

## Appraisal Policy

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<b>Status</b>	LIVE		
<b>Target Audience-</b> who does the document apply to and <u>who should be using it.</u> - The target audience has the responsibility to ensure their compliance with this document by:	All non-medical employees directly employed by the Trust whether permanent, part-time or temporary (including fixed-term contract). For simplicity, they are referred to as 'employees' throughout this policy		
	<ul style="list-style-type: none"> <li>Ensuring any training required is attended and kept up to date.</li> <li>Ensuring any competencies required are maintained.</li> <li>Co-operating with the development and implementation of policies as part of their normal duties and responsibilities.</li> </ul>		
<b>Special Cases</b>	This policy does not include Medical or Dental employees.		
<b>Accountable Director</b>	Director of Human Resources (HR) and Organisational Development		
<b>Author/originator</b> – Any Comments on this document should be addressed to the author	Head of Learning and Development		
<b>Division and Department</b>	Corporate Division		
<b>Implementation Lead</b>	Associate Director of Human Resources Operations		
<b>If developed in partnership with another agency ratification details of the relevant agency</b>	Employee Partnership Forum		
<b>Regulatory Position</b>	Care Quality Commission (CQC) (Ref 6)		
<b>Review period.</b> This document will be fully reviewed every three years in accordance with the Trust's agreed process for reviewing Trust -wide documents. Changes in practice, to statutory requirements, revised professional or clinical standards and/or local/national directives are to be made as and when the change is identified.			

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# 1 Introduction & Purpose

## 1.1 Introduction & Purpose

It is the policy of Great Western Hospitals NHS Foundation Trust (the Trust) and in accordance with the NHS Employers Agenda for Change Terms and Conditions of service, that employees participate in the annual appraisal process and receive regular one to one management meetings. The policy aims to provide Employees with information and guidance on completing constructive, timely and supportive annual appraisal.

Employee appraisal is a key component of good management practice and research evidence shows that regular appraisal has a direct and positive impact on both organisational performance and patient care. The appraisal process aims to strike a balance between reviewing competence and performance, agreeing objectives, and identifying any support, training and development needed to help the employee to perform to the best of their ability in undertaking their role and achieving their objectives.

Throughout the year, employees must have regular discussions with their manager. These meetings allow for frequent conversations regarding achievements, progress of any set objectives, areas of expectation. It is also the format for raising any concerns the employee/employer may have in relation to your work, health and wellbeing or particular working relationships. The purpose of these meetings is to ensure that at the annual appraisal meeting there are no surprises.

In 2018, the NHS Staff Council agreed an Agenda for Change contract refresh (Ref 1) which included a reform of the pay structure and changes to Terms and Conditions. The purpose of the contract refresh was to support the attraction and recruitment of staff by increasing starting salaries. As a result of the refresh, pay bands have been restructured and the number of pay points reduced which allows staff salaries to increase over a shorter period of time. This process is underpinned by putting appraisal and personal development at the heart of pay progression.

For staff to progress through the pay points of their banding there is an expectation on employees and employers that staff will demonstrate that they have the required knowledge and competence for their role and have demonstrated the required levels of performance and standards to allow the pay progression. This will be assessed throughout the year at regular one to one /supervision meetings, and at the annual appraisal which must be completed in advance of the pay step review meeting.

Progression through the pay step point will not be automatic and will require line managers to meet with employees to ensure all standards have been achieved and confirmation passed onto payroll for processing.

## 1.2 Glossary/Definitions

The following terms and acronyms are used within the document:

<b>Appraisee</b>	Employee
<b>Appraiser</b>	Line manager
<b>CQC</b>	Care Quality Commission
<b>EPF</b>	Employee Partnership Forum
<b>EIA</b>	Equality Impact Assessment
<b>ESR</b>	Electronic Staff Record
<b>HCPC</b>	Health and Care Professions Council
<b>HR</b>	Human Resources
<b>IP&amp;C</b>	Infection Prevention and Control

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<b>NHS</b>	National Health Service
<b>NMC</b>	Nursing and Midwifery Council
<b>PDP</b>	Personal Development Plan
<b>%</b>	Percentage
<b>SMART</b>	Specific, Measurable, Achievable, Realistic, Timescale.

