

Appraisal Policy & Procedure

HWHR22

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1. Introduction and Purpose

- 1.1.** The Herefordshire and Worcestershire Clinical Commissioning Group (hereafter referred to as “the CCG”) recognises the need to have a robust and transparent appraisal process to ensure the development needs of all employees, line managers and the organisation are met.
- 1.2.** The overall objective of appraisal is to improve employee motivation job satisfaction and effective performance through the agreement of personal objectives and learning needs.
- 1.3.** This document outlines the annual appraisal process and details how appraisals will impact on incremental pay progression where appropriate for staff on Agenda for Change.
- 1.4.** This policy and procedure are in line with the Agenda for Change (AFC) terms and conditions on pay progression and Annex 23. In this regard the policy and procedure are intended to ensure that all staff on AFC have the appropriate skills and knowledge to carry out their roles effectively.

2. Principles

- 2.1.** It is important that employees have a clear understanding of what they need to achieve in their roles and how this links to the key priorities for the CCG.
- 2.2.** It is important that everyone knows what is expected of them. This requires an up to date job description that is reviewed on an annual basis and one that clearly reflects the roles response their roles and responsibilities.
- 2.3.** To support their development, all employees of the CCG will take part in a formal annual appraisal with the appropriate line manager. The outcome of which will be work related objectives and a Personal Development Plan.
- 2.4.** Individuals’ work objectives will be agreed on a personal basis using the SMART format, so they are measurable and there are clear success criteria for meeting the objectives.
- 2.5.** Individual employees will receive regular feedback and have regular and frequent reviews with their line manager throughout the year.
- 2.6.** The CCG views the annual appraisal process as an opportunity for a constructive dialogue that achieves the following:
 - I. reviews an individual’s performance, skills, behaviour, and objectives over the previous 12 months.
 - II. reviews the personal and professional development the individual has undertaken over the year in line with the previous Personal Development Plan.
 - III. The mechanism for agreeing the individual’s objectives for the next 12 months which should be reflective of the CCG’s objectives
 - IV. Establishes a plan for personal and professional development that is required to support the individual to achieve their objectives.
 - V. Provides an opportunity to check on the employee’s wellbeing although this subject should not be exclusive to this process

3. Equality Statement

- 3.1.** Herefordshire and Worcestershire CCG aims to design and implement policy documents that meet the diverse needs of our services, population, and workforce, ensuring that none are placed at a disadvantage over others. It takes into account current UK legislative requirements, including the Equality Act 2010 and the Human Rights Act 1998, and promotes equal opportunities for all. This document has been designed to ensure that no-one receives less favourable treatment due to their personal circumstances, i.e. the protected characteristics of their age, disability, sex, gender reassignment, sexual orientation, marriage and civil partnership, race, religion or belief, pregnancy, and maternity. Appropriate consideration has also been given to gender identity, socio-economic status, immigration status and the principles of the Human Rights Act.
- 3.2.** In carrying out its functions, Herefordshire and Worcestershire CCG must have due regard to the Public Sector Equality Duty (PSED). This applies to all the activities for which Herefordshire and Worcestershire CCG are responsible, including policy development, review, and implementation.

4. Scope of Policy

- 4.1.** This policy covers all employees, including very senior managers, Governing body members, trainees, and fixed-term employees and bank staff.
- 4.2.** All matters relating to health and wellbeing, attendance management and/or performance management as part of this process should be referred to the appropriate policy.

5. Responsibilities

5.1. The Executive Team

The Executive team and Senior Leadership team will be responsible for the application of this policy within their respective teams and ensure that all those with line management responsibilities are familiar with this appraisal policy and procedure, are trained in applying all elements of this the procedure documentation and that an appraisal is undertaken with their specific employees.

The Executive team will be responsible for the timely sharing of their objectives with their teams to ensure these are cascaded through the CCG.

5.2. Employees

It is the responsibility of employees to:

- Actively participate in the appraisal process.
- Be familiar with the appraisal paperwork.
- Attend appraisal meetings having undertaken the necessary preparation and be ready to discuss performance and development.
- Ensure all statutory and mandatory training is in date and accurately recorded.
- Ensure that all the relevant paperwork is completed prior to the annual appraisal.

