

	Page
Declaration of authenticity	1.
CIPD Candidate Evidence Matrix	2.
Introduction	4.
Learning Outcome 1	
1.1. HEIW Policies & Procedures	5.
Roles & responsibilities	8.
1.2. Key sources of information	8.
1.3. Providing timely & accurate information to colleagues	8.
Learning Outcome 2	
2.1. Types of support required by line managers	9.
2.2. Supporting line managers with performance activities (Ev13)	11.
2.3. Working with line managers to delivery performance reviews (Ev14)	13.
Learning Outcome 3	
3.1. Evaluation of HEIW's approach to performance management	15
3.2. Extent to which performance management processes support high performance working	15
3.3. Recommendations for developing performance management processes	16
References	18
Appendices	
• Appendix 1a	Careers & Widening Access Assistant Job Description (Ev1)
• Appendix 1b	Prioritisation task
• Appendix 1c	Values Based Performance Appraisal and Development Policy (Ev2)
• Appendix 1d	Performance Appraisal Document (Ev3)
• Append 1e	Sickness Absence policy trigger points
• Appendix 1f	All Wales Capability Policy (Ev4)
• Appendix 1g	Roles and Responsibilities (Ev5)
• Appendix 1h	Recruitment KPIs
• Appendix 1i	Providing timely advice to line managers (1) (Ev6)
• Appendix 1j	Providing timely advice to line managers (2) (Ev7)
• Appendix 2a	Vales Based Performance Appraisal training slides (Ev8)
• Appendix 2b	Managing Attendance at Work training slides (Ev9)
• Appendix 2c	COVID-19 – Recruitment tips for recruiting managers (Ev10)
• Appendix 2d	Pharmacy interview scenario question (Ev11)
• Appendix 2e	Witness testimony – Supporting line managers with recruitment activities (E12)
• Appendix 2f	Careers & Widening Access Officer Objectives
• Appendix 3a	SWOT analysis of Appraisal process in HEIW (Ev15)
• Appendix 3b	Documented discussion on appraisal processes (Ev16)

Qualification: CIPD Diploma in Applied Human Resources

Module Name: Contributing to Improving Organisational Performance

Word Count: 3293

Student Name: Ruth Taylor

Student Number: 1906248

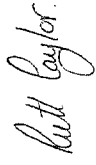
CIPD Membership Number: 55478664

By signing below, I confirm that the work/evidence presented is my own, unaided work. I understand the regulations pertaining to candidate malpractice and the action that may be taken as a result.

Signed: 

Date: 7 September 2020

Candidate name: Ruth Taylor				CIPD Membership/registration No. 55478664					
Qualification title: CIPD Diploma in Applied Human Resources							Unique Learner No. (ULN): 1906248		
Unit code	Unit title	Assessment criteria no.	Evidence description	Evidence reference number	Assessor initials	I/V initials if sampled			
5A1OP	Contributing to Improving Organisational Performance	1.1.	HEIW Careers & Widening Access Assistant Job Description	EV1					
5A1OP	Contributing to Improving Organisational Performance	1.1.	HEIW Values Based Performance Appraisal and Development Policy	EV2					
5A1OP	Contributing to Improving Organisational Performance	1.1.	HEIW Values Based Performance Appraisal & Development Review Document	EV3					
5A1OP	Contributing to Improving Organisational Performance	1.1.	All Wales NHS Capability Policy	EV4					
5A1OP	Contributing to Improving Organisational Performance	1.1.	Roles & Responsibilities associated with performance management activities	EV5					
5A1OP	Contributing to Improving Organisational Performance	1.3.	Email evidence – Providing timely advice to line managers in relation to performance management activities (1)	EV6					
5A1OP	Contributing to Improving Organisational Performance	1.3.	Email evidence – Providing timely advice to line managers in relation to performance management activities (2)	EV7					
5A1OP	Contributing to Improving Organisational Performance	2.1.	Copy of HEIW Values Based Appraisal training slide pack	EV8					
5A1OP	Contributing to Improving Organisational Performance	2.1.	Copy of All Wales Managing Attendance at Work training slide pack	EV9					
5A1OP	Contributing to Improving Organisational Performance	2.2.	Supporting line managers to deliver performance management activities – COVID-19 Recruitment tips for recruiting managers	EV10					
5A1OP	Contributing to Improving Organisational Performance	2.2.	Supporting line managers to deliver performance management activities – Pharmacy interview scenario	EV11					
5A1OP	Contributing to Improving Organisational Performance	2.2	Supporting line managers to deliver performance management activities – Witness testimony from Sharon	EV12					

5A1OP	Contributing to Improving Organisational Performance	2.2	Evans, Head of Careers & Widening Access documenting support I provided with recruitment activities.			
5A1OP	Contributing to Improving Organisational Performance	2.3	Supporting line managers to delivery performance management activities – personal statement on how I have supported manager capability with recruitment processes	EV13		
5A1OP	Contributing to Improving Organisational Performance	3.1	Work in conjunction with line managers in the provision of performance reviews – Careers & Widening Access Officer Objectives	EV14		
5A1OP	Contributing to Improving Organisational Performance	3.1	SWOT analysis on HEIW appraisal process	EV15		
5A1OP	Contributing to Improving Organisational Performance	3.1	Documented discussion on appraisal processes with Foula Evans, Head of People, and Angie Oliver, Deputy Director of Workforce & OD, HEIW	EV16		
Candidate declaration:						
Signature:				Date:	7 September 2020	

Executive Summary

This portfolio has been developed to demonstrate my understanding of high performance work systems (HPWS) and how the individual policies and procedures used in Health Education and Improvement Wales (HEIW) encompass the recommendations from the literature and encourage employees to contribute to overall organisational performance.

Performance management is about developing a culture and working environment that supports the continuous improvement of employee skills, knowledge and behaviours, in turn contributing to overall organisation performance. The most significant element of performance management is the relationship between the line manager and the employee (CIPD, 2020b), with research demonstrating that line managers have the greatest influence on employee motivation and performance (Clifton, 2019).

HPWS are made up of a number elements that, when combined, can contribute to the attraction, retention, development and motivation of employees. This combination can have a positive impact on organisational outcomes and performance (Messersmith & Guthrie, 2010). Health Education & Improvement Wales' performance policies align with the recommendations of Taylor (2016), including effective recruitment processes, promotional pathways, a team-based approach to achieving objectives and effective performance appraisals.

LO1.1 Explain performance management policies and processes in the organisation and the roles and responsibilities of those involved with them.

HEIW's performance policies encompass all 13 HR practices identified by Taylor (2016) as contributing to an effective performance management system. The most significant policies within HEIW relating to performance are as follows:

Recruitment

CIPD (2020a) describes how good recruitment is vital to any organisation. Identifying individuals with the necessary skills, knowledge, values and behaviours is essential and will have a positive impact on the business in the long term. This is replicated within HEIW's recruitment processes with job descriptions clearly stating the required skills and knowledge required of the role and values and behaviours of the organisation (Appendix 1a). The information provided clearly sets HEIW's expectations of any future employee and what will be required of them should they be successful in getting the post. It is therefore essential that candidates clearly demonstrate their ability to meet these requirements within their application and at interview.

The application process requires the candidate to complete an online application form. CIPD (2018) discusses the potential for unconscious bias in the application process, due to assumptions made on names and addresses. Therefore, all applications are completely anonymised with names, addresses and ethnic origin details removed. To further reduce bias, HEIW encourages the use of diverse recruitment screening panels who review applications and sit on interview panels. This ensures there is a balanced, fair opinion reached on the suitability of candidates.

The HEIW interview process is in line with CIPD (2020a) recommendations and gauges the ability of the candidate to perform the role, allows the employer to explain their value proposition and provide a good overall impression of the organisation. The process allows candidates to gain further information on the role and its requirements and ask any questions. This will allow them to make an informed decision should they be offered the post. It is also recommended that decisions are made using more than one decision-making process. Within HEIW, pre-interview tests (Appendix 1b) are recommended to allow candidates to demonstrate their ability to complete a workplace scenario in real time or demonstrate their ability to perform a specific skill, i.e. speak Welsh, use specific technology, prioritisation skills.

In summary, HEIW's recruitment processes set clear expectations to candidates of what is required of them, remove the potential for bias and allow assessment of whether a candidate is suitable for the role or not. These processes contribute to the organisational reputation by ensuring a fair and consistent recruitment process, with timely, constructive feedback provided to successful and non- successful candidates after interview. This is another recommendation by CIPD (2020a).

Values Based Performance Appraisal

HEIW's (2019) Values Based Performance Appraisal and Development Policy was developed with input from the staff (Appendix 1c). It incorporates Deming's PDSA cycle (Moen 2009) along with Langley, Nolan & Nolan's (1994) supplementary questions:

- **PLAN** – identify objectives and agree how they will be approached
 - **DO** – put the plan into practice and document positives and negatives of approach
 - **STUDY** – Look at outcomes and compare to predictions and review learning outcomes
 - **ACT** – Make necessary changes if required, or continue if processes are working well
-
- What are we trying to do?
 - How are we going to know we are doing it well?
 - Should we change the approach?

These stages and questions are incorporated into HEIW's Personal Appraisal Development Review (PADR) document (Appendix 1d), which is completed by both the employee and their line manager. This two-way process recognises the importance of the employee/line manager relationship as outlined by Clifton (2019) in the performance management process.

The process incorporates Marin-Garcia & Martinez Tomas' (2016) AMO framework with the process identifying opportunities for learning and development, the motivation to perform their role well due to job satisfaction and the provision of a supportive workplace environment and culture. The appraisal document is used as a contract between the line manager and the employee and documents agreement of employee SMART objectives. This is a two-way agreement, with employee's agreeing to achieve their objectives and line managers agreeing to support them to do so.

As recommended by Moen (2009), the appraisal cycle is continuous within HEIW, with formal and informal stages allowing for the motivational factors set out by Herzberg (1987) to be addressed periodically - achievement and its recognition, responsibility and progression opportunities.

Managing Attendance at Work

The Managing Attendance at Work (MAAW) Policy (NHS Wales, 2018) was developed in partnership with Trade Unions and NHS Wales employers and employees. It came into effect in 2018, replacing the All Wales Sickness Absence (AWSA) Policy (NHS Wales, 2015). The AWSA policy was very process driven, with specific trigger points that would start the sickness management process (Appendix 1e). The policy left little room for manager discretion and leaned towards a more reactive approach rather than proactive.

The MAAW policy takes a proactive approach, using strategies that support the maximisation of health and wellbeing in the workplace, including early interventions that may prevent a sickness absence occurring (NHS Wales, 2018). The policy allows line managers to apply their discretion based on individual circumstances and whether to action trigger points or not. Line managers can now implement reasonable adjustments either to try and avoid a period of sickness absence or to support an employee's return to work. However, for the line manager to use their discretion, employees need to be open and honest and raise concerns in relation to their health and wellbeing at the earliest opportunity. This will support the manager to be proactive rather than reactive in its management.

CIPD (2020c) states that the health and wellbeing of all employees should be at the heart of any HR strategy and is instrumental to the way the organisation operates and performs. This highlights the importance of a MAAW policy and finding the right balance between supporting employees with health issues to remain in work or return at the earliest opportunity and the delivery of business objectives (Fulton, 2014). When used proactively, it can have a positive impact on both individual and organisational performance.

Capability

Capability policies are in place to allow managers to manage and support employees where there are concerns around their capability to undertake their role, usually for reasons outside of their control (ACAS, 2020). HEIW's, (2018b) capability policy (Appendix 1f) follows ACAS' (2020a) recommendation that it should focus on encouraging the employee to improve and allow an opportunity to do better and prevent further problems. It applies to all employees of HEIW, other than medical and dental employees where cases of professional competence or conduct apply. The policy recommends that concerns relating to performance are approached on an informal basis by the line manager in the first instance before moving on to the formal process.

Roles & Responsibilities

Appendix 1g sets out the roles and responsibilities assigned to the line manager, the employee and HR in relation to the policies and processes above. This clearly demonstrates how line managers have more

responsibility put on them when implementing HR processes (CIPD, 2019), with HR providing a supportive role by developing the policies, providing training and supporting and advising both line managers and employees. Employees also have responsibilities, mainly ensuring that they work with their line manager and participate in the relevant processes, ensuring they are open and honest. They should show determination to work towards their individual goals and take responsibility for identifying their own performance and career development aspirations (Pote, 2015). Within the recruitment process, Shared Services have responsibilities, which interlink and supplement those of the line manager (Appendix 1h) and Occupational Health play a significant role in the MAAW policy.

LO1.2 Explain the key sources of information, including legislative information, which underpin performance management activities.

Equality Act 2010

The Equality Act 2010 is legislation that protects employees against workplace and wider society discrimination (UK Government, 2015). This Act is particularly important with regard recruitment processes and the duty for employers to ensure they do not discriminate against candidates due to any of the nine protected characteristics when advertising and interviewing for jobs. HEIW is part of the Disability Confident scheme, which supports employers to recruit and retain great people, regardless of their disability, and demonstrates their commitment to equality in the workplace (Disability Confident, 2020). Any candidate who declares they have a disability and meets all essential criteria set out in the job description personal specification are guaranteed an interview.

The Act is also an important piece of legislation with regard the MAAW policy, specifically in relation to disability, and the need for employers to make reasonable adjustments should an employee have a condition covered by the Act.

Employment Rights Act 1996

This act defines capability as relating to health, skill, aptitude or any other quality related to physical or mental capability. It is important that employers set clear expectations to new employees following recruitment and identify any development requirements. It is important that employees understand the consequences of failing to meet the required performance standards (Daniels, 2019). This legislation affords employers the ability to dismiss employees on the grounds of capability, assuming the reason for dismissal is at least one of the fair grounds outlined in the policy, follows a fair process and is handled in a fair manner (Citizens Information, 2020). CIPD (2017) state that it is essential that employees are given a fair chance to improve their performance.

There is further guidance available on performance related activities from the CIPD and ACAS, including:

- Recruitment (CIPD, 2020a)
- Performance Management (CIPD, 2020b)
- Capability procedures (ACAS, 2020)

LO1.3 Provide timely and accurate information to colleagues regarding performance management activities.

Appendices 1j and 1k provide examples of me providing guidance to a line manager with regard applications and whether they should be invited to interview or not. I offered guidance on various elements of the application form, including whether they demonstrate the requirements listed on the personal specification and the difference between desirable and essential skills. My advice also included not to inform a candidate they had not been shortlisted prior to the advert closing to ensure fairness to all applicants.

LO2.1. Analyse the types of support line managers in the organisation need from HR in relation to performance management activities

To deliver effective HPWS, line managers need to work collaboratively with HR colleagues. HR are responsible for providing appropriate training and support to line managers with regard HPWS to ensure they have the right tools to be able to deliver effective performance management activities (Taylor, 2016).

Line managers play a leading role in all performance management activities in HEIW and this is clearly stated in the roles and responsibilities of all supporting policies. To allow them to effectively deliver HPWS, they need to be equipped with the appropriate skills and knowledge. HEIW provides a performance management training package to line managers, including recruitment, managing attendance at work and values-based appraisal training. These are mandatory for all line managers and are delivered by HEIW's Learning and OD practitioner. This ensures consistency and all managers receive the most up to date guidance available.

Appendix 2a is an example of the training presentation provided to line managers on the values based appraisal process. As a new organisation formed by the amalgamation of three legacy organisations, line manager experience of the appraisal process differed greatly. Therefore, this training aims to provide managers with a clear understanding of the HEIW process involved and promotes best practice and demonstrates how this contributes to the delivery of an effective appraisal for employees.

Appendix 2b is an example of the training presentation provided to line managers on the Managing Attendance at Work policy. Whilst this training aims to provide managers with an overview of the processes and elements involved in the delivery of the policy, it also encourages managers to use their discretion when dealing with sensitive issues. This is another skill that is required by line managers and highlighting that they do have discretion and are trusted by the organisation to make decisions in relation to employees is vitally important. Ferguson, (NK) highlights how discretion is an essential part to being a manager and allowing managers to make decisions and judgements within their remit can have a positive impact on both employees and the organisation.

The role of the line manager has evolved over the last decade, with more focus on leadership, the motivation of employees, coaching and mentoring and providing constructive feedback, alongside the management of their own day to day activities and those of their teams (McGee, 2008). Therefore, it is equally important that line managers are equipped with these skills to support them in the delivery of HPWS.

HEIW has recently developed a Compassionate Leadership Strategy with support from Michael West, Kings Fund, London. Michael's work demonstrates that listening with fascination to staff, showing empathy and taking intelligent action to assist are the foundations of good compassionate leadership (West, 2016). This framework has been developed to ensure future leaders of the NHS have the right mindset and skills to thrive and contribute effectively to both service delivery and people management. Whilst this is an All Wales approach to succession planning, ensuring the NHS has access to good quality leaders in the future, it is vitally important that line managers within HEIW also make use of these resources. HEIW have developed "Gwella", ("Improvement" in Welsh) an online leadership portal that houses resources to support managers to be compassionate leaders (HEIW, 2020b). All line managers within HEIW are encouraged to make use of these resources to understand and put into practice compassionate leadership across all performance management activities.

The values-based performance training also identifies other available training to support line managers in the areas highlighted by McGee (2008) including coaching and mentoring, providing feedback and holding difficult conversations. The selection of in-house training available to managers will support them to be effective and the best they can be when carrying out performance management activities.

CIPD (2019) describes how the behaviours of line managers are equally important as their ability to carry out processes and procedures. It is therefore essential that organisations ensure that required behaviours are embedded into all that it does, including its policies, procedures and culture. All training provided to line managers and employees begins with a reminder that the organisational values are at the heart of all that we do (HEIW, 2018a). It is essential that line managers demonstrate the behaviours required and weaving this into all training material ensures they are encouraged to do so.

Ev13. Personal Statement

LO2.2. Support the line managers' capability to deliver performance management activities

Throughout the COVID-19 pandemic, there has been the necessity to adapt our recruitment processes to ensure they are carried out safely. Therefore, it is currently HEIW policy that all interviews are held virtually. To support line managers' capability with this process, I have developed several resources to assist them in the recruitment process.

Appendix 2c is a document I have developed following my own experience of carrying out the new recruitment process. This makes recommendations to line managers on how they can plan and arrange recruitment activities, considering the current situation.

