



**Dudley**  
Clinical Commissioning Group

# **VALUES BASED PERSONAL DEVELOPMENT & OBJECTIVE SETTING REVIEW POLICY**

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## REVIEWERS

This document has been reviewed by:

NAME	DATE	TITLE/RESPONSIBILITY	VERSION
Steph Cartwright	9.3.14	HR Lead	D1
Julia Dixon	9.3.14	Staff Side Lead	D1
Steph Cartwright	30.3.17	HR Director	V2

## APPROVALS

This document has been approved by:

NAME	DATE	VERSION
Remuneration Committee	9 <sup>th</sup> April 2014	V1
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N.B: the version of this policy posted on the intranet must be a PDF copy of the approved version.

## DOCUMENT STATUS

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## RELATED DOCUMENTS

These documents will provide additional information.

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## **1.0 POLICY OVERVIEW**

### **1.1 Purpose**

The CCG acknowledges that the staff are the organisations most valuable asset, and as an organisation the CCG takes the development of its staff very seriously. The CCG is a values based organisation and as such has developed its Personal Development Review (PDR) and Objective Setting policy around these values, recognising the importance of the behaviour of staff demonstrating the values that have been set.

### **1.2 Who this policy applies to**

This policy applies to all CCG employed staff on Agenda for Change and VSM contracts.

### **1.3 Key principles**

Each member of staff will receive a Values Based Personal Development and Objective Setting Review annually with a calendared six month review and regular one to one's with their line manager in between.

PDRs for all staff will take place between April and June each year.

For staff on Agenda for Change contracts, there are incremental points within each band. Staff will only increase through their incremental levels following a successful PDR with their manager which has demonstrated that they have delivered their objectives and behaved in a way that is aligned with the organisations values.

## **2.0 SUPPORTING PRINCIPLES**

### **2.1 Values Based Personal Development Review and Objective Setting Policy**

The CCG is committed to the personal and professional development of all staff and ensuring that all employees take part in an annual appraisal and personal development review process.

The process is compulsory and will be conducted between the employee and their line manager.

The outcome of the personal development review and objective setting process will be work related objectives that are set for the period of one year and a Personal Development Plan.

The process will seek to ensure that all staff uphold the CCG values by working and behaving in a way that reflects the values.

Participation in the 360 degree appraisal will be compulsory for compulsory for any member of staff with line management responsibility and encouraged for all other remaining staff..

All Personal Development Reviews will be shared with the CCG Director of Organisational Development to be incorporated in the CCG Organisational Development and Training Plan.

There will be equity of access to agreed learning and development regardless of grade, full or part time status, gender, ethnicity, disability and age.

This policy should be read in conjunction with the CCG Study Leave Policy, Capability and Performance Policy and KSF outlines.

## **3.0 PURPOSE**

### **3.1 The Personal Development and Objective Setting Review will have five main objectives:**

- Assessing employee's performance against the CCG values.
- Reviewing performance against previous objectives.
- Assessing ability to proceed forward through the incremental range of each pay band in Agenda for Change contracts. Staff will need to demonstrate that they can apply the required knowledge, have completed their objectives and demonstrated behaviours consistent with our values to pass through to the next incremental point.
- Agreeing work related objectives for the coming year, linking to the CCG objectives.
- Identifying personal development needs; both related to current and aspirational roles.

## **4.0 RESPONSIBILITIES**

### **4.1 Each CCG Senior Manager will be responsible for:**

- Implementing and monitoring the personal development and objective setting reviews within their teams.
- Arranging their 360 degree reviews if required.
- Arranging and carrying out personal development and objective setting reviews.
- Supporting individuals to complete the documentation if required.
- Supporting individuals in achieving their objectives and fulfilling their Personal Development Plan.
- Providing Personal Development Plans to the CCG Director of Organisational Development and Human Resources.

#### 4.2 Employees are responsible for:

- Preparing for and participating in the review of their own development and achievement against previously set objectives.
- Completing relevant documentation with support from their line manager.
- Supplying 360 degree appraisal participants to Director of Organisational Development and Human Resources if required.
- Raise concerns with the Director of Organisational Development and Human Resources if their line manager does not initiate a PDR discussion.

#### 4.3 The CCG Director of Organisational Development and Human Resources will be responsible for:

- Ensuring that all employees receive an annual Personal Development and Objective setting review.
- Collating the Personal Development Plans for all staff and ensure that the training needs of all staff are incorporated into the Organisational Development Plan.
- Undertaking the 360 degree review process for all staff and providing line managers with a copy of employee reports.

