

Agenda item:

Title of meeting: Employment Committee

Date of meeting: 6th January 2015

Subject: Personal Development Review and Mandatory Training Requirements

Report by: Jon Bell - Head of HR, Legal & Performance

Wards affected: N/A

Key decision: No

Full Council decision: No

1. Purpose of report

To update members of the Employment Committee on a review of the Personal Development Review (PDR) process and Mandatory Training requirements for employees of the City Council and make recommendations based on the findings.

2. Recommendations

Members are **recommended** to:

2.1. Adopt the revised PDR and recording process enabling the HR Learning & Development team to improve the uptake and meaningfulness of PDRs as follows:

- i. Supporting Services to develop a proportionate PDR process that meets the needs of their staff and job roles within it using the proposed template as a guide.
- ii. Supporting Services to link the PDR process more closely with the Workforce planning and Business planning process that they already carry out.
- iii. A requirement is applied to all staff to record their PDR on the HR self-serve system.
- iv. Members are further recommended to support a review of the PDR process for the Chief Executive Officer and Strategic Directors with a view to bringing a proposal to the next Employment Committee.

2.2. Adopt a three strand process to raise compliance, reduce risk and provide the necessary knowledge to the workforce around key areas as follows:

- i. A one-day training course for all new starters that covers the key messages of mandatory training (in consultation with the Policy Holder) - including an assessment of learning

- ii. Create explicit statements in the PDR form to inform staff that they have a responsibility to drive their own learning and apply the key information delivered in training (e.g. what do the Data Protection principles mean in my role)
- iii. Mandate consequences for non-compliance (e.g. a condition of passing probation)
- iv. Mandate that all staff are required to pass periodic knowledge checks of mandatory training areas (process to be supported by training, e-learning, policy hub etc.)

3. Background

- 3.1. The present PDR pro forma has been in place since 2012 and updated further in 2013. Data from the most recent Employee Opinion Survey (November 2014) indicated that 65.8% of staff said they had received a PDR in the last 12 months which was a 5.8% increase on the 2012 survey. However the number of staff who found their PDR a meaningful experience decreased by 4.9% to 50.1% indicating less engagement in the process.
- 3.2. Best Practice guidance indicates that good performance management helps everyone in the organisation to know:
- what the business is trying to achieve
 - their role in helping the business achieve its goals
 - the skills and competences they need to fulfil their role
 - the standards of performance required
 - how they can develop their performance and contribute to the development of the organisation
 - how they are doing
 - when there are performance problems and what to do about them.
- 3.3. PDR's are a key element in supporting effective workforce planning and ensuring that workforce development needs are considered and factored into the business planning process to aid service delivery and support change management.
- 3.4. The present Mandatory Training Requirements have evolved over time and have become disproportionate in relation to the legal requirements for training in these areas. We currently have a compliance level of between 20% and 40% which varies across service area and subject. For example the compliance level for Information Governance is around 40% which is the result of a drive to ensure staff had undertaken this training.

4. Review Completed and Methodology

- 4.1. A series of meetings with Heads of Service and Senior Managers was carried out by the HR Learning and Development Business Partner to establish the level of engagement with the PDR process and gather feedback on the practicalities of putting it into practice.
- 4.2. The Operational Training Manager reviewed the requirements for Mandatory Training with Strategic Directors Board, Policy holders, Heads of Service and Senior Managers.

The meetings were to gather feedback and establish the needs of these groups in terms of improving compliance and engagement with mandatory training.