5.3. Line Managers

- I. It is the responsibility of all line managers to ensure that in addition to an annual appraisal discussion, there are regular and meaningful discussions with their staff members throughout the year discussions with staff members are held throughout the year.
- II. This is to allow for frequent dialogue and the ability to build trust between individuals. It is also an opportunity for the member of staff to raise any issues they have such as in relation to their work, health and wellbeing, work patterns and working relationships.
- III. It is particularly important that any issues that may affect pay progression are discussed. The purpose of regular discussions is to ensure that when it comes to the appraisal and any pay step review there are no surprises.

Specifically, they are required to:

- Ensure that all direct reports are appraised annually.
- Be familiar with the appraisal paperwork.
- Ensure they are well prepared for appraisal meetings including the completion of all paperwork where applicable.
- Have regular appraisal conversations with their direct reports throughout the year.
- Ensure that all objectives that are agreed are linked to the organisational goals and objectives.

5.4. Human Resources

- The Human resources team will provide support and advise on all aspects of the application of this policy and process.
- They will monitor implementation and report on the application of the policy through the performance reports to the CCG governing body.
- Support managers and staff in the issues that may arise regarding pay step progression.

6. Appraisal Process - Introduction to the appraisal system

6.1. Aims of the appraisal system

The Appraisal process provides the opportunity for managers and individual members of staff to participate in a two-way discussion about progress in their job, An appraisal meeting is a two way discussion between the staff member (appraisee) and their manager (appraiser) to enable a discussion about the individual member of staff's role, progress towards objectives, how they demonstrate the organisational standards, their achievements, future objectives and development needs.

It is the appraiser's responsibility to ensure that the appraisal discussion is constructive and results in an open dialogue that the appraisee feels comfortable with.

Specifically, the process is designed to ensure that:

- Each member of staff is clear about their role and knows what is expected of them.

- Performance standards are set and also clear timetables for the achievement of objectives.
- Constructive feedback on progress is received on a regular basis.
- Staff understand how their job interacts with others
- Ability, skills, and potential are developed.

The process assists the CCG in achieving its corporate objectives and statutory requirements.

6.2. Benefits of Appraisal

Conducted in the right atmosphere progress the annual appraisal and regular review discussions are important parts of good management practice. Such discussions give the opportunity to clarify issues, set clear objectives and work towards personal development.

The main benefits are described below:

For the Individual:

- Gaining greater insight into job role
- Clarifying expectations of manager
- Greater insight into how personal performance is measured and assessed
- Being able to monitor personal progress towards objectives and to agree appropriate timescales.
- Identifying ways to improve personal performance.
- Providing an opportunity to discuss training and development needs and how these can be met over time.
- Providing an opportunity to discuss career aspirations and how these can be met annually, reviewing the job description to ensure that it is up to date and still relevant.

For the Manager:

- Exchanging views and opinions on work progress with staff away from the normal day to day pressures.
- Providing an opportunity to improve the understanding of the expectations on the individual and on the team.
- Clarifying with their staff the resources available to meet the objectives
- Agreeing objectives, timescales, and standards of performance.
- Reviewing progress towards objectives
- Providing an opportunity to review and plan work to be achieved
- An opportunity to agree training and development needs and how these might be met over time.

For the CCG include:

- Valuing every member of staff by ensuring individual quality time between managers and staff.
- A system to ensure that all staff in the CCG are aware of the requirements of their job and are able to contribute to how achievements will be reached.
- A systematic and coordinated approach to achieving the CCG's objectives within agreed timescales.
- A means through which employees understand how and where they fit in.
- Systematic way of gathering information on training and development needs to ensure that available resources are used effectively.

- Helping staff to do their job to the best of their abilities.