### 5.0 IMPLEMENTING VALUES BASED PERSONAL DEVELOPMENT REVIEWS

The values of the CCG provide an important checkpoint for staff to reflect upon, to ensure the behaviours that are exhibited are consistent and demonstrate a commitment to the mission and values of the organisation.

It is recognised by high performing organisations that when employees' daily work behaviours support organisational values, the result is an organisation that is more unified, mission driven and ultimately more successful. To evaluate and drive performance, the CCG has moved away from the traditional appraisal process, in favour of a values based review system. The values based performance review will be an opportunity for learning and, most importantly, exploring what has been achieved as a result of the contributions and behaviours of the individual.

The CCG organisational values are a form of competencies used to describe the behaviour that lies behind competent performance, such as maintaining professional integrity and taking responsibility. Put another way it is the 'How' we do it. Individuals' performance objectives will describe the required outcome of deploying those competencies which are the skills, qualifications and experience people need to perform a job and achieve an objective. Put another way it is the 'What' we do.

#### 5.1 Developing the Organisational Values

Dudley CCG developed its organisational vision and values at the onset of forming the organisation. These values were developed by the members and staff themselves to ensure that each member of the team has ownership and understanding of the values that have been developed. The CCG values are as follows:

##### **TRUST one another**

*Be honest.*

*Focus discussion on real issues and on their resolution, allow differences to be forgotten.  
Embrace constructive challenge in a timely manner and use it as a positive way to learn.*

##### **RESPECT one another**

*Accept others opinions are valid.*

*Understand people have individual skills and knowledge.*

*Show determination, tolerance and sensitivity.*

*Be courteous and respect freedom to speak, disagree or remain silent.*

*Ensure no-one becomes isolated in expressing their view and treat all ideas with respect.*

### Be OPEN to receiving feedback from others

*Embrace constructive feedback.*

*Listen carefully to all ideas and comments and be tolerant to other points of view.  
Be sensitive to colleagues needs for support when challenging or being challenged.  
Ensure feedback is timely and objective.  
Celebrate success.*

### Maintain PROFESSIONAL integrity

*Show group support and loyalty towards the CCG and each other.  
Take personal responsibility for actions.*

### Be accessible, visible and CONSISTENT

*Be supportive of decisions made, even though as individuals we may not always agree.  
Demonstrate clear and cohesive leadership.*

### Take RESPONSIBILITY

*Look inwardly for continuous improvement.  
Be clear about roles and responsibilities.  
Manage own and others time efficiently.  
Consider the impact of our behaviour.*

## 6.0 IMPLEMENTATION PROCESS

Employees will be given at least one month notice of their Personal Development and Objective Setting review taking place and the review should be scheduled for at least one hour. All reviews will be held between April and June each year. A copy of the paperwork along with explanation will be sent to employees by their line manager.

Each employee will be encouraged to participate in the 360 Degree Appraisal (this will be compulsory for members of staff with line management responsibility). If they wish to take part they will provide their line manager with a list of participants that must include the following:

- Line Manager
- Colleagues and Peers
- People who work for you (if applicable)
- Employees of external partner organisations (if applicable)

The 360 degree appraisal process will be coordinated by the CCG Director of Organisational Development and Human Resources and their team. Participants will be given a period of 2 weeks to complete the appraisals which will be collated into a report. The report will be sent to the line manager who will go through the details of the appraisal during the Personal Development and Objective Setting review.

Employees will be asked to complete the appraisal based on themselves regardless of whether they wish others to participate. Individual employees own reflections will be used along with the line managers' reflections to assess individuals against the organisational values.

In addition to the 360 degree appraisal, members of staff will also be asked to complete a Pre Appraisal Form. This form will allow members of staff to reflect on their last twelve months and assess their performance in their current role and consider their aspirations. The pre appraisal form must be submitted to their line manager 5 working days before the performance review date.

During the personal development and objective setting review both the line manager and staff member will reflect on the previous twelve months, discuss whether previous objectives have been delivered and their progress in their role. They will also consider the feedback from the 30 degree appraisal and discuss any development needs. The reviewer should provide honest and constructive

feedback, but there should be no surprises. An effective manager will already know if a member of staff is performing to the standards expected of them and will have given regular and constructive feedback before the review takes place.

By the end of the review, there should be agreement on the following:

- progress made toward previously agreed objectives
- progress made to demonstrate moving through an incremental point
- the individuals objectives for the coming year
- a personal development plan for the individual
- an indication of any career aspirations and potential development needs for the next 2-3 years

Once the personal development and objective setting review has taken place, the objectives and personal development plan are produced, agreed and signed off by both the member of staff and their line manager. A copy of each will be placed on the staff members' personal file and submitted to the CCG Director of Organisational Development and Human Resources.