## 2 Main Document Requirements

### 2.1 Principles of the Appraisal and Management Supervision Process

An appraisal is a two-way discussion between employee (Appraisee) and their line manager (Appraiser) to enable a discussion regarding the employee's role, progress towards set objectives, and demonstration of the organisations standards, their accomplishments, future objectives and specific development needs.

All employees will participate in one to one meetings/supervision and annual appraisal/ pay progression meeting.

All employees must have an annual appraisal (unless there are exceptional circumstances e.g. extended period of leave).

All new employees should have a thorough induction, personal development plan, and regular management supervision to prepare them for an appraisal after 12 months in post in line with the Trust Probation Policy (Ref 2).

It is important that the appraisal meeting should be a positive, constructive and motivational experience.

Appraisals and regular one to one/supervision meetings will normally be carried-out by the employee's direct line manager; alternatives to this should be agreed with the relevant manager.

It would be difficult for any appraiser to supervise more than 10 employees, given the amount of time required to monitor employee's performance and support their development. Where this occurs, it is recommended that the appraiser liaises with their own line manager to consider whether restructure is required, or that some of the appraisals can be delegated. Where appraisals are delegated, suitable guidance and training must be provided

Appraisers will provide feedback to employees on their performance through regular line management supervision throughout the year, and therefore there should be 'no surprises' at the appraisal meeting.

Prior to undertaking appraisals, all managers/appraisers will participate in appropriate training, and will take steps to maintain their competence each year via their individual Personal Development Plan (PDP).

Employee appraisal and management supervision is considered to be an important part of any line manager's role, and failure to carry this out effectively will be managed accordingly in line with the Improving Performance Policy (Ref 3).

Where problems have been identified with the employee's work or development during the year, this must be addressed at the time and not left until the annual appraisal meeting. Where issues of poor performance are identified, these should be dealt with separately using the Improving Performance Policy (Ref 3).

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Employees should have confidence that the outcome of the appraisal meeting will be shared only with colleagues where it would be reasonable to do so. If in doubt, please contact the Human Resources (HR) team for advice.

## 2.2 Who should be Involved in the Appraisal and Management Supervision Process?

Appraisals will normally be carried out on a one-to-one basis by the employee's direct line manager. It is important that the appraisal process should feel supportive to the employee and not intimidating. In some cases, it may be appropriate for individuals other than the employee's direct line manager to be involved in the process at some stage.

For example:

- The employee may have more than one line manager/appraiser due to having a split post or working across partner organisations.
- The employee may be in a rotational post or have spent all or part of the previous year undertaking a project or secondment in another area.
- The team may be too large for one senior individual to undertake all the appraisals personally, in which case other senior colleagues can act as appraisers by local agreement.
- The line manager may be from a different profession, in which case it is essential that colleagues such as professional leads are involved in order to assess the competencies from a professional or clinical perspective.

In such cases, an agreement should be reached well in advance of the appraisal date as to how the various parties will work together. If the appraisee is agreeable, then a joint appraisal meeting could be held with two appraisers. Alternatively, separate pre-meetings could be held, and the appraisal meeting could be used to summarise and pull the outcomes of the discussions together.

## 2.3 Objectives of the Appraisal and One to One Meetings

The appraisal meeting will have the following main objectives:

- To agree a Personal Development Plan.
- To review the employee's performance against any previously agreed objectives-not only in terms of **what** the employee has achieved but also **how** they have achieved their objectives.
- To consider how the employee has performed as an individual but also as a team member.
- To set personal objectives for the next 12 months in context of any relevant team/ Division/ Organisational objectives. These objectives should be specific, measurable, achievable, realistic and have a timescale (SMART).
- To review how the employee is performing in relation to the Trust's values
- To ensure Professional Registration requirements, where applicable have been met.
- To ensure compliance with Mandatory Training/Role specific training/ Professional Registration.