6.3. Overview of the process

The annual appraisal cycle is represented in Figure one below. The three elements of the appraisal discussion are as follows:

1. Individual Objective Setting and review of the role for clarity (see Appendix 4, Part 1)

Individual Objective Setting follows on from the development of the CCG's business plan and is the appraisal process to which tasks and objectives which are necessary for the completion of the business plan are allocated to groups and individuals. In setting these, reference should also be made to the CCG's long-term strategies, objectives, and the five-year plan.

Key objectives and standards are set for the coming twelve months. It is very much a forward-thinking activity that also involves a review of training and development needs to ensure that the individual can achieve the objectives jointly set.

2. Annual Review of Progress and regular review discussions (see Appendix 4, Part 2)

The Review of Progress is the process through which a manager and individual review progress during the preceding period, identifying strengths, areas for development and future action. Monitoring discussions are a key feature of the system and ensure that progress is reviewed on a regular basis. The number, timing and frequency of monitoring discussions will vary and needs to be agreed between the manager and individual staff members. As a minimum a mid-year discussion should take place to check all is well. Typically monitoring will take place at three monthly intervals.

The annual Appraisal takes place at the end of the cycle and it is in this discussion that performance for the preceding year is measured and progress agreed. This is a good time to give constructive praise for a job well done. A major part of this discussion should be forward looking with revised objectives and a new Personal Development Plan for the coming year will be agreed.

3. Personal Development Plan (see Appendix 4, Part 3)

The process involves a first discussion at which the work to be done is clarified, objectives and standards are set, and a Personal Development Plan is agreed for the coming twelve months. The process should be a tool for managers and staff to discuss and agree standards of performance and training and development needs.

The Personal Development Plan builds on the objective setting and review process and is designed to:

- Enhance an individual's performance
- Identify and record training needs
- Support their personal development/ career planning