Virtual interviews have also caused difficulties with carrying out pre-interview tests. When carrying these out on a face to face basis, a facilitator is available to ensure fairness to all candidates and they do not gain assistance from others or use the internet etc. Therefore, I developed some pre-interview tests that, whilst not completely full proof with regard the potential for cheating, they did lessen the possibility.

These are as follows:

Careers & Widening Access Officer Welsh Language Test

One of the essential requirements for this post was the ability to speak conversational welsh and undertake basic Welsh translations. Whilst it was easy to hold a virtual conversation in Welsh to assess the candidates verbal skills, it was trickier to assess their translation skills when they were not in the same room. Therefore, I suggested to the recruiting manager how this could be assessed and managed effectively, ensuring candidates did not seek assistance from others or use translation apps.

The test took the following format:

- Prior to the interview, candidates were sent a 15 minute invite to attend a virtual welsh assessment with a welsh speaking facilitator.
- The first part of the test involved an informal virtual conversation with the facilitator lasting five minutes. This assessed the candidate's ability to hold a welsh conversation to the required standard.
- The second part of the test involved the real time translation of a HEIW tweet from English to Welsh. The chat bar within Teams was utilised and candidates were sent the tweet to translate via this method. The candidates were asked to translate the tweet within five minutes. This would assess the candidate's ability to translate basic information – a necessity for the post.
- As they were using the chat bar to translate and their cameras were on, it was possible for the facilitator to watch them as they actively translated, taking note of their eye gaze etc.

This process proved very successful as it was clear when candidates were actively translating by themselves. However, disappointingly, some candidates did pick up their phones during the translation test and others were obviously looking at a second screen. The candidate behaviour during the translation was documented in the interview notes and taken into consideration alongside the panel interview notes when coming to a final decision.

On reflection of this assessment with the line manager, we discussed the appropriateness of using a translation app during the test. Whilst we acknowledged that in the real workplace environment individuals would have

access to this technology, it was felt not appropriate for use in the test as it did not demonstrate their level of capability, e.g. a non welsh speaker could make use of an app, demonstrating a false ability to translate. We therefore agreed that, should we repeat this test in future, the instructions given to candidates would state that the use of translation apps are not allowed.

Pharmacy Administrator Co-ordinator Scenario Test

The above post required candidates to be assessed on a number of essential criteria listed in the job description, including the values and behaviours. It was felt that it would be useful to ask them to demonstrate how they would deal with a real-life workplace scenario, incorporating the values and behaviours of the organisation. Under normal circumstances, the scenario would be provided to the candidate when they arrived for their face to face interview. However, under the current circumstances this was not possible. Therefore, I discussed with the recruiting manager how we could do this.

I developed a scenario for use in the interview and we agreed that this would be shared via email with the candidates 30 minutes prior to the interview. They would then be asked to read, reflect and prepare a verbal response, which would be shared when they met with the panel. Appendix 2d is a copy of the agreed scenario and candidate instructions.

Whilst this approach did not remove the possibility of candidates seeking assistance, it did allow us to assess their understanding of the organisation's values and behaviours and their ability to put them into practice when dealing with a real workplace situation. We agreed that we would compare their scenario response with the quality of their answers to the interview questions and this would give us an idea of whether they had answered the scenario question by themselves or were possibly assisted.

I discussed the effectiveness of this test with the recruiting manager and whether we would change anything should we repeat the test again. We agreed that the time given to reflect should be shortened to 15 minutes as this would be the approximate time frame required to approach and plan the scenario in a real work situation. We discussed whether candidates should be watched whilst reflecting on the scenario to ensure they had no assistance, but we agreed that this went against the behaviours of the organisation (HEIW, 2018a) in that we should trust our colleagues and would set a poor example to a potential new employee if we were unable to trust them from the outset.

Ev14. Personal statement

LO2.3. Work in conjunction with line managers in the provision of employee performance and development reviews.

I met with Sharon Evans, Head of Careers and Widening Access (C&WA) at HEIW to discuss the development of performance objectives for a new member of her team.

We began by reviewing the organisational objectives and how they fed into the objectives of the C&WA Team. The objectives identified were:

1. Scope Grow Your Own pathways for the current workforce. (N.B. As this is new territory the programme plan will be iterative throughout 20-21).
2. Bring the Welsh Government Widening Access programme into the HEIW in Q2.
3. Create a comprehensive website and social media presence.
4. Identify opportunities to work with veterans' organisations and volunteering networks, including the Prince of Wales Nursing Cadet Scheme.

HEIW (2020)

Having identified the key objectives, we discussed what elements the new starter could specifically contribute to in his first three months in post and what tasks he could undertake to support the team, but also increase his understanding of the team purpose and HEIW as a whole.

We identified two overarching objectives:

1. Contribute to the development and implementation of a comprehensive Careers & Widening Access website and increase our social media presence across key platforms.
2. Gain a broad understanding of the Careers & Widening Access Team and the wider organisation

To identify potential tasks that would allow the individual to fulfil these initial objectives, we reviewed his job description and identified his key responsibilities and how these could be used effectively to support the team in the first three months in post. The key responsibilities are:

- Communicate effectively with a range of people at different seniority levels, using a range of communication skills to develop effective relationships with managers, teams and colleagues.
- Responsibility for the maintenance of careers information and literature
- Regular translation of correspondence from English into Welsh, e.g. social media posts, emails and careers bulletins.
- Create evaluation tools for events and other activities, record and collate feedback and analyse and interpret results to inform future work.
- Research and coordinate information, which will require analysis, interpretation and accurate presentation using reports and spreadsheets.

- Support the team in the development, implementation and evaluation of HEIW's Careers and Widening Access policies, proposing changes in line with legislation and action plans.
- Support the Careers and Widening Access Advisor in the development and maintenance of the NHS Wales Careers website.
- Contribute to the development and production of a range of career resources and materials to support individuals at all stages of their career journey
- The postholder will work with the HEIW Communication team to develop, as appropriate, the use of social media as a means of a wider communication and engagement.

(HEIW, 2020c)

The tasks identified in Appendix 2f to support the achievement of his objectives incorporate the key skills and responsibilities outlined in his job description, including communication, welsh language skills, resource management and analysis skills. He has also recently completed a degree in journalism, so the tasks also allow him to utilise the skills he gained from completing this course, which will also benefit the team.

Having identified potential objectives and tasks to support their achievement, it will be important that Sharon meets with the individual to discuss in detail and identify whether he feels these are appropriate and achievable and whether he feels they should be amended or added to. It is important that he feels involved in the process and has an involvement in the process.

3.1 Evaluate the organisation's approach to performance management, including employee performance and development reviews

and

3.2 Assess the extent to which performance management processes support high performance working and contribute to sustained organisation performance.

I undertook a SWOT analysis of HEIW's appraisal process with a colleague (Appendix 3a). This highlights the strengths, weaknesses, opportunities and threats. We supplemented the SWOT analysis with discussions with Foula Evans, Head of People, and Angie Oliver, Deputy Director of Workforce and OD. A summary of these discussions can be seen in Appendix 3b.

It is clear that HEIW's appraisal process follows best practice as outlined by Taylor (2016) who recommends that line managers and HR should work together. This is demonstrated within HEIW by line managers having the responsibility for conducting appraisals and HR's role in providing them with the skills and knowledge on how to do so. Herzberg's two factor theory is also incorporated within the process, involving all vertical job loading principles and motivators, leading to improved job satisfaction.

The appraisal process has the organisational values and behaviours at its core. The benefits associated with a strong set of organisation values are set out by CIPD (2019b) who state how every organisation is formed on the quality of the human interactions within it. The emphasis of this on the line manager is supported by Clifton (2019) who states that the most effective workplace relationship is between the employee and their line manager. HEIW support this theory in that they encourage regular interaction with line managers and their staff, with a strong emphasis on the appraisal process being based on conversation and not just a tick box exercise.

HEIW's strategy is to provide excellent education, training and development to the NHS Wales workforce to support the provision of high quality health care (HEIW, 2020d). This is replicated within the organisation and there is a strong emphasis on identifying opportunities for development and career progression and allowing employees access to these.

The strategy is underpinned by a number of organisational objectives, which are threaded downwards through the organisation via Executive leads, teams and individuals. This demonstrates a clear correlation between organisational and individual objectives and provides employees with an understanding of how their role contributes to their team and the wider organisation. It also emphasises Taylor's (2016) recommendation that a high performance work system should take a team based approach.

Trust between the line manager and the employee was highlighted in my analysis, particularly now employees are working from home. It is important that line managers understand that visibility is not essential to ensuring good performance and they must identify other ways to work with their teams to ensure objectives are met (CIPD, 2020d).

Rice (2020) highlights trust as one of the key areas that employees want from their employer and discusses how the most significant part of building trust between line managers and their staff is communication. The COVID-pandemic has made this every day, simple occurrence more challenging and highlights the extra effort that needs to be applied to ensure the channels of communication stay open. Rice (2020) also notes the importance of managers listening to their staff and being responsive to their concerns and worries. Making an extra effort to engage positively with staff will increase the levels of trust.

The need to communicate virtually links in with Foula's comment that staff need to be equipped with the right IT skills to allow them to fulfil their role. McKinsey (2020) emphasises the importance of upskilling the workforce so it can function in the post COVID environment and how it is essential to building a resilient operating model.

Both Angie and Foula highlighted the need for line managers to be flexible in their approach to objective setting. CIPD (2020d) explains the benefits to flexibility, specifically at the current time, including the ability for employees to balance their home and work responsibilities. Adopting this flexibility within HEIW has meant individuals have been able to continue working and not had to reduce their hours or leave the organisation due to non-work responsibilities. There is also evidence to suggest that flexible working practices increase motivation with employees going the extra mile, which is another benefit to the organisation during the present pandemic.

The lack of knowledge and understanding of line managers in the implementation of the appraisal process is a threat identified by both Foula and Angie. Foula stated how manager incompetence is the biggest threat to any organisation and Angie supported this by stating she was aware that there were managers within HEIW who were still not following the guidance provided, despite the training provided being mandatory for all managers. Moving forward, this is an area that should be looked at more closely, making use of both internal and external audit opportunities that are already a positive element of the appraisal system within HEIW.

3.3 Recommend ways for developing performance management processes to enhance their impact on organisational performance.

From my detailed analysis of the appraisal process in HEIW, I have been able to identify the following recommendations:

1. It would appear that the training currently provided to managers is not fully effective, with some failing to follow process and best practice. Managers not following appraisal guidance can be identified via the internal and external audit functions and offered supplementary coaching/mentoring to improve their approach.
2. Supplementary training on the use of IT in the new working environment should be provided quickly to ensure employees are able to continue working to the best of their ability in the current climate.
3. Trust between line managers and their staff needs to be enhanced and regular conversations with individuals and teams should be encouraged. There is an opportunity to survey staff with regard this area to identify whether or not managers are continuing to engage with their staff effectively.
4. I would recommend that all managers are encouraged to formally write to staff following their appraisal to document their achievements and the discussion. As highlighted by my analysis, this has been well received and demonstrates a clear link with the organisation's values and behaviours.

I believe these recommendations will enhance the impact the appraisal process has on organisational performance.

References

ACAS (2020) *Capability Procedures*. Available at: <https://www.acas.org.uk/capability-procedures> (Accessed on: 10 August 2020)

CIPD (2017) *Unfair dismissal Q&As*. Available at: <https://www.cipd.co.uk/knowledge/fundamentals/emp-law/dismissal/unfair-dismissal-questions>. (Accessed on: 10 August 2020).

CIPD (2018) *Recognising the bias in recruitment*. Available at: www.cipd.co.uk/news-views/nutshell/issue-82/bias-recruitment (Accessed on: 21st August 2020)

CIPD (2019) *Line managers' role in supporting the people profession*. Available at: <https://www.cipd.co.uk/knowledge/fundamentals/people/hr/line-managers-factsheet> (Accessed on: 21st August 2020).

CIPD (2019b) *Organisational Culture and cultural change*. Available at: <https://www.cipd.co.uk/knowledge/culture/working-environment/organisation-culture-change> (Accessed on: 21 April 2020)

CIPD (2020a) *Recruitment: an introduction*. Available at: <https://www.cipd.co.uk/knowledge/fundamentals/people/recruitment/factsheet> (Accessed on: 10 August 2020)

CIPD (2020b) *Performance management*. Available at: <https://www.cipd.co.uk/knowledge/fundamentals/people/performance> (Accessed on: 10 August 2020)

CIPD (2020c) *Employee health and wellbeing*. Available at: <https://www.cipd.co.uk/news-views/viewpoint/employee-health-well-being#66499> (Accessed on: 11 August 2020).

CIPD (2020d) *Flexible working essentials in the COVID-19 context*. Available at: <https://www.cipd.co.uk/knowledge/fundamentals/relations/flexible-working/essentials-coronavirus-context> (Accessed on: 4 September 2020).

Citizens Information (2020) *Fair grounds for dismissal*. Available at: https://www.citizensinformation.ie/en/employment/unemployment_and_redundancy/dismissal/fair_grounds_for_dismissal.html#ldcefb (Accessed on: 10 August 2020)

Clifton, J (2019) *It's the Manager*. Available at: <https://www.gallup.com/workplace/251642/manager.aspx> (Accessed on: 11 August 2020)

Daniels, K (2019) *Introduction to Employment Law* (5th edn) London: CIPD

Disability Confident (2020) *Disability Confident*. Available at: <https://disabilityconfident.campaign.gov.uk/> (Accessed on: 5 September 2020).

Fulton, C (2014) *How to Manage Sickness Absence – The Do's and Don'ts*. Available at: <https://www.legal-island.com/articles/uk/features/supplementary/2014/dec/how-to-manage-sickness-absence-dos-donts/> (Accessed on: 21st August 2020).

Ferguson, G (NK) *How to Use Discretion in Management*. Available at: <https://smallbusiness.chron.com/use-discretion-management-46155.html> (Accessed on: 26 August 2020)

HEIW (2018a) *Values and Behaviours*. Available at: <https://heiw.nhs.wales/about-us1/values-and-behaviours/> (Accessed on: 21st August 2020)

HEIW (2018b) *All Wales Capability Policy*. Available at: <https://heiw.nhs.wales/corporate/key-documents/human-resources-policies/> (Accessed on: 2 September 2020)

HEIW (2019) *Values Based Performance Appraisal and Development Policy* <https://heiw.nhs.wales/files/values-based-performance-appraisal-and-development-policy-v2/> (Accessed on: 10 August 2020)

HEIW (2020a) *HEIW Q2 Objectives Delivery Monitoring*. Available at: <https://heiw.nhs.wales/files/board-meeting-papers-july-2020-v6/> (Accessed on: 2 September 2020)

HEIW (2020b) *Gwella Leadership Portal*. Available at: <https://nhs.walesleadershipportal.heiw.wales/> (Accessed on: 26 August 2020).

HEIW (2020c) *Careers and Widening Officer Job Description*. HEIW internal document. Unpublished.

HEIW (2020d) *Welcome to Health Education & Improvement Wales (HEIW)*. Available at: <https://heiw.nhs.wales/> (Accessed on: 5 September 2020).

Hertzberg, F (1987) 'One More Time: How Do You Motivate Employee?' Harvard Business Review

Langley, G., Nolan, K., Nolan, T (1994) The Foundation of Improvement. Quality Progress, June 1994, pp 81.

Marin-Garcia, J., and Martinez Tomas, J (2016) 'Deconstructing AMO framework: A systematic review' *Intangible Capital* 12(4) pp 1040 – 1087

McGee, L (2008) *HR and line managers: Speaking line managers' language*. Available at: <https://www.personneltoday.com/hr/hr-and-line-managers-speaking-line-managers-language/> (Accessed on: 26 August 2020)

McKinsey (2020) *To emerge stronger from the COVID-19 crisis, companies should start reskilling their workforces now*. (available at: <https://www.mckinsey.com/business-functions/organization/our-insights/to-emerge-stronger-from-the-covid-19-crisis-companies-should-start-reskilling-their-workforces-now#> (Accessed on: 4 September 2020).

Mettersmith, J and Guthrie, J (2010) *High performance work systems in emergent organizations: Implications for firm performance*. Human Resource Management, 49 (2), pp 241-64

Moen, R (2009) *Foundation and History of PDSA Cycle*. Available at: <https://businesswales.gov.wales/sites/business-wales/files/Foundation%20and%20the%20history%20of%20the%20PDSA%20cycle.pdf>

NHS Wales (2015) *All Wales Sickness Absence Policy*. Available at: <http://www.wales.nhs.uk/sitesplus/documents/862/138%20-%20All%20Wales%20Sick%20Absence%20Policyv31.pdf> (Accessed on: 11 August 2020).

NHS Wales (2018) *NHS Wales Managing Attendance at Work Policy*. Available at: www.cardiffandvaleuhb.wales.nhs.uk/sitesplus/documents/1143/NHS%20Wales%20Managing%20Attendance%20at%20Work%20Policy%20FINAL%20adopted%20SD%2006.11.18.pdf (Accessed on: 11 August 2020).

Pote, P (2015) *[LinkedIn]* 25 May. Available at: <https://www.linkedin.com/pulse/roles-responsibilities-best-practice-performance-management-phil-pote> (Accessed on: 21st August 2020)

Rice (2020) *How to Build Trust in HR in the COVID-Era Workplace*. Available at: <https://www.hrexchangenetwork.com/employee-engagement/articles/how-to-build-trust-in-hr-in-the-covid-era-workplace> (Accessed on: 4 September 2020)

Taylor, S (2016) 'Improving Organisational Performance' in Taylor, S. and Woodhams, C. *Human Resource Management: People and Organisations* (2nd edn). London: CIPD.

UK Government (2015) *Equality Act 2010: guidance*. Available at: <https://www.gov.uk/guidance/equality-act-2010-guidance> (Accessed on: 10 August 2020)

West, M (2016) *Compassion is the core to NHS value – not bullying*. Available at: <https://www.leadershipacademy.nhs.uk/do-od-blog/compassion-core-nhs-value-not-bullying/> (Accessed on: 26 August 2020)

CAIE REF: HEI/2020/0022

JOB DESCRIPTION

JOB DETAILS

Job Title	Administrative Assistant – Careers and Widening Access
Pay Band	3
Hours of Work and Nature of Contract	0.8 WTE Permanent
Division/Directorate	Workforce & OD
Department	Careers and Widening Access
Base	Ty Dysgu, Nantgarw

ORGANISATIONAL ARRANGEMENTS

Managerially Accountable to:	Head of Careers and Widening Access
Reports to: Name Line Manager	Careers and Widening Access Advisor
Professionally Responsible to:	Head of Careers and Widening Access

HEALTH EDUCATION & IMPROVEMENT WALES VALUES

RESPECT FOR ALL – in every contact we have with others

TOGETHER AS A TEAM – we will work with colleagues, across NHS Wales and with partner organisations

IDEAS THAT IMPROVE – harnessing creativity and continuously innovating, evaluating and improving

Job Summary/Purpose

To provide a dedicated administrative service to the Careers and Widening Access team within Health Education and Improvement Wales (HEIW).

The Careers and Widening Access Administrative Assistant will support the delivery of several projects and programmes of work and develop their knowledge and understanding of careers and training opportunities available across NHS Wales. This will include widening access and other routes into education, training and 'grow your own' schemes.

CAIE Reference/Date: HEI/2020/0022

The post holder will support the delivery of the team's portfolio of tasks and projects to meet the complex needs of HEIW.

The post holder will support robust communication and stakeholder management, engaging with a wide ranging and diverse group of individuals and organisations across NHS Wales and other partner organisations, producing work to deadlines whilst ensuring compliance with HEIW policies and procedures.

The post holder will be responsible for maintaining records both manually and on computer systems for the team.

The post holder will be expected to work independently, using their own initiative, asking for assistance and guidance when required.

The post holder must be able to handle sensitive and confidential information.

Duties/Responsibilities

Provide administrative support to the Careers and Widening Access team and have the ability to prioritise work and deal with competing demands and interruptions, ensuring all tasks are completed in an accurate and timely manner.

Have standard keyboard skills and IT knowledge using Microsoft Office as part of the daily requirement.

Service Development

Record and accurately transcribe minutes of meetings and monitor and chase up actions.

Responsible for dealing with requests for information from external agencies such as Welsh Government, universities, Health Boards/Trusts. Solve delegated problems logically and make decisions appropriate to the level of the post.

Support the maintenance of multiple systems including the NHS Wales events calendar and diary.

Support the development of a series of careers events over an annual cycle.

Support the wider team in the organisation of career workshops and events. This will involve sending invites and alerts, coordinating the booking system and collating information prior to the sessions, such as developing and preparing materials for conference packs.

The post holder will support the building of the on-line learning portal pages to support activities, sending invites and alerts and assisting with the coordination of the booking system.

Manage and maintain multiple office systems, including paper and electronic files, ensuring that information is appropriately and securely stored, filed and retrievable.

Oversee the maintenance of the career event volunteers database.

Able to work with set routines, policies and guidelines established within the directorate, referring issues to more senior staff if required.

The post holder will support the Careers and Widening Access Advisor with the maintenance of the NHS Wales Careers Website, ensuring webpages are up to date and remain active. They will also support the development and production of a range of career resources.

CAIE Reference/Date: HEI/2020/0022

Manage the diaries of the Careers and Widening Access team, including the coordination of meetings/events with multiple stakeholders. Use judgment to seek advice or alert senior managers to issues. Problem solve general queries and escalate as appropriate. Ensure that own workload is managed effectively to deliver against business priorities in a timely manner. Makes changes in own practice and constructively undertake own role in improving services as agreed, offering suggestions for improving services. Communications Support the team by dealing effectively and diplomatically with incoming calls and visitors, being the first point of contact. Detailed and accurate message taking is essential and ensuring that urgent matters are attended to in an appropriate and confidential manner. The post holder will deal with a range of enquiries from internal and external customers in a professional manner, establishing their requirements and adapting responses accordingly, some of which may be complex and sensitive in nature i.e. emails received via the NHS Wales Careers inbox seeking information and advice regarding career and training options. Organise and distribute all incoming and outgoing correspondence and file as appropriate. Communicate effectively and establish good working relationships with a wide range of people at all levels. Update the Careers and Widening Access team web pages. Co-ordinate or provide drafts for reply to correspondence including emails, ensuring that replies are provided within agreed timescales. Finance and Resources Responsible for ordering and monitoring use of all stationery/supplies ensuring enough stock is available and where necessary order using the current procurement system. Use Oracle to place orders on the system, raising requisitions and receipting goods. Personal Development Take every reasonable opportunity to maintain and improve professional knowledge. Prepare for and take an active part in the Personal Development Review process in accordance with organisational policy. In partnership with reviewer, identify opportunities to develop own competence/own skills in order to achieve objectives. Information Processing Maintain accurate databases using Excel. Work competently with HEIW's IT systems and keeps up to date with the latest software and technological developments.

CAJE Reference/Date: HEI/2020/0022

Implement and maintain effective office systems making maximum use of technology. Ensure compliance with policies and procedures and support development of appropriate systems and processes within the office. Other Propose changes to working practices or procedures of work. The post holder will be responsible for planning and setting priorities for their own work on a day to day basis in order to meet project and work deadlines. Present a positive image when dealing with the general public, stakeholders and HEIW staff with the appropriate degree of confidentiality. Proactively support cover arrangements in times of absence. The post holder will form part of the HEIW reception desk rota cover, utilising the HEIW telephony system. The ability to work flexibly, including the occasional requirement to work outside normal working hours and overnight stays when supporting careers and widening access events.
--

CAJE Reference/Date: HEI/2020/0022

PERSON SPECIFICATION

ATTRIBUTES	ESSENTIAL	DISIRABLE	METHOD OF ASSESSMENT
Qualifications and/or knowledge	Level 3 qualification (A-Levels, NVQ) or equivalent demonstrable experience.	Office administration qualification	Application form and pre-employment checks
Experience	Experience of working in an administrative/office environment Familiar and competent with Microsoft IT packages, including Outlook, Word, Excel and PowerPoint Familiar and confident using email and searching the internet	Understanding of basic website maintenance	Application and interview
Aptitude and abilities	Excellent verbal and written communication skills Good organisational skills with the ability to prioritise and meet deadlines	Ability to speak Welsh	Application and interview
Values	Able to work as part of a team Ability to make improvements to own work Demonstrate respect across whole system. Self-motivated, enthusiastic, committed, and proactive.		Application form Interview References
Other	The ability to work flexibly Ability to travel to different sites across Wales as required.	Ability to drive	Application form and interview

GENERAL REQUIREMENTS

Include those relevant to the post requirements

- **Values:** All employees of HEIW are required to demonstrate and embed the Values and Behaviour Statements in order for them to become an integral part of the post holder's working life and to embed the principles into the culture of the organisation.
- **Registered Health Professional:** All employees who are required to register with a professional body, to enable them to practice within their profession, are required to comply with their code of conduct and requirements of their professional registration.
- **Healthcare Support Workers:** Healthcare Support Workers make a valuable and important contribution to the delivery of high-quality healthcare. The national Code of Conduct for NHS Wales describes the standards of conduct, behaviour and attitude required of all Healthcare Support Workers employed within NHS Wales. Health Care Support Workers are responsible, and have a duty of care, to ensure their conduct does not fall below the standards detailed in the Code and that no act or omission on their part harms the safety and wellbeing of service users and the public, whilst in their care.
- **Competence:** At no time should the post holder work outside their defined level of competence. If there are concerns regarding this, the post holder should immediately discuss them with their Manager/Supervisor. Employees have a responsibility to inform their Manager/Supervisor if they doubt their own competence to perform a duty.
- **Learning and Development:** All staff must undertake induction/orientation programmes at Corporate and Departmental level and must ensure that any statutory/mandatory training requirements are current and up to date. Where considered appropriate, staff are required to demonstrate evidence of continuing professional development.
- **Performance Appraisal:** We are committed to developing our staff and you are responsible for participating in an Annual Performance Development Review of the post.
- **Health & Safety:** All employees of the organisation have a statutory duty of care for their own personal safety and that of others who may be affected by their acts or omissions. The post holder is required to co-operate with management to enable the organisation to meet its own legal duties and to report any hazardous situations or defective equipment. The post holder must adhere to the organisation's Risk Management, Health and Safety and associate policies.
- **Risk Management:** It is a standard element of the role and responsibility of all staff of the organisation that they fulfil a proactive role towards the management of risk in all of their actions. This entails the risk assessment of all situations, the taking of appropriate actions and reporting of all incidents, near misses and hazards.
- **Welsh Language:** All employees must perform their duties in strict compliance with the requirements of their organization's Welsh Language Scheme and take every opportunity to promote the Welsh language in their dealings with the public.
- **Information Governance:** The post holder must at all times be aware of the importance of maintaining confidentiality and security of information gained during the course of their duties. This will in many cases include access to personal information relating to service users.

- **Data Protection:** The post holder must treat all information, whether corporate, staff or patient information, in a discreet and confidential manner in accordance with the provisions of the General Data Protection Legislation and Organisational Policy. Any breach of such confidentiality is considered a serious disciplinary offence, which is liable to dismissal and / or prosecution under current statutory legislation and the organisation Disciplinary Policy.
- **Records Management:** As an employee of this organisation, the post holder is legally responsible for all records that they gather, create or use as part of their work within the organisation (including patient health, staff health or injury, financial, personal and administrative), whether paper based or on computer. All such records are considered public records and the post holder has a legal duty of confidence to service users (even after an employee has left the organisation). The post holder should consult their manager if they have any doubt as to the correct management of records with which they work.
- **Equality and Human Rights:** The Public Sector Equality Duty in Wales places a positive duty on the organisation to promote equality for people with protected characteristics: both as an employer and as a provider of public services. There are nine protected characteristics: age; disability; gender reassignment; marriage and civil partnership; pregnancy and maternity; race; religion or belief; sex and sexual orientation. The organisation is committed to ensuring that no job applicant or employee receives less favourable treatment of any of the above grounds. To this end, the organisation has an Equality Policy and it is for each employee to contribute to its success.
- **Dignity at Work:** The organisation condemns all forms of bullying and harassment and is actively seeking to promote a workplace where employees are treated fairly and with dignity and respect. All staff are requested to report any form of bullying and harassment to their Line Manager or to any Director of the organisation. Any inappropriate behaviour inside the workplace will not be tolerated and will be treated as a serious matter under the organisations Disciplinary Policy.
- **DBS Disclosure Check:** The post does not require a DBS Disclosure Check.
- **Safeguarding Children and Adults at Risk:** The organisation is committed to safeguarding children and adults at risk. All staff must therefore attend Safeguarding Children & Adult training and be aware of their responsibilities under the All Wales Procedures.
- **Infection Control:** The organisation is committed to meet its obligations to minimise infections. All staff are responsible for protecting and safeguarding patients, service users, visitors and employees against the risk of acquiring healthcare associated infections. This responsibility includes being aware of the content of and consistently observing HEIW/Trust Infection Prevention & Control Policies and Procedures.
- **No Smoking:** To give all patients, visitors and staff the best chance to be healthy, all HEIW/Trust sites, including buildings and grounds, are smoke free.
- Flexibility Statement:** The duties of the post are outlined in this Job Description and Person Specification and may be changed by mutual agreement from time to time.

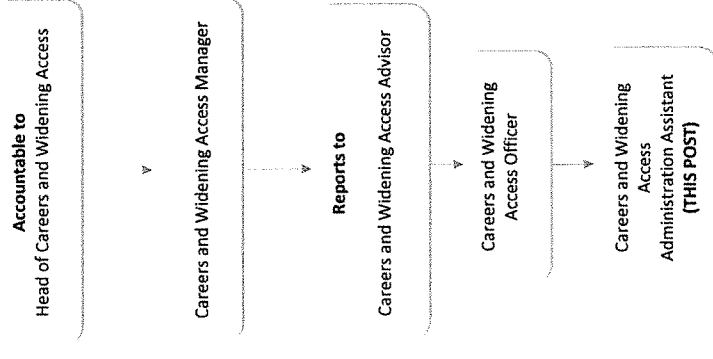
APPENDIX 1

Job Title: Administrative officer

Organisational Chart

The Organisational Chart must highlight the post to which this job description applies showing relationship to positions on the same level and, if appropriate, two levels above and below.

Complete, add or delete as appropriate the text boxes below showing the organisational relationships.

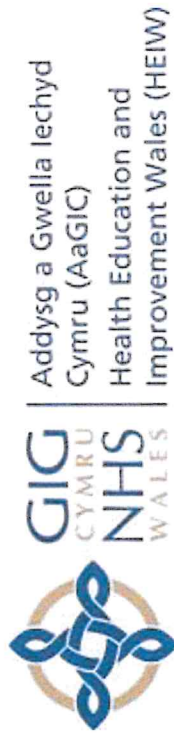


Its 8.30am and you arrive at your desk and are presented with the following tasks that need to be completed.

Please read carefully and rank each task in the order that you would tackle them. Please note your reasoning if you feel necessary.

For example, if you would listen to voicemails first, the reason might be "in case there was a message relating to any of the other tasks". This will give us an idea of your thinking behind your decision.

	Task	Rank 1 – 9	Notes
1.	A colleague from another department comes to tell you that the photocopier is not working and she has some urgent work to print.		
2.	You attended a meeting yesterday afternoon and have minutes to write up.		
3.	There are 3 new emails in your inbox and 8 new emails in the generic team email box.		
4.	The Head of Careers asks you to book transport for a meeting in London in 2 weeks' time.		
5.	You have booked a meeting in one of the internal meeting rooms at 10am and should make sure the room is set up correctly, sort out refreshments and make sure SKYPE is set up etc.		
6.	You have 3 new voice mail messages flashing on your phone.		
7.	A colleague comes to your desk and asks if the Careers Manager is in the office today, or if not, when they will be in the office next.		
8.	The Head of Careers asks you to print and collate a set of meeting papers that have been emailed in readiness for a meeting at 2pm in the office.		
9.	The Careers Advisor calls you and asks you to check the time and venue of a meeting later today. There is no venue/address on the calendar invite.		



Dear Colleague,

Transforming the Workforce for a Healthier Wales

This is an exciting and challenging time to be working at Health, Education and Improvement Wales (HEIW), particularly as a new organisation with a national scope across NHS Wales. Our vision, *"Transforming the workforce for a healthier Wales"*, has been developed through engagement with employees, stakeholders and partners.

We are clear that there are many exciting opportunities for us to add value to the Health and Social Care system. This will require close partnership working with our NHS colleagues and Social Care Wales. This will also include the development of effective networks with a range of other stakeholders including Welsh Government policy leads, professional organisations, academic providers, and regulators.

This new values based performance appraisal will determine personal and team objectives. It will encourage honest and constructive feedback in an environment where productive, two-way discussions between line managers and employees become second nature. Learning and Development is a core feature of this new scheme. We will continue to develop our leaders and managers so that they undertake those roles with consistency and competence allowing employees to have a clear line of sight to our Annual Plan.

I am hugely proud of all HEIW employees and I am continually impressed by the commitment to Health and Social Care in Wales. It is my desire therefore, that this scheme recognises our potential, our aspirations and our ability to grow. Our ambition referred to in the opening paragraph will be realised through an innovative and responsive workforce who's annual and mid-year reviews will be key to their personal and professional development.

I therefore ask all employees to fully embrace this new process, to make it work for you and to challenge yourselves in terms of what you can achieve. In that way, we will make massive strides, and the impact of Health Education and Improvement Wales will be truly exceptional making a fundamental difference to the health and wellbeing of all residents in Wales.

Best wishes,

Alex Howells
Chief Executive of HEIW

Values Based Performance Appraisal and Development Policy

Approved by: Executive Team

Issue Date: 5 March 2019

Review Date: March 2022

Version 1

Contents

1	Purpose	4
2	Scope	4
3	Principles	4
4	Definitions	5
5	Duties and Responsibilities	6
6	Timing	7
7	Setting Objectives	7
8	Protected Time	7
9	Regular one to one Discussions	8
10	Talent and Succession Planning	8
11	End of year assessment	8
12	Values based 360 feedback	9
13	Learning Requirements	9
14	Medical Appraisal Revalidation System (MARS)	9
15	Casual Workers	9
16	Pay Progression	9
17	Link to HEIW Values and Behaviours	9

1. [Purpose](#)

This Policy details HEIW's Values Based Performance Appraisal and Development system. It enables managers and employees to participate in and deliver a meaningful performance appraisal process and creates an environment for success.

This policy ensures that:

- employee performance is reviewed against previous objectives ;
- succession planning for critical posts are identified and developed ;
- employee performance is assessed against HEIW's values and behaviours ;
- work related objectives are agreed for the following year and are linked to HEIW objectives ;
- regular one to one and talent conversations take place, enabling employees to discuss their future career aspirations and potential development opportunities are identified ;
- employees and line managers are given details of opportunities that are available, to ensure they are developed in a way that brings job satisfaction, but also supports HEIW in meeting its objectives.

2. [Scope](#)

This policy will apply to all employees of HEIW. The lead responsibility for performance management and development sits with line managers, who will be supported by members of the People team as appropriate. HEIW is committed to promoting and supporting the health and wellbeing of all workers and employees. Colleagues with a line management responsibility should actively support a positive approach to employee health and wellbeing, ensuring this is discussed as part of the appraisal as well as ongoing discussions. For further information please see the appendices section at the end of this policy.

3. [Principles](#)

This policy covers six key principles:

- 3.1 **Principle 1 - Values and Behaviours** – HEIW is committed to engaging all workers in a dialogue about how they display the HEIW values and behaviours in what they do. With a total of 23 behaviours, it is possible to apply them differently depending on the project. This allows for reflection and learning.
- 3.2 **Principle 2 - Fundamental Right** - All employees have a fundamental right to come to work and:
 - Understand what is expected of them ;
 - Understand where they need to improve and develop ;
 - Understand how they are performing against those expectations.
- 3.3 **Principle 3 - Shared Responsibility** - Both employees and line managers share responsibility for ensuring performance appraisal and personal development takes place and is part of everyday practice.
- 3.4 **Principle 4 – Meaningful Process** – This is a meaningful process. Education and Improvement is at the heart of what we do. It is so much more than a 'tick box' exercise. It is part of our culture and way of working.
- 3.5 **Principle 5 – Meaningful Objectives**
Objectives set must be:
 - In line with the departments objectives ;

5. Duties and Responsibilities

- Relevant to the HEIW's overall objectives ;
- With employees members' development in mind.

3.6 Principle 6 – Continuous Development – Continuous Development and Improvement is an important aspect of our culture. As a result :

- One to ones with employees are essential ;
- Talent should be spotted and encouraged for those who want to progress ;
- On-going feedback must be provided on all issues *(both positive and requiring improvement)*.

4. Definitions

4.1 Performance Appraisal - Meeting to discuss achievement of objectives for the previous year and demonstration of values and behaviours, career aspirations of the employee and the development required to achieve the required objectives and aspirations.

4.2 Appraisee - An employee participating in the performance appraisal process who's performance and development is being assessed.

4.3 Appraiser - An employee participating in the performance appraisal process that is assessing performance and facilitating development. This may or may not be the appraisee's line manager.

4.4 Objectives - A specific result that a person or team aims to achieve within a time frame and with available resources.

4.5 Talent Conversation - A conversation held with employees regarding their aspirations, ability and potential for future career development.

4.6 Talent Management - The process of recruiting, identifying, nurturing, developing and retaining employees with critical skills or areas of talent within HEIW. There are tools available to support line managers in having career conversations and secondment / outplacement opportunities.

4.7 Successors / Succession Planning- Identification of critical posts within HEIW and developing identified members of the workforce to fill these posts in the future through a systematic evaluation and training process.

4.8 Personal Development Plan (PDP) - An action plan based on reflection and goal setting for personal development and aspirations that support the successful achievement of objectives. These should also include objectives relating to Health and Wellbeing, and Welsh Language where applicable.

4.9 Values Based 360 degree feedback exercise - An annual exercise to review the employee's behaviour measured against HEIW's values and behavioural framework.

4.10 Performance Assessment Outcome - The procedure does not include a formal scored assessment. Line managers however are still required to ensure that the levels of performance within the team are satisfactory. Line managers should also be mindful to highlight any potential concerns of underperformance at an early opportunity, using the capability policy where required. As part of our commitment to continuing professional development (CPD), the outcomes of this appraisal process will be cross referenced with the outcomes of the staff survey (i.e. levels of morale and motivation), and metrics (i.e. staff sickness and employee turnover levels). Line managers are encouraged to contact the People team should they have any potential concerns or questions.

5.1 The Employee (Appraisee)

Employees are responsible for :

- participating in the annual 360 degree feedback exercise ;
- agreeing a Personal Development Plan (PDP) with their appraiser ;
- to own and take responsibility for their own learning and development ;
- self-assessment of their achievements and progress against objectives from the previous year ;
- discussing development achievements, progress and needs at Performance Appraisal meetings and one to ones throughout the year with their appraiser ;
- being open to discussion about their own health and wellbeing, aligned with the wellness action development plan ;
- maintaining and providing evidence of learning at Performance Appraisals ensuring all required essential training is completed ;
- attending and completing all required elements of study days, courses and development opportunities to achieve their Personal Development Plan (PDP) ;
- to consider all learning and development interventions, including electronic learning, books, webinars, TED talks, coaching and mentoring as appropriate.

5.2 Line Manager (Appraiser)

Line managers are responsible for:

- participating in the annual 360 degree feedback exercise ;
- ensuring that succession plans are developed and are in place ;
- providing feedback results to direct reports of their 360 degree exercise ;
- ensuring meaningful objectives are set which support HEIW's overall objectives ;
- ensuring that all employees have equal access to learning and development opportunities ;
- updating feedback from the performance appraisal on the Electronic Employees Record (ESR) ;
- providing regular feedback on achievement and progress required to ensure that continuous development occurs ;
- ensuring that all employees have the opportunity to discuss their career aspirations and development requirements ;
- people management, ensuring awareness to People processes and policies that may fall outside of this policy (i.e. capability), but may have an impact ;
- ensuring that all employees have a full Performance Appraisal annually, with monthly one to one meetings as a minimum to discuss performance and development ;
- providing all new employees have a full local induction within one month of commencing employment with HEIW, and initial objectives are set within the first 6 weeks of employment with the HEIW ;
- promoting the importance of health and wellbeing to all employees and ensuring this is discussed within the review, linking with the wellness plan as appropriate.
- collating information from personal development plans (PDPs), and using this to inform corporate learning plans. Consideration of any courses which include a cost implication, are subject to the completion and approval of a business case in accordance with the 'Access to Learning and Development Policy'.

5.3 People Team

The People team are responsible for:

- providing training to line managers and appraisers on the policy ;
- co-ordinating the annual 360 degree feedback exercise for all employees ;
- ensuring that all employees responsible for undertaking appraisals have received training ;
- ensuring that teams are aware of the health and wellbeing policy and its application during appraisal ;
- producing an annual learning bid for consideration by the Executive team, using information from individual personal development plans (POPs) ;
- the development of action plans for the promotion of health and wellbeing at work as a means of improving the wellbeing and work performance of employees ;
- providing advice and guidance on the application of the scheme where necessary. However line managers and employees should refer in the first instance to this Policy and the guidance referred to herein.

5.4 Senior Leadership Team

The Senior Leadership team is responsible for:

- setting speciality and departmental objectives in support of HEIW's strategic aims ;
- applying the policy to all employees and reporting information on completion of the review process as required.

5.5 Executive Team

The Executive is responsible for setting the strategic direction within the organisation, developing HEIW's strategic aims and objectives and ensuring that these are cascaded to the Senior Leadership Team.

6. Timing

The appraisal year will run from 1st April to 31st March. The Values Based 360 degree feedback questionnaire will be sent to employees from the People team in March from completion. A timetable will be issued by the People team closer to the time.

7. Setting objectives

Objectives must:

- have succession planning in mind (i.e. developing managerial capacity) ;
- be in line with SMART objectives (i.e. Specific, Measurable, Achievable, Relevant and Time – bound) ;
- have in mind organisational (HEIW) objectives, departmental objectives and personal development ;

A guidance note on how to set SMART objectives, can be found at appendix 1.

8. Protected time

It is essential that all employees have a meaningful Performance Appraisal each year. Employees must be given adequate notice of their Performance appraisal with adequate time to prepare. Performance appraisal meetings must be meaningful and of a sufficient time period (suggested minimum of one hour), to ensure that a meaningful and constructive discussion takes place.

Line managers of all levels are required to allocate protected time so that the appraisal take place and are not cancelled or changed. This principle also applies to one to one discussions.

9. Regular one to one discussions

A one to one is a meeting between a manager and an employee, which should be used to:

- Discuss any concerns, give feedback and support ;
- To discuss progress against personal development plan ;
- Review objectives set (progress, challenges, any adjustments that need to be made etc.).

Guidance to conducting effective one to one meetings is contained at appendix 3 and 4. It is encouraged that all one to one meetings are documented. Line managers can use their own or alternatively can use the template as attached at appendix 5.

9.1 Occurrence of one to one discussions

It is recommended that one to one discussions should take place regularly, but must occur a minimum of once every month.

9.2 Importance of one to one discussions

Regular one to one discussions feed into the annual performance appraisal cycle which helps to ensure that the meetings are meaningful based on 'real' issues.

- One to one discussions are vital in giving employees and line managers an opportunity to discuss on-going development or concerns. It is recognised that at times of increased activity it is not always easy to conduct one to one's. At busy times line managers are encouraged to think creatively as to how they can conduct one to one's with employees (for example team huddles, project / to-do lists, use of white boards).
- One to one discussions are essential in keeping employees talking and communicating with one another. They keep employees and line managers 'on task' with objectives set and enhance the progression of development.

10. Talent and Succession Planning

10.1 Talent Management: All employees should have the opportunity to develop to their full potential and to engage in career conversations to help mitigate any potential people risks that are identified through workforce planning. The Performance Appraisal conversation is the natural place for this to occur, and should focus on exploring career aspirations, interest in future roles and where development opportunities may exist and able to be incorporated into the personal development plan.

10.2 Succession Planning: It is vital that consideration is given during the Performance Appraisal conversation of the employee's aspirations, and whether or not any development can take place to support succession and career planning.

11. End of year assessment

Each end of year assessment starts with a new form. The form (for initial completion by the employee), helps to set an agenda for the conversation with the line manager. This process requires a formal meeting every six months. April (set objectives), September (to review previous six months). The process also depends on regular one to one meetings to review progress

In the new pay progression system (NHS Terms and Conditions of Service contract refresh 2018), staff will progress to the next pay step point on their pay step at where the following can be demonstrated:

- The appraisal process has been completed within the last 12 months and outcomes are in line with organisational standards
- There is no formal capability process in place
- There is no formal disciplinary sanction live on the staff member's record
- Statutory and or mandatory training has been completed
- For line managers only – appraisals have been completed for all their staff as required.

17. Link to HEIW Values and Behaviours

A link to the values and behaviours, as agreed by HEIW staff is below.

<https://nhs.uk/healthcare-values-and-behaviours>

People Team (JA)

5th March 2019



12. Values based 360 Feedback

All employees will be encouraged to participate in the 360 Degree Appraisal (this will be compulsory for members of the Executive and Senior Leadership Team). These will tend to take place during the last quarter (i.e. January to March). A planning meeting will take place at the start of the process between the employee and the manager to determine the list of participants. These must include the following:

- Line Manager;
- Colleagues and Peers;
- People who work for you (if applicable);
- External partner organisations (if applicable).

Employees will be asked to complete a self-assessment, regardless of whether they wish others to participate. The employee's own reflections will be used along with the line managers' reflections to assess employees against the organisational values. The 360 degree appraisal documentation is attached at appendix 5. The 360 degree appraisal process will be coordinated by the People team. Participants will be given a period of 2 weeks to complete the appraisals which will be collated into a report.

13. Learning Requirements

All line managers are required to attend HEIW's Performance Appraisal training which can be booked via the People team.

14. Medical Appraisal Revalidation System (MARS)

We are committed to identifying and removing any duplication between systems and processes. Our preferred staff tool is the Electronic Staff Record (ESR) system. In addition, HEIW has responsibility for the Medical Appraisal Revalidation System (MARS) for general practitioners and dentists across Wales. As part of the design process, we have met with colleagues from the MARS team to remove any duplication. In addition, talks are ongoing regarding the possible development of a values based 360 process using MARS technology. At the same time, we will ensure that these processes align to the ESR system. More information will follow.

15. Casual Workers

Everyone at HEIW makes a strong contribution to the objectives of HEIW. As such, all casual workers are required to have tangible, clear and SMART objectives. These must be time relevant and aligned to what the individual is able to achieve during their time with HEIW. A new one page version of the form has been designed (Appendix 7).

16. Pay Progression

A new pay progression system will come into effect on 1 April 2019 for new starters, or those promoted to a new role on or after 1 April 2019. For all other staff who were in post before 1 April 2019, current organisational pay progression procedures will continue to apply until 1 March 2021, after which time they will also be subject to the new provisions. The new pay progression system is underpinned by the annual appraisal process. The expectation is that all staff will meet the required standards and therefore be able to progress on their pay step date.



GIG
Cymru (AuGIC)
NHS
Wales
Improvement Wales (HEIW)

Values Based Performance Appraisal & Development Review
For use by all staff (except casual workers) **DRAFT**

Name:	Click or tap here to enter text.	Job Title:	Click or tap here to enter text.
Name of Manager:	Click or tap here to enter text.	Date of Meeting:	Click or tap here to enter text.

1. Self-Assessment

1.1 End of Year review of the previous six months / year

for completion in April

Please refer back to the previous / most recent appraisal documentation to support your review.

Individual SMART objectives – Specific, Measurable, Achievable, Relevant and Time-bound			
	What was expected of you?	Was this objective met? If so, what impact did this have? If not, please consider the support that may be required to help deliver the objective.	What worked well, what did not work so well. What would you do differently?
1			
2			
3			
4			
5			

Manager comments
Click or tap here to enter text.

1.2 Have you demonstrated our values in your behaviour?

For discussion: Please refer to the findings of the '360 degree feedback', together with our 'Values and Competencies' framework. Which of the values were evident when you were working to complete the

objectives above? Were there any values that were not used? Why? Could any of them be used differently next time to help obtain a different result or outcome?

Employee comments
Click or tap here to enter text.

Manager comments
Click or tap here to enter text.

1.3

Talent and career planning

For completion in April

The focus of this section should be on your potential and aspirations for future career development, along with your professional registration requirements.

Employee to complete: Thinking about your current role, your life and your career are you.

☐ Unsure of this role? You're new to this role or this may not be the right role for you	☐ Content with this role? You just want to do this role well	☐ Content with this role? You want to develop further within this role	☒ Ready for more? You want to be challenged further or take the next step in your career
			☒ Ready for more? But feel that you cannot due to a restriction / constraint or a challenge

Why have you chosen the option you have?	Click or tap here to enter text.
What do you like about the current job you do? What don't you like and why?	Click or tap here to enter text.
What support do you need from your manager, the team or the organisation to fulfil your potential?	Click or tap here to enter text.

What Learning and Development have you undertaken this year:	Click or tap here to enter text.		
Following discussion, what was agreed regarding your readiness to progress?	☐ Now	☐ 1 Year	☐ 2 to 3 years

1.4 Personal development planning (PDP)

The Personal development plan underpins and supports the delivery of objectives, career aspirations and values and behaviours. How will this be achieved? Managers are asked to consider blended learning opportunities (*i.e. coaching, mentoring, job shadowing, e-learning, as well as formal classroom training*). Interventions that incur a cost are subject to a learning and development bid being submitted to Executive in June. Academic qualifications are subject to a formal business plan being considered and approved in accordance with the 'Access to Learning and Development' policy.

Personal Development Plan:
Please refer to information about the training and support available from HEIW Please also consider shadowing, projects, research, coaching/mentoring, 360 Feedback, as well as formal training opportunities.

Click or tap here to enter text.

1.5 Professional requirements and continuing professional development

The focus of this section should be on your potential and aspirations for future career development, along with your professional registration requirements.

Name of professional and or clinical body. (i.e. GMC, NMC, HCPC, and any other Continuing Professional Development Requirements)	
Clinical and professional requirements needed for your role (if applicable)	(<i>i.e. proof of up to date PIN, registration with GMC, NMC or HCPC as appropriate and CPD</i>) Confirmation that you are pro: Click or tap here to enter text.

		Click or tap here to enter text.	
Ensure NMC Code of Conduct is available at meeting Manager to check that employee is working towards NMC Revalidation. Use Objectives/PDP section to ensure appropriate preparation for revalidation. Ensure professional portfolio is up to date	Date of Revalidation	Yes/No	Comments/Actions
	Criteria	☐	Click or tap here to enter text.
	Progressing to meet NMC Revalidation requirements.		
	450 Practice Hours		
	CPD – 35 hrs (20 participatory) Practice Related Feedback x5 Reflections x5 (Min. over 3 year period)		
	Continues to remain competent for practice by meeting the requirements of the NMC Code	☐	Click or tap here to enter text.
At year 3 please complete the Confirmation of NMC Revalidation form, (this may be completed up to 1 year prior to revalidation date)			

2.1 Objectives for the year ahead

Line managers should consider how the employee being appraised can support HEIW's Corporate and Team objectives when setting individual objectives.

Team Objectives What are the team / departments primary objectives this year to support the organisational strategy / objectives?

Please agree SMART objectives (*i.e. Specific, Measurable, Achievable, Relevant, and Time-bound*).

	Individual SMART objectives – Specific, Measurable, Achievable, Relevant and Time-bound	When is this to be achieved by?
	What is expected of you? Specific, Achievable, Relevant	Measure of success Measurable Time Bound
1		
2		
3		

4			
5			

From the review, is there anything that you would like to share across HEIW as a potential case study for consideration in the next HEIW Employees Awards event?

Click or tap here to enter text.

Employee comments
Click or tap here to enter text.

Manager comments
Click or tap here to enter text.

3.1 Review of the previous six months

In looking back at all of the one to one meetings over the last six months, please outline the main successes, achievements and challenges over the previous 6 month that has been discussed. Please refer to manager/employee guidance for information.

Employee comments
Click or tap here to enter text.

Manager comments
Click or tap here to enter text.

3.2 Do you demonstrate our values in our behaviour?

Here you need to consider what was done well and what could be done better, providing evidence and examples for discussion.

Employee comments
Click or tap here to enter text.

Manager comments
Click or tap here to enter text.

Employee Signature:		Date:	Click or tap to enter a date.
Manager Signature:		Date:	Click or tap to enter a date.

Manager Checklist

☒ Record on ESR ' ' ☐

Set the dates for one to one meetings and the next Performance Appraisal

12.4 In all cases, the manager must instigate an informal discussion where there are:

HYWEL DDA UNIVERSITY HEALTH BOARD

- Three episodes of sickness absence of any length in any rolling six month period
or
- Four episodes of any length in any rolling twelve month period
or
- Two or more absences totalling 10 calendar days in a rolling 12 month period
or
- Recognisable patterns of absence, including any in previous years, which cause concern but may not meet other triggers

A period of absence is a 'sickness day' or a sequence of days off due to sickness.

In all cases, the manager should keep a record of the discussion.



Addysg a Gwellia Iechyd
Cymru (AaGIC)
Health Education and
Improvement Wales (HEIW)

Health Education & Improvement Wales

Capability Policy and Procedure

Approved by: Welsh Partnership Forum
Issue Date: 27 June 2018
Review Date: June 2021
Adopted by: Health Education & Improvement Wales
Dated: 2 October, 2018

Capability Policy
Version 21 (June 2018)

1

1. Policy Statement

The Core Principles of NHS Wales are:

- **We put patients and users of our services first:** We work with the public and patients/service users through co-production, doing only what is needed, no more, no less and trying to avoid harm. We are honest, open, empathetic and compassionate. We ensure quality and safety above all else by providing the best care at all times.
- **We seek to improve our care:** We care for those with the greatest health need first, making the most effective use of all skills and resources and constantly seeking to fit the care and services we provide to users' needs. We integrate improvement into everyday working, by being open to change in all that we do, which also reduces harm and waste.
- **We focus on wellbeing and prevention:** We strive to improve health and remove inequities by working together with the people of Wales so as to ensure their wellbeing now and in future years and generations.
- **We reflect on our experiences and learn:** We invest in our learning and development. We make decisions that benefit patients and users of our services by appropriate use of the tools, systems and environments which enable us to work competently, safely and effectively. We actively innovate, adapt and reduce inappropriate variation whilst being mindful of the appropriate evidence base to guide us.
- **We work in partnership and as a team:** We work with individuals including patients, colleagues, and other organisations; taking pride in all that we do, valuing and respecting each other, being honest and open and listening to the contribution of others. We aim to resolve disagreements effectively and promptly and we have a zero tolerance of bullying or victimization of any patient, service user or member of staff.
- **We value all who work for the NHS:** We support all our colleagues in doing the jobs they have agreed to do. We will regularly ask about what they need to do their work better and seek to provide the facilities they need to excel in the care they give. We will listen to our colleagues and act on their feedback and concerns.

