



KNOWLEDGE AND SKILLS FRAMEWORK AND DEVELOPMENT REVIEW PROCESS (KSF)

GATEWAY REVIEW POLICY

Co-ordinator:

Director of HR

Signature

Identifier:

NHSG/POL/38/HR

Reviewer:

Grampian Area
Partnership Forum

Signature

Review date:

This policy will be
reviewed annually by
the Grampian Area
Partnership Forum.

Approver:

Grampian Area
Partnership Forum.

Signature

Implementation date:

1st January, 2009

UNCONTROLLED WHEN PRINTED

VERSION 1

The provisions of this policy, which was developed by a partnership group on behalf of Grampian Area Partnership Forum, apply equally to all employees of NHS Grampian whose employment falls under the purview of the Agenda for Change terms and conditions.

**NHS GRAMPIAN
GATEWAY REVIEW POLICY**

If you have difficulty understanding the English language, this policy can be made available to you in a language of your choice.

This policy can also be made available, on request, in other formats e.g. in large print or on a computer disk.

For all requests for copies of this policy in another language, or in an alternative format, please call the Corporate Communications Team on 01224 554400.

NHS GRAMPIAN GATEWAY REVIEW POLICY

INDEX

	Page
1 INTRODUCTION AND PURPOSE	4
2 KSF AND THE DEVELOPMENT REVIEW PROCESS	4
3 PRINCIPLES	5
4 KSF OUTLINES AND GATEWAYS	6
5 THE KSF DEVELOPMENT REVIEW PROCESS	8
6 WHAT IS THE KSF DEVELOPMENT REVIEW PROCESS?	10
7 IF THE EMPLOYEE IS UNABLE TO ATTEND A GATEWAY REVIEW	13
8 APPLICATION OF THE POLICY WHEN THERE IS UNPLANNED LEAVE	14
9 MONITORING OF THE GATEWAY REVIEW POLICY	15
 APPENDICES	
1 GLOSSARY OF TERMS	16
2 KEY RESPONSIBILITIES	18
3 GATEWAY PROCESS FLOW CHART	20

NHS GRAMPIAN GATEWAY REVIEW POLICY

1 INTRODUCTION AND PURPOSE

- 1.1 The NHS Knowledge and Skills Framework and Development Review Process (KSF) defines and describes the knowledge and skills which NHS Grampian staff need to apply in their work to deliver quality services. It provides a single, consistent, comprehensive framework on which to base review and development for all staff. The KSF and its associated development review process lie at the heart of the career and pay progression strand of Agenda for Change. They are designed to apply across the whole of the NHS for all staff groups who come under the Agenda for Change agreement. Throughout this document the term 'all staff' is used to apply to all staff who come under the Agenda for Change agreement.
- 1.2 The purpose of this policy is to provide a framework that ensures Gateway Reviews are applied in a consistent manner within NHS Grampian.
- 1.3 The NHS Grampian Gateway Review Policy has been developed to ensure all staff understand the knowledge and skills they need to demonstrate competency in their role to enable them to progress through the Foundation and Second Gateways within their Pay Band. It details the processes and procedures that need to be applied to ensure that Gateway Reviews are applied in a consistent manner within NHS Grampian. Key responsibilities of the individual line manager and organisation are detailed in Appendix 2.
- 1.4 The policy should be read in conjunction with NHS Grampian Appraisal and Personal Development Planning and Review Process documents (PDP&R).
- 1.5 Some professional groups will have arrangements in place for Preceptorship. These arrangements fall within the principles of the KSF Gateway Review Policy, October, 2007, which can be found in the KSF Handbook on page 17. The KSF Handbook can be found, under the Agenda for Change pages on the NHS Grampian intranet. Alternatively, a copy can be obtained from your HR Team

2 KSF AND THE DEVELOPMENT REVIEW PROCESS

- 2.1 The Knowledge and Skills Framework aims to:
 - Identify the Knowledge and Skills appropriate to each post by the agreement of a KSF outline for the post.