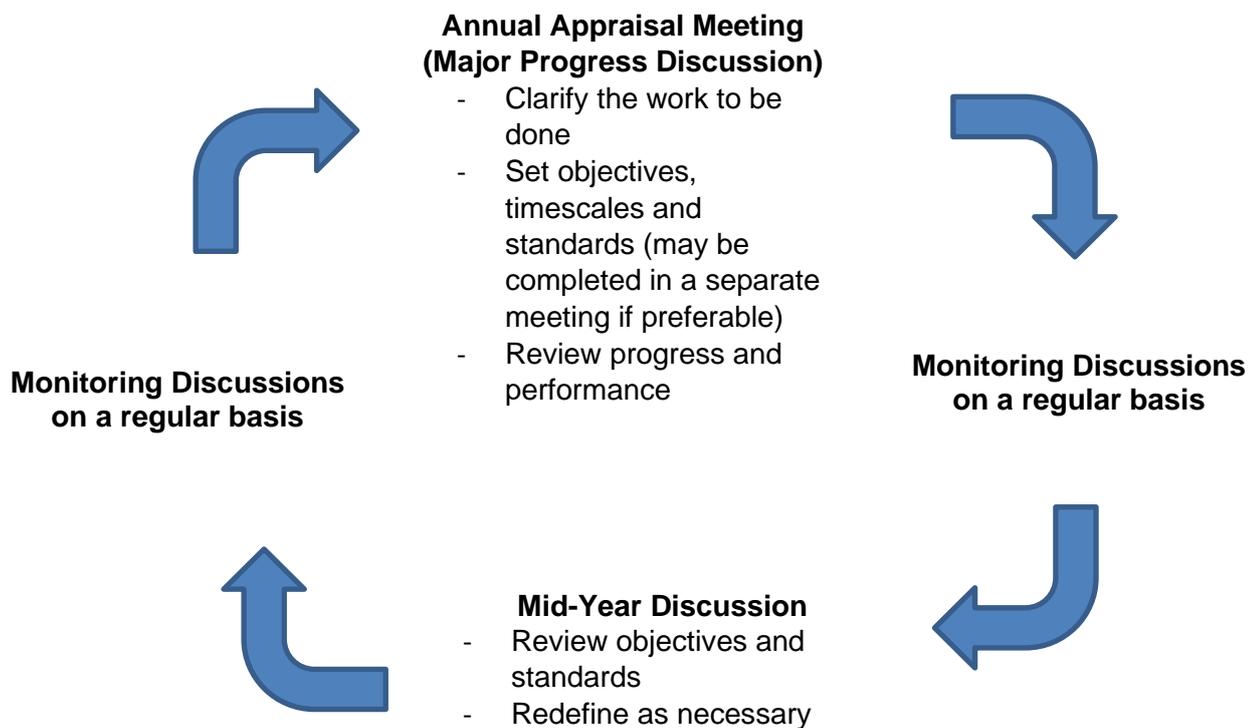


Figure 1. Annual appraisal cycle

7. Training for the Appraisal Process

- 7.1. All appraising managers will be required to attend an Appraisal Training session delivered by the HR team.
- 7.2. The session will ensure that Line Managers are comfortable with conducting the appraisal process and all the steps and have the relevant skills to be able to carry out effective and informative performance conversations.
- 7.3. Training sessions are also available for all employees to attend to familiarise themselves with the process and understand what a 'good' performance conversation should consist of.

8. Appraisal Timetable

Ideally the plan for appraisals would follow the timetable below however the link between performance and pay step progression means that managers must be aware of and plan for the timely processing of pay step reviews for all their team.

Timescales	Action
1st April to 31st May	Completion of the preparation appraisal form by the appraiser and appraisee. <ul style="list-style-type: none"> • Agree a date for the appraisal to do the following: • Review end of year performance • Agree work, behavioural standards and developmental objectives for the year ahead in line with the CCG's business objectives.

1st June to 31st March	Regular (including quarterly and a mid-year review) on a one to one basis offering support, and guidance to monitor delivery and performance of objectives as well as agreeing further priorities and objectives as the year
For new starters and those returning from planned or extended leave appraisals should be completed within three months of joining the CCG or returning to work in line with the CCG's Probationary Periods policy.	

9. Pay Steps and the Appraisal process

9.1. The new pay progression system in Agenda for Change is underpinned by the local appraisal policies that deliver the mandatory annual appraisal process. The 2018 framework agreement on the reform of Agenda for Change introduced provisions to move to a new pay system with faster progression to the top of pay bands through fewer pay step points.

9.2. It is important that staff are clear that there is a link between their performance and pay step progression. A manager must be aware of and plan for the timely processing of pay step reviews for all their team.

9.3. The process is set out in the attached flow chart – Appendix 5
<https://www.nhsemployers.org/-/media/Employers/Documents/Pay-and-reward/2018-contract-refresh/Pay-progression/Flowchart---pay-step-submission-process.pdf>

There will be a notification process for employees that are due a pay step increment so that managers are aware in advance and can plan accordingly.

9.4. Staff employed or promoted on or after 1st April 2019 will be required to follow the new pay progression system in order to receive their pay step increase.

9.5. After 1st April 2021, pay step submissions for all staff will only take place after two, three or five years depending on pay band. However, appraisals will continue to take place annually.

9.6. For all other staff who were in post before 1st April 2019, current organisational pay progression procedures will continue to apply until 31st March 2021 after which time they too will be subject to the provisions of the process in this policy and the requirements to demonstrate the following

9.7. The expectation is that all staff will meet the required standards and therefore be able to progress on their pay step date. To progress on the pay step date staff will be required to demonstrate the following in order to receive their pay step increase:

- i. An annual appraisal has been completed within the last 12 months and outcomes are in-line with organisational standards.
- ii. There are no formal capability processes in place.
- iii. There are no formal disciplinary sanctions live on the staff member's record.
- iv. Statutory and/or mandatory training has been completed and is up to date.
- v. For Line Managers only – that all their staff have been appraised within the last 12 months.

9.8. If a member of staff has been able to demonstrate the requirements detailed above, they will be eligible for their pay step increase.

- 9.9.** Appraisals will need to take place each year regardless of whether there is a pay step increase scheduled for that year or not.
- 9.10.** Continuous previous service with any NHS employer counts in respect of reckonable service for pay step eligibility.
- 9.11.** There should be clear responsibilities agreed for the appraisal review where an employee is on a secondment to a different role at the time of their pay step date to ensure that they are able to access their pay step point without any detriment.

