

Human Resources

Policy No: NoT HR01

Appraisal Policy

Version	Version 1
Ratified by:	Joint Board
Date Ratified:	27 th November 2007
Title of Originator/ Author:	Strategic Head of Human Resources
Name of Responsible Committee	North of Tyne Joint Negotiating & Consultative Committee & Joint Board
Date Issued:	27 th November 2007
Review Date:	30 th November 2010
Target Audience:	All staff
Consultation Process:	Terms and Conditions Group August – October 2007 North of Tyne JNCC 02 October 2007
Mandatory/Statutory Standards or Requirements	

Contents

	Page
1. Context and Policy Statement	3
2. Scope	4
3. Definition of Appraisal	5
4. Aims of Appraisal	5
5. The Role of Appraisal within Performance Management Processes	5
6. The Appraisal Process	6
7. Preparing for Appraisal – The Appraiser	7
8. Preparing for Appraisal – Appraisee	8
9. Objective Setting	8
10. Reviewing the KSF Outline for the Post	9
11. Agreeing the Personal Development Plan (PDP)	9
12. Interim Review	11
13. Model Employer	11
14. Mutual Agreement	12
15. Training and Support	12
16. Monitoring and Evaluation	13

Appendices

1. Appraisal – Preparation form (to be completed by the individual)	14
2. Appraisal Record	15
3. New Staff Appraisal Cycle	22
4. Appraisal Flowchart	23

1.0 Context and Policy Statement

- 1.1 The success of *the* Primary Care Organisations depends greatly on the skills and effort of individual members of staff. The organisation is therefore committed to developing staff to attain their full potential in their work. In order to do this, it is important to ensure that everybody's work is linked to the national, strategic and service developments of the Trust and to make sure that each member of staff is given the right direction and level of support.
- 1.2 The appraisal process is viewed as the means of ensuring that each member of staff understands how their role and contribution fits into the overall success of the Trust. Through appraisal each individual understands what is expected of them; has clear and objective feedback on their work and gains access to relevant learning, development and support, which is clearly linked to the KSF outline for their particular role. The appraisal process should be a positive experience with an emphasis on continuous improvement and agreed support to enhance job performance.
- 1.3 This policy requires all managers and/or supervisors to carry out appraisal on an annual basis to ensure that all staff (with the exception of medical staff, who have separate appraisal arrangements and processes) have the opportunity to benefit from the process and have equal access to learning and development. Appraisal should also extend to other individuals whose work is centred mainly within the Trust, e.g. secondees, academic placements, and joint appointments.
- 1.4 The consistent application of appraisal across the organisation underpins the Trust's approach to clinical governance and is fundamental to the principles of lifelong learning and continuous professional development.
- 1.5 In order to promote consistency and equality, appraisers are required to use

the local standardised documentation as a minimum (attached at Appendix 2) or e.ksf documentation (when live). The local documentation is available electronically via the Infonet/Intranet.

- 1.6 A Knowledge and Skills Framework (KSF) outline for the post should be in place prior to an appraisal taking place.
- 1.7 There will be equity of access to appropriate training and development regardless of grade, full or part-time status, shift pattern, gender, ethnicity and disability.
- 1.8 Training will be offered to both appraisers and appraisees to ensure appraisal discussions and Personal Development Plan (PDP) planning is effective across the PCO.

2.0 Scope

- 2.1 This policy applies to all staff covered by Agenda for Change and those staff employed in Social Care on local Terms and Conditions.
- 2.2 The Trust is committed to providing services that meet the equality and diversity needs of staff and service users within the framework of current legislation. Current equality and diversity legislation includes disability, gender, age, race, sexual orientation and religion. It is the responsibility of managers and staff to ensure that they act on this policy / procedure in a manner that meets the needs of people from these groups. It is always best to check with individual staff what their needs are, but needs may include providing information in an accessible format, considering mobility and communication issues, and being aware of sensitive and cultural issues.

3.0 Definition of Appraisal

3.1 Appraisal is a process of constructive dialogue in which individuals have a formal, structured opportunity to reflect on their work and contribution to meeting service objectives. Through appraisal, capability and effectiveness are discussed and maintained and may be improved, to enable continued personal and service success. The process is a positive, forward-looking one, led by the manager/supervisor.

4.0 Aims of Appraisal

4.1 Through appraisal each member of staff will:

- receive recognition for their achievements;
- receive clear and objective feedback on their work;
- know how they contribute to their organisation's objectives;
- understand what is expected of them;
- have an opportunity to review their achievement against the KSF outline for their role;
- have access to relevant training and development to support their ability to undertake their role.

5.0 The Role of Appraisal within performance management processes

5.1 Appraisal should be seen as a tool with which to review progress and to maintain and develop competent staff with the skills and abilities the service requires.

5.2 Appraisal is not a substitute for good day to day management. Should an individual's work performance give cause for concern, the manager should

raise the specific issue with the staff member in a timely manner. This discussion, and the action which is agreed with the individual to rectify the performance issue, should be documented and monitored independently of the appraisal process.

- 5.3 The performance issue should, however, be acknowledged in a supportive manner during the individual's appraisal meeting and feedback on progress should form part of discussions. This is in accordance with the 'no surprises' philosophy which is emphasised during appraiser training. Appraisal needs to be consistent with the day to day management of performance and should reinforce the need for improvement where gaps have been identified.
- 5.4 Should the individual's performance continue to give concern in this area of work, other Trust policies and procedures may need to be followed outside of the appraisal process.

6.0 The Appraisal Process

- 6.1 Appendices 3 and 4 detail the Appraisal process in flowchart format.
- 6.2 The appraiser should in most instances be the person who has line responsibility for the individual. This would normally be the member of staff's line manager, supervisor or team leader.
- 6.3 In each case, the appraiser should know the individual's work sufficiently well to be in a position to give feedback on performance and their contribution to the achievement of team/service objectives. This should include praise and encouragement of good performance and identification of gaps in performance where further learning, development and/or support may be needed.

- 6.4 Where this is not possible, or where an individual undertakes a range of duties for a number of team members, the appraiser should have a discussion with other leaders/managers around achievement of objectives and future objective-setting. This should always be undertaken in a transparent and sensitive way in order to do justice to the appraisal.
- 6.5 In any event, the emphasis in the appraisal meeting should be on self-appraisal by the appraisee, augmented by comments and observations from the appraiser.
- 6.6 The appraisal process provides staff with the opportunity to demonstrate how they fulfil the needs of the KSF outline agreed for their post (please refer to the KSF Policy for information).
- 6.7 In circumstances where either the appraiser or the appraisee feels that there is a significant and justifiable difficulty within the relationship between them, which would prevent an effective appraisal outcome, either party must notify the appraiser's line manager.

7.0 Preparing for Appraisal – the Appraiser

- 7.1 The appraiser should encourage and support the release of staff to attend the Trust's Appraisal Awareness Training.
- 7.2 The appraiser should give each member of staff at least 7 days notice of their appraisal meeting and agree a mutually convenient time. The appraisal should take place at least two months prior to staff's incremental date.
- 7.3 A blank copy of the appraisal preparation form (Appendix 1) should be given to staff to help prepare for appraisal. A copy of the Staff Guide to Appraisal should be issued at the same time.

- 7.4 Two hours minimum should be set aside for each meeting and a suitable time and location chosen which will ensure an uninterrupted and private conversation. The Appraiser will take the Appraisal Record (Appendix 2) to the meeting.

8.0 Preparing for Appraisal – Appraisee

- 8.1 By completing the Appraisal Preparation Form (Appendix 1), the appraisee should prepare fully for the appraisal meeting.
- 8.2 If appraised the previous year, the individual should review their previous appraisal form and consider what they have achieved towards their work objectives since the last meeting. Staff members are encouraged to reflect on their own work performance ready for an open and honest discussion. In any event, the individual should think about possible objectives for the coming year.
- 8.3 The appraisee should look at the KSF outline for their post and think about what they have learnt either during the course of their work or through more formal development.
- 8.4 To show how staff are meeting their KSF outline for their post, staff will keep a portfolio of evidence. This portfolio should contain the evidence required to demonstrate that the KSF outline for the post is being met.

9.0 Objective Setting

- 9.1 Work objectives, in the context of the service's priorities and goals, should be discussed, mutually agreed and recorded so that there is a clear understanding of what is expected.
- 9.2 In order to be effective, objectives should be based on the SMART

principle, i.e. Specific, Measurable, Achievable, Relevant and Timely.