- Help guide staff development for current post and career development using the KSF competence approach as the main driver.
- Provide a transparent and objective framework on which to base staff review and development
- Provide a fair basis for pay progression within Agenda for Change and encourage lifelong learning.
- Provide a consistent approach to ensure the talents and resources of staff are utilised to their fullest potential.
- Guarantee that each member of staff has an agreed Personal Development Plan which is based around the KSF Outline.

2.2 What the KSF is not

- The KSF is not part of the Capability Policy. If there are any capability issues, these must have been addressed by Reviewers before the Gateway Reviews.
- The KSF is not about which pay band you will be placed in. This is the purpose of the Job Evaluation process.

3 PRINCIPLES

3.1 This policy seeks to underpin the importance of individual support and feedback on progress made in line with the KSF Outline for a member of staff's post, and the movement through the Foundation and Second Gateways.

3.2 Underpinning this policy are the following principles:

- 3.2.1 This policy will apply equally to all staff, regardless of their gender, ethnic origin, age, sexual orientation, religious beliefs, hours worked, shift pattern or disability in accordance with NHS Grampian policies on equal opportunities.
- 3.2.2 The process for the development review should be no different for a Gateway year than any other year.
- 3.2.3 The process is based on the principle of 'no surprises.' If there are problems with staff developing towards the fully developed KSF outline for the post, or there are issues of capability these must have been addressed by reviewers before the Gateway Review. This mirrors good management practice and should be no different from good development review practice, as it currently exists.

- 3.2.4 There is a difference between backdating* and deferment* - see **APPENDIX 1, GLOSSARY OF TERMS.**
- 3.2.5 Gateways should be treated as 'open' with staff supported to get through them. The normal expectation is that staff will proceed through the Gateways.
- 3.2.6 NHS Grampian is committed to applying the KSF and the associated Gateway Reviews in a way that is fair, open and objective. All members of staff are responsible for ensuring that NHS Grampian Equal Opportunities policies are put into effect.

4 KSF OUTLINES AND GATEWAYS

4.1 What is a KSF Outline?

- 4.1.1 Every member of staff will have a KSF Outline for their post which details the actual requirements of their job in terms of the knowledge and skills that need to be applied to that post to demonstrate it is being undertaken effectively.
- 4.1.2 Outlines must reflect the requirements of the job – not the abilities or preferences of the person who is employed in that job. They must be developed in partnership by people who understand what is required of that job.
- 4.1.3 Every KSF Post Outline will identify an appropriate level from each of the six Core Dimensions. Further Dimensions (selected from the Specific Dimensions) will also be applied in order to develop a full KSF Outline for a post.
- 4.1.4 Everyone involved in the development of the KSF Post Outline should be realistic about what to include as the Outline will inform decisions about the learning and development needs of the post holder in the Personal Development Plan (PDP) and the members of staffs pay progression. The organisation is committed to supporting the PDP training and development needs, which support the post holder in achieving their KSF Outline.
- 4.1.5 It is essential that any new staff member is made aware of the KSF Outline for their post and the implications of this on employment and during induction.

4.2 A KSF Outline should be developed for: -

- 4.2.1 Interview Candidates and discussed at Interview. It is important that the knowledge and skills of a candidate are established at interview stage and that they are made aware of the KSF Outline for that post.

- 4.2.2 It is essential that there is absolute agreement between the Line Manager and individual staff member of what the KSF Foundation Outline (used at the foundation gateway) and the Fully Developed KSF Outline (used at the second gateway) based on the job description for the post) comprises of.
- 4.2.3 Existing staff whose role undergoes significant change, which requires knowledge and skills at a different level to their existing KSF Outline requirements or the addition of new Dimensions
- 4.2.4 Existing staff who are redeployed or undertake a Secondment which requires knowledge and skills at a different level to their existing KSF Outline requirements or the addition of new Dimensions.

