

Tribunal Advisory Committee, 31 May 2017

Self-Assessment process for agreement renewal

Executive summary and recommendations

Introduction

1. The purpose of this paper is to inform the Committee of the purpose and background of the self-assessment process for agreement renewal, and to seek feedback on the revisions to the process to accommodate the proposed new competency framework for panellists.

Self assessment for agreement renewal

2. Under the HCPC Consolidated Practice Rules, maximum aggregate length of service for a panel member or panel chair is 8 years in any 20 year period. In general and subject to business requirements, the initial contract for services or 'agreement' is normally offered for a period of 4 years.
3. In order to be offered a renewal of the agreement, panel members and panel chairs are required to undertake a self-assessment process to assist their personal development and to ensure that they remain competent to carry out the role to the required standards. The individual panel member completes a self-assessment form, which is then reviewed and scored by a panel chair and a member of the executive. For panel chair self assessment, the form is reviewed by a member of the Council and a member of the executive.
4. The current self assessment process for agreement renewal was introduced in 2010 as a result of guidance by the Professional Standards Authority (formerly CHRE) about the continued importance of the appraisal and assessment of panel members and panel chairs. Prior to the introduction of self assessment, the agreements of panel members and panel chairs were renewed without any reappointment or reassessment process.
5. The current process is designed to provide an appropriately rigorous approach to agreement renewal without requiring panelists to re-apply and be re-interviewed for their roles. Currently the process covers panel members and panel chairs.
6. Recent feedback from a range of stakeholders including panel members and panel chairs has been that the self-assessment for agreement renewal process is unnecessarily detailed and lacking in clarity. In addition, pass rates for the exercise have declined over the last 18 months. As a result, the criteria and instructions for this the process have been reviewed and simplified in line with the proposed competency framework. These are enclosed at Appendix III.

7. A number of panel members are due to complete the self-assessment for reappointment process in summer 2017, followed by a further cohort in March 2018. It is planned that the revised self-assessment criteria will be piloted in these exercises, followed by evaluation.
8. On occasion, it is essential to stagger agreement expiry dates to avoid loss of unmanageable numbers of panel member and panel chair resources at the same time. If staggering is necessary then any differing lengths of agreement renewal offered are decided based on the self-assessment exercise score.
9. A major project is due to be completed in Autumn 2017 to introduce a new IT system to support a range of processes around the recruitment, training, appraisal and self-assessment for reappointment for all 807 HCPC partner roles. The new system has been built to run the current self-assessment process (i.e. an on-line form completed by a panel member and assessed by a panel) although the number and type of competencies can be altered.

Decision

The Committee is asked to note the self-assessment process for agreement renewal and to comment on the planned timetable for evaluation. No decision is required.

Resource implications

None

Financial implications

None

Appendices

Appendix 1 – Revised Self-assessment form and guidance for panel members

Appendix 2 – Current Self-assessment form and guidance for panel members

Date of paper

15 May 2017

Partner Sage No:

Self-assessment submission:

Please refer to the Guidance Notes before completion.

A: Assimilating and Clarifying Information: quickly assimilates information to identify essential issues, develops a clear understanding and clarifies uncertainty through eliciting and exploring information.

Please give examples to demonstrate how you meet this competency

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B: Working With Others: conducts proceedings appropriately, values diversity and shows empathy and sensitivity in building relationships.

Please give examples to demonstrate how you meet this competency

C: Exercising Judgement: demonstrates integrity and applies independence of mind to make incisive, fair and legally sound decisions.

Please give examples to demonstrate how you meet this competency

D: Possessing and Building Knowledge: possesses a detailed knowledge of the relevant law and procedure and demonstrates an ability and willingness to learn and develop

Please give examples to demonstrate how you meet this competency

E: Managing Work Efficiently: works effectively, collaboratively, and plans to make the best use of resources available

Please give examples to demonstrate how you meet this competency

F: Communicating Effectively: demonstrate a clear and succinct communication style both orally and in writing,

Please give examples to demonstrate how you meet this competency

Identification of training needs

Please give details below of any training needs that you have identified for yourself whilst completing your self-assessment.

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Guidance notes

What is assessed?

The assessment criteria are the six headline competencies in the HCPC Competence Framework for Panellists. The HCPC framework is adapted from the Judicial Skills and Abilities Framework 2014 for the Courts and Tribunals Judiciary, which is a framework of competencies setting out the skills, knowledge and behavioural attributes needed to perform a role in tribunals.