4.3. The PDR meetings with Heads of Service and Senior Managers looked at the following:

- i. The logistics of delivering PDR's to a diverse workforce within their service
- ii. The views of staff and managers on the process
- iii. Improvements they would like to see in the process

4.4. The mandatory training meetings looked at the following:

- i. Establishing the level of training required to keep the organisation safe
- ii. Gaining a better understanding of the reasons behind the low compliance
- iii. Gathering feedback from services as to the most appropriate model to achieve a balance between risk and engagement

5. Findings from the review

5.1. For PDR's the feedback from Heads of Service and their Senior Managers can be grouped as follows:

- i. Challenges for managers of large teams to deliver PDR's in a timely manner
- ii. A degree of repetition in the process for managers and staff receiving regular monthly 1:1 meetings
- iii. The relevance of the existing PDR format for some job roles due to the diverse nature of the workforce.
- iv. A general unhappiness with the existing PDR form in its present format.
- v. A desire to have greater flexibility within services to deliver PDR's that are proportionate to job roles and enable services to tailor the PDR process to the needs of their workforce.
- vi. A lack of consistency in recording PDR's.
- vii. A desire to include an optional element of 360 degree feedback for those with management roles.

5.2. For Mandatory Training the feedback from SDB, Policy leads, Heads of Service and their Senior Managers can be grouped as follows:

- i. There was a general confusion around what constituted mandatory training and the present PDR form was contributing to this

- ii. The impact on the operational ability of services to release staff to undertake all of the mandatory training listed
- iii. Concern around the risk to the organisation around compliance levels and a lack of consequence in relation to this
- iv. Establishing with Policy leads the exact legal requirements for training in these areas.

6. Conclusions

- 6.1. The level of compliance with the PDR process remains less than 100% and the lack of consistency in recording is preventing accurate reporting in this area. A mandate to record PDR's onto the HR self-serve system as they are completed would enable greater reporting and follow up in terms of compliance.
- 6.2. The PDR has a valuable place to play in workforce planning as well as linking the strategic direction of travel (business planning) to workforce development needs, ensuring the organisation has staff with the necessary skills and knowledge.
- 6.3. An element of assessment against objectives or competencies is widely accepted as an integral part of the PDR process. The PDR does support performance management but feedback has shown that managers have found the present format difficult to relate to especially with regard to the PCC 'Ways of Working'. Introducing an assessment system would assist managers, and their staff, to identify the levels achieved and indicate clearly, further areas for development. Sometimes this form of assessment is linked to a pay and reward strategy but this would not be the case in PCC.
- 6.4. Introducing core elements that are mandatory (Appendix 1 pages 1-4) with flexibility to include other areas would ensure the PDR process has a consistency across PCC with the facility to further 'bespoke' the process to reflect the diverse job roles and service provision within the City Council.
- 6.5. The mandatory training requirements should be proportionate to the level of risk and compliance required by legislation. Reducing the amount of training required whilst improving its relevance and accessibility will contribute to an increase in compliance.
- 6.6. Introducing a three strand approach to raise compliance, reduce risk and provide the necessary knowledge to the workforce that has a mandate and consequence for non-compliance would reinforce the importance of mandatory training for all staff.

7. Legal implications

- 7.1. There are no legal implications arising directly from the recommendations in this report.

8. Finance comments

- 8.1. There are no additional costs arising directly from the recommendations in this report.

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Signed by:

Appendices:

Appendix 1 - Proposed revised format for PDR form.

Appendix 2 - Proposed Induction training to cover mandatory elements

Background list of documents: Section 100D of the Local Government Act 1972

The following documents disclose facts or matters, which have been relied upon to a material extent by the author in preparing this report:

Title of document	Location

The recommendation(s) set out above were approved/ approved as amended/ deferred/ rejected by on

.....Signed by

Personal Development Review - All staff	
Name	
Post	
Service	
Date of PDR	
Date of Previous PDR	
Appraiser Name	
Appraiser post title	

Portsmouth City Council Ways of Working - please enter Level achieved as follows:

Level 1 - not demonstrating the required standard

Level 2 - demonstrating some of the required standards with some development required

Level 3 - demonstrating all the standards required

Level 4 - exceeding the standards required

Ways of Working	Level Achieved	Comments
We focus on what's important		
<ul style="list-style-type: none"> Understand our customers' needs and expectations Understand the organisation's priorities Are open to change Provide an efficient service Evaluate our performance, so we can continue to improve 		
We take pride in our work		
<ul style="list-style-type: none"> Take personal responsibility Meet deadlines and do what we say we will Are committed to our customers (both internal and external) Strive to do it right first time Continually learn and develop 		

