Knowledge and Skills Framework (KSF) Manager’s Handbook

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<td>Rebecca Corbin</td>
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May 2009

In the context of this Handbook, the description of Manager, Line Manager and Reviewer can be considered interchangeable dependant upon the role of the reader.
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1. INTRODUCTION

The Knowledge and Skills Framework (KSF) is one of the three key strands of Agenda for Change:

- The NHS Knowledge and Skills Framework and the Personal Development Review (PDR) process
- NHS Job Evaluation Scheme
- Agenda for Change Terms and Conditions

The intention of the KSF is to develop and maintain a fully competent, modernised and confident workforce providing first class health care. The KSF has the ability to drive service improvement at a number of levels and this potential is greatly increased when it is fully adopted. Failure to fully adopt the KSF has important implications for clinical and corporate governance.

The KSF Manager’s Handbook has been written to support consistent, effective and efficient KSF Personal Development Reviews (PDRs).

All reviewers must have undertaken the KSF reviewer training and are responsible for effective KSF PDRs, please see section 5 for further details.

The reader of the KSF Manager’s Handbook should have a clear understanding of the fundamentals of the KSF and the impact the KSF and associated PDR will have on the reviewee.

The contents of the Handbook, coupled with the skills and knowledge gained at the reviewer training set out clearly the processes to be followed to ensure all staff have a fair and equitable annual PDR. The PDR is designed to support an individual achieving the appropriate knowledge and skills needed for their post. Adherence to the KSF and associated PDR is mandatory under Agenda for Change.

This Handbook will be updated as necessary. A comprehensive library of KSF information is available via the Trust’s intranet site on the KSF web page accessible via the Agenda for Change web site.

2. STEP BY STEP GUIDE TO UNDERTAKING A PDR

The purpose of the PDR is to:

- Review achievement of an individual’s objectives and Personal Development Plan (PDP) using agreed evidence through a two way discussion
- If in a gateway year to confirm outcomes and inform payroll
- Plan for the following year to include objectives and PDP
- Agree timescales, monitoring and support required to ensure commitment to action

The flow chart overleaf indicates the steps involved in conducting a successful PDR. Appendix 1 provides the detailed actions required to undertake each step using the paper based or electronic approach for recording the PDR and PDP.
New Starter
- Induction
- Setting up on the e-KSF tool
- 6 month review

Preparation of reviewer and reviewee
- Documentation – Objectives/Job Description/Standard Forms
- Awareness of KSF outline
- Access to the e-KSF Tool
- e-KSF/paper based development history
- Determine pay point and incremental date
- Availability of resources

First formal PDR to go through KSF, identify evidence linked to agreed goals
- Agree a contract with the reviewee to set the boundaries, discuss expectations
- Ongoing process of support, not a once a year event
- Clarification of roles and responsibilities
- Clarifying individual responsibility and accountability

Recording the discussion either paper based or e-KSF
- Signed off by both parties

Learning is undertaken and working towards KSF including informal updates throughout the year
- Reviewees to undertake the learning
- Reviewer/line manager to monitor progress and ensure learning needs are being met

2nd PDR against KSF using evidence gathered to include
- Gateway discussion/decision as required
- Documentation – Standard Forms
- Access to the e-KSF Tool
- Discussions with Reviewee re: gathered evidence
- Determine resources available

Recording the discussion and any gateway decisions either paper based or e-KSF
3. ROLES AND RESPONSIBILITIES

Outlined below are the key post holders who have a role to play in the effective application of the Personal Development Review. It is important to note that you may have more than one role to play.

3.1 Reviewee
The responsibilities will include:
- Negotiate and agree jointly a date and time for PDR
- Ensure own knowledge and skills development to participate jointly in the PDR
- Reflect and consider how knowledge and skills are being applied in daily work
- If required develop an e-portfolio/written portfolio of evidence to validate competency against the specific examples of application in the KSF outline
- In partnership/jointly with reviewer determine the need for further development and agree a PDP
- Demonstrate a commitment to lifelong learning
- Demonstrate a commitment to work towards a short term action plan if necessary to resolve any unmet knowledge and skills gaps
- Awareness of KSF appeals procedure (PDR Policy)
- Adheres to Trust Policies and procedure
- Where appropriate use the e-KSF tool

3.2 Reviewer / Designated Reviewer
The responsibilities will include:
- Plan and review dates for staff PDRs
- Ensure an appropriate venue and time is agreed with the reviewee
- Update and maintain own knowledge and skills to ensure high quality through a fair and equitable approach
- Ensure equality, fairness and objectivity
- Undertakes the PDR by assessing and reviewing the individual’s portfolio of evidence against the KSF outline and facilitate a joint discussion between themselves and the individual about their work using the KSF post outline as the basis, and managing different points of view
- In partnership with the reviewee determines the need for further development and agrees and jointly signs off the content of the PDP
- Facilitates staff to recognise what development opportunities are available
- Feeds back to Manager (only if they are designated reviewer) potential or actual development/performance issues
- Communicate with Line Manager status of progress in relation to gateway discussions
- Ensures short term action plans are utilised to resolve any unmet knowledge and skills gaps
- Records PDR discussions electronically or paper based using the standard documentation / departmental spreadsheets
- In line with the Capability Policy, implement an action plan in conjunction with and advice of the individual’s line manager where skill gaps are still unresolved and all other options have been explored
- Discuss with Line manager/ Reviewer of decision to stop an impending increment and complete ‘Deferral/ Resumption of Pay Progression form (Appendix 4) to be signed off by Line Manager and sent to Payroll 2 months prior to the gateway.
- Awareness of KSF appeals process
- Adheres to Trust Policies and procedures
3.3 Line Manager

*The responsibilities will include:*

- Effectively manage the PDR process for those employees they are responsible for.
- Ensure effective communication structures and processes are in place with their team of reviewers.
- Coach and support reviewers as necessary.
- Ensure appropriate resources are available for reviewers to undertake PDR’s.
- Ensure PDR activity is recorded and monitored either electronically or paper based using departmental spreadsheets.
- Through the use of the e-KSF tool/ departmental spreadsheets, monitors & reviews the undertaking of the PDRs for respective area.
- Use e-KSF tool/ paper PDPs for training needs analysis and to inform workforce planning.
- If necessary, ensure staff have an appropriate level of IT skills to participate in their PDR.
- On-going review and development of KSF post outlines.
- Aware of KSF appeals process (PDR Policy).
- Adheres to Trust Policies and procedures.