The HCPC framework is based around the following six headline competencies that all HCPC panellists are required to demonstrate:

A	Assimilating & Clarifying Information: Quickly assimilates information to identify essential issues, develops a clear understanding and clarifies uncertainty through eliciting and exploring information.
B	Working with Others: Conducts proceedings appropriately, values diversity and shows empathy and sensitivity in building relationships.
C	Exercising Judgement: Demonstrates integrity and applies independence of mind to make incisive, fair and legally sound decisions.
D	Possessing & Building Knowledge: Possesses a detailed knowledge of the relevant law and procedure and demonstrates an ability and willingness to learn and develop.
E	Managing Work Efficiently: Works effectively, collaboratively and plans to make the best use of resources available.
F	Communicating Effectively: Demonstrates clear and succinct oral and written communication skills.

What do I need to do?

You should assess your performance of the competencies set out above. The HCPC Competence Framework is also enclosed for your information and you will see that this assessment focusses on the competencies in the left hand column of the framework.

You need to give **examples** of **how** you meet the competencies in your professional life, this could be as a Panel Member or in other roles that you undertake. Please make sure that you provide specific examples which address and demonstrate the whole of the competency as described. You should use your judgement and examples that you deem appropriate.

Assessors will be looking for between one and three examples to support how you meet each of the competencies. It is not sufficient to simply state your behaviour matches the competency, you need to support this by using specific examples of **how** and **where**. If you just give one example per competency you will need to ensure that it is sufficiently detailed to be relevant to the full competency as described.

You may find it useful to refer to the STAR technique for structuring your examples.

Situation or Task	Describe the situation that you were in or the task that you needed to accomplish. You must describe a specific event or situation, not a generalised description of what you have done in the past. Be sure to give enough detail for the situation to be understood. The situation can be from any aspect of your professional life, i.e. your current role as a panel member or in any other role that you undertake.
Action you took	Describe the action that you took and ensure that the focus remains on you. Even if the example relates to a group or panel activity ensure that your action and contribution is clearly described.
Results you achieved	Describe the results or outcome, what you achieved and any learning that you gained from the experience

What are the assessment criteria?

Assessors will use the following scale against each competency to assess your submission.

Score	Performance Rating	Rating Meaning
0	No example given	This competency was not addressed in the answer.
1	Limited	The answer did not demonstrate the competency due to minimal examples and/or explanation.
2	Satisfactory	The examples demonstrate the competency at the level required for the role.
3	Good	The examples demonstrate the competency at a skilled and proficient level.
4	Exceptional	The examples demonstrate the competency to an exceptionally high level and show additional good practice.

How do you decide if I should be re-appointed?

Once submitted, assessments will be examined by a re-appointment panel consisting of a representative from the Fitness to Practise (FTP) Department and a Panel Chair. Each reappointment panel member will assess your submission and allocate a score for the examples given in your submission. They will make a decision about whether or not you should be offered a further agreement based on this score and on the resourcing requirements of the FTP department.*

The total possible score is 24 across the six criteria. In order to be re-appointed, you must achieve an **average score of 12** per assessor.

The Panel will look carefully at each of the competencies and consider the information that you have submitted to evidence each one.

Your self-assessment is completely anonymous and the scoring is undertaken in isolation by each panel member and then collated.

When will I find out if I've been successful?

We intend to inform panel members of the outcome and provide feedback within 4 weeks of the submission deadline.

Can I appeal against the decision if I am not re-appointed?

There is no right of appeal against the outcomes of this exercise. However, please make sure that the Partners team are aware of any extenuating circumstances at the start of this process, and we will endeavour to make sure that we can accommodate any reasonable requests.

If I am unsuccessful can I still apply in the future for a Panel Member position?

Yes, although you will need to ensure that you take account of and learn from the outcome and feedback from the self-assessment exercise. As new roles become available they will be advertised on our website in the usual manner.

*Please note:

The HCPC keeps the number of Partners across all professions under review to ensure that the spread is correct in relation to the amount of work we undertake and to support our partner workforce planning. Therefore on occasion we may be obliged to re-appoint fewer Partners than currently hold agreements.

In this instance, Partners will be re-appointed in rank order, according to their total self-assessment scores.

During scoring, your self-assessment profile will only be identifiable by your partner number to ensure confidentiality and fairness within the process.