Ways of Working	Level Achieved	Comments
We value others		
<ul style="list-style-type: none"> • Are open minded, and without prejudice • Respect and value other people's opinions • Work well with team members, other services and partners • Listen to feedback and act on it • Speak up openly, candidly and respectfully 		
We make a positive difference		
<ul style="list-style-type: none"> • Want to help and know when to ask for it from others • Are motivated and empowered to do our jobs with confidence • Use resources wisely and innovatively • Know what works • Constructively support and challenge 		

Personal Development

Current Strengths - Summarise the individual's skills and attributes / achievements

Future career plans and aspirations

Mandatory Training requirements

I take personal responsibility for ensuring that I have the knowledge and understanding required to undertake my role including:

- Protecting PCC's data and understanding what Data Protection means in my area of work
- Knowing what the law says about equalities and what I need to be aware of in my role
- The implications of the financial rules for my area of work
- Effective and safe use of the IT tools provided for me to undertake my role
- How to keep myself safe at work and protect my health and safety (including completing the Health & Safety training that is relevant to my role)
- Protecting the reputation of the council through my actions
- Protecting the city's resources and assets
- PCC's standards and expectations of behaviour (the Ways of Working)

Overall Performance Assessment

Assessment	Description	Tick agreed assessment level
Outstanding performance	Performance in the role exceeded	
Standard performance	Performance in the role meets required standards	
Less than standard performance with development needs	Performance in the role satisfactory but some development required	
Unsatisfactory performance	Performance in role unacceptable and under-performance action underway.	

Development areas identified. This could include training, job shadowing, research etc.

Area of development	How this will be developed	By when

Signatures

Employee: Date:

Line Manager: Date:

Countersigning Manager: Date:

Countersigning Manager's comments

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Personal Development Review form 1a	
Name	
Post	
Date of PDR	

Review of the previous years' objectives and expectations.

Which were successfully achieved: what actions were taken to help?
Which were not achieved or still underway: are there any other actions or support needed to help achievement?

Personal Development Review form 1a	
Name	
Post	
Date of PDR	

Objectives for the next 12 months

Objective	Resources required and timescale

PDR Guidance for Managers and Employees

Step 1	<p>Preparation: The manager should arrange the PDR meeting, allowing enough time for the staff member and manager to prepare.</p> <p>Prior to the PDR meeting, the employee and manager should prepare by considering all the areas / questions covered on the PDR form and making brief notes. This will assist them contributing fully to the discussion during the PDR.</p>
Step 2	PDR Meeting: Hold the PDR meeting covering Steps 3 to 7 below
Step 3	<p>Using the 'All Staff' PDR form agree an assessment against the PCC 'Ways of Working' using the level descriptor on the form as a guide and make any comments in the space provided. This will be in relation to their role and especially with regard to their contribution to the overall objectives and work of the Service.</p> <p>Discuss and agree the 'current strengths' of the employee</p> <p>Discuss the employees future career plans and aspirations exploring their transferable skills</p> <p>Discuss the mandatory training requirements for the employees' job role</p> <p>Agree an overall performance assessment for the employee.</p> <p>Identify and agree upon the areas for development.</p> <p>Both parties sign and date the PDR form and pass to Countersigning manager for signature and comments.</p>
Step 4	<p>PDR from 1a optional areas discussion</p> <p>For some roles it will be appropriate to set objectives and reflect on the achievement of these set for the preceding year. PDR form 1a gives managers additional areas for consideration as follows:</p> <p>Review of Objectives and expectations for the previous year including a discussion on the objectives that were not achieved and the reasons behind this.</p> <p>Agreeing upon the objectives and expectations for the forthcoming year</p>
Step 5	<p>360 Degree Feedback</p> <p>For some staff and job roles an optional 360 Degree feedback exercise may be a useful addition to the PDR (carried out before the PDR meeting). The HR Learning and Development team are able to support this process and assist managers and staff to tailor questions to meet individual need.</p>
Step 6	<p>Recording the PDR</p> <p>Following the PDR meeting the event should be recorded onto the HR self-serve system.</p>
Step 7	<p>Personal Development needs</p> <p>Personal Development may not involve attending a training course. Where this is the preferred option the employee will need to book a training place via MLE. Other options for development include (this list is not exhaustive)</p> <ul style="list-style-type: none"> • Coaching and / or mentoring • Action Learning • Skills reviews for teams and services • Service level behaviours and attitudes • "In the work" discussions • Research opportunities

