



**BRATHAY TRUST**

**LEARNING & DEVELOPMENT POLICY**

**POLICY & MANAGEMENT GUIDELINES**

**DOCUMENT MANAGEMENT RECORD**

**LEARNING & DEVELOPMENT POLICY & MANAGEMENT GUIDELINES**

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## **SUMMARY POLICY STATEMENT**

### **Introduction**

Our people and culture statement states: 'We strive to create a working environment that is vibrant, innovative and results focused where people feel valued and supported'. Agreeing clear objectives, and developing people to achieve them, is at the heart of how we learn as individuals and as an organisation.

We believe that people are our most valuable asset and therefore we seek to support and develop our staff in line with the organisational needs stated in our business plan, affordability, and personal aspirations.

We are ISO 9001 accredited and achieved the Investors in People accreditation in July 2014. We continue to develop our practice in line with the principles underlying both standards.

Brathay aims to develop all staff in order that they may have the knowledge, skills, attitudes and commitment necessary to meet current and future organisational needs.

We have a wide range of learning and development initiatives:

- Induction programme
- On the job training
- Work shadowing
- One-to-one meetings
- Team meetings
- Staff communication sessions
- Information sharing/cascading learning sessions/practice workshops
- Formal training courses (internal and external)
- Guided reading

### **Responsibility for Learning & Development**

There is a collective responsibility for learning and development.

Managers are responsible for ensuring that they have the appropriate knowledge/skills in their team to ensure that business objectives can be met and for procuring training according to business need.

Where skills cannot be developed internally in the timescales required, it may be appropriate to recruit (on either a voluntary, temporary, or permanent basis) from outside the organisation.

Individuals are responsible for putting the appropriate time and effort into their training by keeping their Learning Record up to date and applying the learning to their work situation.

### **Funding**

Brathay has a budget for training, but it may not be possible to fund all the training and development that is requested. We aim to achieve a balance between organisational, team, and individual learning, in line with business needs for the short and longer term.

HR and regional teams work with local training providers/funders etc. to ensure that our training budget is spent in the most effective manner and, wherever appropriate, staff are asked to cascade their learning to ensure the best return on our investment in learning.

Where training requests cannot be met from the training budget, staff have the option to use the salary sacrifice scheme.

Where members of staff leave Brathay within 12 months of having had a significant amount of the training budget spent on their personal development, Brathay has the right to deduct a proportionate amount from the leaving payment.

### **Career Progression**

It will not always be possible to provide as wide a range of career opportunities as people might ideally like to have. For instance, Brathay has an apprentice scheme, but may not be able to offer a permanent position at the end of the apprenticeship.

We therefore understand that, after a period of time, individuals may wish to take up other employment elsewhere in order to further their personal development/career.

The appraisal meeting should be seen as an opportunity for an open and honest discussion about an individual's future aspirations.

### **Reporting**

The HR team collates and benchmarks information on learning and development on a regular basis, reporting via the Executive Team to Trustees.

*This policy applies to permanent staff and those on fixed-term contracts.*

*Appropriate arrangements exist for our Associate and Sessional workers, and Volunteers.*

## **LEARNING & DEVELOPMENT PROCEDURES**

[On the first occasion they are mentioned, documents in bold are available via the intranet]

### **Induction Programme**

All new employees receive an appropriate **Induction Programme**.

The aim of an induction programme is to familiarise the employee with the organisation and their role within it, and always includes appropriate Health & Safety, Safeguarding and Equality & Diversity training. It also includes the observation of both Children and Young People (CYP) and People and Organisation Development (POD) programmes.

Line Managers are responsible, in consultation with each individual, for ensuring an appropriate induction programme, which should include any training and development needs identified during the recruitment and selection process and take into account the individual's preferred learning style(s). Those carrying out induction sessions ensure that they explain their roles (and those of their team) *in relation to* the new member of staff's role.

All new employees are, where appropriate, assigned a buddy from their department, and receive a copy of the Induction Programme, and guidance in how to complete their **Learning Record**.

All staff are employed on the basis of a probationary period, at the end of which there is a formal review, including any training/development still to be completed, and/or new training needs identified (Appendix 1).

### **On-going training and development**

Once the induction training programme has been successfully completed, further learning and development initiatives take place as appropriate.

Individuals are responsible for keeping their Learning Record up to date and discussing them with their line manager at one-to-one and appraisal meetings.

The following gives an idea of the types of learning and development events to be considered, but is not exhaustive:

#### ***On the job training***

Post-induction training to continue to learn the key aspects of the role.

#### ***121 meetings***

Documented meetings (every 6-8 weeks) with your manager to discuss how you are progressing in your role and to identify any areas for improvement/training. Feedback from the period under review is also discussed and documented.

#### ***Team/Staff Communication Sessions***

Information is provided on a regular basis to reinforce and update understanding of the organisational objectives, policies and procedures, and other items of interest! For those who cannot attend, key notes are published via the intranet and Line Managers ensure that absentees are brought up to date.

### ***Secondments/Job Shadowing - Internal***

Where practicable, to encourage job satisfaction and maximise efficiency, staff will be trained in a variety of skills to achieve flexibility within and across departments/teams.

### ***Secondments/Job Shadowing - External***

Given the length of service of some Brathay employees, it may be appropriate to gain some different, but nonetheless relevant, experience in a different environment.

### ***Information sharing/Cascading learning sessions***

Given the collective knowledge contained within the organisation (staff, associate networks, Research Hub etc.), there are ad hoc sessions to share learning acquired from external courses/events, new developments, update skills etc.

### ***Other external networking opportunities***

We are members of a range of professional bodies including: the Institute of Outdoor Learning (IoL), the Chartered Institute of Personnel and Development (CIPD), Chambers of Commerce, and the National Council for Voluntary Youth Services (NCVYS). Through these and other bodies (eg, Cumbria Rural Women's Network), we are invited to a range of cost-effective networking events, seminars and conferences etc.

### ***Formal Training Workshops – Internal***

Safeguarding  
Equality & Diversity  
Recruitment and Selection  
Management Development  
Software/application specific  
Others

### ***Formal Training Courses – External/Web-based***

Safeguarding: for practitioners  
Outdoor: technical skills, first aid etc.  
Psychometric/personality/behavioural frameworks: (TA, MBTI, NLP etc.)  
IT courses: Word, Excel, Power Point, Access etc.  
Financial Management and Awareness

Job-related further education may also be considered as an important element of an individual's personal development. This could include courses at colleges of further education, correspondence courses and NVQs, where appropriate. Staff applying for such courses may be granted day release and/or a contribution towards their course fees/books.

### ***Guided Reading***

...and not forgetting the written word. There is a wealth of information contained in our resources library and internal systems.

## APPRAISAL PROCESS (Appendix 2)

Brathay has an appraisal process that seeks to align our organisational, team and individual learning with the desired outputs from our business planning process.

Key aspects of the process include: objective setting, agreeing required capabilities, managing day to day performance, training and development, and reviewing performance.

This is done via twice-yearly **Appraisal and Objectives Reviews** in April (detailed) and October (overview, focussing on any changes required), with interim **121 Meetings** every 6-8 weeks (but see Appendix 1 regarding one-to-one meetings during probationary periods).

Personal development is discussed during 121 meetings and reviewed as part of the appraisal process. Individuals are expected to present well-researched proposals (method of training, costs, time required etc.) for discussion with their manager.

Training and Development needs identified during the year are collated by the HR Manager. Individual training and development needs, together with proposals for team development and broader organisational learning for any given financial year are considered as part of the budgeting process, with sufficient financial provision being made to allow for some unplanned activity during the year.

The timetable is normally as follows:

Feb/March:	budget/business plan (including training spend) agreed by Trustees
April/May:	objectives set via appraisals
October:	objectives review, noting any changes required to meet objectives by year end
Jan – Mar:	final appraisal, including initial assessment of training needs for the year ahead

Once individuals are performing competently in their job and are happy in their work, they may decide that they do not desire any further development. This will be accepted and documented, *except for where there is a business requirement to upgrade skills* (eg, the introduction of a new computer system/social media, a client-driven requirement etc.).

### **Training Request/Evaluation Forms: data capture**

Where the training has been budgeted for, the line manager meets with the individual in order to complete part one of the **Training Request/Evaluation Form** and agrees the objectives for the training/development. Part one is authorised by the budget holder and a purchase order number requested from the Finance Team by the Line Manager *prior to* individuals booking external courses etc.

