PERSONAL DEVELOPMENT PLANNING AND REVIEW
"The NHS is at its simplest about people. The people who depend on the service and the people who provide the service. I want to see a NHS that meets the needs of the people who use it and values the people who work in it. The biggest challenge is not about ticking boxes. Its about seizing the opportunities to embrace change and to take a fresh approach to things like job design, staffing structures, working practices, training and development. I am clear that in our drive to invest in modernisation of services, we must be receptive to the need to invest in the people who provide those services."

[Minister for Health and Community Care, Susan Deacon, addressing the NHS in Scotland Human Resources Conference 6 April 2000]
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1. INTRODUCTION

The definition and principles which should be evident in Personal Development Planning and Review systems within the NHS are detailed below. Emphasis should be placed on the employee's self-assessment supported, guided and facilitated by the reviewer.

Whilst consideration was given to including other forms of review in the guideline, e.g. peer review or group review, it was felt that self assessment supported, guided and facilitated by the reviewer was the most appropriate to introduce throughout the NHS in Scotland. This does not preclude other forms of review occurring where this is appropriate to the organisation and the individuals involved. Such reviews must, however be outcome based.

Terminology was a factor which was considered at length by the guideline development group and in particular use of the terms Performance Management and Appraisal. The group concluded that the use of these terms would have a negative effect on the acceptability of the guideline and have therefore chosen to use the terms Planning and Review focusing on the positive aspects of any system adopted by an organisation. This having been said the principles and values which are reflected throughout this guideline are applicable and relevant to any appraisal or performance management system.

Model frameworks and forms have been included in this guideline but it cannot be over emphasized that if an organisation has a system in place with documentation which is locally appropriate and has been developed in partnership then there is no reason to change. Any organisation in this position is encouraged to share their best practice arrangements.
2. MAIN REPORT

2.1 Strategic Framework/Organisational Culture

Learning Together provides a vehicle for staff throughout the NHS "to be encouraged to take greater responsibility for their own learning". It should be recognised that learning can take many forms and does not need to involve attending a formal training course. In return all staff can expect:

- support from their employer in helping them keep up to date and acquire new skills, including access to appropriate learning resources and to induction training;
- the opportunity to sit down with their managers/senior professional colleagues at regular intervals to discuss their development needs and identify learning opportunities;
- help in preparing Personal Development Plans and/or Learning Portfolios which support their career development;
- local decisions about investment in education and training activities, including access to funding based on a reasoned assessment of learning needs and the service development objectives of the NHS.

This guideline is intended to assist in achieving the above through putting in place a Personal Development Planning and Review System which will be the minimum standard expected throughout the NHS in Scotland.

2.2 Principles/Values

Employers should have a clear policy on Personal Development Planning and Review.

Employees should define clearly what documentation will be held in respect of any personal development planning and review system together with where and how this will be held.

All staff should understand their role in the organisation and receive ongoing feedback on how they are performing and guidance on Personal Development Planning.

Reviews will normally be undertaken on a one to one basis.

The Personal Development Planning and Review process must be as wide as possible, discussing achievement of personal development objectives, behaviour and values.

The individual's potential and future development needs must be jointly agreed. This could include study leading to the award of qualifications, which enhance the individual's prospects of career advancement. Assistance will also be given to individuals whose profession demands a level of accredited study for registration purposes.
Each organisation should have in place an agreed system for the resolution of any disagreement in relation to an individual's potential and future development needs.

Where there is disagreement on an individual's potential and future development needs, the reviewee will have the right to discuss the matter with the reviewer's boss.

Where there is agreement that they are helpful in managing expectations, goals or objectives could be used.

To ensure that the learning and development activity is focused and meets the current and future requirements of the NHS, a clear link must exist between the individual Personal Development Plans, the Organisation and Departmental Learning and Development Plans, and the relevant needs of the NHS, e.g. local health plans and Our National Health.

To ensure that reviewers can fulfil their obligations effectively the number of staff whose Personal Development Plans they assist with must be kept manageable. This should be agreed at local level.

The paperwork should be simple and should not drive the process with confidentiality and data protection compliance assured.

This process must be kept distinct and separate from disciplinary action.

