frameworks and competencies relevant to your role.

If you wish to complete your self-assessment online, please go to <https://www.nipecdf.org/compro/attributes/intro.asp>

## THE ATTRIBUTES SELF-ASSESSMENT TOOL - STRENGTHENING FOUNDATIONS FOR IMPROVEMENT

This component of the *Attributes Framework* identifies the core foundation knowledge, skills and attitudes required to deliver safe, effective, person-centred care related to your role. It is an essential requirement for everyone, either working or in training in health and social care, to be competent in all attributes at this level.

### Who for:

This applies to all staff who work, or who are in training, in health and social care. To accurately reflect the working environment of NIPEC staff, some of the statements have been altered to replace patients/service users with colleagues/clients/stakeholders.

Attributes	LD	SD	WD
I understand why and how we put colleagues/clients/stakeholders at the centre of everything we do			
I understand what contributes to the safety of colleagues/clients/stakeholders and work with them to identify problems and help reduce risks			
I understand what is meant by quality improvement and collect information in my area to aid improvement in how we work with colleagues/clients/stakeholders			
I understand how I can play my part in improving care and services for colleagues/clients/stakeholders			
I take part in activities to improve the way I do my job			
I understand the benefits of using small steps to improve care and services			
I understand the benefits of developing myself in order to care for others			
I keep my knowledge and skills up to date			
I develop my skills in improvement methodology *			
I work with my colleagues as an effective team member			
I listen to colleagues/clients/stakeholders and share their comments with colleagues to help improve care and services			
I understand my responsibility to speak up if something goes wrong and I know how to do this			

\* The model for improvement (developed by IHI) comprises the PDSA cycle: 'Plan, Do Study, Act' along with three questions – (1) what are we trying to accomplish; (2) how will we know that a change is an improvement; (3) what changes can we make that will result in improvement



**Personal preparation form** – reviewee to complete prior to first meeting of performance and development process (for own record only)

	Area	Comments/Notes
1	Generally, how do you feel you have performed in your job in the last year?	
2	What aspect of your job did you feel you performed well?	
3	What aspect of your job did you feel you performed least well?	
4	In reviewing your objectives and your personal development plan, how do you feel you did in achieving these, and what benefits did you realise.	Objective 1:
		Objective 2:
		Objective 3:
		Objective 4:

		Objective 5:
		Objective 6:
5	Were there any other benefits from your personal development plan?	
6	What additional skills/ knowledge/experience would help you do your job better?	
7	What changes would you like to make to our current job?	
8	How do you think your line manager could best support you?	
9	Write down new objective areas and possible development needs for next year for discussion with your line manager	

**Performance and Development Proforma**

**Section 1** - background information on the individual, their post and the reviewer, to be completed by reviewer prior to the first meeting of the annual performance and development process

For period from and to:		
Individual's (reviewee) name		
Their job title and band/grade		
Name of reviewer and their position in the organisation		
Is a pay progression gateway applicable at this review? If so, which?		
Objectives and development needs discussed and agreed on: _____	Signed: _____ (reviewee)	Signed: _____ (reviewer)
Annual review held on: _____	Signed: _____ (reviewee)	Signed: _____ (reviewer)

**Section 2** – record of organisational/personal objectives, development needs, and link to KSF dimensions and NIPEC Business Objectives

Organisational/personal objective	Link(s) to KSF core and/or specific dimension	Link(s) to NIPEC Business Objectives	Personal Development Plan
			<b>Development need:</b>  <b>Action required:</b>  <b>Evaluation:</b>
			<b>Development need:</b>  <b>Action required:</b>  <b>Evaluation:</b>
			<b>Development need:</b>  <b>Action required:</b>  <b>Evaluation:</b>
			<b>Development need:</b>  <b>Action required:</b>  <b>Evaluation:</b>

**Section 3** – record of mid-year and end-of-year review of objectives and personal development plan

Organisational/personal objective	Note of discussion at end-of-year review