4.3 What is a Pay Gateway?

- 4.3.1 In most years pay progression will take the form of an annual increase in pay from one pay point within a pay band to the next, as there is a normal expectation of progression. At defined points in a pay band – known as “Gateways” – decisions are made about pay progression as well as development.
- 4.3.2 There are two gateways in each of the nine pay bands: -
- The Foundation Gateway – this takes place after a period of twelve months from when an individual is appointed to a pay band regardless of the pay point to which the individual is appointed.
 - The Second Gateway – this is set at a fixed point towards the top of a Pay Band as set out in the National Agreement.(see 4.6.1 below)
- 4.3.3 Gateways occur at times during a career when a particular level of application of knowledge and skills are expected of a person in their role. At the two Gateways – that is the Foundation and Second Gateways on the pay spine, a more formal type of review will take place. At this stage the Individual’s existing knowledge and skills should be fully meeting those specified in the Foundation or Second Gateway respectively.

4.4 Purpose of the Foundation Gateway

- 4.4.1 The purpose of the Foundation Gateway is to check that each member of staff can meet the basic demands of their post on that pay band. The Foundation Gateway Review is based on a foundation outline which is a subset of the Fully Developed KSF Outline for the post. Its focus is the knowledge and skills that need to be applied from the outset in the post coupled with the provision of planned development in the foundation period of 12 months.

4.5 Purpose of the Second Gateway

- 4.5.1 The purpose of the Second Gateway is to confirm that staff are applying their knowledge and skills to consistently meet the full demands of their post – as set out in the Fully Developed KSF Outline for the post. Having passed through the Second Gateway, individuals will progress to the top of the pay band provided they continue to maintain and apply the knowledge and skills required to meet the Fully Developed KSF Outline for the post.

4.6 Timescale for Second Gateway

- 4.6.1 The Second Gateway is a fixed point towards the top of a pay band as set out in the National Agreement. (See Table below)

Pay Band	Position of Second Gateway
Pay Band 1	Before final point
Pay Bands 2- 4	Before first of last two points
Pay Bands 5 – 7	Before first of last three points
Pay Band 8, ranges A - D	Before final point
Pay Band 9	Before final point

- 4.6.2 All staff who apply the necessary knowledge and skills to meet the NHS KSF Outlines for their post and the relevant gateway will progress through these gateways and the pay points.

5 THE KSF DEVELOPMENT REVIEW PROCESS

5.1 The KSF Development Review

- 5.1.1 A development review is an ongoing cycle of review, planning, development and evaluation for individuals against the demands of their posts (as described in the NHS KSF outlines for those posts). All staff will have annual NHS KSF development reviews.

5.1.2 The development review process has four stages:

- 1) A joint review between the Reviewee and their Reviewer – their Line Manager or another person acting in that capacity – of the post holder’s work against the demands of their post
- 2) The production of a Personal Development Plan (PDP), which identifies the Reviewee’s learning, and development needs and interests – the plan is jointly agreed between the Reviewee and their Reviewer
- 3) Learning and development by the Reviewee supported by their Reviewer
- 4) Evaluation of the learning and development that has taken place and how it has been applied by the Reviewee in their work.

The cycle then starts at (1) again.

5.1.3 For staff new to the NHS, the development review process should begin as soon as they start their new post during the induction period using information from the recruitment and selection process (refer NHS Grampian Induction process – Guidance Notes for Managers).

5.1.4 When an existing staff member moves into a new post, they should be offered additional support and development in the first year, whether or not a foundation gateway is applicable at the end of that year, as this is a critical time for developing and applying knowledge and skills.

5.2 What is the KSF development review?

5.2.1 The main purpose of the development review is to look at the way in which an individual member of staff is developing in relation to:

- the duties and responsibilities of their post and current agreed objectives
- the application of knowledge and skills within the workplace
- their consequent development needs.

5.2.2 The Development Review is when all the discussions that have taken place throughout the year are brought together and jointly reflected on. It is expected that Reviewers will have regular informal discussions with individual staff members throughout the year providing constructive feedback on the staff members work and related development.

5.3 What happens in the KSF development review?

- 5.3.1 Both the Reviewee and Reviewer should prepare prior to the KSF PDP discussion.
- 5.3.2 At the development review meeting, Reviewees and their Reviewers should use the NHS KSF Outline for the post (Foundation or Full) as the basis of their discussion. They should consider information and evidence relevant to the KSF outline as part of this discussion to review progress and agree areas for development as part of the PDP for the forthcoming year

6 WHAT IS THE KSF GATEWAY DEVELOPMENT REVIEW PROCESS?

- 6.1.1 The KSF Development Review process is the same every year. The difference in a Gateway Review is that outcome of the Review discussion is linked to pay progression at two points in a pay band. (see 4.6 and Appendix 3).
- 6.1.2 It is not the intention of the KSF to halt or inhibit pay progression. Difficulties in the application of knowledge and skills are expected to be dealt with on an on-going basis and must not be raised for the first time at a post holder's development review meeting.