**One to one/ supervision meetings should be completed regularly throughout the year and should include the following:-**

- Review individual workload, performance and professional development.
- Discuss any changes to the responsibilities listed in the job description, or other aspects of the job role.
- Discuss strengths and achievements as well as concerns, or perceived gaps in knowledge or skills.
- Review and evaluate objectives and action plans.
- Discuss any other matters

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New starters to the Trust will initially follow the Trust's Probation Review Policy (Ref 2) and will have a full appraisal at twelve months.

## 2.4 When should the Appraisal meeting take place?

There is no restriction on when the appraisal meeting will happen within the year, therefore the appraisal meeting may occur at a different time to the employees pay step progression date, but all employees must have had their annual appraisal before the pay step progression date.

All employees will have an annual appraisal regardless of whether there is a pay step progression point or if the employee has reached the top of their pay band.

## 2.5 Appraisal Planning and Preparation

### 2.5.1 Line managers (Appraiser)

The appraisal is a two way discussion between the Appraiser and the Appraisee and is the underpinning framework that supports the Pay progression Framework.

The appraisal meeting must enable the Appraiser and developmental needs.

The Appraiser must provide the Appraisee with no less than two weeks' notice of the intended appraisal and provide protected time to enable a meaningful meeting to take place.

It is the appraiser's responsibility to ensure the meeting is constructive and ideally a coaching-style is adopted to encourage discussion and to make the appraisee feel comfortable during the process. There is evidence that a well-constructed appraisal significantly increases motivation, performance and personal commitment to the role/department/Trust.

All employees must have an annual appraisal and it is a joint responsibility between the manager and the employee to ensure appraisals are completed.

The manager has an objective to deliver appraisals for all their team. If an appraisal needs to be postponed this should only be in extreme circumstances (service/personal issues). Where it is postponed a new date for completion must be set promptly. An appraisal postponement must not cause an employees pay progression to be delayed, further guidance on the Pay Progression process is available (Ref 4).

The appraisal meeting should not contain "surprises" regarding performance. Any conduct/performance issues must be dealt with at the time they occur and not raised for a first time at the appraisal meeting.

The appraiser must provide the appraisee with any relevant documentation ahead of the appraisal meeting and this may include appraisal paperwork for completion, previous appraisal documentation, job description and person specification.

Things to think about:-

- Achievements over past year.
- Specific examples of when and how the appraisee has achieved their set standards or objectives.
- Rating the employee's performance (on a scale of 1 to 5 against each objective, where 1 means the employee does not meet expectations and 5 means that they significantly exceed expectations). The employee will also be expected to rate their own performance and this will form the basis of an honest discussion about performance during the appraisal meeting.
- Consider the overall score you would assign to the appraisee.

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- Look back at previous one to one meeting notes.
- Gathering feedback from other members of the team or service users, as identified by the appraisee ahead of the appraisal, to provide examples to the appraisee as appropriate.
- Mandatory/statutory/role specific training compliance and achievement
- Consider competencies the appraisee requires for their role and if they have met and maintained these
- Consider Professional registration requirements (Ref 5) the appraisee is required to maintain and whether they are being met. E.G (Health and Care Professions Council (HCPC) -Nursing and Midwifery Council-(NMC).
- Check with appraisee on development on any previous issues/incidents you/they already aware of
- Agree objectives for the coming year and document these on the Trust appraisal documentation
- Identify any training and development opportunities/requirements, not restricted to taught courses but consider shadowing or attending meetings. Consideration to qualifications and programmes that lead to professional registration.
- What further support can you offer the appraisee going forward

Following discussions you will agree any set objectives and requirements for the coming year and these will be recorded on the Trust appraisal form (Appendix B) and signed by both participants. A final version of the agreed appraisal document should be available for the appraisee within two weeks of the appraisal meeting.