- 9.3 Objectives may be either 'maintenance' objectives which apply to existing areas of work, or 'developmental', relating to new areas of work or different ways of working.
- 9.4 Once objectives have been established, agreement should be reached as to how their achievement will be measured. These measures should also be documented.

10.0 Reviewing the KSF outline for the post

- 10.1 The appraisal process provides the opportunity to consider and review achievement of the dimensions agreed in the KSF outline for the individual's post. This should be reviewed whether a Gateway is imminent or not.
- 10.2 Responsibility rests with the individual to provide the evidence of achievement. However, the importance of the line manager's skill in teasing out their staff's abilities is recognised.
- 10.3 Activities to support the maintenance and achievement of the agreed dimensions should be discussed and identified as part of the appraisal process and detailed in the appraisal record.
- 10.4 In the event of the review being at a gateway, refer to the trust's KSF Gateway policy.

11.0 Agreeing the Personal Development Plan (PDP)

- 11.1 The Trust endorses the NHS requirement that every member of staff has a PDP which is agreed annually. Personal development must relate to the support an individual needs to achieve well in their current job, allow for

achievement of their knowledge and skills outline and may also extend to future career aspirations.

11.2 Personal development should refer to learning in its broadest sense. Appraiser and appraisee should first identify what support and development may be needed to help the staff member achieve their agreed objectives (refer to paragraph 11.4).

11.3 An individual's personal development needs may arise from a number of sources, and are likely to be a combination of these:

- Development needed to help the individual achieve their work objectives.
- Mandatory requirements (corporate and local).
- Development for professional updating.
- Any additional development needed to meet the individual's KSF post outline.

Options should then be discussed as to how best their personal development needs can be met.

11.4 An individual's PDP should ideally feature a range of learning experiences, including training and work-based learning such as coaching, feedback, on the job development.

11.5 The PDP should clearly state who will take lead responsibility for actioning each development activity.

11.6 A copy of the PDP (Section 6 of the Appraisal Documentation) will be forwarded by the appraiser to the Staff Development Unit for training needs analysis and quarterly statistical reporting.

12.0 Interim Review

12.1 Ongoing support and encouragement needs to be given to ensure that members of staff are performing to their full potential. It is recommended that an interim, formally documented review take place approximately every six months.

12.2 The interim review is to:

- monitor progress towards team/individual objectives;
- give feedback on performance;
- consider the maintenance and further development of skills to achieve the KSF outline for the post;
- revise and update objectives if necessary;
- review progress towards personal development;
- evaluate the effectiveness of personal development;
- revise and update the Personal Development Plan.

12.3 The appraisal record provides a framework for discussion at the review meeting.

12.4 Work objectives should be a description of the outcomes that an individual or team is expected to achieve to maintain or improve the service and should not be confused with personal development needs.

13.0 Model Employer

13.1 The appraisal documentation includes a section (1.1) where an individual can discuss issues either at work or at home which may impact on their effectiveness in the workplace.

13.2 At the individual's appraisal meeting, the appraiser should ask the member of staff about the quality of their working life and to consider any issues which may be raised.

- 13.3 Section 1.1 provides an opportunity for staff to discuss and raise issues. However, the member of staff need not divulge anything they do not wish to. The documentation should however be completed to show that this area has been broached.
- 13.4 The appraiser should refer any relevant issues raised through appraisal to their line manager.

14.0 Mutual Agreement

- 14.1 Appraisal is reliant on two-way dialogue and mutual agreement between appraisee and appraiser. If the appraisee considers that any aspect of the process has not been carried out effectively or fairly, they should discuss their concerns informally with the appraiser in the first instance.
- 14.2 If the appraisee considers that their concerns are not resolved satisfactorily at an informal level, they may raise the matter formally with the appraiser's line manager.
- 14.3 In the event of there being any dispute in the process, or disagreement concerning the achievement of the Gateway, the individual should refer to the Trust's Grievance procedure.

15.0 Training and Support

- 15.1 All appraisers are required to undergo formal appraisal training. Appraisers must accept responsibility for updating regularly their knowledge and skills in respect of the Trust's appraisal system.
- 15.2 Appraisal skills training is featured in the in-house Staff Development Prospectus/Training Directory.