6.2 Key points

- 6.2.1 Gateway reviews must take place at least six weeks before the incremental date in order that payroll may be informed of any deferment (by processing a change form).
- 6.2.2 If reviews take place based on incremental dates then staff should be told at the preceding development review that the next review would be a Gateway review.
- 6.2.3 If reviews take place to tie in with organisational objectives then staff may need two reviews in a Gateway year and should be informed of this the previous year.
- 6.2.4 With the Foundation Gateway there is an agreement that staff will have two meetings with their reviewer-within 6 and 12 months.
- 6.2.5 The Second Gateway review will be based on the previous annual development reviews. If the Reviewee is able to demonstrate they are applying the required level of knowledge and skills and there are no concerns, (Gateways are based on the principle of no surprises.) the individual should progress through the Second Gateway.

- 6.2.6 In some cases, the reviewing rights may have been delegated to someone who is not the Reviewees Line manager. In this instance the Line Manager will require to be present at the Gateway review.
- 6.2.7 A Foundation Gateway is only applicable once in a Pay Band. This means that an employee moving from one post to another in the NHS, which is on the same Pay Band, will not have Foundation Gateway applied to them in their new post. However, they should be offered additional support and development in the first year, as this is a critical time for developing and applying knowledge and skills.

6.3 Progressing through a Gateway

- 6.3.1 Progression through a gateway is expected to be the norm. Payroll will progress staff through the gateway unless they are notified by the Line Manager through a change form.
- 6.3.2 The principle of no surprises must be adhered to. There must always have been formal notification in writing of any concerns to the individual by their reviewer prior to a Gateway Review.

6.4 Pay Deferment

- 6.4.1 Pay deferment* occurs when a Reviewee is not able to demonstrate they can apply the required level of knowledge and skills for the post. If there is a decision that the Reviewee is unable to demonstrate competence deferment will apply until they can demonstrate the required level of knowledge and skills. This needs to be fully detailed by the Line Manager and supported with an action plan
- 6.4.2 If the Reviewee, despite support from the organisation, cannot demonstrate the necessary knowledge and skills are being applied then the increment is deferred until they can be demonstrated. A short-term action plan should be agreed and the Line Manager informs Payroll of the pay deferment (refer Appendix 3).
- 6.4.3 The action plan must clearly identify:
- Reason for deferment
 - KSF dimension and indicators still to be achieved
 - Identified training and development needs
 - Review date – this should not be any more than six months from the original meeting.

- 6.4.4 It should also identify:
- How improvements will be measured
 - Support that will be provided
 - Any adjustments to normal duties until the requirements of the gateway are demonstrated
 - Protected time for individuals to focus on their development.
- 6.4.5 Pay progression will resume from the date on which the review confirms that the Reviewee is applying the level of knowledge and skills specified in the KSF post outline. A personal development plan can then be agreed for the remaining period
- 6.4.6 If the outline cannot be met because, although the Reviewee is committed to develop, the organisation has failed to support them due for example to
- financial constraints
 - inadequate managerial support as agreed in PDP
 - unable to be released from workplace due to limited staffing
 - lack of learning opportunities in the workplace
- the Reviewee **will** progress through their gateway
- 6.4.7 The Line Manager must then take action to ensure that the Reviewee receives the required learning and development. The organisation will monitor such situations through eKSF.
- 6.4.8 The incremental date is not affected by the outcome of a Gateway Review. The reason for this is - if the decision has been taken to defer pay progression, an action plan will have been put in place. Once this action plan has been achieved, and the decision has been taken that the Reviewee can pass through the Gateway, the incremental pay point will be applied, but not backdated. The incremental date will remain the same.
- 6.4.9 If despite reasonable time and resources being provided the Reviewee is still unable to meet the KSF Outline then the Line manager needs to consider if the Capability Policy should be utilised.