They have been developed to help and support staff working in NHS Wales.

NHS Wales is about people, working with people, to care for people. These Core Principles describe how we can work together to make sure that what we do and how we do it is underpinned by a strong common sense of purpose which we all share and understand.

The NHS is continually under pressure to deliver more services, with better outcomes and maintain and increase quality against the backdrop of significant financial challenge, high levels of public expectation and with a population which is getting older and with increased levels of chronic conditions.

These principles have been developed to help address some of the pressures felt by staff in responding to these demands. They will re-balance the way we work together so we are less reliant on process and are supported to do the right thing by being guided by these principles when applying policies and procedures to the workforce.

Capability Policy
Version 21 (June 2018)

3

CONTENTS

1. Policy statement
 2. About this policy
 3. Principles
 4. Rights of accompaniment
 5. Identification of a capability issue
 6. Initial assessment
 7. Incapability to due to disability
 8. Confidentiality
 9. Redeployment/Downgrading
 10. Timescales for achieving improvement
 11. Notification requirements for formal capability hearings
 12. Procedure at capability hearings
 13. Stage 1 hearing: Improvement notice
 14. Stage 2 hearing: Final written warning
 15. Stage 3 hearing: Dismissal or redeployment
 16. Appeals against action for poor performance
 17. Training and/or Awareness Raising
 18. Equality
 19. General Data Protection Regulations 2018
 20. Freedom of Information
 21. Records Management
 22. Review
 23. Monitoring
 24. Approval
- Appendix 1 – Capability Hearings Flowchart

Capability Policy
Version 21 (June 2018)

2

As people working within the health service, we will all use them to support us to carry out our work with continued dedicated commitment to those using our services, during times of constant change.

The Principles are part of an ongoing commitment to strengthen the national and local values and behaviour frameworks already established across Health Boards and Trusts.

They have been developed in partnership with representatives from employers and staff side.

The Principles will be used to create a simpler and consistent approach when it comes to managing workplace employment issues.

2. About this Policy

- 2.1 The primary aim of this policy is to provide a framework within which managers can work with employees to maintain satisfactory performance standards and to encourage improvement where necessary.
- 2.2 It is HEIW's policy to ensure that concerns over performance are dealt with fairly and that steps are taken to establish the facts and to give employees the opportunity to respond at an initial informal discussion before any formal action is taken.
- 2.3 This policy is applicable to all employees, employed in HEIW, except Medical and Dental staff where specific arrangements apply in cases of professional conduct or competence. It does not apply to bank workers (see bank register principles - June 2017), agency workers or self-employed contractors.

Before considering any action in accordance with this policy, the relevant code of conduct and professional code of practice should be considered, and advice should be sought from the relevant professional lead.
- 2.4 Where an employee is either jointly employed or is not employed by HEIW but provides a service for the NHS Organisation, the capability issue will be addressed under the scope of the policy of the lead employer. HEIW will still have an active involvement in the management of the issue to ensure that the performance standards required by HEIW are met.
- 2.5 Managers should be aware that, depending on the outcome of discussions at either the informal or formal stages, it may be appropriate to defer handling the issue under the Capability Policy and refer instead to the alternative appropriate policies, e.g. Disciplinary Policy or Sickness Absence Policy

3. Principles

- 3.1. All employees should be treated fairly and with dignity and respect.

Capability Policy
Version 21 (June 2018)

4

- 3.2 An appropriate Workforce and OD (W&OD) representative will be available to support managers and employees in the application of this policy.
- 3.3 Line Managers are responsible for ensuring that all new employees undertake both HEIW and local induction on commencement of their new post. In addition, they will receive a job description and person specification and will be given a clear understanding of their duties and the standards expected. To support new or promoted employees, the line manager will also need to assess any immediate development needs which they may have and the timescales within which these need to be addressed. All employees will participate in a performance review at which a Personal Development Plan will be agreed on at least an annual basis, in line with the pay progression policy.

If an individual is in the formal stage of the capability policy at the beginning of sickness and/or maternity/adoption leave and there is evidence to show that they would be unlikely to have met their pay progression criteria, it may be possible to withhold their pay increment. However, advice must be sought from a relevant member of the W&OD team and such a decision must take account of any potential discrimination claims.

During the normal course of their duties, line managers should meet regularly with their employees and bring to their attention any issues relating to their performance. During an induction period, the expectation would be that the level of support required would be greater than once the employee has settled in.

4. Rights of accompaniment

All employees have the right to be accompanied by a Trade Union representative or a HEIW workplace colleague, at all formal hearing stages of the procedure. However, as long as a suitable alternative representative is available, unavailability of a preferred representative or workplace colleague should not delay the hearing taking place.

Where reference is made in this policy to the employee's "representative", this will refer to the Trade Union representative or work place colleague.

5. Identification of a Capability Issue

In the first instance, performance issues should normally be dealt with informally between the employee and their line manager as part of day-to-day management.

manager who may refer the employee to Occupational Health for assessment and support.

8. Confidentiality

- 8.1 The aim of HEIW is to deal with performance matters sensitively and with due respect for the privacy of any individuals involved. All employees must treat as confidential any information communicated to them in connection with a matter which is subject to this capability procedure.
- 8.2 The employee and anyone accompanying the employee (including witnesses), must not make electronic recordings of any meetings or hearings conducted under this procedure.
- 8.3 The employee will normally be told the names of any witnesses whose evidence is relevant to the employee's capability hearing, unless there are exceptional circumstances in which HEIW believes that a witness's identity should remain confidential.

9. Redeployment/Downgrading

If it is mutually agreed at any stage in the process that redeployment/downgrading is in the best interests of both the employee and the organisation, every effort will be made to find a suitable appointment. In particular, the following must be considered:

- Temporary redeployment:
 - The availability of opportunities;
 - It will be for the manager and employee to agree a suitable trial period for these arrangements;
 - Review arrangements whilst in the new post;
 - Protection of all earnings would apply.
- Permanent redeployment:
 - The availability of opportunities;
 - Protection of earnings will not be applied.

10. Timescales for Achieving Improvement

The timescales for achieving improvement will be dependent on various factors such as the risks of the role not being carried out competently within HEIW, the impact on the service, the complexities of the job itself, and the availability of the necessary training and support. However, managers are responsible for setting SMART (Specific, Measurable, Achievable, Relevant, Timely) targets for improvement. As a guideline the timescales to achieve the improvement should normally be a minimum of one month and no more than three months. During the period, there is an expectation that the manager and employee will have regular meetings to review performance. Periods of review may be paused if an employee is absent from work

Where appropriate, a note of any such informal discussions should be shared with the employee and placed on the employee's personal file.

Informal discussions may help:

- a) clarify the required standards;
- b) identify areas of concern;
- c) establish the likely causes of poor performance and identify any training needs; and/or
- d) set targets for improvement and a time-scale for review.

This procedure should be used for more serious cases, or in any case where an earlier informal discussion has not resulted in a satisfactory improvement.

6. Initial Assessment

6.1 If initial discussions have not resulted in a satisfactory improvement and if HEIW has ongoing concerns or more serious concerns come to light about an employee's performance, an Initial Assessment will be undertaken, which may be by the line manager, to decide if there are grounds for taking formal action under this policy. The procedure involved will depend on the circumstances but may involve reviewing the employee's personal file including any appraisal records, gathering any relevant documents, monitoring the employee's work and, if appropriate, interviewing the employee and/or other individuals confidentially regarding the employee's work.

6.2 Managers need to consider in the light of relevant HEIW policies and procedures any underlying issue such as:

- Health and/or domestic issues;
- Bullying/harassment or feeling intimidated for any other reasons;
- Inadequate resources to do the job;
- Insufficient training or the need for further training;
- Changes in the job environment.

7. Incapability Due to Disability

7.1 Consideration will be given to whether poor performance may be related to a disability and, if so, whether there are reasonable adjustments that could be made to the employee's working arrangements, including changing duties or providing additional equipment or training. HEIW has a duty under the Equality Act 2010 to make reasonable adjustments as appropriate.

7.2 If an employee wishes to discuss this or inform HEIW of any medical condition the employee considers relevant, the employee should contact his/her line

for an extended length of time in excess of 28 days, to cover the length of the absence where improvement cannot be monitored.

11. Notification requirements for formal capability hearings

If HEIW considers that there are grounds for taking formal action over alleged poor performance, the Employee will be required to attend a capability hearing. The employee will be notified in writing of the concerns over their performance, the reasons for those concerns, and the likely outcome if it is decided after the hearing that the employee's performance has been unsatisfactory. HEIW will also include the following where appropriate:

- a) A summary of relevant information gathered as part of any investigation.
- b) A copy of any relevant documents which will be used at the capability hearing.
- c) A copy of any relevant witness statements, except where a witness's identity is to be kept confidential (which will only be in exceptional circumstances), in which case the employee will be given as much information as possible while maintaining confidentiality.

All documentation will be passed to the employee as soon as possible but no later than 21 calendar days prior to a capability hearing. Any additional information which the employee wishes to rely upon should be submitted as soon as possible but no later than 10 calendar days prior to the hearing. In exceptional circumstances, the employee may request to make a submission which has not been made available within the above timescale. The list of agreed witnesses will be provided no later than 14 calendar days before the hearing date.

12. Procedure at capability hearings

If the employee or their representative cannot attend the hearing they should inform HEIW immediately and HEIW will usually arrange an alternative time. The employee must make every effort to attend the hearing, and failure to attend without good reason may be treated as misconduct. If the employee fails to attend without good reason or is persistently unable to do so (for example, for health reasons), HEIW may have to take a decision based on the available evidence including any written representations made by the employee.

The hearing will normally be held by the employee's line manager (save for at Stage 3 when it is likely that a more senior manager will hear the case) and it is likely that the manager will be supported by an appropriate professional advisor, and a member of the W&OD Department. The employee may bring an employee representative to the hearing (see paragraph 4). The employee representative may make representations, ask questions, and sum up the employee's case, but will not be allowed to answer questions on behalf of the employee. The employee

may confer privately with their employee representative at any time during the hearing.

The employee may ask relevant witnesses to appear at the hearing, provided sufficient notice is provided to arrange their attendance. The employee will be given the opportunity to respond to any information given by a witness and be permitted to cross examine witnesses in an appropriate manner.

The aims of a capability hearing will usually include:

- a) Setting out the required standards that HEIW believes the employee may have failed to meet and going through any relevant evidence that gathered.
- b) Allowing the employee to ask questions, present evidence, call witnesses, respond to evidence and make representations.
- c) Establishing the likely causes of poor performance including any reasons why any measures taken so far have not led to the required improvement.
- d) Identifying whether there are further measures, such as additional training or supervision, which may improve performance.
- e) Where appropriate, discussing targets for improvement and a time-scale for review.
- f) If dismissal is a possibility, establishing whether there is any likelihood of a significant improvement being made within a reasonable time and whether there is any practical alternative to dismissal, such as redeployment (see section 9).

A hearing will be adjourned if HEIW needs to gather any further information or give consideration to matters discussed at the hearing. The employee will be given a reasonable opportunity to consider any new information obtained before the hearing is reconvened.

HEIW will inform the employee in writing of its decision and the reasons for it, usually within seven calendar days of the hearing.

13. Stage 1 Hearing

Where performance issues have not been resolved at an informal level, or where there is a failure to reach and sustain the required standard, a stage 1 hearing will be held.

capability hearing. Written notification will be provided as set out in paragraph 11.

Following a Stage 2 capability hearing, if it is decided that the employee's performance is unsatisfactory, HEIW will ordinarily give a final written warning, setting out:

- a) the areas in which the required performance standards have not been met;
- b) targets for improvement;
- c) any measures, such as additional training or supervision, which will be taken with a view to improving performance;
- d) a period for review; and
- e) the consequences of failing to improve within the review period, or of further unsatisfactory performance.

A final written warning will normally remain active for 9 months from the end of the review period. After the active period, the warning will remain permanently on the employee's personal file but will be disregarded in deciding the outcome of future capability proceedings.

The employee's performance will be monitored during the review period and HEIW will write to inform the employee of the outcome:

- f) if the line manager is satisfied with the employee's performance, no further action will be taken;
- g) if the line manager is not satisfied, the matter may be progressed to a Stage 3 capability hearing; or
- h) if the manager feels that there has been a substantial but insufficient improvement, the review period may be extended.

15. Stage 3 hearing

Following the Stage 2 Hearing and subsequent review period, and where an improvement to the degree required has not been achieved, termination of employment will be considered. This will take account of all previous action that has been taken in an attempt to improve the employee's performance.

Following a Stage 1 capability hearing, if it is decided that the employee's performance is unsatisfactory, HEIW will give the employee an improvement notice, setting out:

- a) The areas in which the employee has not met the required performance standards.
- b) Targets for improvement.
- c) Any measures, such as additional training or supervision, which will be taken with a view to improving performance.
- d) A period for review (see section 10).
- e) The consequences of failing to improve within the review period, or of further unsatisfactory performance.

The improvement note will normally remain active for six months from the end of the review period. After the active period the warning will remain permanently on the employee's personal file but will be disregarded in deciding the outcome of any future capability proceedings.

The employee's performance will be monitored during the review period and HEIW will write to inform the employee of the outcome:

- f) if the line manager is satisfied with the employee's performance, no further action will be taken at this stage but the improvement notice will remain active from the end of the review period;
- g) if the line manager is not satisfied, the matter may be progressed to a Stage 2 capability hearing;
- h) if the manager feels that there has been a substantial but insufficient improvement, the review period may be extended.

14. Stage 2 Hearing

If the employee's performance does not improve within the review period set out in an improvement note, or if there is further evidence of poor performance while the improvement note is still active, HEIW may decide to hold a Stage 2

The decision maker at this stage should not have been involved previously and should have the authority to dismiss.

HEIW may decide to hold a Stage 3 capability hearing if there is reason to believe:

- a) the employee's performance has not improved sufficiently within the review period set out in a final written warning;
- b) the employee's performance is unsatisfactory while a final written warning is still active.

Written notification of the hearing will be sent as set out in paragraph 11.

Following the hearing, if it is found that the employee's performance is unsatisfactory, a range of options will be considered including:

- a) extending an active final written warning and setting a further review period (in exceptional cases where it is believed that a substantial improvement is likely within the review period);
- b) giving a further final written warning;

A final written warning will normally remain active for 9 months from the end of the review period. After the active period, the warning will remain permanently on the employee's personal file but will be disregarded in deciding the outcome of future capability proceedings.

- c) redeployment (subject to a trial period of a duration to be agreed but a minimum of 12 weeks) at the end of which the situation will be reviewed and if the redeployment has been successful for all parties, a permanent variation of contract will be put in place. If the redeployment has been unsuccessful in the view of any party, then a stage 3 hearing will be reconvened, and the likely outcome will be dismissal.
- d) dismissing the employee;

Dismissal will be with full notice or payment in lieu of notice.

16. Appeals against action for poor performance

Should the employee feel that a decision about poor performance under this procedure is wrong or unjust the employee should appeal in writing, stating the full grounds of appeal, to [APPROPRIATE POSITION] within 14 calendar days of receiving the written notification.

If appealing against dismissal, the date on which dismissal takes effect will not be delayed pending the outcome of the appeal. However, if the appeal is successful the employee will be reinstated with no loss of continuity or pay.

If an employee raises any new matters in the appeal, HEIW may need to carry out further investigation. If any new information comes to light it will be provided to the employee with a summary including, where appropriate, copies of

additional relevant documents and witness statements. The employee will have a reasonable opportunity to consider this information before the hearing.

The administrative arrangements will be put in place within 14 calendar days and wherever possible the appeal heard within 28 calendar days of the notification of appeal being received. At least 7 calendar days before the Appeal Hearing the Appeal Officer must receive the nature of the appeal and all documentary evidence in support of it. Failure to comply may result in either the appeal being postponed or the appeal going ahead without this information.

There will be two levels of constitution of appeal hearings: -

For appeals against warnings short of dismissal, the appeal will normally be heard by a manager one level above the manager who imposed the penalty.

A (W&OD/HR) Advisor will be in attendance in order to give advice and to support the Appeal Officer in ensuring that all aspects of the appeal are fully explored.

In cases of appeals against dismissal, the appeal will normally be heard by a senior officer nominated (by the Director of Workforce and Organisational Development), in line with the organisation's scheme of delegated authority.

The officers nominated to hear an appeal must not have been involved in the process at any earlier point.

The purpose of the appeal is to establish if the decision taken at the hearing was reasonable in light of the grounds raised by the employee. The appeal is not a re-hearing of the original evidence.

The appeal hearing must restrict itself to looking at the grounds of appeal made by the employee and ensuring that these grounds are adequately examined in order to reach a proper judgement on whether the appeal should be upheld.

The appeal hearing will consider specifically whether the action decided upon was fair and reasonable at the time that the action was taken. The appeal hearing may look at whether the procedure was applied correctly when deciding on the action.

The appeal will take account of any substantial new information cited in the grounds for appeal.

The decision reached by any level of appeal hearing is considered final. No further appeal mechanism will operate within HEIW.

Where possible, the appeal hearing will be conducted by a [more senior] manager who has not been previously involved in the case. [A member of the W&OD Department AND/OR the manager who conducted the capability hearing] will also usually be present. The employee may bring an employee representative to the appeal hearing.

An appeal hearing will be adjourned if there is a need to gather any further information or give consideration to matters discussed at the hearing. The

employee will be given a reasonable opportunity to consider any new information obtained before the hearing is reconvened.

Following the appeal hearing HEIW will:

- confirm the original decision; or
- revoke the original decision; or
- substitute with a different sanction.