Following the appraisal and ahead of a pay progression point, a pay step meeting will be held with the line manager and the employee. The evidence provided within the appraisal will be reviewed and providing all the standard requirements as outlined in the guidance (Ref 4), have been achieved the manager will complete a pay step review form and submit to payroll to enable progression onto the next pay point.

### 2.5.2 Employee (Appraisee)

All employees must have an annual appraisal and it is a joint responsibility between the manager and the employee to ensure they are completed.

The line manager should provide no less than two weeks' notice of your appraisal which should be agreed with you and which allows adequate time to prepare for the meeting. The Appraisal documentation is located on the Trust Intranet, Appraisal Toolkit (Ref 7). Your manager may also provide you with last year's appraisal document, job description and person specification if required. The appraisee should complete the Trust appraisal documentation and return to their appraiser at least one week before the appraisal meeting.

Actively prepare for your appraisal meeting. Keep a log of your achievements and your mandatory training and development over the year.

Be prepared to do most of the talking, this is your opportunity to highlight all the positives about you and your progress and what would enhance your development going forward.

Things to think about:-

- Reflect what has gone well over the past year and be prepared to discuss with your appraiser.
- How you would rate your own performance on a scale of 1 to 5 against each objective and as an overall rating which you feel reflects your performance. (see appraisal form).
- Look back at previous one to one meetings you have had.
- What are you particularly proud of that you wish to share with your manager.
- Have you met previous objectives set and how can you demonstrate this.

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- Reflect on what could have gone better.
- Consider any barriers you met and how these could be addressed going forward .
- Share your examples with your manager, they may not remember everything you have done/achieved.
- Do you feel supported to deliver your work and set objectives?
- What further support do you need form your manager/team/Trust.
- Specific competencies that you require for your job and how you have or intend to meet these.
- Mandatory/statutory/role specific training compliance and achievement .
- Future objectives for the coming year and how these link with the department/ward/Trust objectives and how you will achieve them.
- Consider any future training and development that you require. This can include taught courses/ shadowing opportunities / attendance at meetings/reading/reflection. Consideration to qualifications and programmes that lead to professional registration.
- Registered practitioners e.g. (HCPC/NMC)) should be prepared to update the manager on their professional registration requirements and when these are to be achieved by.

Following discussions you will agree any set objectives and requirements for the coming year and these will be recorded on the Trust appraisal documentation.

Following the appraisal and ahead of a pay progression point, a pay step meeting will be held with you and the line manager. The evidence provided within your appraisal will be reviewed and providing all the standard requirements as outlined in the guidance (Ref 4) have been achieved, the manager will complete a pay step review form and submit to payroll to enable your progression onto the next pay point.

### 2.5.3 Annual Objectives Assessment methodology :

When assessing an employee’s performance you should consider what they have achieved, but also importantly how they have done so. For example an objective may have been achieved, but it may have been done by disregarding the need to maintain good working relationships, or by exceeding the budget allocated.

You need to consider performance in relation to:

- Competence/technical ability.
- Ability to develop and maintain positive working relationships.
- Effective and responsible stewardship of resources where the employee has budgetary responsibility.
- Leadership style and effectiveness if the employee has a leadership role.
- Trust values.
- Ability to work within a team setting.



### 3 Monitoring Compliance and Effectiveness of Implementation

The arrangements for monitoring compliance are outlined in the table below: -

Measurable policy objectives	Monitoring or audit method	Monitoring responsibility (individual, group or committee)	Frequency of monitoring	Reporting arrangements (committee or group the monitoring results is presented to)	What action will be taken if gaps are identified
Trust compliance, target 80%, with appraisal policy reports	Monthly reporting on appraisal compliance.	HR/Academy	Monthly and Quarterly	Executive Committee, Employee Partnership Forum (EPF) and quarterly to Trust Board	Action plan to increase and monitor compliance
Local compliance	Monthly reporting on appraisal compliance.	Divisional Directors	Monthly	Discussed at Divisional Board /Performance Meetings	Discuss with ward managers/matrons and senior management and actions plans to improve compliance
Improved quality of the appraisal	Staff survey results	HR/Divisional managers	Annually	Discussed at Divisional Board /Performance Meetings	Action Plan

## 4 Duties and Responsibilities of Individuals and Groups

### 4.1 Chief Executive

The Chief Executive is ultimately responsible for the implementation of this document.