10. Interaction with other Policies

- 10.1.** This policy document should be read in conjunction with the 'NHS Terms and Conditions of Service Handbook' as amended from time to time.
- 10.2.** This policy should be considered in conjunction with the following CCG's policies:

- Disciplinary Policy and guidance notes
- Management of Sickness Absence Policy
- Management of Performance at Work Policy
- Professional Registration Policy
- Training policy

11. References

- NHS Agenda for Change Terms and Conditions of Service.
- NHS Pensions Terms and Conditions.
- Equality Act 2010.

APPENDIX 1

APPRAISAL PROCEDURE, GUIDANCE AND SUPPORTING DOCUMENTS

This supporting procedure and guidance notes set out the steps involved in applying the appraisal process and contains the relevant forms to be used in the process.

The Objective Setting Process

Step One – Role Clarity

The first stage of the discussion is to make sure that managers and staff are clear about the purpose of the job. Both the line manager and the member of staff will need to prepare for the discussion. A Personal Preparation Form is included in Appendix 3 for this purpose.

It is important to ensure that any misunderstandings or confusion about role and responsibilities are identified and the situation clarified. Often there is confusion about this and any differences in view between a manager and member of staff can create difficulties and friction and mean that the required tasks are not achieved as efficiently as they should be. A good starting point is to look at the job description and agree the overall responsibilities. Good questions to ask are:

- What difficulties have arisen through lack of clarity?
- How can we avoid it happening in the future?
- What are my responsibilities?

This is likely to be the subject of attention at the start of the first discussion. Whilst you are unlikely to have to spend much time on this topic in future discussions. It is always worth checking things out to avoid confusion and to ensure that the job description is still relevant.

1. Setting the Objectives

Agreeing challenging but realistic individual objectives lies at the heart of the appraisal. The reason for this is to:

- Support the achievement of the organisation's teamwork plan by allocating individual and/ or team responsibilities for completing tasks and activities.
- Identify an individual's contribution to the overall CCG objectives specifically in terms of their role in achieving these.
- To ensure that standards of performance are agreed and understood and to enable individuals to receive feedback on their personal progress and performance.
- Enable individuals to be aware of changing organisational priorities and to reflect these in their personal work plans including timescales for achievements of objectives.
- Identify the appropriate level of resources required by individuals to fulfil their objectives within the agreed timescales.
- To identify areas of work which contribute to an individual's personal development.

Individual Members of Staff should:

- Review their job description and think through the purpose of the job, possible objectives, and standards.
- Review previous objectives.

- Consider any areas of work they would like to be involved in for the future.
- Review their personal development and training needs.

Line Managers should:

- Be clear about their own objectives arising from the Business Plan or other documents.
- Have given some thought as to how the teams objectives will be achieved through individuals.
- Consider the balance between maintenance and new objectives
- Focus on the key deliverables and be mindful to set realistic objectives and targets
- Consider possible development needs
- Ensure consistency of style and approach
- Ensure final documentation is completed and signed off.

2. Guidance on Setting Objectives

Objectives should be agreed with the appraisee for the coming year. These should be linked to the corporate/departmental and appraisers' own objectives. These must be recorded see Appendix 2 and should form part of the regular one to one discussions throughout the year.

Principles:

- a) All objectives and standards should always be agreed between **line manager** and **employee**.
- b) objectives should be fair, equitable and challenging without asking the impossible.
- c) There is no set number of objectives/standards that should be set per person. These should simply be achievable and in the time available.
- d) Make use of **SMART** (specific, measurable, achievable, relevant, and timely) when setting objectives and **AUOM** (achievable, understandable, observable, and measurable) when setting standards.
- e) They should take into account the abilities, skills, and knowledge of the individual member of staff as well as the objectives of the CCG. Objectives should reflect:
 - Maintenance activities i.e. those things which reflect the day to day aspects of the job
 - New activities
 - Personal development

An objective should:

- State what must be achieved and how it is to be achieved
- Indicate the level of responsibility, i.e. lead responsibility of team member
- State the standards to be achieved
- Indicate potential resources and timescales

These principles ensure that we know when an objective has been achieved. To serve this function effectively they must be written in a way that leaves no room for doubt. Precision is the key to good objectives. Objectives need certain characteristics which are often summarised by the acronym SMART. This means that objectives must be:

Specific about what must be done and what outcome is required. When writing up objectives the words should be chosen with care. Woolly or ambiguous language can lead to misinterpretation, misunderstanding and in due course to disputes about whether an objective was met or not.