HEIW will inform the employee in writing of its final decision as soon as possible, usually within one week of the appeal hearing. There will be no further right of appeal.

17. Training and/or awareness raising

All staff will be made aware of this policy upon commencement with HEIW. Copies can also be viewed on HEIW's intranet or obtained via the W&OD department. Training will be provided as appropriate.

18. Equality

HEIW recognises the diversity of its workforce. Our aim is therefore to provide a safe environment where all employees are treated fairly and equally and with dignity and respect. HEIW recognises that the promotion of equality and human rights is central to its work both as a provider of healthcare and as an employer. This policy has been impact assessed to ensure that it promotes equality and human rights. The assessment was undertaken using the toolkit of the NHS Centre for Equality and Human Rights and completed in September 2017.

19. General Data Protection Regulations 2018

All documents generated under this policy that relate to identifiable individuals are to be treated as confidential documents, in accordance with HEIW's Data Protection Policy.

20. Freedom of Information Act 2000

All HEIW's records and documents, apart from certain limited exemptions, can be subject to disclosure under the Freedom of Information Act 2000. Records and documents exempt from disclosure would, under most circumstances, include those relating to identifiable individuals arising in a personnel or staff development context. Details of the application of the Freedom of Information Act within HEIW may be found in HEIW's publications scheme.

21. Records Management

All documents generated under this policy are official records of HEIW and will be managed and stored and utilised in accordance with HEIW's Records Management Policy.

22. Review

This policy will be reviewed in 3 years' time. Earlier review may be required in response to exceptional circumstances, organisational change or relevant changes in legislation or guidance.

23. Monitoring

Details of all capability procedure outcomes will be monitored and reported as deemed appropriate by the employing organisation.

24. Approval

Signed on behalf of the Staff Side:

Signed:

Name: _____

Title: _____

Date: _____

Signed on behalf of the Management Side:

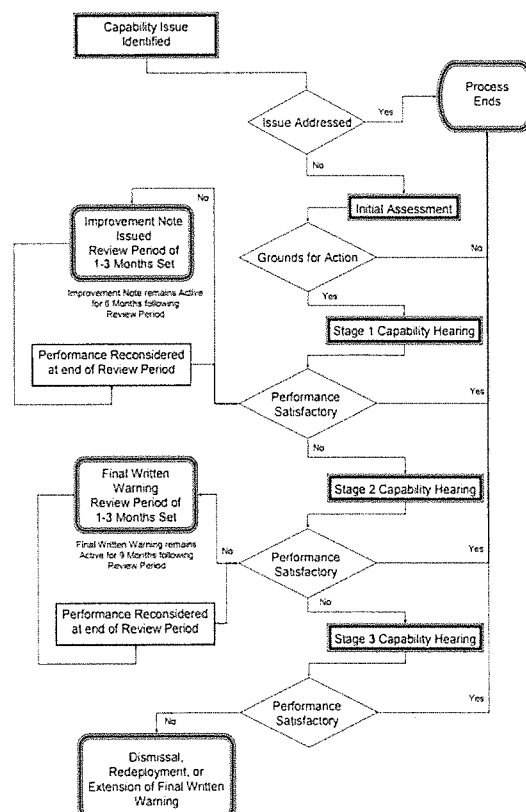
Signed:

Name: _____

Title: _____

Date: _____

Appendix 1 – Capability Hearings Flowchart



Roles & Responsibilities

Process	Line Manager	Employee/Candidate	HR	Other
Recruitment	The line manager is responsible for all elements of the recruitment process including: • Writing the job description and advert • Shortlisting • Interview • Development of any pre-interview tests • Providing constructive feedback to all candidates (successful and unsuccessful) • Managing the onboarding process	• Ensuring they clearly demonstrate how their skills and knowledge match the personal specification • Respond to any correspondence received from the recruiting manager or shared services • Informing the recruiting manager if they are unable to attend for interview • Providing shared services with the necessary pre-employment documentation, should they be successful if getting the post	Providing support to line managers throughout the process, including: • Provide training on recruitment processes • Job matching, ensuring the roles and responsibilities of post are in line with the salary being offered. • Guidance on appropriate tests which can be used to assess capability for the role (Welsh language tests, scenarios, inbox exercises) • Guidance on any issues that may arise throughout the process	Shared Services Recruitment Team Management of the online recruitment system, ensuring the relevant communications are made available, including: • Advertising the post on appropriate platforms • Liaising electronically with candidates with regard shortlisting outcomes • Informing candidates of interview details • Pre-employment checks, including ID, qualifications and reference checks
Performance Appraisal	• Leading with compassion • Identifying and discussing career aspirations and development opportunities • Succession planning • Objective setting • Induction • Providing support to employees	• Owning the discussion • Identifying appropriate learning and development needs • Being open to discussing their own health & wellbeing • Ensuring they remain up to date with all mandatory training and engage fully with any development opportunities that are offered • Agree their personal performance plan	• Review the policy periodically to ensure it is fit for purpose • Provide training to line managers (mandatory) and staff on the performance management process • Monitoring appraisal compliance • Evaluate appraisal process • Offer support and guidance to managers and staff	

Managing Attendance at Work	- Encourage and promote the health and wellbeing of employees - Be able to signpost employees to health and wellbeing resources and support services - Keep in regular contact with employees who are unwell, ensuring accurate record keeping - Work with the employee and consider reasonable adjustments to support the employee to remain in work or return to work - Ask for guidance from Occupational Health when specific advice or guidance is required	- Take responsibility for their own health - Seek medical treatment/advice as soon as possible when required - Keep in regular contact with your line manager - Attend any occupational health appointments when requested to do so - Work with your line manager to identify any reasonable adjustments	- Review the policy periodically to ensure it is fit for purpose - Provide training to line managers (mandatory) - Provide specialist advice on elements of the policy, including reasonable adjustments. - Develop and contribute to a positive working environment and culture for staff support - Undertake periodic audits to monitor the effectiveness of the policy, ensuring it is being used fairly and consistently within the organisation.	Occupational Health - Provide confidential support to employees regarding their health and wellbeing - Signpost employees to health and wellbeing resources and support services - Provide written professional advice to managers regarding an individual's illness or fitness to undertake their duties - Advise on the implementation of any reasonable adjustments - Work with the employee and the line manager to facilitate a return to work as soon as possible - Provide health and wellbeing education and training to the wider organisation.
Capability	- Identify any capability issues - Meet regularly with employees and bring any concerns relating to performance to the employees attention. - Ensure the process is followed fairly and all facts are established - All employees are treated with dignity and respect - Ensuring employees complete all HEIW mandatory training and attend corporate induction	- Participate in the annual performance appraisal process - Ensure strict confidentiality - Attend any formal/informal meetings relating to the procedure - Make a concerted effort to improve - Provide supporting evidence if required. - Arrange representation if required	- Review the policy periodically to ensure it is fit for purpose - Provide support and guidance to line managers and employees - Attend appeal hearings to provide guidance to the Appeals Officer	

	• Ensure employees understand expectations • Ensure strict confidentiality • Identify opportunities to improve performance • Setting clear SMART targets for improvement • Inform the employee of the possible outcomes, should performance not improve satisfactorily and provide all relevant information.			
--	--	--	--	--



GENERAL RECRUITMENT PROCESS KEY PERFORMANCE INDICATORS, TARGETS AND RESPONSIBILITIES

(in working days)

Step	Agreed KPI	TARGET & RESPONSIBILITY		Total Time
		NWSSP	HB/Trust/Manager	
Step 1	Time from resignation to submitting vacancy for approval on Trac		5 days	5 days
Step 2	Time to approve/authorise a vacancy		10 days	Maximum of 44 days
Step 3	Time to place adverts live Quality check and place adverts. Internal on Trac only, external onto NHS Jobs and Trac.	2 days		
Step 4	Time to send applications to a manager after the post closes	2 days		
Step 5	Time to shortlist by manager Score against the person specification in the Trac system. Manager completes interview gateway on Trac and Recruitment will set interviews up on the system and invite candidates to interview		3 days	
Step 6	Time to invite candidates to interview	2 days		
Step 7	Time to notify Recruitment of interview outcome Manager to enter interview outcome onto Trac		3 days	Maximum of 27 days
Step 8	Time to send conditional offer letter Recruitment will check original WTE approval so ensure additional approval is already received if required. References will be requested. OH form is sent to candidate to complete and return to OH.	4 days		
Step 9	Completion of pre-employment checks (PECs) Appointee to attend a face-to-face meeting to produce ID, Right to Work, Quals/Reg where applicable, complete DBS check. Internal appointees may have complete records on file, if so, they will only need to complete new OH form. References will be obtained as appropriate. If different quals/DBS level are required then may need to attend a face-to-face meeting	25 days		
Step 10	Time to send unconditional offer letter	2 days		
	Total Time (excluding notice period)			Maximum 76 days
Step 11	Time to notify Recruitment of Start Date		3 days	
Step 12	Time for Recruitment to issue contract	Issued on Start Date		

PLEASE NOTE: All communications by email must be submitted through Trac by entering the Vacancy Communications tab, in relation to your vacancy. Once an applicant has been appointed, use the Applicant Communications tab.

**Alternatively please phone the Recruitment Help Desk
02920 905353**

Ruth Taylor (HEIW)

From: Ruth Taylor (HEIW)
Sent: 21 July 2020 09:58
To: Michele Sehwat (HEIW)
Subject: RE: Administration Co-ordinator. Job ref: 082-AC035-0720

I wouldn't say she won't be shortlisted, just that you will not count her CV when deliberating. It would be unfair to tell her the outcome before the closing date and she should find out she is unsuccessful like all the other candidates.

BW

Ruth

Ruth Taylor

The Glynn, Llandudno, Gwynedd, Wales
2019-2020

Careers & Widening Access Advisor

Addysg a Gwella Iechyd Cymru
(AaGIC)

Health Education and Improvement Wales
(HEIW)

From: Michele Sehwat (HEIW) <Michele.Sehwat@wales.nhs.uk>
Sent: 21 July 2020 09:55
To: Ruth Taylor (HEIW) <Ruth.Taylor@wales.nhs.uk>
Subject: RE: Administration Co-ordinator. Job ref: 082-AC035-0720

Thanks – an awkward one as she has accepted an offer to discuss the post online. Which currently would be a waste of my time.

If I set up the call I think I need to tell her that I've identified the application and currently she won't be shortlisted with the CV attached separately.

Michele

From: Ruth Taylor (HEIW) <Ruth.Taylor@wales.nhs.uk>
Sent: 21 July 2020 09:41
To: Michele Sehwat (HEIW) <Michele.Sehwat@wales.nhs.uk>
Subject: RE: Administration Co-ordinator. Job ref: 082-AC035-0720

Hi Michele

I agree. This is an interesting one. I don't doubt she could do the job, it's just whether you feel her skills are clearly demonstrated, which I am not sure. It looks like her supporting information relates to the JD rather than the personal spec. It does clearly state on all adverts that the candidate must demonstrate how they meet the essential criteria on the personal spec.

With regards the CV, I checked with Claire and she said not to look at it. All our recruitment is based purely on the application.

BW

Ruth

Ruth Taylor

Ynysgwynedd
Gwynedd

Careers & Widening Access Advisor

Addysg a Gwella Iechyd Cymru
(AaGIC)

Health Education and Improvement Wales
(HEIW)

From: Michele Sehwat (HEIW) <Michele.Sehwat@wales.nhs.uk>

Sent: 20 July 2020 16:31

To: Ruth Taylor (HEIW) <Ruth.Taylor@wales.nhs.uk>

Subject: RE: Administration Co-ordinator. Job ref: 082-AC035-0720

This is an interesting one Ruth on which I would again appreciate a second opinion.
The information on the CV you sent over covers what was missing from the application on the TRAC platform.
There was limited information put on TRAC. It has therefore taken me ages to score from both areas. If all applicants did this, then shortlisting would be untenable.
I think this is a 'no', would you agree?
The key is in assessing if the applicants experience is equivalent to Level 4 BA.

So far I have done 39 applicants and I have shortlisted 5. The good ones stand out.

Michele

From: Ruth Taylor (HEIW) <Ruth.Taylor@wales.nhs.uk>

Sent: 20 July 2020 08:04

To: Michele Sehwat (HEIW) <Michele.Sehwat@wales.nhs.uk>

Subject: FW: Administration Co-ordinator. Job ref: 082-AC035-0720

Hi Michele

Please see below. I don't think the application process asked for CVs.

BW

Ruth

Ruth Taylor

Ynysgwynedd
Gwynedd

Careers & Widening Access Advisor

Addysg a Gwella Iechyd Cymru
(AaGIC)

Health Education and Improvement Wales
(HEIW)

From: Alyona Babayeva <alyona.babayeva@hotmail.co.uk>

Sent: 18 July 2020 13:53

To: Ruth Taylor (HEIW) <Ruth.Taylor@wales.nhs.uk>

Subject: Administration Co-ordinator. Job ref: 082-AC035-0720

Hi Ruth,

My name is [REDACTED] ([REDACTED] for short).

I've just applied for the Administration Co-ordinator role (Job ref: 082-AC035-0720).

I don't think I've attached my CV to the application. Please see it attached to this email.

If you are happy, I'd love to arrange an informal visit.

Many Thanks,

[REDACTED]

Ruth Taylor (HEIW)

From: Ruth Taylor (HEIW)
Sent: 17 July 2020 13:14
To: Michele Sehwat (HEIW)
Subject: RE: overnight

Hi Michele

The first one is definitely worth interviewing. I agree the second one isn't. Whilst they are probably more than capable, they have not really demonstrated this with good examples, rather just listed what they do.

It is probably worth bearing in mind that NHS experience and involvement in recruitment processes is only desirable, so unless there's a lot of candidate scoring highly across the essential, I wouldn't let that impact your decision overall as that element can be taught. If you think, we didn't know how to use TRAC before being taught.

Hope this helps

BW

Ruth

Ruth Taylor

Trwythwr Iechyd a Gwellu Cymru
(AeGIC)

Addysg a Gwellu Iechyd Cymru
(AeGIC)

Careers & Widening Access Advisor

Health Education and Improvement Wales
(HEIW)

From: Michele Sehwat (HEIW) <Michele.Sehwat@wales.nhs.uk>
Sent: 17 July 2020 12:47
To: Ruth Taylor (HEIW) <Ruth.Taylor@wales.nhs.uk>
Subject: overnight

Hi Ruth

Over night I have had 5 more applications on TRAC. I have a dozen still to look at on NHS jobs.

I have attached the best TRAC application so far, though no NHS or recruitment experience. They look worth interviewing.

The other, is the type of person who we expected to get displaced due to COVID. Although they look a capable individual and are succinct, they just haven't covered off the essential criteria. I thought they weren't worth interviewing.

Wondered if you would agree with this analysis?

Thanks,

Michele

Michele Sehwat

Pennaeth Cynllunio'r Gweithlu ac Ymarfer Ymgynghorol

Head of Workforce Planning and Consultant Practice
Deonlaeth Fferylliaeth
Pharmacy Deanery

Addysg a Gwella Iechyd Cymru (AaGIC)

Health Education and Improvement Wales (HEIW)

Ffôn **telephone** : 01443 846375 / 07814 770960

e-bost **email**: michele.sehrawat@wales.nhs.uk

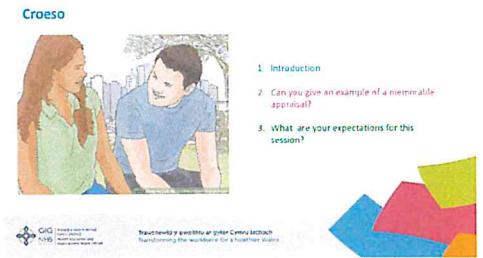
aagic.gig.cymru / heiw.nhs.wales



@AaGIC_GIG @HEIW_NHS

Croesawn ohebiaeth yn Gymraeg ac ni fydd hyn yn arwain at oedi. Rhowch wybod inni a hoffech ohebiaeth Gymraeg/Saesneg/dwyieithog yn y dyfodol.

We welcome correspondence in Welsh and this will not result in a delay. Please let us know if you would like Welsh/English/bilingual correspondence in the future.



Aims of the Session



Introduction



What it is NOT....



Strategic Aims 2020-23



Aligned to our workforce strategy



The timeline shows the following activities:

- April 2015:** Literature & background
- June 2015:** Data Values & Parameters & Model
- 1. Semester 2015:** Layout of code
- December 2015:** Build up the model and simulation (using MATLAB)
- January 2016:** Estimation of the change of the system
- March 2016:** Training for the parameters and the model
- April 2016:** Layout of the new system

The flowchart illustrates the research process:

```

graph LR
    A[Goal of Study: Assessment and Validation of the System] --> B[Requirement]
    B --> C[the System Simulation]
    C --> D[Requirement]
    D --> E[Validation: Assessment and Validation of the System]
    E --> F[Goal]
  
```

© 2015 by WILEY-VCH Verlag GmbH & Co. KGaA, Weinheim

Published online in Wiley InterScience (www.interscience.wiley.com). DOI: 10.1002/anie.201505000

Translated by a professional English-Chinese company.



- Employee led
- Manager at coach
- Not about capability or power performance
- Opportunity to reflect and grow
- No ratings, bonus, or bonus ratings
- No moderation panels
- People Team does most of it
- It provides a platform and integrates to all other people processes and training
- It provides clarity about what we are expected to achieve
- It is an opportunity to review what skills we need in the team and in each other
- It is what every employee organisation does...

Teamwork & working in a cyber Centre to launch
Transforming the workplace for a smarter future

CTA
Cyber Transformation Agency
Cyber Security Centre
Cyber Security Operations Centre



What will not:

Resistor all

- Have challenges or differences of opinion, to become annoyed.
- Behave in a way that could be perceived as bullying.
- Excludes others.
- Behave in a way that could be perceived as prejudicial.
- Give preferential treatment.
- Demand decisions or resolutions.

Ideas that improve

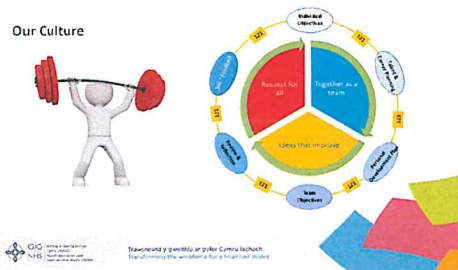
- Initiated important, relevant collaboration.
- Target to communicate with each other.
- Lock heavily towards each other and the job.
- Work tightly to reach boundaries.