Panel Member self assessment for agreement renewal

Guidance notes

- **What is assessed?**

The assessment criteria are adapted from a document published by the Judicial Studies Board in November 2007, entitled 'Tribunal Competences Qualities and Abilities in Action and is a framework of competencies setting out the skills, knowledge and behavioural attributes needed to perform a role in tribunals.

The framework is based around five headline competences and has desired behaviours linked to each headline.

The headline competences are:

A	Knowledge and values
B	Communication
C	Conduct of cases
D	Evidence
E	Decision making

- **What do I need to do?**

You should assess your performance of the competencies outlined in this document. You can use the examples of positive and negative indicators as a guide but you must give **examples of how** you meet them in your professional life, this could be as a Panel Member or in other roles that you undertake. Please make sure that you provide specific examples in response to each of the criteria. The positive and negative indicators are a guide only. There may be behaviours that are not covered but you believe are worthy of comment. You should use your judgement and examples that you deem appropriate.

Assessors will be looking for a broad range of examples to support how you meet each of the competencies. It is not sufficient to simply say your behaviour matches the indicator; you need to support this by using specific examples of **how** and **where**.

- **What are the assessment criteria?**

Assessors will use the following scale to assess your submission.

Score	Performance Rating	Rating Meaning
0	No example given	This competency was not addressed in the answer.
1	Very poor	The answer given did not demonstrate competence in this area due to minimal examples.
2	Limited	The examples given demonstrated some competence but not to an appropriate level.
3	Good	The examples given demonstrated an appropriate level of competence as required for the role.
4	Exceptional	The examples given demonstrated an excellent level of competence and showed additional good practice.

- **How do you decide if I should be re-appointed?**

Once submitted, assessments will be examined by a re-appointment panel consisting of a representative from the Fitness to Practise (FTP) Department and a Panel Chair. Each reappointment panel member will assess your submission and allocate a score for the examples given in your submission. They will make a decision about whether or not you should be offered a further agreement based on this score and on the resourcing requirements of the FTP department.*

The total possible score is 44 across the eleven criteria. In order to be re-appointed, you must achieve an **average score of 33** per assessor.

The Panel will look carefully at each of the criteria and consider the information that you have submitted.

Your self-assessment is completely anonymous and the scoring is undertaken in isolation by each panel member and then collated.

- **When will I find out if I've been successful?**

We intend to inform panel members of the outcome and provide feedback within 4 weeks of the submission deadline.

- **Can I appeal against the decision if I am not re-appointed?**

There is no right of appeal against the outcomes of this exercise. However, please make sure that the Partners team are aware of any extenuating circumstances at the start of this process, and we will endeavour to make sure that we can accommodate any reasonable requests.

- **If I am unsuccessful can I still apply in the future for a Panel Member position?**

Yes, as these roles become available they will be advertised on our website in the usual manner.

*Please note:

The HCPC keeps the number of Partners across all professions under review to ensure that the spread is correct in relation to the amount of work we undertake and to support our partner workforce planning. Therefore on occasion we may be obliged to re-appoint fewer Partners than currently hold agreements.

In this instance, Partners will be re-appointed in rank order, according to their total self-assessment scores.

During scoring, your self-assessment profile will only be identifiable by your partner number to ensure confidentiality and fairness within the process.

Self-assessment submission form

Partner Sage No:

A: Knowledge and values

To demonstrate headline competence A, a panel member should:

Possible score	Competence breakdown
4	Have an understanding of the legal framework, jurisdiction, procedures and subject matter of the hearing.
4	Exhibit professionalism and show commitment by applying him/herself to providing high standards of public service
4	Be aware of and respects diversity in all forms (Including but not exclusively – beliefs, gender, race, religious customs, age, disability, mental capacity, sexual orientation, transsexuality, social or economic status, marital or civil partnership status and lifestyles).

Example behaviours

Positive Indicators	Negative Indicators
Demonstrates an awareness of the legal framework, jurisdiction, procedures and subject matter of the hearing.	Heavily relies on other members of the panel to outline the legal framework, jurisdiction and HCPC procedures.
Is aware of the collective and respective roles of the hearing's members and staff.	Appears unaware of the roles of all members of the hearing including the panel and HCPC employees.
Is properly prepared for the case	Has not adequately prepared for the case through pre reading of the bundle
Ensures the requirements of those with additional needs are properly met.	Ignores a need for adjustments and/or additional information/ assistance.
Shows a ability and willingness to learn and develop professionally	Displays a lack of interest in panel learning or development
Identifies, acknowledges and sets aside personal prejudices.	Makes comments which could be perceived as being biased or discriminatory

Panel Member comment and examples	

B: Communication

To demonstrate headline competence B, a panel member should:

Possible score	Competence breakdown
4	Communicates effectively
4	Listens and responds effectively and appropriately.