### 4.2 Ward Managers, Matrons and Managers for Non Clinical Services

All Ward Managers, Matrons and Managers for Non Clinical Services must ensure that employees within their area are aware of this document; able to implement the document and that any superseded documents are destroyed.

### 4.3 Line Manager

- Responsible for conducting and delegating appraisals/supervision as appropriate within the team structure.
- Ensure employees have relevant appraisal training as required.
- Completing and submitting the pay progression review meeting/electronic form when required.

### 4.4 Appraisers

Are responsible for:

- Leading a well-structured appraisal.

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- Attending training to develop and maintain skills to carry out appraisals and supervision effectively.
- Notify the Academy that appraisal complete.

#### 4.5 Employees Receiving Appraisal

Employees receiving an appraisal will be responsible for:

- Actively participating in the review of their own development and progress towards agreed objectives via appraisal and supervision.
- Preparing for their appraisal including attending any relevant appraisal training.
- Completing relevant documentation with their appraiser.
- Collecting evidence throughout the year to demonstrate competence against objectives/professional requirements.
- Ensuring the appraisal is completed annually within a timely manner to ensure pay progression.

#### 4.6 The Academy

The Academy is responsible for:

- Supporting the implementation of the policy, to include the provision of appropriate training and awareness sessions for managers and employees.
- Provide monthly reports on compliance for managers and the Governance Committee, in collaboration with HR systems.

#### 4.7 Document Author and Document Implementation Lead

The document Author and the document Implementation Lead are responsible for identifying the need for a change in this document as a result of becoming aware of changes in practice, changes to statutory requirements, revised professional or clinical standards, local/national directives and resubmitting the document for approval and republication if changes are required.

## 5 Further Reading, Consultation and Glossary

### 5.1 References, Further Reading and Links to Other Policies

The following is a list of other policies, procedural documents or guidance documents (internal or external) which employees should refer to for further details:

Ref. No.	Document Title	Document Location
1	NHS Terms and Conditions of Service 2018 Annex 23-Pay progression)	<a href="https://www.nhsemployers.org/tchandbook/annex-21-to-25/annex-23-pay-progression-england">https://www.nhsemployers.org/tchandbook/annex-21-to-25/annex-23-pay-progression-england</a>
2	Probationary Review Policy	T:\Trust-wide Documents
3	Improving Performance Policy	T:\Trust-wide Documents
4	Pay Progression Process Guidance	Intranet
5	Professional Registration Policy	T:\Trust-wide Documents
6	CQC	<a href="https://cqc.org.uk/">https://cqc.org.uk/</a>
7	Appraisal Toolkit	Intranet

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## 5.2 Consultation Process

The following is a list of Consultees in formulating this document and the date that they approved the document:

Job Title / Department	Date Consultee Agreed Document Contents
Matron Women's and Children's	21 <sup>st</sup> June 2019
Human Resources Assistant Business Partner	21 <sup>st</sup> June 2019
Training and Development Co-ordinator (Mandatory Training)	24 <sup>th</sup> June 2019
Deputy Divisional Manager Planned Care	28 <sup>th</sup> June 2019
Matron Unscheduled Care	1 <sup>st</sup> July 2019
Employee Partnership Forum Policy Subgroup	

## 6 Equality Impact Assessment

An Equality Impact Assessment (EIA) has been completed for this document and can be found at Appendix A.