3.4 Head of Section or Equivalent

*The responsibilities will include:*

- Ensure Directorate/ Departmental Objectives are in place.
- Create an environment within the department/section which is conducive to allow PDRs to take place.
- Arrange development for reviewers and reviewees.
- Ensure KSF review meetings are arranged and conducted for the department/section. Once all the PDRs are conducted for the complete team prioritise the development needs identified within available resources and co-ordinate a KSF plan for the department to inform the Training Needs Analysis process.

3.5 Human Resources

*The responsibilities will include:*

- Update and maintain own knowledge and skills to ensure high quality through a fair and equitable approach.
- Using the completed departmental spreadsheets/ e-KSF tool, audits and monitors the Development Review Process and report to appropriate internal and external forums.
- Co-ordinate Organisational Development planning using the KSF.
- In conjunction with OD&T, participates in the co-ordination of the Training Needs Analysis and resource allocation to ensure economies of scales.
- Awareness and participation as required of KSF appeals process.
- Adheres to Trust Policies and procedure.

3.6 Life Long Learning Advisors/Union Learning Reps (ULRs)

*The responsibilities will include:*

- Support all staff in preparing for the self assessment of development needs against the KSF outline for the post.
- Help staff construct a personal development plan to address gaps.
- Help staff to prepare evidence for their annual review against the PDP.
- Guide and support the reviewee to prepare for appeals when appropriate.
4. THE e-KSF TOOL (please also refer to Appendix 1 step by step guide)

The e-KSF tool is a web based tool, which can be accessible from anywhere with internet access. It has been built especially for the KSF and supports all aspects of the process from creating and saving KSF post outlines, recording outcomes of the Personal Development Review discussions to sorting Personal Development Plans and recording the outcomes of learning.

4.1 Benefits of the e-KSF Tool
The e-KSF tool brings many benefits to the organisation and individuals involved in the PDR cycle. These benefits are outlined below:

4.1.1 Organisation
- An effective and cost effective method of fulfilling the requirements of the KSF
- Data collection and sophisticated reporting allowing the organisation to make informed decisions about people management strategies and in particular training and development.

4.1.2 Manager
- Access to KSF post outlines detailing the capabilities required for their staff.
- The ability to see the strengths and development areas of their team as a whole, providing an on-line Training Needs Analysis (TNA). It also allows the collation of monitoring information, including workforce information graphs, which helps managers answer questions such as:
  - How many of members of staff have had a KSF review and PDP?
  - Does the knowledge and skill mix of our workforce reflect our organisational strategy?
  - What are our biggest competence strengths and gaps and how are we planning to fill the gaps?

4.1.3 Individual
- A clear understanding of what is expected of them and the skills and competencies required in their work
- In conjunction with the reviewer, a signed off personal development plan outlining the organisation's commitment to assist with their learning and development training needs.

4.2. How to use it

4.2.1 New Starters
It is the Line Managers responsibility, at local induction, to forward the following information to the Organisational Development & Training Department.
- Full Name
- Line Managers Name
- Reviewers Name
- KSF Outline Title to be assigned to the ‘new starter’
- Date of 1st review meeting

OD&T will then email an e-KSF tool username and password to the Line Manager/Reviewer for the new starter.
4.2.2 Logging on to the e-KSF tool
The first time staff log on to the e-KSF tool with this username and password, they will be asked the following information:

• To read and accept the Terms & Conditions
• Create a new username – this field will already be populated – please leave this field as it is
• Create a new password and to verify the new password – please use something that will be remembered and needs to be 8 alphanumeric characters
• Enter a secret question and answer e.g. place of birth?
• Then press submit

4.3 Submitting KSF Outlines
All KSF Outlines must be processed using the e-KSF tool, the Process for Dealing with New and Amended KSF Outlines has been developed, which is attached in Appendix 2

5. TRAINING

5.1 Development of Reviewers
Provision has been made to provide the skills development programme listed below for the ongoing implementation of the Personal Development Review.

• Reviewer Skills Workshops are available on an ad hoc basis for new starters. To book onto the workshops, please email (link) for further information and dates.
• A series of ½ day Softer Skills Workshops are available to support reviewers to undertake effective PDRs, these include:
  o Communication skills
  o Negotiation
  o Change Management
  o Facilitation
• PDR e-learning solution is currently being developed, once finalised you will find further information and access to the solution via the e-Learning (link) pages on the Trust Intranet.
• e-KSF tool training – the e-KSF tool has user manuals built into the system which provide a step by step guide to its functionality. Training is not mandatory; however a roll-out programme of dates (link) is available.

5.2 Support for Reviewees
A number of areas of support are available for reviewees for implementation of the Development Review Process. Further details can be found on the Trust Intranet (link).

ULRs are available to support reviewees as outlined in section 3.6, further information can be found on the intranet site (link).

5.3 Equality Training
Equality training is available for reviewers and line managers through e-learning or tutor led programmes to ensure the approach to undertaking PDR’s is fair and equitable.
Information and access to the e-Learning package can be found on the e-Learning (link) pages on the Trust Intranet. Further information, dates and booking form for the tutor led programmes can be found on the OD&T (link) pages on the Trust Intranet.

5.4 Essential Skills Support
As part of the Employers Pledge the Trust is committed to develop the essential skills of the workforce. Literacy programmes are available to support reviewers and reviewees. Details can be found on the intranet (link).

6. IMPLICATIONS OF GATEWAYS FOR MANAGERS

6.1 KSF Implementation for Staff on Local Terms and Conditions
Staff who elect to remain on the Llandough Hospital and Community NHS Trust Terms and Conditions are not affected by the KSF process within the Agenda for Change agreement.

However, these staff still require an annual development review. It is recommended that a KSF outline is developed for the individual's post and used to underpin the best practice principles within the Personal Development Review process. This will ensure principles of consistency and equity for all regarding developmental support for career progression with other similar post holders who are on Agenda for Change terms and conditions. However, as these staff are not within the Agenda for Change pay band structure, there are no gateways nor associated pay progression.

Whilst adoption of KSF practice is preferred it cannot be made mandatory, managers are required to demonstrate that effective alternative performance review arrangements are in place, and operational, for Trust monitoring and reporting purposes.

6.2 Pay Gateways
All NHS employees covered by Agenda for Change must have an annual KSF PDR during which their skills, knowledge and development needs are discussed using the KSF post outline. Within each pay band there is a normal expectation for progression. At defined points in a pay band known as gateways, decisions are made about pay progression as well as development using the KSF. At these two points on the pay band Line Managers/ Reviewers must assess the reviewees application of knowledge and skills required against the KSF outline, which is necessary in order to progress up the pay scale. The two gateway points are the foundation gateway and the second gateway. Between the two pay gateways there is no link between the annual KSF review process and pay progression. All gateway decisions being made by designated reviewers must be discussed and agreed with the Line Manager.

The position of the second gateway varies between pay bands as follows:

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<tr>
<th>Pay Band</th>
<th>Position of Gateway</th>
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<tr>
<td>1</td>
<td>Before final point</td>
</tr>
<tr>
<td>2-4</td>
<td>Before first of the last two points</td>
</tr>
<tr>
<td>5-7</td>
<td>Before first of last three points</td>
</tr>
<tr>
<td>8, ranges A-D</td>
<td>Before final point</td>
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<tr>
<td>9</td>
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The first (foundation gateway) review is undertaken after 12 months into a new pay band. To progress to the next pay point on the band the reviewee is required to demonstrate that they have achieved the basic knowledge and skills set out in the KSF sub-set.

At the second pay gateway which occurs when the reviewee reaches a set pay point near the end of the band, they are required to demonstrate that they have the knowledge and skills set out in the full KSF post outline.

Progression through pay gateways is expected to be the normal practice. Deferment through the gateway can only take place where it is agreed by both parties that the individual is not able to demonstrate the application of the required knowledge and skill as set out in the KSF outline at a gateway point.

In cases where the organisation has failed to provide the necessary agreed support and it is agreed the post holder requires further development to meet all the requirements of the post outline, the post holder will pass through the gateway. The post holder will however be required to develop to meet the requirements set out in the post's KSF outline. Deferral will last until any issues are resolved. (Source: The NHS Knowledge and Skills framework (NHS KSF) and the Development Review process page 16).

6.2.1 Foundation or First Gateway using KSF Sub-Set (to make decision)
The foundation gateway applies twelve months after appointment to a new post or new pay band regardless of the pay point to which the person is appointed. The foundation gateway review is based on the sub-set of the full KSF outline.

6.2.2 Second or Final Gateway using full outline (to make decision)
The second review is undertaken at the specified point known as the gateway year. The review is based on the full KSF outline for the post that sets out the full range of knowledge and skills required to be applied by the post holder to successfully do their job.

6.3 Gateway Progression Monitoring
The NHS Staff Council has published the longer term monitoring and reporting arrangements required of all NHS organisations. Line managers will be able to comply with reporting requirements by using the e-KSF tool to record the outcome of the PDR and PDP.

In the interim, until the e-KSF tool is fully implemented in the Trust, managers are expected to record personal development review activity and progression through gateways using the code definitions as detailed on the standard spreadsheet in Appendix 3. Arrangements will be made to transfer this data into the e-KSF /ESR system to enable centralised reporting and monitoring.

7. CAREER AND PAY PROGRESSION

7.1 Staff Appointed/Promoted to Agenda for Change Pay Bands
Newly appointed or promoted staff joining a pay band under the new system will serve an initial foundation period of up to 12 months. During this initial period, all staff will have at least two discussions with their manager (or the person acting as their reviewer) to review progress, guided by the KSF foundation outline for the post. The first of these discussions should normally be during the induction period. The
aim of these discussions and any resulting support and development will be to help staff make a success of the new job and confirm as quickly as possible that they are applying the basic knowledge and skills needed for the job and can pass through the foundation gateway and commence progression up their pay band.

Once progression has been agreed at the foundation gateway, a member of staff will normally progress to the next point on the pay band twelve months after appointment and to subsequent points every twelve months thereafter, up to the 2nd Gateway. Each member of staff will have a Personal Development Review with their reviewer every year and be supported in their development in their post.

7.2 Career Development Moves
Where a member of staff moves to another job in the NHS, pay progression will normally depend upon demonstrating the knowledge and skills specified in the KSF outline for the post within the first 12 months of appointment. This means that the normal gateway rules apply irrespective of the pay point on which the individual commences employment (for example, where previous service is credited).

Where, however, an individual retrains in a different area of work for wider service or operational reasons, with the explicit agreement of the managers concerned, their existing level of pay should be protected. In practice, this can apply to jobs in the same or a lower pay band.

Once protection is agreed, it may not be withdrawn until the person has had a reasonable opportunity to complete their retraining and progress to a point where pay protection is no longer needed. This should be done via regular assessment against the KSF outline. Managers should judge each case on its merits, balancing the needs of the individual and the needs of the service.

8. PRECEPTORSHIP

Staff joining pay band 5 as new entrants on or after 1st October 2004, will have accelerated progression through the first two points in six monthly steps (that is they will move up one pay point after six months and a further point after 12 months) providing those responsible for the relevant standards in the organisation are satisfied with their standard of practice. This twelve month period will be referred to as ‘Preceptorship’.

Within the first 12 months of employment the individual will have two development reviews. The first review after 6 months will seek to establish whether the individual is on track in their development towards the foundation gateway, and if this is the case, they should receive an incremental point. After 12 months, the second development review will focus on the KSF foundation outline for the post and this will form the foundation gateway. When the individual passes through this foundation gateway, they will move up to the next point on the pay band.

9. SICKNESS ABSENCES, MATERNITY LEAVE AND OTHER ABSENCES

9.1 Sickness Absence involving Reviewer or Reviewee
Where the individual or their Reviewer is on long term sick leave (defined as a period of 4 weeks or more) that coincides with gateway progression on their incremental date, every attempt should be made to continue the process so as not to penalise the individual.
Where the reviewer is unavailable due to long term sick leave, another appropriate reviewer should undertake the review. Records should be maintained of previous reviews and progression against the KSF for that post, which should enable the substitute reviewer to effectively assess the individual.

Where the individual is on long term sick leave and the reviewer has evidence from previous reviews that the member of staff is ‘on track’ to achieve their KSF outline, then pay progression should continue.

9.2 Other absences
In cases of other long term absence, for example career breaks or secondments, relevant Trust policies should be applied.

In the case of maternity leave, staff who are due for pay progression should, wherever possible, have the Personal Development Review before maternity leave commences on a date to be agreed between the individual and their reviewer. In the absence of significant weaknesses in performance (in other words, the individual is on track to achieve the required standards), the individual should progress through the relevant gateway or to the next incremental point if this is not a gateway, if this occurs during the maternity leave period.

This should also apply in cases where it is not possible for genuine operational reasons to undertake a Personal Development Review before the commencement of an individual’s maternity leave and in the absence of any significant weaknesses in performance. A formal review should still take place as soon as possible following the individual’s return to work, however, to discuss their development.

In the event that there were doubts over the individual’s ability to progress before the maternity leave commenced, pay progression may be deferred in the usual way until the individual is able to demonstrate the required knowledge and skills. To this end, a review should be arranged as part of the individual’s reintroduction to the workplace with a clear development plan to allow them to demonstrate the required knowledge and skills.

10. DEFERRAL OF PAY PROGRESSION

10.1 Exceptional Grounds for Deferral of Pay Progression
There is an expectation that individuals will progress through the pay points on a pay band by applying the necessary knowledge and skills to the demands of the post. It is only at gateways, or if concerns have been raised about significant weaknesses in undertaking the current role, that the outcome of a review might lead to the deferment of pay progression. Please note that a gateway review should be carried out two months prior to the gateway, please refer to Appendix 4 for the form to be submitted to Payroll.

Significant weaknesses have been defined (Page 16, KSF Handbook) as “significant weaknesses in performance in the current post that have been identified and discussed with the staff member concerned and have not been resolved despite opportunities for appropriate training/development and support”. They are also defined in the Terms and Conditions Handbook (Para 6.27, T&C Handbook) as “those which prevent a member of staff from continuing to apply consistently, across a recognised normal workload, the knowledge and skills specified under the KSF foundation post outline for the foundation gateway or, for staff above the second
gateway, the full range of knowledge and skills specified under the full KSF post outline, without continued supervision and support inappropriate to the post’

In very exceptional circumstances, pay progression may be deferred at any pay point until the problems are resolved. It is expected that the reasons given for lack of pay progression will be explicit and timely, as detailed in the Trust’s Capability Policy.

Once an individual is able to demonstrate the application of the relevant knowledge and skills, pay progression is to be reinstated from the date of the review meeting where the evidence was satisfactorily demonstrated. The individual’s incremental date is not affected if pay progression has been deferred. However, in line with local policies it will be made clear to the post holder at the time of deferring pay progression and on resumption of pay progression, that pay will not be backdated. If an individual appeals and the decision is overturned, pay will be backdated.

11. APPEALS PROCEDURE

The Trust Personal Development Review Policy sets out the procedure to be followed if reviewers/ reviewees are not content with the review process or outcome. Contained in Appendix 5 is the appeals pack to be used when invoking the appeals procedure.

12. PRACTICAL GUIDANCE ON EMBEDDING THE USE OF KSF AND PDRS IN THE ORGANISATION

It is anticipated that the recruitment process will be enhanced by the incorporation of the KSF dimensions into future job descriptions. This will allow for candidates to clearly demonstrate their experience, skills and knowledge for the job applied for and support the manager in assessing the candidate’s ability to meet the post’s KSF outline. Further guidance will be available following a review of the Recruitment and Selection process and policy training workshops.

13. MONITORING

13.1 Reporting
Information contained within the e-KSF tool and departmental spreadsheets will be monitored and reported:

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<th>What</th>
<th>When</th>
</tr>
</thead>
<tbody>
<tr>
<td>Trust Board</td>
<td>Qualitative information</td>
<td>Bi-annually</td>
</tr>
<tr>
<td></td>
<td>Equality information</td>
<td>Annually</td>
</tr>
<tr>
<td>Management Board via HR Metrics</td>
<td>% of staff with personal development reviews recorded</td>
<td>Annually</td>
</tr>
<tr>
<td></td>
<td>% of staff with PDP</td>
<td>&quot;</td>
</tr>
<tr>
<td></td>
<td>% of staff progressing through gateways</td>
<td>&quot;</td>
</tr>
</tbody>
</table>
13.2 Equality and Fairness
Underpinning the KSF pay gateway process is the principle of fairness and equity for all staff regardless of working arrangements, patterns of employment or hours, age, disability, ethnic origin, gender, religion/belief or sexual orientation. Equity and prevention of discrimination is a central element of the Agenda for Change Agreement and of the equality legislation.

To support this, all NHS organisations through the e-KSF tool must take part in the national monitoring of pay progression through the gateways and use of the associated development reviews. This will cover staff by age, disability, ethnic origin, gender, religion/belief or sexual orientation, part-time or full-time working.

Employers and staff representatives in partnership will use the results of the monitoring exercise to ensure best practice is being followed. The information will also be used by the NHS Staff Council to ensure the equity of the system and provide support to employers and local staff representatives.

13.3 Positive About Disable People Symbol
The Trust has signed up to the Positive about Disabled People Scheme of Jobcentre Plus and the Two Ticks symbol has been used for several years on external adverts, internal job vacancy bulletins and Trust headed paper. One of the five commitments that the Trust is required to meet in order to display this symbol is that we must “ensure there is a mechanism in place to discuss at any time or at least once a year, with disabled employees what they can do to make sure they can develop and use their abilities”. The appropriate opportunity for this will be during the PDR. For further information visit the the Jobcentre Plus website:

14. ADDITIONAL SUPPORT AND GUIDANCE
For further advice or clarification about the arrangements within this paper or other KSF related queries, please contact below:

<table>
<thead>
<tr>
<th>Service Group</th>
<th>HR Contact Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Surgery</td>
<td>744909 or 743918</td>
</tr>
<tr>
<td>Medicine</td>
<td>744321</td>
</tr>
<tr>
<td>Clinical Support / Facilities / Executive</td>
<td>742215</td>
</tr>
<tr>
<td>Mental Health</td>
<td>336518</td>
</tr>
<tr>
<td>Dental</td>
<td>743702</td>
</tr>
<tr>
<td>Women and Children’s</td>
<td>745304</td>
</tr>
<tr>
<td>OD&amp;T</td>
<td>336383</td>
</tr>
</tbody>
</table>

14.1 Cardiff and Vale University Trust Intranet Site
CAVweb > Services & Specialties > Agenda for Change > KSF

14.2 Web Sites
www.e-ksfnow.org
www.e-ksf.org
http://howis.wales.nhs.uk
www.dh.gov.uk
www.nhsemployers.org
## PDR PROCESS FLOW-CHART

### STAGE IN PROCESS
- **New Starter**
  - Induction
  - Setting up on the e-KSF tool
  - 6 month review

### PROCESS USING E-KSF TOOL OR PAPER BASED

<table>
<thead>
<tr>
<th>e-KSF Tool</th>
<th>Paper Based</th>
</tr>
</thead>
</table>
| Line Manager to inform OD&T of new starter to set up the relationship on the e-KSF tool, then Line Managers responsibility to assign the KSF outline and reviewer to the reviewee. **In the interim, OD&T will also assign the KSF outline (accurate title must be received) to the new starter ready for their 1st PDR to be recorded.**

Reviewee will receive their e-KSF login details via the Line Manager following the above process.

The new starter/ reviewee can then log into the tool, read and accept the terms & conditions, create a new password and set up a security question. Once this is completed they will be able to go in and view their KSF outline. Please note, if reviewees have an email address, please ensure they enter this into the tool, as the tool will automatically generate notifications when actions are required. |

Local Induction Checklist is provided in the enrolment pack (received from recruitment), which identifies the need for the Line Manager to provide the reviewee with the following:

- A paper copy of the KSF Outline for the post (available from the e-KSF tool)
- Assign them a reviewer and
- Direct them to the standard documentation and further information on the KSF (available on the KSF pages on the Trust intranet, local resources). |
<table>
<thead>
<tr>
<th>Preparation of reviewer and reviewee</th>
<th>E-KSF Tool</th>
<th>Paper Based</th>
</tr>
</thead>
</table>
| • Documentation – Objectives/ Job Description/ Standard Forms | The e-KSF tool is internet based and accessible 24/7:  
  ➢ Prior to the PDR  
  ➢ During the PDR  
  ➢ After the PDR | Documentation to complete the PDR process is available from:  
  o e-KSF tool  
  o Reviewer pack  
  o KSF pages (via the Agenda for Change page) on the Trusts intranet site |
| • Awareness of KSF outline | Once the assigning of the KSF outline and reviewer has been completed, both parties can access the KSF Outline from the tool and commence the PDR process on-line. |  |
| • Access to the e-KSF Tool | The first step is to plan and agree dates of the PDR period, taking into account the reviewees incremental date and whether they are in a gateway year. Also the dates of the PDR and PDP meetings are to be populated into the planning information on the tool. This will then flag reminders when the dates are approaching (as long as the email address field is populated). |  |
| • e-KSF/ paper based development history | The Line Manager can run reports from the e-KSF tool, which will provide details of their staffs incremental dates and gateway information. |  |
| • Determine pay point and incremental date | User manuals are built into the tool to enable self learning. |  |
| • Availability of resources | | |
First formal PDR to go through KSF, identify evidence linked to agreed goals

- Agree a contract with the reviewee to:
  - Set the boundaries
  - Discuss & agree expectations
  - Outline process/ stages required
  - Agree frequency and method of updates and support outside formal arrangements

- Clarification of the remit of PDR to include when other Organisation Policies will need to be used i.e. capability

- Ongoing process of support, not seen as a once a year event
- Clarification of roles and responsibilities
- Clarifying individual responsibility and accountability
- Equality and diversity checklist for PDR's

Please note if during the PDR you identify the KSF Outline needs to be amended, please follow the 'Process for Dealing with New and Amended KSF Outlines' (Appendix 2)

---

e-KSF Tool

The KSF outline is available to view and print off the e-KSF tool which will show the dimensions and levels expected to be achieved.

All parties i.e. manager, reviewer and reviewee can enter comments into the tool at any point in time in preparation for the PDR meeting.

Also, electronic evidence files can be uploaded into the tool.

---

Paper Based

Reviewee prepares a paper portfolio of evidence.

A useful document is the Guide to Gathering evidence, which is available via the KSF pages on the Trust intranet.
Recording the discussion either paper based or e-KSF
- Signed off by both parties

**e-KSF Tool**
The following sections on the tool must be populated:
- Planning Information
- Review
- PDP

The Manager/Reviewer will need to populate the ‘Review’ section on the e-KSF tool with a brief paragraph summarising the discussion of the PDR and agreed evidence.

The PDR needs to be agreed and signed off by both parties. If both parties are present at a PC during the meeting, the Reviewee can tick to sign off the review and confirm this by entering their password into the tool. The same process is followed for the PDP.

Please note, user manuals are built into the tool to assist in the process.