This process is likely to be undermined by any link with Performance Related Pay (P.R.P.) systems.

2.3 Definition

Personal Development Planning and Review is part of a continual process of planning, monitoring, assessment and support to help staff develop their capabilities and potential to fulfil their job role and purpose. It is an approach to increase the effectiveness of the organization's performance through ongoing, constructive dialogue to ensure that everyone:

- Knows what is expected of them;
- Gets feedback on performance;
- Is able to identify and satisfy their development needs.

The plan should be realistic and achievable by explicitly reflecting the organization's Learning and Development Plan, and include outcome measures which can be evaluated. Appropriate arrangements for Personal Development Planning and Review will support career development and commitment to life long learning.

Personal Development Planning and Review is not:

- About creating unrealistic expectations or rewards.
- A vehicle for evaluating/increasing pay entitlements.
- To be used as a counselling exercise for non-learning and development issues.
• A variant or sub set of disciplinary procedures.
• A substitute for the reviewer's responsibility to provide ongoing feedback to staff.

2.4 Roles and Responsibilities

The Employer will: -

• In partnership with local trade unions/professional organisations, agree a Personal Development Planning and Review system(s) within this PIN guideline and ensure this is introduced throughout the organisation.
• Ensure that everyone involved is sufficiently skilled to work within the system.
• Ensure a Learning and Development Plan exists to meet the needs of the organisation, e.g. local health plans, with clearly identified resources which are distributed equally among staff group based on need reflecting the principles of equal opportunities.
• Ensure that a reasonable proportion of organisations' available resources including time will be allocated to learning and development
• Ensure that the system is audited and any identified areas of improvement are implemented
• Provide appropriate training for all staff in the process.

The Reviewer will: -

• Ensure timely delivery of the process.
• Ensure adequate time is given to prepare for, conduct and document the discussion and undertake appropriate follow up throughout the year.
• Be appropriately trained to participate fully in the process.

The Reviewee will: -

• Fulfill their role within the organisation.
• Take an active interest in their own learning and development and take responsibility to fulfill the agreed resourced training requirements within their Personal Development Plan.
• Be appropriately trained to participate fully in the process.

The Trade Union/Professional Organisation will: -

• In partnership with the organisation, agree a Personal Development Planning and Review system(s) within the national framework.
• In partnership with the organisation, raise awareness of the benefits of and the approach to Personal Development Planning and Reviews.
2.5 Process

Personal Development Planning and Review must be undertaken at least on an annual basis.

Emphasis must be placed on the reviewee's self-assessment, supported, guided and facilitated by the reviewer.

There must be recognition of the time required both by reviewer and reviewee to ensure the process is carried out effectively. This includes completion of the relevant documentation (suggested model forms attached as Appendix I and II).

A jointly agreed assessment must be made of the individuals potential and future development needs.

Each employee must have an agreed Personal Development Plan for which mutual responsibility exists to fulfill the agreed learning requirements. The plan should be realistic and achievable by explicitly reflecting the organisations' Learning and Development Plan, and include outcome measures which can be evaluated.

2.6 Training

Employers are responsible for ensuring reviewers are sufficiently skilled/competent in delivering the process and in listening, interviewing, influencing, coaching and delegating. Employers must also ensure that all staff receive appropriate training to allow them to participate fully in the process.

A programme of events and publicity run by Area/Local Partnership Forums should be established to promote the Personal Development Planning and Review process prior to its introduction.

2.7 Evaluation

Each Local Partnership Forum or other appropriate forum will be responsible for reviewing/auditing all aspects of the introduction and delivery of Personal Development Planning and Review on an annual basis. This must take into account "Learning Together" and other appropriate strategy documents.

The Local Partnership Forum will, on an annual basis, supply agreed information on the outcome of the review/audit process to the Area Wide Partnership Forum or other appropriate forum, which will monitor continued progress towards full achievement of the guideline.