Once a training event has taken place, the line manager meets with the individual to complete part two of the Training Request/Evaluation Form in order to assess the effectiveness of training and the relevance of the learning to the workplace. Where it is agreed that the learning is to be cascaded, responsibilities for organising training sessions, together with timescales, are documented.

The completed Training Request/Evaluation Form is then sent to the HR team for monitoring and evaluation purposes in order to report on training spend/staff time spent on personal development.

Individuals also complete their Learning Record, which is structured to encourage individuals to think about the application of the learning to their working environment and how learning/knowledge can be shared within Brathay.

## **RESPONSIBILITIES**

### Trustees

Responsible for:

- Overall responsibility for the policy, and ensuring a balance between business needs, affordability and equity.

### Executive Team

Responsible for:

- Agreeing the training budget in line with business needs, affordability and equity
- Ensuring that agreed training activity takes place
- Reporting to Trustees on training metrics via the board report

### Line Management

Responsible for:

- Ensuring that an appropriate induction programme is planned for new members of staff
- Ensuring that probationary review are carried out in a timely manner
- Ensuring each member of staff has regular 121s, and that individuals update their Learning Records
- Ensuring that 121s and appraisals are properly prepared for and that procedures are followed
- Ensuring that part one of the Training Request/Evaluation Form is completed prior to the training event
- Procuring appropriate training according to business need
- Raising POs for budgeted training (and associated expenses) and liaising with the Finance prior to the training event
- Ensuring that part two of the Training Request/Evaluation Form is completed and passed to HR
- Raising any business-critical but non-budgeted training need with a member of the Executive Team
- Requesting refresher training as and when required

### Individual Responsibility

Responsible for:

- Raising any knowledge/skills/training issues as soon as they arise
- Following procedures (keeping Learning Record up to date etc.)
- Engaging with the process and working with their Line Manager (preparing for, and attending 121/appraisal meetings, etc.)
- Researching any training needs (cost, time, dates etc.) where appropriate
- Putting the appropriate time and effort into their training by keeping their Learning Record up to date and applying the learning to their work situation.



## **APPENDIX 1: PROBATIONARY PERIODS**

### **Introduction**

A probationary period is a trial period for a new employee. It allows both the line manager and the employee to assess objectively whether or not the new recruit is suited to the role, taking into account the individual's overall capability, skills, performance and general conduct in relation to the job in question.

The use of probationary periods increases the probability that new employees will succeed in their employment, as it is much better for both line managers and employees to deal with any issues as soon as they arise.

### **Length of probationary periods**

Typically, Brathay uses either a three-month or a six-month probationary review, depending on the complexity of the role and a realistic view of how much time might be needed for the job holder to become competent in the role. This is clearly stated in the individual's offer of employment, together with the fact that their employment is subject to the successful completion of a probationary period.

### **Induction Programme**

During a new employee's probationary period, the line manager organises and follows the formal structured induction programme to ensure that the new employee has the *relevant* background information required in order to fulfil their role.

All essential elements must be completed before the probationary period ends.

### **Probationary Period 121s**

These are held at least every month in the first 3 months of a probationary period in order to assess and review the new employee's performance in the role and any development/support required.

The form is available via the intranet, but may need to be adapted slightly for new employees

It is the line manager's responsibility to ensure that all probationary review meetings are completed on time.

### **Final Probationary Review meeting**

At the end of the probationary period, the manager arranges a 'final progress review' of the employee's performance and suitability for the job, using the 'skills and experience' section of the job description as a checklist.

This allows both the manager and the employee to:

- identify and discuss any areas in which the employee requires further training or development
- check how the employee feels about his or her employment in general and
- explain how performance will be managed in the future (ie, through Brathay's appraisal system).

### **Extending probationary periods**

If, at the end of the set probationary period, the employee's performance is unsatisfactory (or in cases where the employee or the manager has been absent from the workplace for an extended period during probation) an extension of the probationary period may be appropriate.

### Internal Promotions and Transfers

Probationary periods are also used for employees transferring or promoted internally, due to the fact that new roles usually involve duties and responsibilities that are significantly different from those of the employee's old job.

### Dismissal during or at the end of the probationary period

If a probationer's performance is unsatisfactory, and it is clear that further training or support is unlikely to alter the situation, termination of the employment will be the next step.

### PROBATIONARY REVIEW PROCESSES

What	When	Who
Induction Programme	Day one of employment onwards	LM
121 Meetings	Throughout probation period (at least every month in first 3 months).	LM Ensures copies sent to HR and that any problems identified as soon as they arise
Any problems during probationary period	As soon as they arise	LM to speak with HR
Probationary review	On-going: check that all pre-employment documentation is complete (DBS, 2 references etc.)	HR
Probationary decision form issued to LM	2 weeks before probationary review end date	HR
Final probationary review meeting held	1-2 weeks before probationary review end date	LM
Probationary review decision/recommendation: employ or defer	By probationary review due date	LM completes form and sends to HR (with the completed probationary review 121 attached)
Preparation of letter to confirm appointment	By probationary review due date	HR
Meeting to hand letter to employee	On probationary review date	LM

## APPENDIX 2: BRATHAY'S APPRAISAL PROCESS

At Brathay, we value quality time for two-way communication. 121 meetings are carried out regularly on an informal basis, and more formal appraisal meetings, where objectives are agreed and reviewed, are carried out twice a year in April and October (review).

In this way, we hope to ensure that individuals are clear about what they are being asked to achieve, and that training and development needs are closely aligned with business objectives.

All appraisers receive initial and refresher training (as appropriate) in order to help the appraisee understand and engage with the process.

### ***Benefits to Brathay:***

- Happy and motivated employees (you know what you should be doing and how it fits into the Trust's overall strategy).
- Everyone pulling together to achieve the Trust's business objectives.
- Any issues can be constructively addressed *before* they become problems.
- Opportunity to assess the Trust's knowledge/skills gap and develop plans to ensure that the organisation has the skills to take the business forward.
- Consistency: all employees follow the same appraisal process.

### ***Benefits to you:***

- Provides a framework for a meaningful two-way discussion between you and your appraiser (you *can* make a contribution to the Trust's future direction).
- Opportunity to agree objectives and understand what you have to do and how this fits in with the Trust's overall business objectives.
- Opportunity to give constructive feedback to management as to what could go better/improvements/suggestions etc.
- Learning and development is clearly linked to business objectives.

### **Timetable**

- Business plans are discussed at Trustee meetings throughout the year, in order to review progress to date and ensure that all parts of Brathay are working together towards agreed organisational objectives.
- Line Managers are asked to identify any training needs for the financial year ahead as part of the budgeting process.
- The business plan (including the training budget) is agreed by the Trustees in February/March each year.
- Thereafter, departmental plans are finally agreed, and Line Managers can start to consider what objectives can be delegated to individual members of his/her team.
- Formal appraisals are carried out in April each year to agree objectives for the next 12 months (apart from employees who work on a project basis)
- Regular 121 meetings take place between the individual and the Line Manager every 6-8 weeks to check on progress against business training objectives.
- These are read by the HR Manager and any additional training needs noted and discussed with the Executive Team.
- Objective reviews are carried out in October each year, focussing on any changes (including training) required to meet the agreed objectives by the financial year end.

## General Notes

- Individuals should usually have no more than 6 main objectives relating to the organisational strategy and objectives delegated to other members of the team (see Appendix 3)
- Objectives should be 'SMART'

<b>Specific:</b>	To an individual.
<b>Measurable:</b>	How will an individual know that the objective has been achieved, what evidence will be collected?
<b>Achievable:</b>	Stretching and challenging, but not impossible.
<b>Relevant:</b>	Linked to departmental/organisational business plans
<b>Time-framed:</b>	In terms of agreed completion dates.

## Preparation

The appraiser (Line Manager) should arrange a brief preparation session with each appraisee at least 2 weeks before the intended appraisal meeting date to:

- Agree a suitable time for the appraisal meeting with the appraisee.
- Explain the procedures to be followed (especially in the case of new employees).
- Issue the objective review form to the appraisee and encourage them to complete and return it before the agreed appraisal meeting date (the individual is given up to 30 minutes' work time in order to do this). The appraiser also prepares an objective review form and these will be exchanged at least 2 days before the agreed appraisal meeting date so that discussions during the appraisal meeting are more informed.
- Agree the job description to be used. Job descriptions are considered to be 'living documents' and should be reviewed at each appraisal to ensure that they reflect the actual job being undertaken by the appraisee.
- Where changes are required, the HR team is able to provide advice and guidance and draft a revised job description to be agreed at the appraisal meeting itself.

Assuming that an objectives review meeting was carried out in October and that regular 121 meetings have been held throughout the year, discussion about the past should be a brief summary. The focus of the appraisal meeting should be on forward planning, and a discussion about appropriate training, development and support.

A suitable venue should also be booked by the appraiser so that the meeting can be carried out without interruptions. As a guideline, in most cases *at least* one hour should be set aside for objective review meetings in order to allow a meaningful discussion.

### **Appraisal and Objective Review Form – Appraiser (Line Manager)**

Before completing this form it is helpful to refer to notes from the previous appraisal, 121 meetings, and the appraisee's job description.

The appraiser should complete the form before the appraisal meeting, using the summary section to review feedback received since the previous appraisal (as noted during 121 meetings) and ensure that it accurately reflects overall performance during that time, including team-working, values and behaviours etc.

The appraisal summary should make reference to the appraisee's Learning Record. Any training and development received during the review period should be noted, together with any impact on performance (to reflect the TREFs held in HR).

Where appropriate, additional sheets can be used to make any notes arising from the appraisal meeting.

Where the appraisee has changed departments, or has reported to a number of different people via project teams etc., the appraiser should consult with those concerned so that a complete picture of the period under review can be obtained.

Any other issues that need to be raised with the appraisee can also be noted on the form (sickness absence, time-keeping, values and behaviours etc.) **as long as the issues have previously been discussed with the appraisee as and when they arose.**

At this stage, the form is a draft only and should be exchanged with the appraiser at least 2 days before the appraisal meeting date.

### **Appraisal and Objective Review Form – Appraisee**

Before completing this form, the appraisee should refer to the previous appraisal, 121 meetings, and the current job description. Any feedback received during the review period should also be considered, as this might give an insight into things to celebrate/areas for development

This should be completed before the appraisal meeting, looking at past performance, present performance, and any future training requirements and/or career aspirations.

Any other issues that need to be raised with the appraiser can also be noted on the form.

At this stage, the form is a draft only and should be exchanged with the appraiser at least 2 days before the appraisal meeting date.

### **Learning Record**

The Learning Record should be updated *and completed by the appraisee* on a regular basis. This should cover all learning acquired during the review period, including:

- Induction training
- On the job training
- One to one meetings
- Departmental meetings
- Monthly briefing meetings
- Formal training courses (internal and external)
- Work shadowing
- Guided reading
- Activities carried out during the appraisee's leisure time where the learning is relevant to their work and future aspirations.

### **Objectives going forward**

This form should be used to agree future objectives of the appraisee (no more than six) and any training and development required to achieve those objectives.

Where this has not previously been budgeted for, time scales and costs should be given.

Please refer to the Trust's Learning & Development policy concerning responsibilities for training and development.

Where appropriate, additional sheets can be used to make any notes arising from the appraisal meeting.

### **Objectives review meeting**

These summary meetings take place every October, focussing on any changes required in order to meet the objectives set in April by the end of the financial year. Where new objectives need to be set (for instance where people are working on a project basis), these will be agreed at this stage or via the 121 process, as and when appropriate.

### **After the appraisal/objectives review meeting**

The appraisal form is completed (either hand-written or typed) by the appraiser within 2 days of the appraisal meeting taking place and then passed to the appraisee for their comments and signature.

The appraiser also signs and dates the form before sending it *electronically only* to HR.

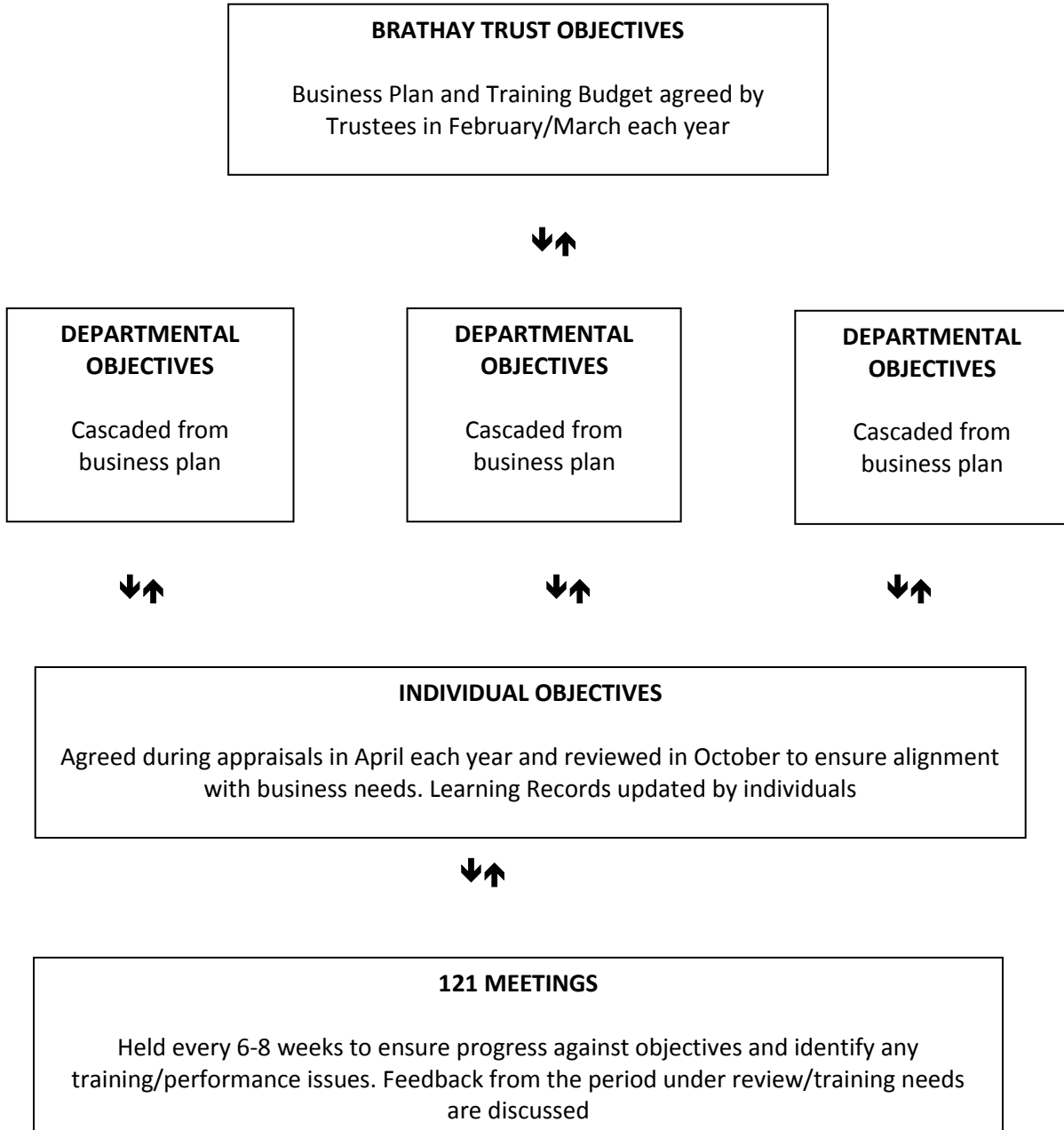
Emails from appraisees agreeing to their objectives/appraisal are accepted where working practices may result in a delay in returning forms to HR.

The HR Manager reviews all appraisals to assess consistency and identify any organisation-wide issues needing referral to the Executive Team.

The completed forms comprise:

- Learning Record: kept and updated by the appraisee
- Appraisal and objectives review: kept electronically by HR in a protected area of the system for 2 years, after which time they are destroyed.
- Appraisal and objectives review: kept by the individual, as required

**APPENDIX 3:  
OBJECTIVES, APPRAISAL, TRAINING AND THE BUSINESS PROCESS**



**APPENDIX 4:  
LEARNING & DEVELOPMENT FORMS AVAILABLE VIA THE INTRANET**

- Induction Programme
- 121 Meeting Template
- Learning Record
- Appraisal and Objectives Review Template
- October review form
- Training Request/Evaluation Form

*Completed examples of the above forms, and/or advice on their completion, are available from the HR team.*

**APPENDIX 5:  
OTHER RELEVANT POLICIES**

- Equality & Diversity Policy
- Recruitment & Selection Policy
- Apprentice Policy