15.3 Appraisal awareness sessions are available to all members of staff and are advertised in the Staff Development Prospectus/Training Directory.

15.4 Ongoing advice and support on all aspects of appraisal are available from the Staff Development Unit and HR.

16.0 Monitoring and Evaluation

16.1 Appraisal is an integral part of the PCOs Performance Management Framework and as such is reported on regularly to the Management Team and will be included in HR monitoring reports to the Trust Board.

16.2 It is the line manager's responsibility to ensure that an individual member of staff has 'live objectives' and a current PDP (i.e. within the previous 12 months) and that a copy of the PDP is forwarded to Staff Development.

16.3 The HR/OD Department is responsible for the ongoing monitoring and review of appraisal as part of a rolling programme of evaluation of organisational systems and processes.

16.4 This review process may include audit procedures such as random sampling of documentation, verbal feedback, questionnaires and audit trails.

Appendix 1

In addition, collection of evidence for KSF should be completed as far as possible prior to the appraisal meeting.

Appraisal – Preparation form (to be completed by the individual)
In relation to your role, what work have you been doing in the past 12 months?
How does this relate to the objectives that were agreed at the last appraisal?
What went well?
What challenges / barriers, if any did you encounter?
How were these addressed?
What support did you receive to complete your objectives and PDP? Would any additional support help? If yes, from whom?
What could help you achieve your future development/career plan?

Appraisal Policy
Appraisal Record Including record of KSF Review & Personal Development Plan

Appendix 2

Notes:

- The Appraiser should complete this document within five working days following the review meeting.
- It should then be agreed and signed by both parties in the spaces below.
- A copy of the whole appraisal record will be placed on personal file by the appraiser.
- The original is given to the individual.

CONFIDENTIAL		
1	For period from:	
2	Appraisee:	
3	Job Title:	
4	Place of work:	
5	Locality/Directorate:	
6	Main aspects of job:	
7	Appraiser:	
8	Job Title:	
9	Status of this review:	<input type="checkbox"/> Non gateway <input type="checkbox"/> Foundation gateway <input type="checkbox"/> Second gateway
10	Gateway decision:	<input type="checkbox"/> Progress through <input type="checkbox"/> Defer NB use Gateway Deferral form

Signatures - Complete this part once the content of the document has been agreed	
Appraisee:	Appraiser:
Date agreed:	
Date of next review:	

Checklist. At the close of the Appraisal meeting check:

- **issues which are important have been discussed**
- **a date for a six month review of the appraisal has been agreed**
- **responsibility for any specific action points has been identified**
- **the appraiser has forwarded Section 6 to the Staff Development Unit**
- **the appraiser has informed Human resources of any deferral of progression through pay gateways**

1. Appraisal – Work Arrangements

1.1 Issues arising from working arrangements e.g. does the current job description remain relevant, does it need updating? Have job circumstances changed? Are there any health and safety, organisational, factors that need to be considered including working hours and work/life balance? Is internal communication working?:

1.2 What changes to work arrangements would you most like to see over the next year? Do you have any ideas for improving service delivery, working arrangements etc?

1.3 What are the frustrations/obstacles that get in the way of achievements?

2. Appraisal – Achievements and Personal effectiveness

2.1 Achievements of the appraisee (what went well and why over the period):

2.2 Progress in meeting current objectives:

3 Appraisal – KSF Core Dimensions Achievements and Decisions

For staff covered by Agenda for Change, you will need to refer to the agreed KSF Outline for this post and evidence of achievement to complete this section

NHS KSF dimension	Found'n Level for post	2nd Level for post	Level Achieved	Areas for Development	Evidence for Decision
1. Communication					
Comments:					
2. Personal and people Development					
Comments:					
3. Health, safety and Security					
Comments:					
4. Service improvement					
Comments:					
5. Quality					
Comments:					
6. Equality and diversity					
Comments:					

4. Appraisal – KSF Specific Dimensions Achievements and Decisions

For staff covered by Agenda for Change, you will need to refer to the agreed KSF Outline for this post and evidence of achievement to complete this section