Key features of the review/audit are as follows :-

- Quantitative data e.g. number of Personal Development Planning and Review discussions which have been completed and documented;

- Qualitative data, e.g. how beneficial the reviewer/reviewee found the Personal Development Planning and Review discussions.
To provide quantitative/qualitative data organisations could utilise, for example: -

- Random sampling;
- Attitude surveys;
- The Investors in People process.
Appendix 3.1

PERSONAL DEVELOPMENT PLANNING
AND REVIEW FORM (I)

CONFIDENTIAL
### PERSONAL DEVELOPMENT REVIEW FORM (I)

<table>
<thead>
<tr>
<th><strong>Name:</strong> (Reviewee):</th>
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</thead>
<tbody>
<tr>
<td><strong>Job Title:</strong></td>
</tr>
<tr>
<td><strong>Grade:</strong></td>
</tr>
<tr>
<td><strong>Department:</strong></td>
</tr>
<tr>
<td><strong>Date of training in Personal Development Planning and Review (PDPR):</strong></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Name:</strong> (Reviewer):</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Job Title:</strong></td>
</tr>
<tr>
<td><strong>Date of training in PDPR:</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Date of Review Meeting:</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Period under Review:</strong></td>
</tr>
<tr>
<td><strong>Is there an agreed job description for this post?</strong>  Yes  No</td>
</tr>
</tbody>
</table>

**JOB UNDERSTANDING:** Please give a jointly agreed definition of this post

**AGREED MAIN ISSUES/OBJECTIVES DURING REVIEW PERIOD:**
What have been your main achievements since the last review?

What do you think are your key skills and strengths?

How do you think your skills might be better used?

What part of your job do you think that you do best?

What part of your job do you think that you do least well?
DEVELOPMENT NEEDS

What do you feel would help you to do your job better or make it easier?

What development do you feel that you need to further your career in the future?

Signed:

Reviewer ........................................................................... Reviewee ...........................................................................

Date ................................................................... Date ......................................................................
### AGREED PERSONAL DEVELOPMENT PLAN

<table>
<thead>
<tr>
<th>What are the agreed development needs? (Job skills / interpersonal skills / new technology / career development / CPD)</th>
<th>How will these needs be addressed? (eg. coaching / shadowing/ reading / technology based training / research courses)</th>
<th>What support is required and from whom?</th>
<th>Agreed review date(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>What development do you need to help you do your job effectively?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>What development do you need to help you progress your career?</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Any additional comments? / Obstacles or barriers?

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PLEASE CONTINUE ON A SEPARATE SHEET IF NECESSARY

Signed: .......................................................... .......................................................... ..........................................................
(Reviewer) (Reviewee) (Date)
Appendix 3.2
PERSONAL DEVELOPMENT
PLANNING AND REVIEW FORM (II)
CONFIDENTIAL
## PERSONAL DEVELOPMENT REVIEW FORM (II)

<table>
<thead>
<tr>
<th>Name: <em>(Reviewee)</em>:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Job Title:</td>
<td></td>
</tr>
<tr>
<td>Grade:</td>
<td></td>
</tr>
<tr>
<td>Department:</td>
<td></td>
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<tbody>
<tr>
<td>Period under Review:</td>
<td></td>
</tr>
<tr>
<td>Is there an agreed job description for this post?</td>
<td>Yes ☐ No ☐</td>
</tr>
</tbody>
</table>

### YOUR JOB

What are the elements of your job that you prefer?

What are the elements of your job that you least enjoy?
Did you undertake any training/learning in the last year? Yes ☐ No ☐

If Yes, what was the training/learning and how useful was it?

If No, why not?

**DEVELOPMENT NEEDS**

When completing the next section, please think about any changes that would make your day to day work easier/more efficient. Please list any training/learning needs you have to support this change.

What do you feel would help you to do your job better or make it easier?

Does your job require any training in the following areas?

<table>
<thead>
<tr>
<th>Area</th>
<th>Yes</th>
<th>No</th>
<th>Suggestions/Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Use of equipment</td>
<td>☐</td>
<td>☐</td>
<td></td>
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<tr>
<td></td>
<td>Yes</td>
<td>No</td>
<td>Suggestions/Details</td>
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<td>Your day to day work</td>
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<tr>
<td>To meet legal requirements</td>
<td>☐</td>
<td>☐</td>
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</tr>
<tr>
<td>To support career progression</td>
<td>☐</td>
<td>☐</td>
<td></td>
</tr>
<tr>
<td>Any additional comments?</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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Signed: ............................................ ................................................. ............................
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Any additional comments? / Obstacles or barriers?