6.5 Disagreement between Reviewer and Reviewee

- 6.5.1 If there is disagreement at a Gateway Review about the achievement of the KSF Post Outline, the Reviewee has the right to request an appeal by invoking the NHS Grampian Grievance Policy
- 6.5.2 If during the grievance process the Reviewee reaches their increment it will be deferred until completion of the process. If the result of the appeal shows that they were meeting their KSF Outline, then the increment will be backdated. If the decision is that they cannot demonstrate that they were meeting their outline then they will follow section 6.4.2 of this policy.

7 IF THE EMPLOYEE IS UNABLE TO ATTEND A GATEWAY REVIEW

- 7.1 Situations will arise where an staff member is not available to attend a Gateway Review, either due to leave which is planned and known about in advance (e.g. maternity leave), or leave which is not planned and could not have been foreseen (e.g. long term sickness).
- 7.2 Where it is known in advance that a staff member will be absent from work and therefore not available for a gateway review, it is in the interests of both Reviewer and Reviewee to hold the Gateway Review prior to departure. Where it is not practicable to hold the review prior to the absence a decision will be made based on individual circumstances in accordance with Section 8 below.
- 7.3 During maternity, paternity, adoption leave or sickness absence service is considered to be continuous. Therefore members of staff on this leave should not be penalised if it coincides with a Gateway. The manager should arrange to meet with the staff member as described in 7.2 above.
- 7.4 While this policy tries to give general guidance on how to proceed it will not cover every eventuality – if you are in any doubt about how to proceed it should be discussed with the Human Resources Team.

8 APPLICATION OF THE POLICY WHEN THERE IS UNPLANNED LEAVE

8.1 No previous concern* regarding KSF outline

If a staff member is, for whatever reason, not in a position to attend a Gateway Review, and there has been no evidence to date that they are not applying the necessary knowledge and skills to the demands of the post (as set out in the KSF outline), that staff member progresses through the Gateway at the normal incremental date. As soon as possible after the staff member returns to work a review should take place so that the Personal Development Plan can be updated and agreed.

8.2 Existing concern* regarding KSF outline (already raised with Reviewee)

8.2.1 If, prior to the absence, there have been concerns that the staff member is not applying the necessary knowledge and skills to the demands of the post (as set out in the KSF outline), and they have been advised in writing that deferment is a possibility, progression through the Gateway is deferred until a review can take place.

8.2.2 When progression has been deferred, but following the Gateway Review, the concerns prove to be unfounded (i.e. the personal development plan or any agreed action plan proves to have been met) then progression through the Gateway is backdated to the original incremental date. This is because in this instance the review meeting has been deferred rather than the pay progression.

8.2.3 Where the Gateway Review shows that the concerns were justified, and the Reviewee is unable to demonstrate application of the necessary knowledge and skills, progression continues to be deferred and an action plan is agreed (as in 7.2).

8.2.4 If an individual staff member has been on a sickness absence which then progresses to ill health retirement they should still be offered the opportunity for a review to see if the concerns have been unfounded (as in 9.2.2 above) as this may affect their pension payment.

8.3 Existing concern* regarding KSF outline – not previously raised with the individual

The KSF system is based on the principle of no surprises – it therefore follows that if concerns exist but have not been raised with the staff member it would be inappropriate to withhold progression through the gateway.

NOTE: See Glossary of Terms at **Appendix 1** for definition of “concern”.

9 MONITORING OF THE GATEWAY REVIEW POLICY

- 9.1 The Learning and Development Team will be responsible for compiling reports on the organisational and capability issues surrounding Gateway progression and will submit them to the GAPF - Learning and Development Sub-group, Area Partnership Forum and Staff Governance Committee on a six monthly basis.

- 9.2 The monitoring and review of this policy will be undertaken by the Grampian Area Partnership Forum through the GAPF Learning and Development Sub-group

GLOSSARY OF TERMS

Action Plan

This is a specific plan developed as a result of concerns identified at, or prior to, a Gateway Review

Backdating

Is the process by which pay is retrospective to the original incremental date.