Together as a team

- Supportive to achieve the common goal.
- Share information, ideas, knowledge, expertise, skills, resources.
- Work together to achieve the common goal.
- Work together to achieve the common goal.
- Share information, resources.

Transversierend & breedend in synergie
Transforming the workplace for a healthier future

 University of Twente
 Institute for Technology and Society
 Twente University of Applied Sciences
 Enschede, The Netherlands



What we say

What we do

Transcending yin-yang as father Cymyriach
Transforming the workbook for a healthier kids

GGG
GIVING GROWING GRACE
GIVING GROWING GRACE
GIVING GROWING GRACE

<u>Employers are responsible for:</u>	<u>Line Managers are responsible for:</u>
• ensuring the conversation • agreeing a Personal Development Plan (PDP) • to use self awareness to identify learning and development needs • being open to discuss on about their own health and wellbeing, agreed with the workers access development plan • attending and completing all required elements of study days, courses and development opportunities to achieve their Personal Development Plan (PDP)	• Collaborative teamwork • Discussing Career Aspirations and Succession Planning • Setting Objectives • Induction and Onboarding • Support
<u>People Teams are responsible for:</u>	
	• Providing advice, guidance and support • Leading by example through 360 • Ensuring all direct reports have received an appraisal • Corporate Learning and Development Brief and Plan • Evaluation

SMART

- SPECIFIC**
 - What do I really want to achieve?
 - What is the first step I need to take to get started?
 - What is my current situation? (Where am I now?)
- TIME BOUND**
 - When do I want to achieve this?
 - What is the deadline?
 - What is the time frame for this goal?
- MEASURABLE**
 - How can I measure my progress?
 - What are the signs that I am making progress?
 - How can I track my progress?
- RELEVANT**
 - Why do I want to achieve this?
 - How does this goal fit with my other goals?
 - What is the value of this goal?
- ATTAINABLE**
 - Is this goal realistic?
 - What resources do I need to achieve this goal?
 - What obstacles might I face?

Handwritten notes on the right side of the page:

- What is the first step I need to take to get started?
- What is the deadline?
- What is the time frame for this goal?
- Why do I want to achieve this?
- How does this goal fit with my other goals?
- What is the value of this goal?

Small graphic of a book with the number 11 on the right side of the page.

[illegible]

One to One meetings



- Understand what is expected of them ;
- Understand where they need to improve and develop ;
- Understand how they are performing against those expectations.
- focus on coaching the employee's performance
- be a good listener
- ask open questions
- Ask not tell!

Refer to 101 Questions for a one to one meeting



Transforming the experience of our patients

Transforming the experience of our patients

One to One

- Disclosures
- Importance of regular 'check-ins'
- Talent and Succession Planning

- Clarity regarding action points (OPI);
- Discuss any concerns, give feedback and support;
- Maintain culture of open and transparent feedback;
- Agree a goal to reflect on as part of your planning;
- To discuss progress against personal development plan;
- Review objectives set (progress, challenges, any adjustments that need to be made etc.)



Transforming the experience of our patients

Transforming the experience of our patients

Pay Progression

Please note: Applies to Agenda for Change Contracts Only

The new system

- The new pay progression system will come into effect on 1 April 2019 for new starters or those promoted to a new role on or after 1 April 2019. Promotion means moving to a higher banded role.
- For all other staff who were in post before 1 April 2019, current organisational pay progression procedures will continue to apply until 31 March 2021, after which time they will also be subject to the new provisions.
- The new pay progression system is underpinned by the annual appraisal process.
- The expectation is that all staff will meet the required standards and therefore be able to progress on their pay step date.



Transforming the experience of our patients

Transforming the experience of our patients

Pay Journey Tool



<https://www.nhs.uk/contractors-and-suppliers/terms-and-conditions-of-service-2018/>



Transforming the experience of our patients

Transforming the experience of our patients

Pay Progression

Please note: Applies to Agenda for Change Contracts Only



Transforming the experience of our patients

Transforming the experience of our patients

Pay Progression

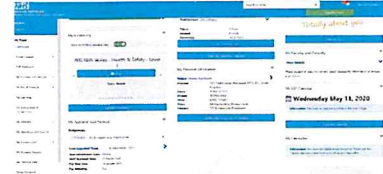
Please note: Applies to Agenda for Change Contracts Only



Transforming the experience of our patients

Transforming the experience of our patients

PADR ESR Portlet



Transforming the experience of our patients

Transforming the experience of our patients

Self Service Portlets

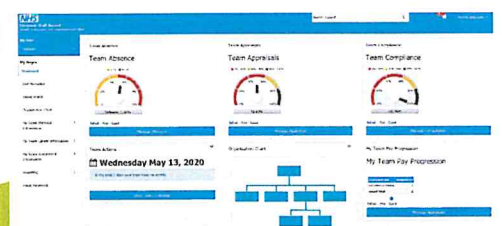
- The MyESR dashboard will have an Appraisals and Reviews portlet to display the following details:

- Assignment
- Last Appraisal Date
- Appraisal/Review Type
- Next Appraisal Date
- Pay Step Date
- Pay Affecting



Transforming the experience of our patients

Transforming the experience of our patients



Transforming the experience of our patients

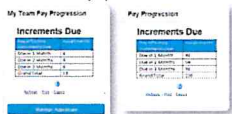
Transforming the experience of our patients

Manager, HR and Payroll Portlets

Electronic Staff Record Programme



- Pre-configured ESR BI portlets will be created for the Manager, HR and Payroll dashboards:
- The portlets will display the number of staff with a pay affecting progression date in the next n months who have not had an appraisal in the last 365 days prior to this



Employee Notification

Electronic Staff Record Programme



- Notification will be sent to employee, 4 months and 1 month before the incremental date - only where it is pay affecting



Manager Notification

Electronic Staff Record Programme



- Notification will be sent to managers on a monthly basis, outlining direct reports who have a pay affecting increment within the next 90 days.



ESR Team Appraisal Compliance



Create Appraisal

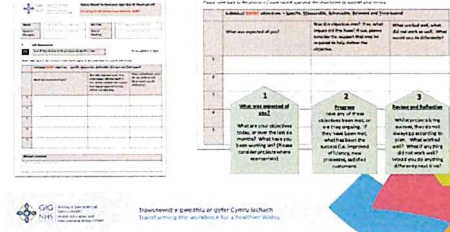
Electronic Staff Record Programme



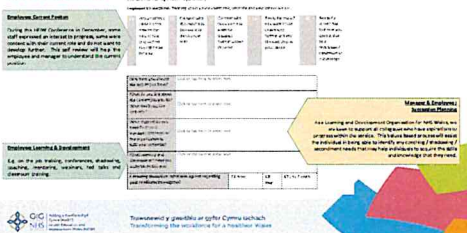
- Review Type called Pay Progression Meeting with associated template
- Pay Progression Meeting
- Note - This is in addition to the normal appraisal an employee should have as the completion of the appraisal is one of the key considerations in assessing pay progression



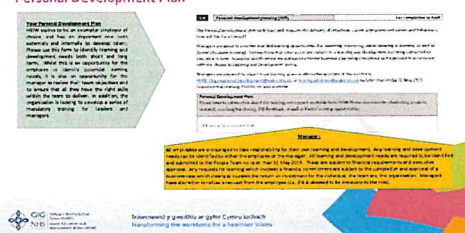
Our Scheme



Talent Planning



Personal Development Plan



Learning is more accessible



Objectives

Lesson Plan

Lesson Plan	Topic	Learning Objectives	Resources	Activities	Assessment	Reflection
1	Introduction to the course	Understand the purpose of the course and the role of the facilitator.	Course materials	Icebreaker activity	Self-reflection	Feedback from participants
2	Understanding the needs of the community	Identify the needs and interests of the community.	Community survey	Group discussion	Group feedback	Facilitator reflection
3	Developing a project plan	Create a project plan for the community project.	Project plan template	Group work	Group feedback	Facilitator reflection
4	Implementing the project plan	Implement the project plan and monitor progress.	Project plan	Group work	Group feedback	Facilitator reflection
5	Evaluating the project	Evaluate the project and its impact on the community.	Evaluation form	Group discussion	Group feedback	Facilitator reflection

What to do when you are stuck

When you are stuck on a task, try to identify the problem and then think of a solution. If you are still stuck, ask for help from your group or the facilitator. Remember, the facilitator is there to help you, not to do the work for you.

Teamwork

Teamwork is the process of working together to achieve a common goal. It involves communication, cooperation, and support. To be a good team member, you should listen to others, share your ideas, and help your team to succeed.

To encourage a quality in your Open up space

Transforming the world for a better future

[illegible]

360 Questionnaire

- What is working well?
- What could be enhanced?
- Take place in the final quarter (January to March)
- Respondent is agreed between manager and employee
- Feedback delivered by manager in coaching style
- Individual to reflect on comments and discuss different approaches with their manager and other stakeholders

From email


 GIG
 Group Improvement
 Group
 100% Improvement
 100% Satisfaction
 100% Success

Respondent is available in either German, English
 Translating the worksheet for a further 100%

[illegible]

Values Based Performance Appraisal and Development Review (PADR)

- Reflection, Learning, Reviewing Aspirations and Setting Objectives
- JGD Review (Optional)
- PADR Portfolio on EST

[illegible]

Reasons for Non-Progression

 NHS
Electronic Staff Record Programme

- As part of the Pay Progression Meeting the following values can be selected as reasons for non-progression:
 - Local objectives/behaviours/standards have not been achieved.
 - Formal capability process is in place.
 - Formal live disciplinary action on record.
 - Statutory and/or mandatory training not completed.
 - For line managers only - not completed appraisals for all their staff.
- Up to five reasons can be recorded

Pay progression meeting

Print Rating

Feedback

Details

Comments

Reasons

Report

End of the Interview

Reason 1

Reason 2

Reason 3

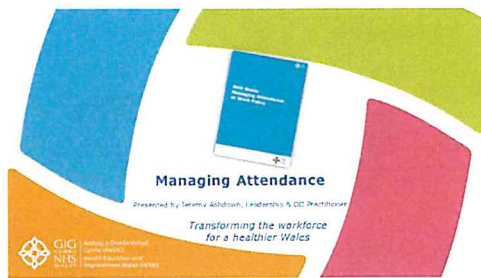
Reason 4

Reason 5

Other interventions to support PADR

- Coaching, Mentoring
- Setting SMART Objectives
- Managing in a Crisis
- Public Speaking
- Performance & Motivation
- Health and Wellbeing
- Lunch and Learn
- EAP Manager Self-Support
- Team Building, Bottom-Up Design

Action Learning



Activity



Think about a time when someone was absent from work due to sickness, is there any action that could have been taken to prevent that absence?

A Healthier Wales Quadruple Aim

- 1 Improved population health & wellbeing
- 2 Better quality & more accessible health & social care services
- 3 Higher value health & social care
- 4 Motivated & sustainable health & social care workforce



Activity 5: NHS Wales Core Principles

- 1 We put people first
- 2 We focus on wellbeing and prevention
- 3 We work in partnership and as a team
- 4 We value all who work in the NHS in Wales



Activity 5: Our Values



Session Overview

- The NHS Approach
- Compassionate management
- Policy changes – what's new

- Appreciate the need to know your team members and commit to building positive relationships
- Appreciate the need to know and be compassionate to yourself
- Understand our role in creating a culture that encourages attendance
- Be aware of and be able to effectively apply the revised Attendance at Work Policy
- Appropriately support absent colleagues in a positive and sensitive manner

The NHS Approach



Notification and Recording



Supporting absent staff

- F** First week – self certify days 1-7 8- FIT note
- O** Organise – agree communication and support
- C** Communicate – keep in touch
- U** Understand and listen
- S** Support them getting well and returning to work

Long Term Absence

- Absence of 28 days or more
- Agree contact and communication from being notified of absence – know what is happening
- Understand what support is being sought and what we may be able to provide (OH/Workforce advice)
- Meeting after 28 days (office/home/elsewhere) – this is to establish further support needed and to discuss returning to work if appropriate – if known meeting can be held before 28 days is up

Stages of the process



Occupational Health

- Can refer (or self-refer) at any time
- Aims to really build the relationship between employee wellbeing/needs and the employer
- Be clear on why – both to your colleague and to OH
- Ask specific questions to get specific responses

Returning to work



- Essential to managing attendance
- Complete on day of return or ASAP thereafter (no later than one week)
- Two-way conversation – not a form left on a desk!
- How are they – do they need any further support or adjustments made
- Complete/obtain documents if not already received

Temporary Redeployment

- Another form of supporting our colleague back to work
- Should be discussed with the individual & Workforce
 - As soon as it's known that a phased return to role isn't an option
 - or return has been tried but it is agreed that it's unsuitable

Compassionate management / self compassion



Activity: We are colleagues too!



- What do you want from your organisation (and your manager)?
- What has worked well for you in the past?
- How resilient are you?

Compassionate management / self compassion

- An inspirational vision of high quality care
- Clear aligned goals at every level with helpful feedback
- Good people management and employee engagement
- Continuous learning and quality improvement
- Enthusiastic team-working, cooperation and integration



Professor Michael West
Professor of Organisational Psychology, Lancaster University Management School
Head of Thought Leadership, The King's Fund

Self Compassion

- Compassionate leaders look after themselves and model self care to others
- They realise it is ok to be human to make mistakes and learn from them. They give themselves and others permission to do this
- Compassionate leaders are balanced, both in looking after themselves and others, while still being able to attend to corporate goals, drivers and targets

The Compassionate Leader

West et al. *Coming to Change: New compassionate leadership can stimulate innovation in healthcare* - King's Fund, May 2017



Pay attention

"Listening with fascination"

- Active listening
- Clarify
- Withholding judgement
- Create a connection
- Unconscious Bias

Understand

- Create a partnership for shared understanding
- Increase awareness (*both parties*)
- Ask questions
 - Use a coaching style
- Empower others to discover their own solutions

A U
E H

Empathise

- People must feel safe
 - Valued, respected, understood and supported
 - Achieved through compassion
- Demonstrate an honest desire to understand perspectives
 - Non-judgemental active listening
 - Clarify by paraphrasing/summarising

A U
E H

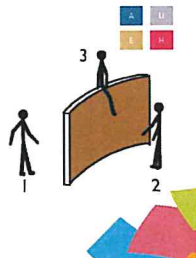
Help

How do we 'help' others?

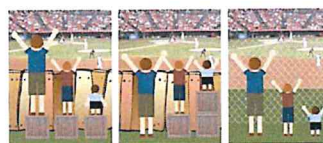
- Ensure both parties are engaged & involved in deciding next steps
 - Don't assume you have the best solution
 - Ask questions using a coaching style
 - Don't reject ideas
 - Develop the way forward as partners

Activity: Perceptual Positions

- Unconscious Bias
- Helps build empathy
- Allows you to step back from a situation
- Powerful tool in developing emotional intelligence



Equality vs Equity



Summary so far

- Key to staff wellbeing and preventing / reducing absence is to know and understand your staff / team
- Put yourself in other peoples' shoes
- Where do you see yourself with regards to the 4 compassionate elements?
 - 1. Pay attention
 - 2. Understand
 - 3. Empathise
 - 4. Help
- Have you seen the all Wales Manager Wellbeing Matters tool?

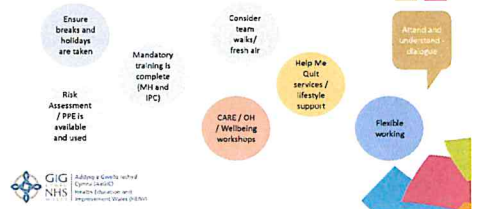


Policy changes - what's new?

Activity 3: What's in a word?

Attendance
vs
Absence

Wellbeing & Prevention



Key Policy Changes

- Policy Prompts as opposed to Trigger Points
- Focus on attendance not absence
- Introduction of supporting 'how to' guides and 'How To' procedures
- Greater emphasis on broader matters of wellbeing
- Broader scope to broaden phased / reasonable adjustments to maintain wellbeing

Mental Wellbeing

- 27% of absence is stress or mental wellbeing related. Prevention is key
- It is good to talk. A simple 'how are you?' can help people
- See Mental Health, Wellbeing & Stress Management policy and toolkit on the intranet

Self Harm

- Take a minute to talk to the person next to you
- If you had someone in your team who said that they feel low and didn't want to be here what sort of things do you think you would discuss?
- 'Support & Safety planning' is key

Menopause

- Symptoms can have a negative impact on attendance
- Sickness absence – preventative measures - early diagnosis, support and reasonable / Tailored adjustments reduce absences
- Menopause Policy and toolkit to assist staff and managers to navigate this time

Policy prompts

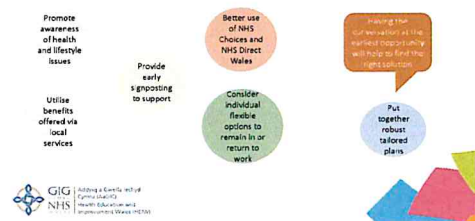
- Remember: regular dialogue and a trusting relationship is key
- Outside of ongoing meetings, we should be prompted to discuss attendance if:
 - Three episodes of sickness absence of any length in any rolling 12 month period
 - Two or more absences totalling 10 or more calendar days or more in a rolling 12 month period
 - Recognisable pattern of absence, including any in previous years, which cause concern but may not meet other 'review prompts'

Phased returns

The policy aims to provide more support for earlier and gentler returns following a period of long term absence – standard option on a Fit Note but may be advised by Occupational Health



Reasonable / Tailored adjustments to maintain wellbeing



Reasonable / tailored adjustments agreement

- Portable record of adjustments to support colleagues
- Specifically aimed at supporting colleagues with underlying health conditions and/or a disability as defined in the Equality Act 2010



The 'How To' procedures



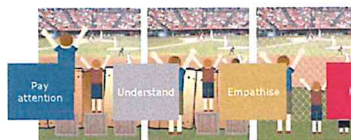
The 'How To' procedures

- Supporting staff to be able to work
 - Legally required to consider under the Equality Act 2010 but not precluded from applying to all
- Engage with Occupational Health and/or Workforce at earliest opportunity
 - Don't have to wait for absence!