Example behaviours

Positive Indicator	Negative Indicator
Uses correct forms of address and appropriate language	Does not check appropriate forms of address or does not use them when established.
Asks clear, concise, relevant and understandable questions in a manner that is sensitive to all	Adopts lengthy questioning techniques that are often irrelevant to the facts or process.
Takes steps to facilitate effective communication and eliminate or reduce,	Contributes through questioning or style to difficulties in the hearing that

so far as practicable, potential difficulties for those appearing before the tribunal.	impact on HCPC reputation or duration/outcome of hearing
Treats everyone with respect and recognises diversity.	Makes inappropriate comments which could be perceived as being biased or discriminatory.
Uses language that is readily understood by all	Uses complex or technical language in questioning or panel discussions
Employs active listening skills and uses appropriate body language	Appear visibly disinterested and/or distracted throughout the hearing.
Is able to recognise limitations in their own knowledge and uses questioning appropriately to expand their knowledge to grasp the facts of a case.	
Regularly checks the understanding of all participants including colleagues.	Rarely or never checks understanding of participants/colleagues.

Panel Member comment and examples

C: Conduct of cases

To demonstrate headline competence C, a panel member should:

Possible score	Competence breakdown
4	Conduct him/herself in a manner that establishes and maintains the independence of the tribunal and the panel.
4	Demonstrate integrity and independence

Example Behaviours

Positive Indicators	Negative Indicators
Recognises and discloses any potential conflicts of interest.	Does not recognise a conflicts of interest that become relevant during the hearing and/or waits until the day of the hearing to disclose a known conflict
Is punctual, well prepared and dresses appropriately.	Is late, does not have appropriate equipment (e.g. pen and paper) or is dressed unprofessionally.
Recognises and respects the needs of those appearing without representation.	Does not make attempts such as summarising or explaining process/outcome to those who are unrepresented.
Behaves in a measured, calm and non-confrontational manner.	Is visibly irritated, rude to attendees and/or the panel/employees and/or could be seen to be intimidating witnesses.
Participates in the tribunal in a way that enhances and promotes fair treatment.	Fails to recognise diversity, displays bias and appears to favour the evidence of particular attendees.

Panel Member comment and examples



D: Evidence

To demonstrate headline competence D, a panel member should:

Possible score	Competence breakdown
4	Undertake necessary preparatory work for all cases.
4	Identify and assimilate relevant facts and expert evidence
4	Ask questions concerning material issues

Example Behaviours

Positive Indicators	Negative Indicators
Exhibits familiarity with the points of issue in the case	Is unaware of the points off issue either through a lack of preparation or an inability to grasp the facts.
Identifies the areas requiring clarification or investigation	Does not use panel discussions to propose the approach to clarification and/or asks lots of unnecessary questions in the hearing without conferring with panel colleagues.
Quickly absorbs and analyses information	Often requires information to be repeated or reframed to aid their understanding
Identifies and uses only relevant facts and expert evidence from written and oral sources	Ask questions around facts that are irrelevant to the case and seeks to use irrelevant evidence during deliberations.
Asks questions in such a way as to elicit evidence relevant to the issues.	Asks irrelevant questions.

Panel Member comment and examples

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E: Decision making

To demonstrate headline competence E, a panel member should:

Possible score	Competence breakdown
4	Take an active part in deliberations and decision making, demonstrating sound judgement.

Example Behaviours

Positive Indicators	Negative Indicators
Appropriately participates in the decision making process	Appears withdrawn during deliberations and demonstrates a lack of understanding of the issues
Expresses opinions in discussion relevant to the issues.	In unable to form an independent opinion on the facts presented.
Considers opinions and advice of others before making a decision.	Does not allow other members of the panel to speak and put forward their opinion. Demonstrates disinterest in the opinions of other members of the panel.
Properly weighs the sufficiency and quality of evidence	May fixate on one or a series of points, or demonstrate lack of understanding of significance of other evidence.
Makes reasoned decisions based on the relevant law and findings of fact.	Attempts to drive decisions that are not relevant to the case, law or purpose of HCPC.

Panel member comment and examples

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Identification of training needs

Please give details below of any training needs that you have identified for yourself whilst completing your self-assessment.

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