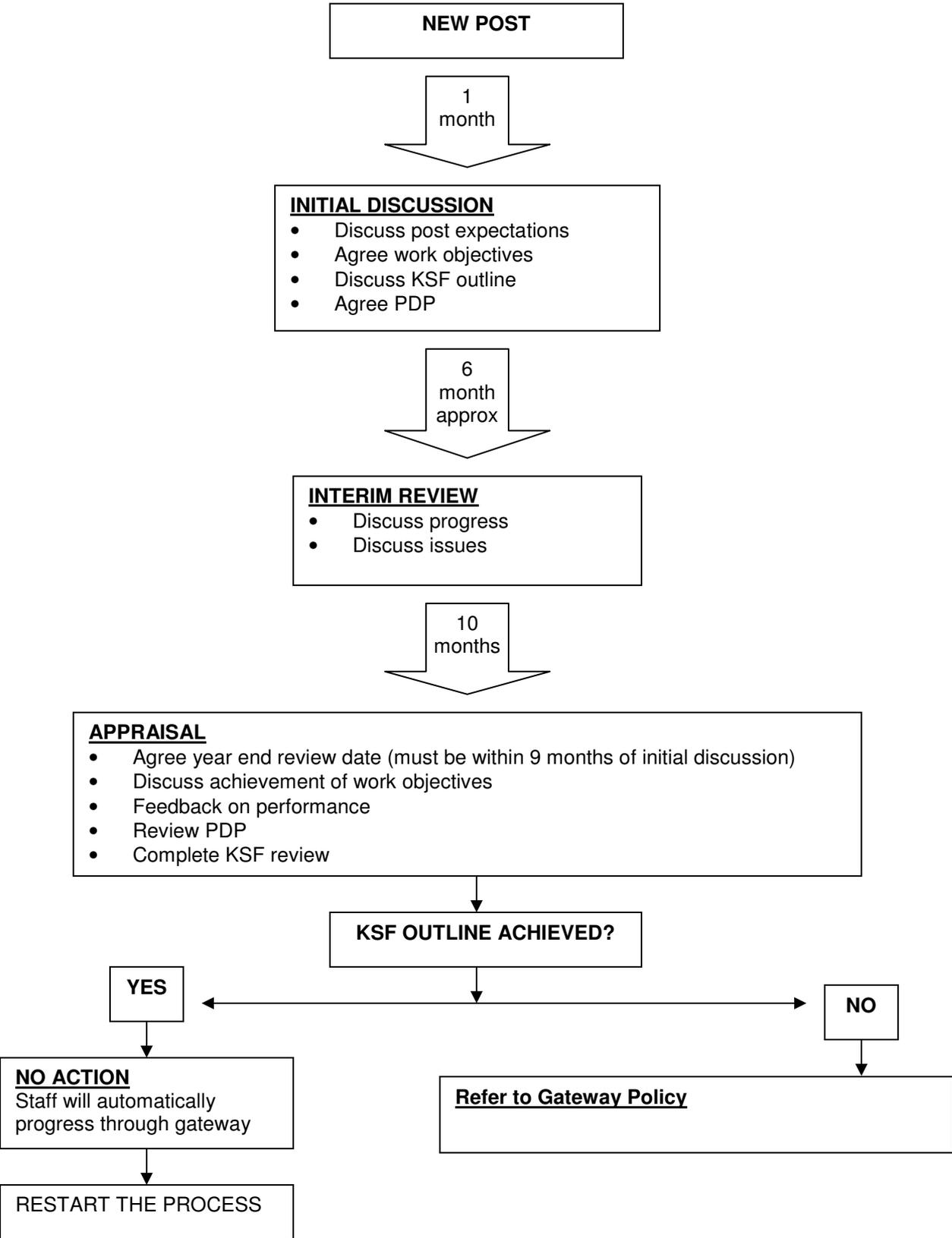
NHS KSF dimension	Found'n Level for post	2nd Level for post	Level Achieved	Areas for Development	Evidence for Decision
Comments:					
Comments:					
Comments:					
Comments:					
Comments:					
Comments:					