Summary: Remember

We are individuals with different needs at different times



Session / Overview

- Be compassionate and appropriately support the individual
- Explore and use the 'How To' procedures further and seek support when needed
- Understand and note the key policy changes
- Attendance is proactive – absence is reactive



Please get in touch

Located on the 1st floor, next to the kitchen
HEIW.People@wales.nhs.uk
HEIW.Organisational_Development@wales.nhs.uk



@AaGIG_CIG
@HEIW_NHS

COVID-19 Recruitment Tips for Line Managers

The current situation has meant the way we conduct interviews has changed. All interviews are now being held virtually. Below are some pointers and tips that will help the process run smoothly.

Advertising

Prior to advert, ensure there is a clear timetable in place and time is booked out in diaries to carry each task out:

- Closing date
- Time to shortlist and plan interviews dates & times
- Confirm interview dates

Out to advert

In the current climate, the pool of talent available is vast and you are likely to receive a high number of applications for posts, particularly those of a lower banding. Therefore, it is recommended that you keep an eye on the number of applications being received. Remember that applications can be submitted either through TRAC or NHS jobs and you will not see the total number of applications received through both platforms until the vacancy closes. There is a caveat on all adverts that we reserve the right to close the advert early. Both TRAC and NHS jobs allow the recruiting manager to view the applications prior to the advert closing. It is worth reviewing the standard of applications coming through and close the post early should an appropriate number of good applications be received.

Shortlisting

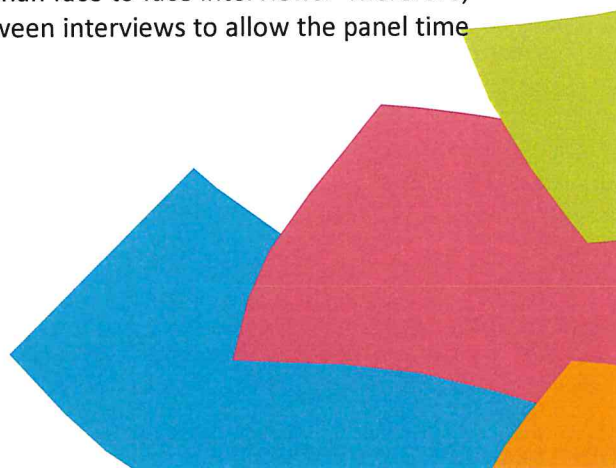
Effective shortlisting takes time and each application should be given an appropriate amount of time to assess and score fairly.

It is important that the scoring criteria meets the essential and desirable criteria on the job specification and is scored fairly and consistently across all applications.

It is recommended that a minimum of two people carry out shortlisting independently. However, for ease, it is suggested that the overall scores are discussed between the short listers and agreed and only the lead short lister inputs the scores onto TRAC. This makes the process less complicated and not so open to errors.

Arranging the interviews

Virtual interviews can be intense and more time consuming than face to face interviews. Therefore, it is recommended that there is at least a 15 minute gap between interviews to allow the panel time



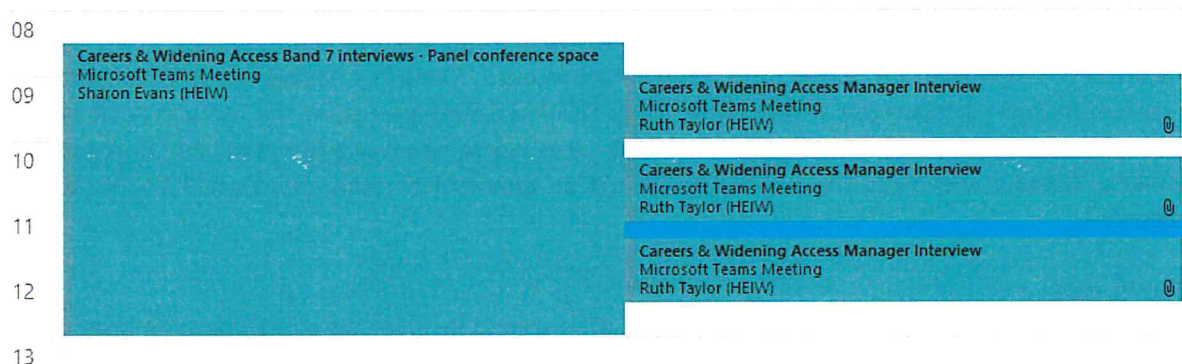
away from their screen. It is well documented that prolonged screen time is not good for employee health and wellbeing and can cause headaches, migraine, eye strain and fatigue.

If you are planning to interview a significant number of candidates, it is recommended that the interview slots are spread across two or more days to take account for the intense screen time required during the interview process. The recommendation would be no more than five interviews per day, spread across the whole day.

The TRAC system does not have the functionality to automatically book virtual interview appointments. It is only able to confirm slots with candidates. Therefore, this will need to be done by the recruiting team. Once all candidates have selected their interview slot, the virtual invites can be sent via Outlook (ensuring they correspond with the slots the candidates have chosen) and must include a Microsoft Teams link.

It is recommended that the invite includes the relevant details relating to the interview and asks candidates to contact you should their device not support Microsoft Teams. If this is the case, alternative arrangements can be made, eg Skype, Zoom.

It is good practice to run a separate “panel conference space” include alongside each individual interview slot. This allows the panel to have private discussions away from candidates and removes the risk of candidates joining interviews early or dialling back in.



When candidates dial into their interview slot, they are held in a lobby area until the panel are ready to admit them. It is worth noting that candidates with @wales.nhs email addresses will automatically enter the interview space and not wait in the lobby. Therefore, it is important that the panel arrive early to ensure they are ready when the candidate arrives.

Once the interview is complete, the panel should move into the panel conference space before beginning discussions.

Pharmacy Administration Co-ordinator Scenario Assessment

Please read the scenario below and reflect on how you would handle the situation. Consider how you would use HEIW's values and behaviours in your response.

You will be required to provide a verbal 5 minute summary to the interview panel, explaining how you would handle the situation.

You come into work to an email from one of the senior Pharmacy Managers asking for your urgent assistance with a piece of work. They have a deadline of close of play that afternoon and require you to format a Board report onto the corporate template. The report will require the use of the new HEIW branding and you are unsure of where to find it and use it correctly.

You have already committed to providing secretarial support to an urgent meeting at 1 pm as requested by the Pharmacy Dean. This will require the preparation and circulation of papers and the setting up of the room in readiness for external visitors to attend. You will then be required to minute the meeting and ensure they are typed up as soon as possible.

Please join the Microsoft Teams interview at your allotted time slot.

Ruth Taylor (HEIW)

From: Sharon Evans (HEIW)
Sent: 21 August 2020 16:31
To: Ruth Taylor (HEIW)
Subject: RE: CIPD

Hi Ruth,

To develop the Careers and Widening Access portfolio of work for NHS Wales, we established a brand new team. Throughout, Ruth has been instrumental in advising and actioning the following areas:

- **Development of new job descriptions:** together, we wrote two job descriptions for the Careers and Widening Access Officer and Assistant. Ruth subsequently submitted these to the HEIW job matching panel to be matched against the national profiles. Both were approved.
- **Agreement on appropriate shortlisting criteria:** following the Trac training, Ruth oversaw the whole process, from uploading the information and job description in readiness for advertisement to moving the successful candidate to offer stage. She also coached me through using the system and setting the shortlisting criteria.
- **Assistance with shortlisting to identify suitable candidates:** for both positions we had a combined total of 107 applicants. Using the shortlisting criteria we assessed the applications individually and then came together to compare our scores/views on who we thought should be invited to interview. This proved to be a very successful method and having worked on the job description/person specification together we had a clearly defined idea of what we were looking for in candidates. Ruth provided sound judgement for her scores, which aligned with my findings. Where there were differences of opinion, Ruth provided clear reasoning, allowing us to work through to a consensus of opinion.
- **Assistance with development of questions to reflect requirements of the role:** Ruth assisted in developing the interview questions and devised the task to assess candidates' Welsh language capabilities. Ruth also provided advice, guidance and technical support to the panel member who oversaw this element of the interview, providing a developmental opportunity for our colleague. She also modified the prioritisation task to make it more relevant from Careers and Widening Access team perspective.
- **Supporting role on interview panel:** due to the current situation, we had to conduct the interviews virtually. Ruth set up Microsoft Teams interview sessions and provided candidates with information on what to expect during the process; offering alternative communication methods if they were unable to use Teams. She also organised the panel – providing us with a schedule and interview pack. For both interviews, she set-up a separate panel only Teams sessions so we could discuss the interviews privately.
- **Shared decision on suitable candidate:** As a panel, we discussed the merits of each candidate based on the assessment criteria. Again, Ruth was instrumental in this process – providing sound, logical opinions and was very much part of the decision making process. After lengthy discussion, the panels were unanimous in their decision for both positions.

Gofio'n parhau! Kind regards

Sharon

Sharon Evans

Pennaeth Gyrfacedu ar Zhungl Meneddri Head of Careers and Widening Access
 Addysg a Gyfelliacydd Cymru - Aa FIC Health Education and Improvement Wales (HEIW)

Telephone: 01443 846388

aagig.gig.cymru heiw.nhs.wales



@AaGIG_GIG @HEIW_NHS @NHSWalesCareers



NHSWalesCareers

Helpwch arbed papur – oes angen i chi printio'r e-bost yma?
Help save paper - do you need to print this e mail?

Careers & Widening Access Officer Objectives

Task	Benefit to Team	Benefit to individual
Review the current website and identify what you feel is good and not so good about it.	Idea generation to help inform the development of the new website	Gain an understanding of the different roles available in NHS Wales and what information we currently provide to individuals making career choices.
Review other NHS career websites and identify what you feel is good and not so good about them.	Idea generation to help inform the development of the new website	Gain an understanding of what other NHS organisation services provide with regard career guidance and support and identify how career opportunities in Wales differ from other home countries.
Review our current Welsh webpages and identify if they can be improved.	Ability to gain views from a Welsh speaker and gain a greater understanding of the needs of this demographic.	Ability to make use of Welsh language skills in the working environment.
Attend introductory meetings with internal HEIW teams	Be able to share observations and ideas about how the team can work with other areas of HEIW and build stronger relationships that will be of mutual benefit.	Opportunity to gain knowledge and understanding of different areas of HEIW and how they fit with the team and the wider organisation.
Attend NHS Wales Careers Network meetings	Be able to contribute to the development of future workstreams and plans for developing an all Wales NHS Careers framework.	Opportunity to begin building relationships with key stakeholders and understand how their organisations contribute to the overall NHS Wales Careers Service.
Read key documentation related to HEIW - HEIW's Integrated Medium Term Plan (IMTP) - A Heathier Wales - Well-being of Future Generations (Wales) Act 2015	An opportunity to generate ideas as to how the Careers Team can contribute to the overall aims of the documents. Identify how the key objectives of these documents could be woven into the new website and wider workplan.	Gain a broader understanding of the purpose of HEIW and the Careers Team and how it fits within the wider All Wales remit.
Understand the different target audiences that will make use of the Careers Service and how we can engage with them.	Provide a view on what engagement tools would be useful for the team to ensure we are reaching all target audiences.	Gain an understanding of the breadth of our target audiences and what information they require. Understand different social media platforms and how they are used appropriately to communicate with different stakeholders
Contribute to the development of research exercises to allow the team to gain a baseline of what information is required by various target audiences	Utilisation of survey building and Welsh Language skills to develop surveys that will collect appropriate information which will allow us to develop our service further.	Use Welsh language in the working environment. Development of survey building skills and information analysis techniques.
Development of a C&WA blog that introduces the team and its purpose to other HEIW areas as well as external stakeholders	The development of useful documentation that can be shared when developing new relationships.	Make use of journalism degree and skills in the C&WA environment.

SWOT analysis of Performance management processes in HEIW

Strengths	Weaknesses
HEIW has a clear set of values that are linked to its performance management activities - "Together as a team, Respect for all & ideas that improve" (HEIW, 2018b) The organisational values form part of all HEIW's policies and our People & OD plan is built on this foundation.	Budget constraints due to welsh government funding Scrutiny is required when progressing recruitment, ensuring advertisement of posts is appropriate for service need. Scrutiny is required with regard appropriateness of training and development and its link to an individual's development plan, costs involved, time required away from office.
Flexible Working / Work Life Balance/Health & Wellbeing Ensure policies are in place to support employees, which are fair and consistent and available to all staff, ensuring staff are supported to be the best they can be under their individual circumstances.	Line manager's interpretation of performance management processes and their ability to be subjective/objective.
2-way process between line manager and employee involving discussion on potential development opportunities and future career opportunities and how these link with team and organisational outcomes	Lengthy detailed process for sessional workers, who undergo full appraisal with their main employer – repetitive and of questionable value
Protected time to ensure a continuous cycle with informal and formal stages	No financial incentive available once employee reaches top of salary scale.
360 degree appraisals use an external company to ensure confidentiality and staff have confidence in the process.	Potential to use negative processes (capability) to encourage high performance, once financial incentive is removed.
Clear link between individual, team and organisational objectives.	Potential for line managers to avoid difficult conversations
Training on performance management activities is available to line managers and employees as appropriate.	
Employee Engagement Staff were involved and consulted with on the development of a bespoke HEIW appraisal process.	
Values and behaviours-based recruitment & policies & procedures Development of policies to support	
Development opportunities Gain understanding of skill mix/gaps and identify options to support staff to fill the gaps and also their potential.	
Talent/succession planning Awareness of skill mix in the organisation and how this can be developed to ensure we have the right skills, in the right place at the right time.	
Processes are audited both in house and externally periodically.	
Performance management risks assessed monthly via corporate risk register.	

Opportunities	Threats
Expertise Knowledge and expertise of shared services – elements of recruitment, payroll – this ensures consistency across NHS Wales.	Retention of skilled, knowledgeable employees Negotiating on pay scales to ensure recruitment and retention of existing staff to new internal posts.
Embed compassionate leadership in performance management activities	
Collaborative working with NHS organisations Opportunity to share best practice, network and work collaboratively to reach shared aims.	Employment Legislation Awareness of current legislation and how it fits with performance management (capability)
Development of a “lite” appraisal process for sessional workers	Reduction in WG funding across NHS Wales This could lead to reduction in funding for L&D activities and promotion opportunities. Incompetent managers remaining in HEIW will have a detrimental impact on overall business performance
Access to best practice and credible research An opportunity to gain knowledge, guidance and expertise and access to credible research to support a compassionate leadership culture across the organisation.	Employees not having the necessary IT training to be able to work virtually.
Undergo training needs analysis within financial constraints.	Manager competence
Provide further IT training to support new ways of working.	Manager trust in their staff
Move towards an output-based performance model	Ability to provide training in new areas of work in a timely manner to allow line managers and employees to function in the new working environment.

Appraisal discussion with Foula Evans, Head of People, HEIW

I met with Foula, along with a colleague, to discuss her thoughts on the current appraisal process within HEIW. We used the SWOT analysis (Appendix 3a) as the basis for our discussion.

She highlighted the following points:

- The biggest risk to the organisation is manager competence.
- HEIW's current appraisal process relies heavily on the line managers interpretation and ability to be subjective/objective. This is counteracted by the comprehensive training and guidance provided by the People Team.
- She highlighted how the risk to WG funding for learning and development opportunities could be reduced. This could have a negative impact on the organisation as staff would not retain/gain the necessary skills required to fulfil their roles.
- HEIW are currently undergoing a training needs analysis for the organisation to look at what is required. They hope to develop bespoke training packages to support managers and employees to undertake their roles to their full potential. It is hoped the majority of these packages can be developed and provided in house, to allow us to remain within the constraints of WG funding.

We also discussed the impact the COVID-19 pandemic had had on the appraisal process:

- Managers need to be equipped with the tools and knowledge to function in the new post-COVID world. It is important that this is provided quickly so as not to impact significantly on organisational outcomes.
- Staff require flexibility to complete their tasks and objectives in the way that suits their circumstances. Managers need to appreciate individual circumstances and use their discretion when agreeing how and when objectives and tasks will be completed.
- It is essential that employees understand that, whilst they will have flexibility with regard how and when they complete their objectives, they will still be accountable for them and must deliver within agreed timescales and to the required standard.
- It will be important to upskill staff's IT skills in light of the current situation and this has to be delivered quickly to ensure staff can continue to perform their roles in their new working environment.
- It will be important that HEIW move to a high trust, low bureaucratic model which is more outcome based. This will need to be reflected in the appraisal process going forward.
- The sudden change to home working has highlighted to managers staff who are not performing so well and those who have really excelled since the change. Line managers should work with the People Team to manage those individuals who are not performing as well as expected to identify possible causes and provide support and manage under performance appropriately.

Appraisal discussion with Angie Oliver, Deputy Director of Workforce & OD

I met with Angie, along with a colleague, to discuss her approach to the appraisal process. She line manages four senior managers, who run various elements within her portfolio.

She highlighted how the appraisal process is not an annual occurrence and requires frequent communication between her and her managers. Whilst the documentation is completed and formally recorded on our staff system annually, she ensures she also meets formally with her managers at least monthly to review progress against their objectives and identify any problems early on. Meeting regularly also allows for the objectives to be changed if required to reflect changes in business need.

She explained how she believed the appraisal process should never be a negative experience. Meeting with managers regularly ensures difficulties and problems are picked up early and can be rectified in a proactive, supportive way.

She believes that her staff should be given the autonomy to undertake their role and do it well. She is not concerned about how or when they undertake their duties, it is achieving them within agreed timescales that is important.

Angie highlighted how a bad appraisal can have a huge negative impact on an employee and therefore it is essential that line managers receive appropriate training on how to undergo a constructive conversation. The process should focus on the two-way conversation between the employee and the line manager and should never just be a tick box exercise.

Once appraisals have been completed, Angie formally writes to the individual to highlight their achievements across the year and document the appraisal discussion. This has been well received by her staff who have never received something like this before and felt really appreciated.

Due to her position within the organisation, she was aware that there were still managers from legacy organisations who did not fully understand the appraisal process and were not following the best practice highlighted in the training provided. This includes meeting with their teams regularly and a lack of confidence in holding difficult and constructive conversations. She identified that further support should be made available to these individuals.