## Appendix A - STAGE 1: Initial Screening For Equality Impact Assessment

At this stage, the following questions need to be considered:			
1	Appraisal Policy.		
2.	The policy aims to provide Employees with information and guidance on completing constructive, timely and supportive annual appraisal in line with NHS Agenda for Change Terms and conditions of Service.		
3.	Is there any evidence or reason to believe that the policy, strategy or project could have an adverse or negative impact on any of the nine protected characteristics (as per Appendix A)?		<b>No</b>
4.	Is there evidence or other reason to believe that anyone with one or more of the nine protected characteristics have different needs and experiences that this policy is likely to assist i.e. there might be a <i>relative</i> adverse effect on other groups?		<b>No</b>
5.	Has prior consultation taken place with organisations or groups of persons with one or more of the nine protected characteristics of which has indicated a pre-existing problem which this policy, strategy, service redesign or project is likely to address?		<b>No</b>

Signed by the manager undertaking the assessment	Rosemary Pike
Date completed	20 <sup>th</sup> June 2019
Job Title	Interim Head of Learning and Development

On completion of Stage 1 required if you have answered YES to one or more of questions 3, 4 and 5 above you need to complete a [STAGE 2 - Full Equality Impact Assessment](#)

# Equality Impact Assessment

### Are we Treating Everyone Equally?

Define the document. What is the document about? What outcomes are expected?

Consider if your document/proposal affects any persons (Patients, Employees, Carers, Visitors, Volunteers and Members) with protected characteristics? Back up your considerations by local or national data, service information, audits, complaints and compliments, Friends & Family Test results, Staff Survey, etc.

If an adverse impact is identified what can be done to change this? Are there any barriers? Focus on outcomes and improvements. Plan and create actions that will mitigate against any identified inequalities.

If the document upon assessment is identified as having a positive impact, how can this be shared to maximise the benefits universally?

### Our Vision

Working together with our partners in health and social care, we will deliver accessible, personalised and integrated services for local people whether at home, in the community or in hospital empowering people to lead independent and healthier lives.



Trust Equality and Diversity Objectives			
Better health outcomes for all	Improved patient access & experience	Empowered engaged & included staff	Inclusive leadership at all levels

APPENDIX B – APPRAISAL TEMPLATE

# Appraisal

## Personal Details

**Appraisee:**

**Job Title:**

**Appraiser:**

**Date of Appraisal:**

**Review period from:**

**Review period to:**

It is important to remember when conducting an appraisal that it should be a two way conversation, and that the appraisee should have ample time to discuss their progress and development.

## Section 1.1 Your Well-being and inclusion

This section is designed to prompt a discussion on overall well-being-including, identify any flexible working requests and address any issues or concerns around inclusion.

In this section you may want to cover the following:

- General discussion about the individual’s health and well-being-be guided by the employee in terms of how much they wish to share and discuss and what is documented on the appraisal form in this section. Some employees may be more comfortable discussing health and well-being than others.
- Check that the individual knows how to access the Trust’s health and well- being offer

### How are you?

**Have you had a conversation about your health and well -being in the last 12 months? (Provide a brief summary)**

**The Trust has a flexible working policy. Would you like to discuss/request flexible working?**

**The Trust is committed to creating a diverse and inclusive environment. Do you have any issues/ concerns around your working environment in relation to diversity and inclusion?**

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## Section 1.2: Review of previous 12 months

Please outline the main **successes, achievements and challenges** over the previous 12 months.

### Appraisee comments

### Appraiser comments

## Section 1.3: What has been expected of you this year?

Here you need to review progress against objectives agreed at last year's appraisal, determining whether the achievement of the objectives overall have **Exceeded, Meets or Partially Meets**

### Measurement of performance against SMART OBJECTIVES

What was expected of you? **S**pecific, **M**easurable, **A**chievable, **R**elevant, **T**ime-bound

How did you do?

- Achieved
- Achieved
- Achieved
- Achieved

### Appraisee comments

### Appraiser comments

Overall rating	Objective	Partially meets	Meets	Exceeds
Has the completed objectives?	employee their	<i>Some objectives have been completed</i>	<i>Most/all objectives completed</i>	<i>All objectives completed and some exceeded</i>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

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## Section 1.4: How have you delivered your objectives?