**Paper Based**
Complete documentation manually, forms are available via the KSF pages on the Trusts intranet site:
- Guidance Notes to complete the documentation
- Form 1 includes planning information
- Form 2 includes outcome of the PDR discussion notes
- Form 3 includes PDP detail – development activities and
- Form 4 includes an evaluative update on PDP activities agreed

Once completed, please ensure the excel spreadsheet on Shared folders is completed with the following information:
- Date PDR Completed
- Date PDP Completed
- Completed via Paper OR e-KSF tool
- Gateway Review undertaken – yes/ no – foundation or second
- Passed through gateway – 1, 2, 3

Please file all completed paper based forms on the reviewees personal file, they do not need to be sent anywhere.
<table>
<thead>
<tr>
<th><strong>Learning is undertaken and working towards KSF including informal updates throughout the year</strong></th>
<th><strong>E-KSF Tool</strong></th>
<th><strong>Paper based</strong></th>
</tr>
</thead>
</table>
| • Reviewees to undertake the learning  
• Reviewer/line manager to monitor progress and ensure learning needs are being met | Reviewer and Reviewee can log into the e-KSF tool at any time to update progress.  
Both parties can sign off progress at the formal review meeting. | On-going monitoring to take place throughout the year.  
As mentioned above, form 4 needs to be completed with an evaluative update on PDP activities agreed  
Input at the end of the year for sign off |

<table>
<thead>
<tr>
<th><strong>2nd PDR against KSF using evidence gathered</strong></th>
<th><strong>Preparation will include:</strong></th>
<th><strong>Paper based</strong></th>
</tr>
</thead>
</table>
| **e-KSF Tool** | Same activity as for 1st PDR | Standard documentation to be completed as above.  
Paper portfolio of evidence to be produced at the PDR meeting. |
| • Gateway discussion/decision  
  – Foundation gateway decision for new starters at end of year once in post  
  • New starters will also have a formal review at 6 months  
  – Second gateway decision if appropriate  
  – Informing payroll  
• Documentation  
• Access the e-KSF Tool  
• Discussions with Reviewee re: gathered evidence  
• Awareness of KSF outline  
• Personal Reflection  
• Reviewee – gathered evidence  
• Reviewer – gathering and preparing  
• Ascertain what resources and opportunities are available to develop staff  
| The e-KSF tool can identify that an individual is in their 2nd gateway year. This can be viewed via Managers reports or when the Manager/Reviewer begins to enter the ‘Review’.  
Reviewer to enter if foundation via a pop up box.  
At the review meeting, both parties can view any previous evidence that has been uploaded into the tool. |
**Recording the discussion and any gateway decisions either paper based or e-KSF**

Line Managers can run the following reports from the e-KSF tool for their staff they directly manage and the staff of their staff:

- KSF Review Progress
- Summary of Reviews, Objectives and PDPs
- KSF Review Outcomes
- Staff Pay Data
- PDP Activities Agreed
- Learning Needs Analysis (By Dimension)
- Detail Report – Number of Learning Needs

<table>
<thead>
<tr>
<th>From the 1\textsuperscript{st} April 2009, all gateway decisions will be coded 1, 2, 3;</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Full progression through the gateway as agreed that the individual has applied the knowledge and skills detailed in the KSF outline for that gateway</td>
</tr>
<tr>
<td>2. Pay progression with short term development plan agreed because the individual still has development needs in relation to the KSF post outline for that gateway, but there are extenuating circumstances</td>
</tr>
<tr>
<td>3. Deferred pay progression with short term development plan agreed because the individual has not applied the knowledge and skills required in the KSF post outline for that gateway.*</td>
</tr>
</tbody>
</table>

* Please note – following ongoing discussion and the review meeting, if the both parties agree the reviewee should not progress through the gateway, the ‘Deferral/ Resumption of Pay Progression’ paper form must be completed, printed, signed by an authorised signatory for changes forms and sent to Payroll 2 months prior to the reviewees incremental date/gateway.

<table>
<thead>
<tr>
<th>e-KSF Tool</th>
</tr>
</thead>
<tbody>
<tr>
<td>Before signing off the gateway review, a pop-up box will ask Line Managers/ Reviewers to code the review as above.</td>
</tr>
<tr>
<td>Please note, the e-KSF tool cannot defer someone going through the gateway – the paper form must be completed and sent to Payroll.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Paper based</th>
</tr>
</thead>
<tbody>
<tr>
<td>OD&amp;T have developed excel spreadsheets to provide Line Managers with gateway information.</td>
</tr>
<tr>
<td>Line Managers are to complete the spreadsheets, in particular to enter the code (as above) of the gateway decision.</td>
</tr>
</tbody>
</table>
Appendix 2

Process for Dealing with New and Changed Outlines

Guidance Notes for Managers

As a result of the introduction of the NHS Job Evaluation Scheme all posts within the Trust are graded by the Job Matching or Local Evaluation processes. These guidance notes are to be used in Departments or Directorates where managers have been made aware of the banding outcome of their posts and they are to be used in the following circumstances:

- Whenever new posts and/or new outlines are created – Complete part A
- Whenever existing outlines are amended to take account of changes in duties or responsibilities following a Personal Development Review - Complete part B

The steps to be followed are detailed below:

A. **New Posts and New Job Descriptions – Also complete PART A**

1. Where the need for a new role is identified and the Departmental/Directorate Manager should see the need develop a Post Outline they should view the local library of outlines on the e-KSF tool prior to writing the new post outline to see if a similar or identical post already exists.

2. If such a post doesn’t exist then the Departmental/Directorate Manager must create a new KSF outline for the post. The new KSF outline must be created on the e-KSF tool.

3. When the Post Outline is being created the Departmental/Directorate Manager should take into account any similar/identical Banded posts within the Department or Directorate and how the post fits within the family of outlines already in place.