6. Appraisal – Personal Development Plan

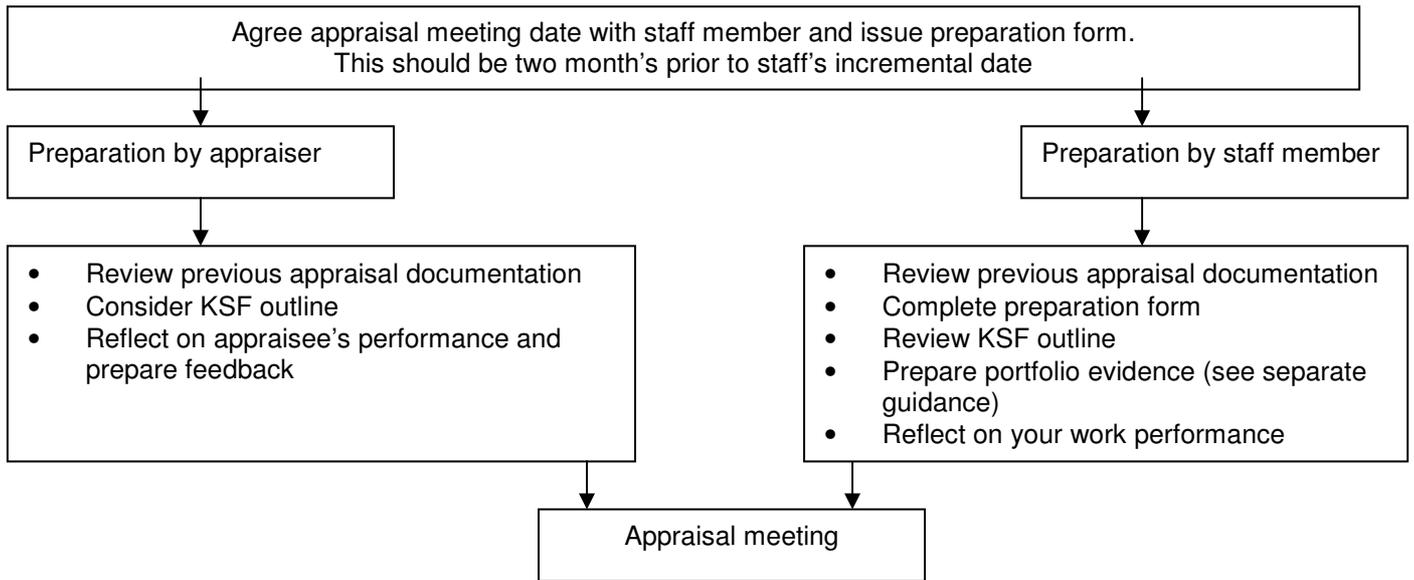
Name:.....Job Title:.....Location:.....

6.1	Competence to be developed (needs to be linked to the KSF outline for the post, including statutory and mandatory training) Please mark priority i.e. 1,2 or 3 (1 is top priority)	Action to be taken Support required	Target date for completion	Benefits/measure of success. How will the development help you to achieve: your objectives, developing your skills & knowledge, benefit your Department/Directorate?
	<p>Example Priority 1 Fire training Contributes to meeting KSF Core 3 level 3 b</p>	<p>Book onto training</p>	<p>January 2008</p>	<p>Statutory training completed</p>
<p>This plan should include</p> <ul style="list-style-type: none"> • Learning and development required to support you to fulfil your KSF outline and meet agreed objectives • Statutory and mandatory training • Continuing professional/lifelong learning 				
<p>Please send a completed copy of Section 6 only to Training and Development, Hedley Court.</p>				

NEW STAFF APPRAISAL CYCLE



APPRAISAL FLOWCHART



THE APPRAISER SHOULD:

- Explain the process and structure of the meeting
- Discuss progress over previous 6 – 12 months using preparation form as a prompt
- Encourage self appraisal against current work objectives
- Draw out examples of skills/competencies demonstrated against KSF outline (refer to portfolio of evidence)
- At the end of the appraisal, complete with the appraisee a joint assessment of KSF outline for both core and specific dimensions
- Agree work objectives for the next 12 months
- Agree personal development needs and complete PDP flowing from work objectives, CPD, Mandatory requirements and review of KSF post outline (or foundation sub-set)
- Complete appraisal documentation and set date for interim review meeting
- Ensure copy of appraisal record forwarded to personal file and a copy of completed PDP is forwarded to Staff Development Unit