Measurable concerning what outcome is expected. The wording should always contain a measurable item e.g. 3% reduction in sickness rates, manage within budget of £95,000. Alternative language such as “reduce sickness rates,” “use resources effectively,” do not provide a sufficiently precise target for people to aim t. This makes it difficult to measure progress.

Attainable and challenging but not so difficult they cannot be achieved. If they are too difficult staff will be demotivated and on the other hand if they are too easy, they will not be inclined to make their best efforts either. One of the benefits in talking through the action plan for each objective is that it should help to identify, for example whether we have allowed enough time for the different actions required.

Set a specific time limit for objectives when established. An example would be that all members of staff will have a Personal Development Plan by the end of the current financial year.

Reaching Agreement on objectives

The objectives are written up in the Summary of Objective Setting Section of the documentation shown at Appendix 2. Although individual objectives should normally be consistent with the responsibilities on an individual’s job description, it may be appropriate for specific objectives to be agreed outside the normal remit for personal development purposes. Training and development objectives are written up in the Annual Appraisal form and Personal Development Planning is covered below.

When objectives are being set the normal sequence is as follows:

- The CCG sets the Business Plan Objectives
- Executive Directors agree their personal objectives.
- Directors then meet with their Senior Managers and their individual objectives are agreed. Documentation showing jointly agreed objectives is completed.
- Each Senior Manager then goes through the same process with those job holders reporting to them. The process continues in this way such that individual objectives have been agreed with every job holder in the CCG.

The process of agreeing objectives must be approached in a positive and sensitive way to ensure that realistic objectives are set. This means that discussions should be a two-way process with the job holder being encouraged to make suggestions about which objectives will best contribute to effective performance. Job holders also need to be free to question and seek clarification so that they are clear about what is expected and increasingly confident that their objectives are attainable. Experience shows that when these qualities are brought to the discussion, job holders are much more likely to suggest objectives which are challenging.

It should be remembered that the appraisal process is only as good as the people using the System.

Step 2 - Conducting the Review of Progress

The Stages of Review

1. Regular Monitoring Discussions

The progress review means gathering information about how well the objectives agreed are actually being achieved. This means reviewing both the work-based objectives and the personal development and training objectives. In the appraisal process the discussion around progress should take place in monitoring discussions and in the major discussion at the end of the cycle. Where agreed objectives already exist, it will be possible to review progress as part of the first appraisal discussion.

The number, timing and frequency of monitoring discussions will vary and needs to be agreed between the manager and individual member of staff. As a minimum, however a mid-year discussion should take place to ensure that progress is being made and to highlight any possible areas of difficulty.

Monitoring does not have to be a time-consuming event. It may be that a specific objective is the subject of a brief discussion between the manager and member of staff which takes place around a key milestone date. This may last no more than 30 minutes.

Overall, what is important is that appropriate monitoring takes place. The appraisal process should not be a once a year event. Members of staff often say that they would like some time to talk about their progress, to ask for help if they need it, share problems, to plan together, to provide feedback to the manager and also receive praise. Monitoring discussions are a way of doing this and ensuring that it is developed into a truly two-way process.

Undertaking regular monitoring also means that the meeting should hold no surprises for the staff member. For example, concerns about an incident or performance during the year, can be raised at the time rather than waiting for the appraisal meeting.