	<ul style="list-style-type: none">• Project opportunities• Online training resources e.g. webinars, e-learning
NB: If services or teams identify a unique development need advice and guidance on meeting those needs can be obtained from HR Learning and Development.	

Induction / Mandatory Training Proposal

Session to include all mandatory training areas (as per the governance controls), including a formal test of knowledge. All new starters required to complete this session and pass the knowledge test.

New starters therefore only need to complete one 'classroom' session to complete their induction mandatory training (plus the H&S e-learning packages).

HR to report regularly on compliance to:

- Governance, Audit and Standards (GAS) and the Employment Committee (service compliance stats)
- The relevant HOS (non-compliance of their new starters)
- The relevant Policy Holder

Estimates indicate the session would need to run monthly with approx. 12 delegates attending. Invites would be sent retrospectively to new starters from 2014

Session	Topic
Welcome to PCC	What does it mean to work for local government?
	Structure of PCC
	Role of Councillors / decision making / democracy
	Our priorities and finances
	The ways of working and what this means for you
	What's great about working for PCC
Equalities	What the law says about equalities and what this means for you
	Equalities for our customers
	Equalities in this organisation
	Customers and complaints
Dealing with information	What the law says about how you work with information and data
	Your responsibility to find out what this means in your area of work
	Key messages of Data Protection (as directed by the lead officer)
Financial Rules	What are the financial rules and what do they mean for you?
	Your responsibility to find out what this means in your area of work
	Key messages of Financial Rules (as directed by the lead officer)
Using IT	Your responsibilities for the safe use of IT (data safety and emails)
	Logging on, storing information, where to go for help
H&S	Direction to the H&S e-learning mandatory training
The PCC Employee	Timekeeping, attendance and sickness
	Expectations we have of you - Code of Conduct
	Anti-fraud, bribery, corruption and whistle blowing
	People management policies and Policy Hub
	Flexible working
	Probation and PDR's
	Your responsibility to safeguard vulnerable adults and children
Test	Either as part of the session or an automated process afterwards

PDR process proposal - all staff (new and existing)

- Explicit statements in the PDR process to assign responsibility to individuals and their managers around mandatory areas

For example - I understand that I should not share PCC's data illegally and I understand what Data Protection means for my area of work.....

- This arrangement would help ensure that new staff have had the necessary conversations with their managers about the local arrangements for key areas of responsibility
- This arrangement would also help ensure that existing staff are aware that they have responsibilities under the key areas and that they are taking responsibility for keeping their knowledge up to date
- Information (e.g. via policy hub) and training sessions can be offered to those who feel that they don't have the required level of knowledge - but the responsibility lies with the individual and their manager to access the support

Assess knowledge via e-learning - all staff

All staff in the organisation are required to complete and pass electronic learning assessments (for minimal impact on business time and to undertake a formal knowledge check via the test) on a periodic basis (as agreed with the Policy Holder)

- Support (via training sessions, policy hub, e-learning, support from manager etc.) will be offered to support staff to develop the knowledge required to pass the knowledge assessment
- This helps to ensure the correct part of the process is mandated (i.e. that we provide information and people demonstrably have the required level of knowledge - rather than simply mandating that people are present in the training room)

HR to report regularly on compliance to:

- GAS and the Employment Committee (service compliance stats)
 - The relevant HOS (non-compliance of all staff)
 - The relevant Policy Holder
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- An agreed consequence needs to be mandated if a member of staff is unable to demonstrate the agreed level of knowledge (after all support has been exhausted) - for example formal performance management for capability