4. Before submitting the outline the Departmental/Directorate Manager should ensure the following criteria is completed.
   - Job Purpose
   - Who the post holder will be reporting to
   - All selected levels and indicators are correctly entered
   - The outline demonstrates sufficient development between foundation and second gateway

5. Once completed the post outline must be submitted to a KSF approval panel via the e-KSF tool.

6. The Proforma (Appendix A) must be completed and emailed along with the following documentation to the KSF team.
   - Consistency Checking Form
   - Organisation Chart
   - Matrix (showing this outline and other outlines your responsible for within the Department)

7. Following the submission of the Outline, the Approval Panel which is made up of senior management and staff side members will review the following criteria for the post outline.
   - Ensure the job purpose is completed
• The outline demonstrates sufficient development between foundation and second gateway
• How the Post Outline fits into the Departmental/Directorate family of outlines.
• They may also contact the author of the outline and request guidance and/or a representative attend the approval panel

8. After consideration the approval panel will either approve or return the Post Outline with certain recommendations prior to been approved. The author will then receive an automated email informing them of the approval panel’s decision.

9. If the Post Outline is approved is will be saved on the e-KSF tool under Local Library of Outlines. If the outline is returned for further work it will go back into the Manager’s Homepage on the e-KSF tool and be saved under My Draft Post Outlines.

10. In certain circumstances the Approval Panel may approve a Post Outline with the caveat that the outline is reviewed 12 months from the date of approval. In this circumstance the Departmental/Directorate Manager will receive an email after 12 months from the KSF team requesting information regarding use of the outline.

11. Under the Standard Naming Convention all Post Outline titles are reviewed regularly for consistency and in certain circumstances Post Outline titles may be changed to conform to the Standard Naming Convention

B. Revised Post Outlines – Also complete PART B

1. Although jobs change all the time, Departmental/Directorate Manager should be aware that any significant changes to the post outline will require re-submitting the approval panel reviewed again. The criteria for these changes would include the following:
   • Renaming of the outline title
   • Changes to the dimension levels and/or indicators

2. The procedure for how to amend and make changes to an approved outline can be found on the Cardiff and Vale Intranet site.

3. Once completed the post outline must be submitted to a KSF approval panel via the e-KSF tool. The Proforma (Appendix B) must be completed and emailed along with the following documentation to the KSF team.
   • Consistency Checking Form
   • Organisation Chart
   • Matrix (showing this outline and other outlines your responsible for within the Department)

4. In determining whether the changes in the outline/job are significant, the approval panel will consider the following questions:
   • Have there been significant increases/decreases in post responsibilities?
   • Have there been changes affecting the requirements for the role?
   • Has the degree of initiative to undertake the post increased/ decreased?
   • Has the degree of supervision required increased/decreased?

5. After consideration the approval panel will either approve or return the Post Outline. If the outline is returned it will be retuned with certain recommendations
prior to it being approved. The author will then receive an automated email informing them of the approval panel’s decision.

6. If the Post Outline is approved it will be saved on the e-KSF tool under Local Library of Outlines. If the outline is returned for further work it will go back into your Manager’s Homepage on the e-KSF tool and be saved under My Draft Post Outlines.

7. In certain circumstances the Approval Panel may approve a Post Outline with the caveat that the Post Outline is reviewed 12 months after the date of approval. In this circumstance the Departmental/Directorate Manager will receive an email after 12 months from the KSF team requesting information regarding use of the outline.

8. Under the Standard Naming Convention all Post Outline titles are reviewed regularly for consistency and in certain circumstances Post Outline titles may be changed to conform to the Standard Naming Convention.
### PART A - Proforma for New Posts and New Job Descriptions

<table>
<thead>
<tr>
<th>Service Group</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Directorate</td>
<td></td>
</tr>
<tr>
<td>Department</td>
<td></td>
</tr>
<tr>
<td>Post Outline title</td>
<td></td>
</tr>
<tr>
<td>Post outline banding</td>
<td></td>
</tr>
<tr>
<td>Name and employee number of staff assigned to outline</td>
<td></td>
</tr>
<tr>
<td>Name and employee number of Manager of above staff</td>
<td></td>
</tr>
</tbody>
</table>

### PART B - Proforma for Revised Post Outlines Job Descriptions

<table>
<thead>
<tr>
<th>Service Group</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Directorate</td>
<td></td>
</tr>
<tr>
<td>Department</td>
<td></td>
</tr>
<tr>
<td>Post Outline title of original outline</td>
<td></td>
</tr>
<tr>
<td>Post outline title of revised outline</td>
<td></td>
</tr>
<tr>
<td>Post outline banding</td>
<td></td>
</tr>
<tr>
<td>What changes have been made from original outline</td>
<td></td>
</tr>
<tr>
<td>Reason for change</td>
<td></td>
</tr>
<tr>
<td>Can original post outline now be deleted Y/N</td>
<td></td>
</tr>
<tr>
<td>Name and employee number of staff assigned to outline</td>
<td></td>
</tr>
<tr>
<td>Name and employee number of Manager of above staff</td>
<td></td>
</tr>
</tbody>
</table>
Appendix 3

Recording PDR Activity Spread sheet

PDR ACTIVITY

<table>
<thead>
<tr>
<th>SG</th>
<th>Directorate</th>
<th>Dept.</th>
<th>Line Manager</th>
<th>Reviewer</th>
<th>Reviewee Name</th>
<th>Assigned Outline Title</th>
<th>Incremental Date</th>
<th>Foundation Gateway (Y/N)</th>
<th>Second Gateway (Y/N)</th>
<th>Date PDR Completed</th>
<th>Date PDP Completed</th>
<th>Completed via Paper or e-KSF tool</th>
<th>Passed through Foundation Gateway (1, 2 or 3)*</th>
<th>Passed through Second Gateway (1, 2 or 3)*</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exec.</td>
<td>HR</td>
<td>OD&amp;T</td>
<td>Joe Bloggs</td>
<td>Jane Jones</td>
<td>David Davies</td>
<td>Assistant Business Manger</td>
<td>01.03.09</td>
<td>N</td>
<td>Y</td>
<td>15.12.08</td>
<td>15.12.08</td>
<td>Paper</td>
<td>N/A</td>
<td>2</td>
</tr>
<tr>
<td>Exec.</td>
<td>HR</td>
<td>OD&amp;T</td>
<td>Joe Bloggs</td>
<td>Jane Jones</td>
<td>Sue Edwards</td>
<td>Administrative Assistant</td>
<td>01.10.08</td>
<td>N</td>
<td>N</td>
<td></td>
<td></td>
<td>e-KSF tool</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