This section is designed to prompt a discussion which focuses on the 'how' rather than the 'what' you have achieved. What has been your style and approach to work? How is it received by others?

**Do you demonstrate the STAR values and behave in accordance with them?**

**What feedback have you had about your approach?**

**Have you had regular one to one meetings throughout the year?**

**Have you undertaken 360 degree appraisal? If so what were the key points?**

## Section 1.5: How have you reflected on any learning from incidents/complaints?

This section is designed to provide an opportunity to encourage reflection and learning. What happened? What have you changed in your approach as a result?

**What events/incidents/complaints have you experienced?**

**What have you learnt as a result of the changes you have made?**

## Section 1.6: Essential Skills and Mandatory Training

Staff must be up to date with all Essential Skills and Mandatory Training to receive pay

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progression.

**Are you in date with Statutory and Mandatory Training**

(Refer to STAR)

All in date

Not in date

**Are all of your staff in date with Statutory and Mandatory Training**

(Managers If applicable)

All in date

Not in date

**Comments**

**Section 2.1: Objectives for the year ahead**

Appraiser and appraisee should discuss and set SMART objectives for the next 12 months

**Individual SMART Objectives – Specific, Measurable, Achievable, Relevant and Time-bound**

What is expected of you?

Measure of Success

When is this to be achieved by?

**Section 2.2: Personal Development Planning (PDP)**

The PDP underpins and supports the delivery of objectives, career aspirations and values and

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behaviours. Are there any possible barriers you anticipate in achieving your objectives for the coming year and any gaps in the skills and /or knowledge required for your job. Refer to your job description and your Continuing Professional Development (CPD) Portfolio, where appropriate.

### Personal Development Plan

What are the areas I need to work on?	What action will I take now?	When will I review progress again?
---------------------------------------	------------------------------	------------------------------------

## Section 2.3: Pay Step Review

From 1<sup>st</sup> April 2020 staff progressing through a pay step (i.e. an increment point which results in an increase in pay) will be required to have a pay step review meeting within the 12 months prior to the date of the pay step. The pay step review can take place as part of the Appraisal or as a separate meeting if required.

In order for the pay step review process to be successful, and the pay step actioned, all of the following criteria must be met.

- An Appraisal has taken place within the 12 months prior to the pay step date and expected standards are being met
- No formal performance management process is in place
- No formal disciplinary sanction (issued through the Managing Conduct Policy) is live on the employee's record)
- All required statutory/mandatory training has been completed
- If employee is a line manager all appraisals for relevant staff are completed

This pay step review meeting must be recorded completing the Pay Progression Review Meeting Form which can be found on the intranet here <http://intranet/services/departments-finance/payroll-and-expense-reclaims/pay-award-2019/> in advance of the pay step in order for staff to receive the pay increase associated with the pay step.

Note: This document is electronically controlled. The master copy of the latest approved version is maintained by the owner department. If this document is downloaded from a website or printed, it becomes uncontrolled.

## Section 2.4: Annual declaration

<p><b>Have there been any changes to your fitness to practice?</b> <i>This could include police cautions, convictions, investigations following allegations, investigations or proceedings by a regulatory or licensing body or any prohibition, limitations or restrictions that could affect your position or the reputation of the Trust.</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p><b>Have you completed the <u>Secondary Employment form</u></b> (if appropriate)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No

## Section 2.5: Sign off

Appraisee Signature:	Date:
Appraiser Signature:	Date:

**Appraisee checklist**

- Keep a copy of appraisal summary, objectives and PDP
- Have agreed actions for next steps to support performance development and careers aspirations

**Appraiser Checklist**

- Record completion of appraisal by sending an e mail to [gwh.academyappraisalretu@nhs.net](mailto:gwh.academyappraisalretu@nhs.net) confirming the **date** of the appraisal, the **name of the appraisee** and the **name of the appraiser**
- Record Pay Step review on ESR if appropriate
- Set the dates for 1:1's and Appraisal review to support