2. Formal Appraisal Meeting – See the record form at Appendix 4

This takes place at the start of the cycle and is designed to cover the following elements:

- Review progress against objectives and objective setting for the year ahead
- Re-define and agree objectives for coming year
- Agree the Personal Development Plan

Roles and Responsibilities for this Formal Appraisal Meeting

Line Managers should:

- Set aside adequate time and arrange an appropriate meeting place.
- Inform the individual of the arrangements giving at least two weeks' notice
- Provide the individual with preparation document
- Review agreed objectives and notes of any monitoring discussions including personal training and development issues
- Adopt an approach that establishes standards for future action rather than simply reviewing progress. The discussion should be approximately 30% backward looking and 70% forward looking so that progress is reviewed, and objectives are projected forward.

- Spend time putting the individual at ease, use questioning and listening skills to facilitate the discussion enabling the individual to raise issues and arrange dates for follow up meeting.
- Arrange for documentation to be completed and signed off.

Individual Members of Staff

The individual member of staff has an equal part to play in the process which includes taking responsibility for the following:

- Setting time to adequately prepare
- Reflecting on own achievements and ability to perform the objectives set
- Identifying individual strengths and areas for development
- Considering the learning that has taken place and whether additional training and development is required
- Considering wider career interests and development needs

3. Guidance on Holding the Formal Appraisal Meeting

Preparation is essential. The manager and job holder need to prepare for this part of the discussion in just as much detail as for other parts of the discussion using the Preparation Form see Appendix 3.

Before the Appraisal

Timescales The date, time and venue of the meeting should be booked with enough time to ensure both parties can prepare for the meeting ideally no less than two weeks' notice and where possible the date should be agreed together.

The appraiser should ensure that the appraisee has access to the forms in the Appendices of this policy, the organisational standards, a copy of the previous appraisal form and a copy of the job description and person specification.

Venue. The venue for the meeting should be suitable for this type of meeting with key areas for consideration being privacy, confidentiality and freedom from interruptions.

Appraisals via videocall/Microsoft Teams are acceptable in instances where meeting face to face would be a particular challenge or cause a delay

Preparation ahead of the meeting:

Once a date for the meeting has been agreed, both the line manager and individual need to invest time in preparing for the meeting by considering the prompt points on the top of the appraisal record form at Appendix 4.

These will help to ensure that both parties to the discussion have thought through some of the key issues as suggested below:

Line Manager

Review the objectives and ensure development issues are brought forward to the discussion including the following:

- Were the right objectives set?

- Were the objectives agreed?
- Were they achieved in an effective way?
- Were the required standards met?
- Have the main elements of the job been achieved? Has the job description changed?
- What else has been achieved? E.g. skills, knowledge.
- Has the individual developed thorough the year?
- Consider a wider range of training and development issues in line with the Personal Development plan
- Ensure that resources are available to meet planned training and development
- Consider the needs of the individual versus the needs of the whole CCG
- At the end of the discussion ensure the completion of the Personal Development Plan
- Check that the statutory and Mandatory Training is complete
- Are they due a pay step this year?

The Individual Member of Staff – using the preparation form below at Appendix 3

Review the previous objectives and reflect on their performance over the last year and be ready for the discussion as follows:

- Identify strengths and areas for development
- Consider the obstacles that affected the achievement of objectives
- Consider what training and development would enhance performance
- Review own career goals, if any
- Commit to any resultant action plan

The Appraisal Meeting - Guidance on completing the Progress Review Documentation

The appraisal meeting should complement and support regular discussions throughout the year.

During the appraisal meeting, the manager must encourage the staff member to do most of the talking using a coaching style. The manager should allow their employee to take the lead with the conversation and should provide them with constructive feedback using prepared notes and any feedback that has been received from other stakeholders.

If a member of staff is negative about their own performance the manager should try to help them to think of positive outcomes and ensure future objectives and the Personal Development Plan builds on this during the next year.

It is important to remember that the meeting should hold no surprises for the staff member. Previous concerns about an incident or performance during the year should have been raised in the regular monitoring meetings and in a timely manner rather than waiting for the appraisal meeting but it may be appropriate to check how the staff member has developed and reflected since that incident.