* 1 = Yes, Full progression through the gateway as agreed that the individual has applied the knowledge and skills detailed in the KSF outline for that gateway

2 = Yes, pay progression with short term development plan agreed because the individual still has development needs in relation to the KSF post outline for that gateway, but there are extenuating circumstances as defined in the PDR policy

3 = No, deferred pay progression with short term development plan agreed because the individual has not applied the knowledge and skills required in the KSF post outline for that gateway(Deferral/Resumption of Pay Progression Form completed and sent to Payroll)
Appendix 4

Guidance for Completion of the
Deferral/Resumption of Pay Progression Form

Please read Section 10 of the KSF Managers Handbook prior to completing this form. It is only at gateways, or if concerns have been raised about significant weaknesses in undertaking the current role, that the outcome of the review might lead to the deferment of pay progression.

There are four sections which may need to be completed on this form, they are:

Section 1 Employee Details (Mandatory)
Please complete all sections.

Please complete either Section 2 OR Section 3

Section 2 Deferral of Pay Progression
Enter details of the date the deferral is to be effective from i.e. incremental date and the gateway being deferred. You can use the ‘Additional Change Details’ section if required for any further information.

Please note deferral of pay progression must be reviewed annually at the PDR meeting.

OR

Section 3 Resume Pay Progression
Enter details of the date pay progression is to be resumed and the gateway. You can use the ‘Additional Change Details’ section if required for any further information.

Please refer to Section 8 of the KSF Managers Handbook for further information regarding resumption of pay progression.

Section 4 Authorisation (Mandatory)
Ensure that the Line Manager (who must be an authorised signatory for changes forms) and employee both sign and date the form.

Once completed follow the instructions at the bottom of the page.

PLEASE NOTE: Payroll need to receive this form 2 months prior to the gateway/incremental date.

This form is available electronically on the Trust intranet/Electronic Staff Record/ESR Forms
Deferral/Resumption of Pay Progression

Please read the guidance notes prior to completing this form

**Section 1 - Employee Details**

<table>
<thead>
<tr>
<th>Last Name</th>
<th>First Name</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</table>

<table>
<thead>
<tr>
<th>Title</th>
<th>Employee Number</th>
</tr>
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<tbody>
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<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Serv. Group/Directorate</th>
<th>Pay Band</th>
<th>Incremental Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Section 2 – Deferral of Pay Progression**

<table>
<thead>
<tr>
<th>Date Effective From (Incremental Date)</th>
<th>Gateway</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- Foundation
- Second

**PLEASE NOTE - DEFERRAL OF PAY PROGRESSION MUST BE REVIEWED ANNUALLY**

**Section 3 - Resume Pay Progression**

Evidence has been provided, therefore would like to resume pay progression

<table>
<thead>
<tr>
<th>Date Effective From</th>
<th>Gateway</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- Foundation
- Second

**Additional Change details (where applicable) (e.g. increment details)**

**Section 4 – Authorisation**

<table>
<thead>
<tr>
<th>Line Manager (authorised signatory for changes forms)</th>
<th>(Type)</th>
<th>Date</th>
</tr>
</thead>
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<tr>
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<table>
<thead>
<tr>
<th>Signature</th>
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<td></td>
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</table>

<table>
<thead>
<tr>
<th>Employee</th>
<th>(Type)</th>
<th>Date</th>
</tr>
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<tbody>
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<table>
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<tr>
<th>Signature</th>
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<td></td>
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</table>

<table>
<thead>
<tr>
<th>For Payroll Use only</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Actioned By:</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>(Signature)</th>
<th></th>
</tr>
</thead>
<tbody>
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<td></td>
<td></td>
</tr>
</tbody>
</table>

Once completed, two copies of this form should be printed - one copy to be signed by the Line Manager and forwarded to Payroll Services Department 2 months prior to gateway; second copy to be signed by Line Manager and Employee and placed on Personal File.
Letter 1 (local resolution in department)

Date:

To: Line Manager within 2 weeks of PDR meeting

Re: Personal Development Review (PDR) Appeals Procedure

I am writing in reference to the above, as I would like to make an appeal against the decision made at my PDR meeting on <Date>, on the following grounds (delete as appropriate):

- Use of the NHS Knowledge and Skills Framework in the Development Review Process
- The provision of resources and opportunities to support training and development activities
- Progression through my pay gateway

Please find enclosed form 1 outlining further information/ evidence to support my decision to appeal.

I look forward to hearing from you.

Yours sincerely

Encs. Form 1
KSF Outline (if required)
**PDR APPEALS DOCUMENTATION**  
*To be submitted by the member of staff*

**Form 1**

<table>
<thead>
<tr>
<th>Reason for appeal based on the following:</th>
<th>Evidence provided at PDR meeting</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Use of the NHS Knowledge and Skills Framework in the Development Review Process</td>
<td></td>
</tr>
<tr>
<td>• The provision of resources and opportunities to support training and development activities</td>
<td></td>
</tr>
<tr>
<td>• Progression through my pay gateway</td>
<td></td>
</tr>
</tbody>
</table>

Further evidence (not provided at PDR meeting) to support decision to appeal

**Signed:**

**Date:**
PDR APPEALS DOCUMENTATION
To be submitted by the member of staff

Stage Three – Formal Appeal Stage

Statement Template 1

Unfortunately my appeal was unable to be resolved locally and thereby wish to proceed to Stage Three – Formal appeal stage for my appeal to be heard.

I am appealing on the grounds of the decision made against the following (delete as appropriate):

- Use of the NHS Knowledge and Skills Framework in the Development Review Process
- The provision of resources and opportunities to support training and development activities
- Progression through my pay gateway

Please find enclosed form 1, which I completed for use at Stages One and Two.

<Please provide any further information to support your decision to appeal>