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Signed: ............................................................  ............................................................  ............................................................
(Reviewer)  (Reviewee)  (Date)
PERSONAL DEVELOPMENT PLANNING AND REVIEW: QUICK REFERENCE GUIDE

DEFINITION

Personal Development Planning and Review is part of a continual process of planning, monitoring, assessment and support to help staff develop their capabilities and potential to fulfil their job role and purpose.

WHAT IT IS:

Personal Development Planning & Review is about:-

- Staff understanding what is expected of them
- Getting feedback on performance
- Identifying and satisfying development needs
- Ensuring that the development which is planned for staff can be evaluated
- Supporting lifelong learning and career development
- Increasing the organisations performance through ongoing staff development

WHAT IT IS NOT:

Personal Development Planning and Review is not:-

- About creating unrealistic expectations nor rewards
- A vehicle for evaluating/increasing pay entitlements
- To be used as a counselling exercise for non-learning and development issues
- A variant or sub set of disciplinary procedures
- A substitute for the Reviewer's responsibility to provide ongoing feedback to staff

PRINCIPLES & VALUES

What will it mean for me?

- Reviews will normally be undertaken on a one to one basis.
- The paperwork will be kept simple and will not drive the process.
- The discussions will be as wide as possible, encompassing achievement of personal development objectives, behaviour and values.
- Potential and future development needs will be jointly agreed.
- Goals or objectives will be used where it is agreed to be appropriate to the job and the staff group.
- There will be a clear link between your Personal Development Plan and the needs of the organisation i.e. Local Health Plan.
## WHAT ARE THE ROLES AND RESPONSIBILITIES OF ALL INVOLVED?

<table>
<thead>
<tr>
<th>Employer will</th>
<th>Reviewer will</th>
</tr>
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<tbody>
<tr>
<td>• Have a clear Policy on Personal Development Planning and Review, and provide training for all involved.</td>
<td>• Ensure timely delivery of the process.</td>
</tr>
<tr>
<td>• Ensure a reasonable proportion of the organisation's available income will be allocated to learning and development.</td>
<td>• Ensure adequate time is given to support all staff to prepare and fulfil their role</td>
</tr>
<tr>
<td>• Enable managers to fulfil their responsibilities by ensuring that the numbers of Personal Development Plans they assist with is kept to a manageable level.</td>
<td>• Support staff in identifying and achieving their development needs.</td>
</tr>
<tr>
<td><strong>Trade Unions/Professional Organisations</strong> will</td>
<td>• Ensure staff receive feedback on their development on an ongoing basis.</td>
</tr>
<tr>
<td>• Work in partnership with the employers to develop, monitor and evaluate the P.D.P. and Review process.</td>
<td><strong>Reviewee will</strong></td>
</tr>
<tr>
<td>• Raise awareness of the benefits of P.D.P. and Review.</td>
<td>• Fulfil their role within the organisation.</td>
</tr>
<tr>
<td></td>
<td>• Take an active interest in their own learning and development.</td>
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<tr>
<td></td>
<td>• Take responsibility to fulfil their agreed Personal Development Plan.</td>
</tr>
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</table>

## HOW WILL IT WORK IN PRACTICE?

- Personal Development Planning and Review must be undertaken at least on an annual basis.
- The focus will be on self-assessment, supported, guided and facilitated by the reviewer.
- There will be recognition of the time required both by reviewer and reviewee to ensure the process is carried out effectively.
## HOW WILL IT BE MONITORED?

- Each Local Partnership Forum will be responsible for reviewing/auditing all aspects of the introduction and delivery of Personal Development Planning and Review on an annual basis. This should use both;

- Quantitative data e.g. number of Personal Development Planning and Review discussions, which have been completed and documented.

- Qualitative data, e.g. how beneficial the reviewer/reviewee found the Personal Development Planning and Review discussions, how the planned development has contributed to the organisation's performance.
4. Bibliography

Advisory Conciliation and Arbitration Service: Employee Appraisal (ACAS, 1997)

Performance Management and Staff Appraisal in the Health Service (Edis M, 1995)