Concern

A situation where there is documented evidence that the individual staff member is failing to meet the requirements of the KSF outline, to the extent that they can no longer have the expectation of progression through the gateway by his or her incremental date.

Delegated Reviewers

These are staff who have agreed to carry out KSF Reviews on behalf of the Line Manager or main Reviewer for the Ward or Department.

Foundation Gateway

This is the first point on the pay band where the KSF is linked to pay progression. Post holders must meet the minimum knowledge and skills as defined in the Foundation Outline in order to pass through the Foundation Gateway.

KSF Foundation Outline

The Foundation Outline describes the knowledge and skills required to be applied by the end of the first year in a Pay Band. Both the Reviewer and the Reviewee must be able to demonstrate that the Reviewee meets the requirements of the Foundation KSF Outline, subset of the fully developed outline at their Foundation Gateway Review.

KSF Fully Developed Outline

The Fully Developed Outline describes the knowledge and skills required to be applied by the individual staff member at the point of the Second Gateway in a Pay Band. Both the Reviewer and the Reviewee must be able to demonstrate that the Reviewee meets the requirements of the Fully Developed KSF Outline at their Second Gateway Review.

KSF Outline

A combination of the 6 Core Dimensions and the appropriate Specific Dimensions set at levels appropriate for your post. There will be a subset and a full outline set for every post.

Pay Deferment

Pay progression does not occur at either the Foundation or Second Gateway incremental date due to the employee not demonstrating the required knowledge and skills of the applicable outline. When the employee does achieve the knowledge and skills, pay progression will recommence from the date of achievement but will not be backdated to the incremental date. The incremental date is not changed.

Personal Development Plan

This is the outcome of the planning stage of the Development Review Process. It focuses on the knowledge and skills that you need to apply to your job.

Reviewees

Members of staff who are going through the review process.

Second Gateway

The second point on the pay band where the KSF is linked to pay progression. This varies depending on which band you are in, being 1, 2 or 3 incremental points before the top of the pay band. Post holders must be able to demonstrate they can apply the level of knowledge and skills as defined in the Fully Developed Outline in order to pass through the Gateway.

KEY RESPONSIBILITIES**Individual**

It is the responsibility of each staff member in partnership with his or her line manager to:

- Identify their learning and development needs.
- Participate fully and positively in any learning and development activity agreed through the personal development planning process.
- Share their learning outcomes where appropriate.
- Take time to learn from experience.
- Keep a record of their learning, e.g, portfolio, eKSF.
- Monitor the time and effort put into learning and development with a view to getting the right work/life balance.

Line Manager

It is the responsibility of the line manager to:

- Organise relevant and timely induction training for new staff.
- Work in partnership with each staff member to identify his or her learning and development needs, ensuring they understand the process and how to access development needs (e.g by using eKSF).
- Consider, and attempt to meet the learning and development needs within the context of strategy, learning plans linked to service plans, policy guidelines and available resources (Reference: NHS Grampian Learning and Development Policy).
- Discuss with each staff member prior to undertaking any learning and development, the objectives of the learning activity, how it is expected to change their knowledge, skills and behaviours, and how these anticipated changes can improve their work.
- Discuss with the staff member after the learning and development activity, what new skills and knowledge they have acquired and how this has benefited their career and the service.
- Support the sharing of learning.
- Encourage staff to learn from experience through reflective practice.
- Identify any statutory/mandatory learning and development requirements and ensure these are met.
- Maximise on individual and team capability to support redesign of services and transfer of learning.

Organisation

It is the responsibility of the organisation to:

- Link all learning and development activities to strategies, plans and resources.
- Support and develop managers to demonstrate the appropriate skills to support individuals, teams and the service.
- Maintain records of statutory and mandatory training and development provided.
- Identify resources and time for learning and development.
- Promote evidence based practice.
- Ensure all in-house training and development is prioritised based on strategy, learning plans and risk.
- Interface with education providers and consider regional and national as well as local dimensions.
- Optimise the benefits of the resources and learning available.
- Ensure the workforce plan includes a section on learning and development.

(extract from NHS Grampian Learning and Development Strategy)