## **6.1 Incremental Pay Progression**

If a Manager defers progression through an incremental range, they must inform the Director of Organisational Development and Human Resources, and the Chief Finance and Operating Officer as soon as possible, outlining the reasons for deferment. A change form will need to be completed to inform Payroll of the deferment. The annual increment will then be deferred until another change form is completed to reinstate the deferment. The member of staff must also be informed in writing. When an individual has developed sufficiently to pass through the increment will become payable for the first day of the following month. It will not be backdated.

If the date of the incremental does not fall within the three month PDR period (April – June) then annual increment can still be deferred in relation to the next incremental date. This decision can be revoked as described above if the line manager feels there has been substantial improvement in advance of the incremental date.

If improvements in performance are not made then the Manager should refer to the Capability and Performance Policy for further advice and guidance and see advice from a member of the HR team.

Where significant weaknesses in performance in the current post have been identified, discussed and documented with the staff member concerned, and have not been resolved and no improvements made in terms of performance, despite opportunities for appropriate training/development and support, exceptionally, pay progression may be deferred at any pay point until the problems are resolved.

## **7.0 DEFERRING PAY PROGRESSION**

Staff are expected to progress through the incremental points by applying the knowledge and skills to the demands of the post and behaving according to organisational values by providing evidence that they are able to do this consistently.

If there are any concerns about a staff member developing or demonstrating they have the necessary knowledge and skills for the post or if there are performance management or disciplinary issues, these must have been addressed by managers before the review.

Managers must inform a staff member of deferred progression if the agreed outline is not being achieved. Managers must also agree a short term action plan with the staff member and will be expected to provide support and training to enable them to meet the requirements of their post and

will set regular review dates to check progress with this. Details of any short-term action plan must be recorded on their personal file.

If a manager and a member of staff cannot agree on the assessment of progress either one can seek support from a third party within the CCG (i.e. member of the senior management team or staff side representative). This person may seek further information from either party and will look at the information to come to an objective decision that is not discriminatory. Should the above not resolve the issue the member of staff may set out the concern in writing and the manager should consider that concern in the light of the Grievance Policy.

## **8.0 APPEALS**

If the process cannot address the problem, then a staff member can lodge an appeal with the Chief Executive Officer. Such an appeal will be handled along the principles of the local Grievance policy. If pay progression has been withheld and the member of staffs case is upheld, pay will be back dated to the point at which pay progression should have occurred.

Progress would not normally be stopped if the individual has been on an agreed/recognised leave of absence (e.g. sickness, maternity leave) or where the individual has been unable to access the agreed developmental opportunities because the CCG has not provided them (for example, the workplace has been unable to release the individual; mentoring has not been available, etc.)

If the CCG has been unable to provide or facilitate training identified as necessary then pay progression cannot be deferred.

In terms of maternity leave, each case will need to be considered individually as, for example, some people will already have achievement, even before they are due to pass through it. It is also possible, in the case of pregnancy, for a manager and employee to agree to conduct a review ahead of any leave actually being taken, as this is often known and predictable. Thus the individual could proceed through the gateway whilst actually on leave, provided that it has been established in advance that the individual has applied the required performance. Either party might take responsibility to think ahead in this way.

Where an individual consistently fails to demonstrate application of the knowledge and skills at the level required for their post, the Capability and Performance Policy should be referred to.

Any disciplinary issues should be dealt with separately from career and pay progression. It is proposed however that where there is a formal disciplinary process underway, pay progression through a gateway should be deferred until it is resolved.

## **APPENDIX ONE**

### **Pre Appraisal Form**

What have been your main personal achievements over the last twelve months?

Have you achieved your objectives since your last appraisal (if applicable)?

How do you think that your Manager and the CCG can help you be more effective?

What would you like to achieve in the next 12 months?

What are your career aspirations and where do you see yourself in one or five years time?

APPENDIX THREE

## Performance Development Review (Objective Setting)

Name:		Job Title:	
Incremental Date:		Team:	
Line Manager:		Date:	
Is a pay progression gateway applicable at this review?	Foundation: Yes / No Second: Yes / No	Pass or Defer:	
Signed: (employee)		Signed: (line manager)	

### Individual Performance Objectives

	Objective	Values Demonstrated	Outcome Measures	Timescale
1.				
2.				
3.				
4.				
5.				

Appendix Four

## Professional Development Review and Future Aspirations

Performance against Core Values

In what areas have you developed most against the Core Capabilities?

Employee Comments

Line Manager Comments

Projects and value added improvement

What have been the main learning points from delivering this year's objectives?

Employee Comments

Line Manager Comments

What help, support or other training do you need to achieve your objectives for the coming year?

Future Career Aspirations

Date of review: 35T

Employee signature:

Line manager signature: