

Workforce Development Self-Assessment Framework

For services working with
young people



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Introduction

Effective workforce development ensures that an organisation or service has the right people in the right place with the right skills to achieve its objectives and deliver its vision and values.

This commits a service to developing its workforce in terms of:

- recruiting and retaining the right people with the right skills to deliver its services and provision now and in the future
- identifying the range of job roles, and the qualifications, competence or experience needed to successfully perform those roles
- inducting, supervising and appraising staff to ensure they are able to work effectively and efficiently to achieve the service objectives
- continuously improving the capacity of staff through their continuing professional development.

Workforce development is, therefore, a critical part of the broader human resource strategy for all staff (paid and voluntary) delivering and supporting a service's activities and facilities. In a commissioned or blended service, this should be a consideration across the entire workforce contributing to the overall service.

Workforce development also requires collaborative planning and action both within and beyond the boundaries of the Service. This involves building capacity for the future based on factors such as:

- **workforce profile** – current number and type of staff and requirements for the future; impact of workforce cycles (eg retirement, life changes); comparison with population diversity profile
- **deployment** – how existing staff are deployed and their capacity to use and develop their skills
- **skill shortages** – within the existing workforce, as well as those emerging from job applicants
- **changing demands** – impact of service priorities and political environment (local and national) on services and provision now and in the future
- **modernisation** – utilising new and emerging approaches (in technology, skills and ideas)
- **efficiency and excellence** – being clear what this means to the service and what it needs to do to achieve success.

Self-assessment framework

This self-assessment framework is a resource for supporting a service's workforce development.

It is aimed at services working with young people in the local authority, voluntary and community sectors, and its main purpose is to provide a structure for services to:

- make judgments about their current performance in relation to workforce development
- set out the main sources of evidence on which judgements are based
- identify strengths and areas for improvement
- formulate action plans that support continuing improvements and raise the quality of their approach to workforce development.

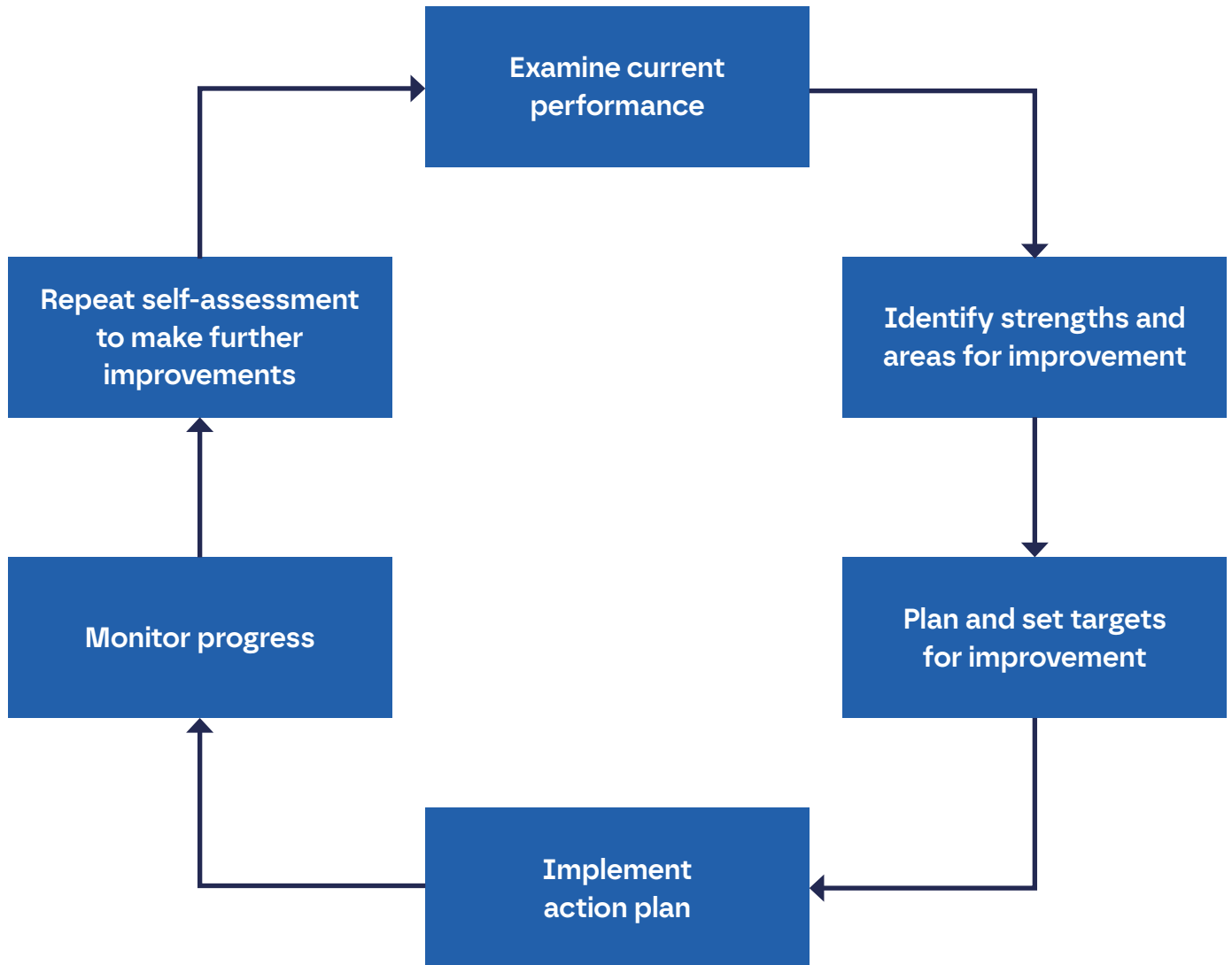
This framework is, therefore, designed as a development tool to support services to deliver continuing improvement through self-assessment, planning and progress monitoring. The diagram (p.4) illustrates this cycle of improvement.



How it works

To facilitate this process, this workforce development self-assessment framework is divided into three indicators – strategy, practice and results. Each of the three indicators is

broken down into six quality statements which help services to be specific about how they meet the indicators.



Indicators and quality statements

1 Strategy	2 Practice	3 Results
The Service has a recognised and recognisable workforce development strategy	There is investment in workforce development and this investment is visible in practice	The Service has a workforce which is fit for the purpose of working effectively with young people directly or indirectly
1.1 The Service has recognised methods for workforce analysis and planning.	2.1 The Service has relevant and clearly defined aims and objectives for learning and development.	3.1 Quantitative and qualitative analysis of workforce development activity provides evidence of positive impact on practice and delivery of provision and services for young people.
1.2 There is an implementation plan, including lines of accountability and arrangements for quality assurance and evaluation.	2.2 There is clear and explicit definition of what development activities are available to which staff.	3.2 Records of workforce development activity demonstrate diverse and equitable take up by staff.
1.3 There are policies for equal opportunities, diversity and inclusiveness in workforce development.	2.3 There are established processes for managing performance.	3.3 Performance management records demonstrate improved performance linked to workforce development.
1.4 There is an identifiable and functional Service structure that supports effective delivery of provision and services for young people.	2.4 The Service uses a range of methods for involving staff and stakeholders in determining, reviewing and evaluating workforce development policy and practice.	3.4 Records of evaluative and experiential feedback from staff and other stakeholders provide positive evidence of the impact of workforce development.
1.5 The Service/organisations in the Service have clear methodologies for staff recruitment and retention.	2.5 The Service makes regular assessments of the impact of workforce development in practice and delivery of provision and services for young people.	3.5 Assessment of workforce development activities demonstrates robust evaluation of the suitability and applicability of policies and practices.
1.6 There are secured and sufficient financial and human resources to implement the workforce development strategy across the Service.	2.6 There is clear accountability for managing the workforce development strategy.	3.6 Workforce development policies and plans are continually developed in light of feedback and other contextual, political and environmental influences.

Making judgments

This self-assessment framework supports Services to make judgments about their current levels of performance in relation to workforce development, and develop plans for addressing areas for improvement.

There are three levels of judgment within this framework. Each level is associated with a number which allows Services to score their current performance and thereby identify where further work is needed to produce continuing improvement.

3 Established	Good overall performance in this area. Systems are fit for purpose and all meet requirements. Policies are current and are disseminated widely.
2 Adequate	Managers are aware of gaps that exist in this area. Practice may be appropriate and reflect acceptable standards. However, systems are insufficiently robust.
1 Insufficient	Systems are insecure and not fit for purpose. Managers have insufficient measures in place to meet minimum requirements, but are able to identify where weaknesses exist.

Evidence

In order to substantiate their judgments, organisations need to provide evidence of their performance in each of the different areas of the self-assessment framework. Evidence needs to be:

- **reliable** – cross checking provides the same or similar results
- **valid** – it is relevant to the quality statement and up to date
- **sufficient** – it is enough to provide a sound basis for judgment.

Evidence should come from a range of sources to ensure reliability and validity. In terms of sufficiency, three or four pieces of evidence (from different sources) for each quality statement would be considered sufficient to demonstrate an organisation's performance. Likely sources of evidence include:

- workforce development policy
- performance review and appraisal system
- examples of continuing professional development plans
- endorsements by other frameworks (eg Investors in People)
- workforce development analysis
- percentage of budget spent on training/ workforce development
- feedback from surveys (young people, partners, staff)
- inspection reports
- annual report on the organisation
- feedback reports
- SWOT (strengths, weaknesses, opportunities, threats) analysis of workforce
- recruitment and retention reviews
- sickness analysis and referrals to occupational health.

Identifying strengths and areas for improvement

Services need to identify evidence in respect of each of the quality statements in the self-assessment framework. Judgments will then need to be made about the relative strength of the evidence, and a score (1–3) will be attributed to the quality statement in question. This score will indicate the Service's strengths and areas for improvement.

In judging the relative strength of different pieces of evidence it is important to:

- carefully consider each quality statement to ensure that it is fully understood
- identify the evidence that the Service already has available (in relation to the quality statement)
- think about what further evidence could be made available, and how it will be gathered
- examine each piece of evidence for what it shows or demonstrates about the Service's performance in respect of the particular quality statement
- examine each piece of evidence for how well it demonstrates the Service's performance in respect of the particular quality statement
- assess evidence for reliability, validity and sufficiency.

This process supports judicious scoring and, as a result, helps to ensure accurate identification of strengths and areas for improvement.

Action planning

An action planning form appears after each quality strand. These enable Service's to:

- identify areas for improvement, priorities and barriers to improvement
- design action to secure improvements
- allocate responsibility for implementation
- establish criteria and timescales for success.

Taken together, the action plans for each strand of the framework (strategy, practice and results) create the basis for an overall improvement plan for the Service.

Experience shows that implementing self-assessment as a part of continuing improvement works better when:

- the self-assessment process complements:
 - the Service's existing monitoring and evaluation systems
 - other quality frameworks used in the Service (eg Investors in People, EFQM, Trusted Standard)
 - annual and strategic planning arrangements.
- consideration is given to what the Service needs to do to:
 - involve others across the Service (eg colleagues, committee members)
 - consult/inform others (eg young people, partners)
 - ensure there are sufficient resources devoted to the self-assessment.
- the organisation uses the self-assessment process to increase its capacity to be self-critical and grow a learning culture
- a lead person is identified to be responsible for the self-assessment with a level of organisational authority to make things happen.

Strategy

The Service has a recognised and recognisable workforce development strategy.

This indicator is concerned with strategy. As such, a Service and its commissioned partners would be expected to have:

- an overarching written strategy that:
 - encompasses workforce analysis and planning
 - supports equality of opportunity, diversity and inclusiveness
 - demonstrates clear organisational structures
 - confirms commitment to adequate resourcing and investment for workforce development
 - establishes approaches to recruitment and retention.
- evidence of:
 - its commitment to workforce development
 - clear processes for quality assurance (QA) and evaluation (of the processes and strategy)
 - determinable lines of accountability
 - systems for implementation.

Strategy indicator level descriptors

3 Established	There is a workforce development policy or strategy, which ensures performance management and a review and appraisal process that promotes and endorses professional development.
2 Adequate	There is a corporate policy, strategy or framework in evidence. A Service-wide policy, strategy or framework is being planned. Staff are supervised and appraised and there is evidence of resources available for professional development.
1 Insufficient	There is little evidence to support workforce development within the Service. Supervision and appraisal is done on an ad hoc basis with few resources available for development of the workforce.

Strategy: The Service has a recognised and recognisable workforce development strategy

Quality Statement	Score	Evidence
1.1 The Service has recognised methods for workforce analysis and planning.		
1.2 There is an implementation plan, including lines of accountability and arrangements for quality assurance and evaluation.		
1.3 There are policies for equal opportunities, diversity and inclusiveness in workforce development.		
1.4 There is an identifiable and functional Service structure that supports effective delivery of provision and services for young people.		
1.5 The Service, and commissioned partners have clear methodologies for staff recruitment and retention.		
1.6 There are secured and sufficient financial and human resources to implement the workforce development strategy.		
Overall score		

Strategy: Sources of evidence

Quality Statement	Possible Sources of Evidence
1.1 The Service has recognised methods for workforce analysis and planning.	Workforce development policy/strategy; workforce analysis framework; workforce planning framework; staff development policy; needs analysis; skills audit.
1.2 There is an implementation plan, including lines of accountability and arrangements for quality assurance and evaluation.	Workforce development implementation plan; quality assurance policy/framework; evaluation strategy; evaluation reports.
1.3 There are policies for equality, diversity and inclusion in workforce development.	Equality, diversity and inclusion policy/strategy; diversity policy/strategy; harassment and bullying policy, complaints policy/procedure.
1.4 There is an identifiable and functional Service structure that supports effective delivery of provision and services for young people.	Organisational/Service structure/chart; staffing and deployment; workforce profile; workforce projections (including individual and team roles, qualifications, experience).
1.5 The Service has clear methodologies for staff recruitment and retention.	Recruitment and retention policy and procedures; reward and recognition policy/strategy; data on retention rates/staff turnover/staff vacancies; arrangements for staff exit interviews; arrangements for recruitment and selection training; information, consultation and communication policy; grievance procedures; feedback from staff.
1.6 There are secured and sufficient financial and human resources to implement the workforce development strategy.	Budget planning and resourcing documents; budget and sources of funding in proportion to total staffing budget; evaluation of impact (cost/benefit)



Strategy: Quality statements – level descriptors

Quality Statement	3 Established	2 Adequate	1 Insufficient
1.1	Methods and tools for workforce planning and analysis are robust, effective, well used and cover the whole Service – including full-time staff, part-time staff and volunteers.	Methods and tools for workforce planning and analysis are not applied consistently. Gaps are evident across the Service.	Methods and tools for workforce planning and analysis are not systematically applied to support planning across the Service.
1.2	The implementation plan provides a full and coherent description of how the workforce development strategy is to be implemented, including lines of accountability and arrangements for monitoring and quality assurance.	The implementation plan is inconsistent in its description of how the workforce development strategy is to be implemented.	An implementation plan does not exist nor is it in the process of being developed.
1.3	Equality, diversity and inclusion policies and procedures are clear, systematically applied, and well known across the Service.	Equality, diversity and inclusion policies and procedures are clear, but not systematically applied or known across the Service.	Equality, diversity and inclusion policies and procedures are not applied or well known across the Service.
1.4	A clear structure is in place to support the effective delivery of Youth Work, positive and developmental activities, targeted youth support (ideally in partnership with allied services), and information, advice and guidance to young people.	Aspects of the structure have merit, but improvements can be made to meet national and local requirements.	The structure is unclear and does not support effective delivery of provision and services to young people.
1.5	Recruitment, selection and retention is consistently implemented and informed by explicit workforce analysis and planning, with clear arrangements for recognising achievements and building morale.	Recruitment strategy is informed by workforce analysis and planning but inconsistently implemented, with unclear arrangements for recognising achievements and building morale.	Recruitment strategy is not yet sufficiently based on workforce analysis and planning, nor are there adequate arrangements for recognising achievements and building morale.
1.6	The Service has identified and secured the resources needed to implement the workforce development strategy and maintain the workforce development infrastructure within the Service.	The Service has identified but not yet secured all of the resources needed to implement the workforce development strategy.	The Service has yet to identify and secure the resources needed to implement the workforce development strategy.

		Year
Barriers to improvement		

Success criteria	By when	By whom

Practice

There is investment in workforce development and this investment is visible in practice.

This indicator is concerned with practice. As such, a Service would be expected to have:

- information on:
 - the aims and purpose of learning and development activity within the Service
 - scope, nature and purpose of investment and resourcing
 - performance management systems and practices
 - approaches and methods for the involvement of staff and stakeholders.
- evidence of:
 - the relationship between learning and development aims and Service aims
 - equity and adequacy of resourcing and investment
 - the involvement of staff and stakeholders
 - examples of influence and change driven by staff and stakeholders
 - measures to assess the impact of workforce development activity
 - measures to gather information about the experiences of staff and other stakeholders.

Practice indicator level descriptors

3 Established	The Service can evidence analysis of diverse workforce development activity undertaken by the staff. Staff surveys and sampling will evidence visibility of good practice.
2 Adequate	There is documented evidence of workforce development activity supported by some staff sampling and surveys. There are plans to secure a more structured process for monitoring and analysis.
1 Insufficient	Staff surveys or sampling are not in evidence and although there may be examples of workforce development there is little documented evidence of activity or analysis.



Practice: There is investment in workforce and this investment is visible in practice

Quality Statement	Score	Evidence
2.1 The Service has relevant and clearly defined aims and objectives for learning and development.		
2.2 There is clear and explicit definition of what development activities are available to which staff.		
2.3 There are established processes for managing performance.		
2.4 The Service uses a range of methods for involving staff and stakeholders in determining, reviewing and evaluating workforce development policy and practice.		
2.5 The Service makes regular assessments of the impact of workforce development on practice and delivery of provision and services for young people.		
2.6 There is clear accountability for managing the workforce development strategy.		
Overall score		

Practice: Sources of evidence

Quality Statement	Possible Sources of Evidence
2.1 The Service has relevant and clearly defined aims and objectives for learning and development.	Workforce development policy; staff development policy; local children's workforce development plan; national/regional organisation workforce development plans.
2.2 There is clear and explicit definition of what development activities are available to which staff.	Training and development plan; training and development application forms and associated process; training and development needs assessment; staff training records.
2.3 There are established processes for managing performance.	Performance management policy and procedures; details of staff supervision and appraisal.
2.4 The Service uses a range of methods for involving staff and stakeholders in determining, reviewing and evaluating workforce development policy and practice.	Consultation processes with staff and other stakeholders including partners; surveys and questionnaires; analysis of complaints; monitoring, review and evaluation processes; waiting lists for training and development activities; training and development needs analysis; evaluation reports of training and development activities.
2.5 The Service makes regular assessments of the impact of workforce development on practice and delivery of provision and services for young people.	Data on performance targets and key performance indicators; data on performance against organisational/local/national priorities; evaluation reports; feedback from staff, young people, partner organisations and other stakeholders; inspection report; benchmarking comparisons with other services/organisations; quality assurance reports.
2.6 There is clear accountability for managing the workforce development strategy.	Workforce development policy; annual evaluation of strategy; staff training records; records of take up of other development activities; staff profile; partnership agreements.

Practice: Quality statements – level descriptors

Quality Statement	3 Established	2 Aspiring	1 Insufficient
2.1	The training and development plan identifies the aims and objectives of the Service's learning and development activities, and is consistently implemented, monitored and reviewed.	The training and development plan partially identifies the aims and objectives of the Service's learning and development activities, and is inconsistently implemented, monitored and reviewed.	The training and development plan has limited identification of the aims and objectives of the service's learning and development activities, and is minimally implemented, monitored and reviewed.
2.2	Training and development entitlements are clear, equitable and cover the whole workforce. All staff are aware of and make use of their entitlement.	Entitlements are stated for some aspects of the training and development policy and cover the majority of the workforce. Some staff make use of available opportunities whilst others are less well informed.	The training and development plan does not state clear entitlements and does not identify opportunities for the whole workforce. Few staff access opportunities and mechanisms for monitoring are not consistently applied.
2.3	The Service has established processes for managing performance that include supervision and appraisal. Processes are systematically and consistently applied.	Processes and systems for managing performance are in place but not consistently applied.	Processes and systems for managing performance are not in place or are inconsistently applied.
2.4	Staff and stakeholders are consistently involved in informing and influencing training and development initiatives including areas such as setting priorities, allocating resources, pursuing accreditation, monitoring and reviewing implementation.	Staff and stakeholders are actively involved in developing, reviewing and evaluating the training and development plan.	Some opportunities are available for involvement of staff and stakeholders, but these are not consistent and do not cover all stakeholders.
2.5	Training and development activity is strategic both within the organisation and across commissioned services. It provides a good return on investment demonstrated through regular assessment of the impact of workforce development on practice and delivery of provision and services for young people.	Training and development activity is strategic, providing a good return on investment and with well assessed and documented impact on practice.	Training and development activity generally support planning, but return on investment is not effectively assessed and impact on practice inconsistently monitored.
2.6	There is clear accountability for agreeing, resourcing and managing an annual workforce development plan and for monitoring and reporting its implementation and impact within the context of broader Service goals and priorities for integrated youth support.	There is clear accountability for agreeing, resourcing and managing an annual workforce development plan and for monitoring and reporting its implementation and impact.	There is clear accountability for managing an annual workforce development plan, but this is inconsistently applied to issues such as resourcing, implementation, monitoring and impact.

		Year
Barriers to improvement		

Success criteria	By when	By whom

Results

The Service has a workforce which is fit for the purpose of working effectively with young people directly or indirectly.

This indicator is concerned with results.
As such, a Service would be expected to have:

- information on:
 - data on current application of policy and practices
 - outcomes of the management and measurement of impact assessment on practice
 - canvassed and recorded experiences of staff and other stakeholders.
- evidence of:
 - evaluation and assessment of impact
 - review and development of staff performance
 - assessment of suitability and applicability of policy
 - progression and development of policy as a result of change and evaluation.

Results indicator level descriptors

3 Established	Feedback from young people, staff and partners is evidenced to support delivery quality. There will be evidence of positive inspection reports and changes made as a result of monitoring and review.
2 Adequate	There is evidence of positive inspection reports and positive feedback from young people, partners and staff. However, there are plans in place to ensure a more systematic, efficient and effective process.
1 Insufficient	Inspection reports and feedback from young people, staff and partners may be spasmodic or negative with no process in place to review and make changes.

Results: The Service has a workforce which is fit for the purpose of working effectively with young people directly or indirectly

Quality Statement	Score	Evidence
3.1 Quantitative and qualitative analysis of workforce development activity provides evidence of positive impact on practice and delivery of provision and services for young people.		
3.2 Records of workforce development activity demonstrate diverse and equitable take up by staff.		
3.3 Performance management records demonstrate improved performance linked to workforce development.		
3.4 Records of evaluative and experiential feedback from staff and other stakeholders provide positive evidence of the impact of workforce development.		
3.5 Assessment of workforce development activities demonstrates robust evaluation of the suitability and applicability of policies and practices.		
3.6 Workforce development policies and plans are continually developed in light of feedback and other contextual, political and environmental influences.		
Overall score		

Results: Sources of evidence

Quality Statement	Possible Sources of Evidence
<p>3.1 Quantitative and qualitative analysis of workforce development activity provides evidence of positive impact on the practice and delivery of provision and services for young people.</p>	<p>Assessments, evaluations and reports on impact; data on performance targets and key performance indicators; data on performance against organisational/local/national priorities; evaluation reports; feedback from staff, young people, partner organisations and other stakeholders; inspection report; benchmarking comparisons with other services/organisations; quality assurance reports.</p>
<p>3.2 Records of workforce development activity demonstrate diverse and equitable take up by staff.</p>	<p>Staff training and development records; training and development plan; training and development application forms and associated processes; training and development needs assessment.</p>
<p>3.3 Performance management records demonstrate improved performance linked to workforce development.</p>	<p>Staff performance management records; performance management policy and procedures; records of staff supervision and appraisal.</p>
<p>3.4 Records of evaluative and experiential feedback from staff and other stakeholders provide positive evidence of the impact of workforce development.</p>	<p>Staff and stakeholder surveys, questionnaires and consultations; analysis of complaints; reports from monitoring and review of workforce development activities; evaluation reports of training and development activities.</p>
<p>3.5 Assessment of workforce development activities demonstrates robust evaluation of the suitability and applicability of policies and practices.</p>	<p>Reports from monitoring and review of workforce development activities; evaluation reports of training and development activities; feedback from staff, partners and other stakeholders.</p>
<p>3.6 Workforce development policies and plans are continually developed in light of feedback and other contextual, political and environmental influences.</p>	<p>Records of reviews and developments; reports from monitoring and review of workforce development activities; evaluation reports of training and development activities; feedback from staff, partners and other stakeholders.</p>

Results: Quality statements – level descriptors

Quality Statement	3 Established	2 Aspiring	1 Insufficient
3.1	Evidence of the impact of workforce development on the Service's practice and delivery is positive, comprehensive and well documented.	There is some evidence of the impact of workforce development on the Service's practice and delivery, but systems for collecting data are not consistently applied.	Systems are insufficient to support the effective collection and analysis of the impact of workforce development on the Service's practice and delivery.
3.2	Records of take up of workforce development activity reflect the current workforce profile in relation to equality and diversity.	Records of take up of workforce development activity do not reflect the current workforce profile in relation to equality and diversity.	Recording of workforce development activity is patchy and does not provide necessary information to monitor activity or inform planning.
3.3	Performance management records demonstrate improved performance in relation to the achievement of Service objectives and broader local and national objectives and priorities.	Performance management records demonstrate some elements of improved performance, but there are still areas for development.	Records of staff performance are patchy, use a variety of formats and are unhelpful for the overall management of performance.
3.4	Staff and stakeholder feedback provide positive evidence of the impact of workforce development on improving services and provision across the Service.	There is some positive evidence from staff and stakeholder feedback, but impact on practice and provision is unclear.	Feedback is not systematically sought and, when available, does not make clear the impact on practice and provision.
3.5	There is a clear process and timeline for monitoring the suitability and applicability of workforce development activities including identifying the personnel involved and their respective roles and responsibilities.	A general timeline and process is established for review.	Plans for review and monitoring are unclear and unstructured.
3.6	There is clear evidence of the continual development of policy that addresses Service aims and priorities.	Some evidence of development, although unsystematic.	Development is slow and out of step with feedback and other influences.

Action plan: Results

The Service has a workforce which is fit for the purpose of working effectively with young people directly or indirectly

Action plan	
Identify areas for improvement	
Areas for improvement	Priority

Action



	Year
Barriers to improvement	

Success criteria	By when	By whom

National Youth Agency

9 Newarke Street, Leicester LE1 5SN

Company registration no. 2912597

Register charity in England and Wales no. 1035804

nya.org.uk