The documentation includes an annual appraisal form (see Appendix 4). This should be completed to ensure that a summarised record is kept of the main points of the discussion. The completed form should be signed by the manager, job holder and finally by the manager. The summary should be a record of the main points and will cross refer to the previously completed objective setting documentation. Comments should indicate the degree to which the agreed progress against the objectives has been achieved. The discussion should highlight the specific strengths of the individual which enabled the individual to be successful. Equally a discussion

may have highlighted further development needs and the summary will refer to the Development Plan.

Personal Development Planning

a. Purpose of Personal Development planning

One of the key outcomes of the appraisal process for all staff is a Personal Development Plan. Personal Development and training needs are typically explored in both the initial discussion and at the annual appraisal meeting. The manager should encourage the appraisee to identify any training and development needs that they may need in order to achieve their objectives, meet the organisation standards and the demands of their job, support succession planning and their personal career development.

The focus on development is a key part of the appraisal since it is only by equipping staff with the necessary knowledge and skills that the CCG can be effective. The annual appraisal form has a section specifically for this purpose at Appendix 4.

The purposes of the Personal Development Plan:

- Identify individual training needs linked to the job
- Identify development needs
- Identify development needs to support personal career planning
- Identify appropriate solutions
- Agree a plan of action

Training needs arise from the gap between an individual's knowledge, skills, and behaviours and those required to perform the current roles to the required standard.

Development needs will have to be met in order to enable the individual to fulfil their potential in the CCG or to prepare them for some future role.

Personal Career Planning provides the individual with the opportunity to seek feedback regarding the possibility of their career aspirations being achieved and advice on how to do so. The advice of the CCG's HR Department might also be useful here.

The Completion of the Personal Development Plan enables individual development and training needs to be prioritised and for resources to be agreed. Where a number of individuals have similar training and development needs this enables a more systematic response to be made tailored to the needs of the organisation.

b. Forms of Learning

We all learn in a variety of different ways. Our capacity to learn and the way we chose to do this will depend on our learning styles. Some people learn best by doing training (activists), some from thinking about and reflecting on issues or situations (reflectors), others from understanding and relating underpinning ideas (theorists) and others from doing things in the workplace (pragmatists). We are each likely to enter the learning cycle at a different point, for example an activist is likely to engage in doing whereas a theorist will look to understand principles before acting. What is clear if we are to learn effectively is that we will need to go fully round the cycle. For the activist this means that learning can only take place if the doing is followed by reflection and building on knowledge and theory and then thinking about how this applies and can be introduced to improve work performance.

For many people learning equates courses. Whilst attendance on a course can be a very important method of acquiring new knowledge and skills, it is only one of a number of interventions available to use. The following list should be considered by managers and members of staff when thinking through how best to meet the identified personal training and development needs:

- Coaching
- Mentoring
- Skills Development Workshops
- Guided reading
- Project Work
- Networking
- Conferences
- Learning Sets
- Doing new things at work
- Observing and learning from others
- Planned visits
- Skill swaps
- Shadowing
- Secondments
- Gaining feedback on performance
- Using open learning materials including videos and other interactive materials
- Qualification based training courses

The interventions are only limited by our own creativity and commitment to put the interventions in place.

After the Appraisal Meeting

The appraisal form must be completed with all the elements of the discussion from the staff member and the manager. The parties should agree between them who will take responsibility for capturing this and set the time frame for doing so. The purpose is to allow accurate reflection on the CCG's annual people performance and inform the Learning and Development and OD Plans. Completed performance appraisal form should be returned as they become available "falling into line" with the annual appraisal cycle as soon as is practicable.

The line manager should ensure that the completed form is agreed and signed by both parties and there must be a copy provided to the staff member and a copy retained on their electronic personal file. If a member of staff disagrees with the outcome of their appraisal and or pay progression, they must contest it at the time by submitting their comments and concerns in writing to their manager within 10 days of the appraisal meeting.

Where the employee has not been present at work for a significant period of the appraisal review period, it may not be appropriate to review their previous performance, but an objective setting and development review should take place.

HR Monitoring of the application of this policy

The application of this policy will be achieved via the monitoring of the forms being submitted to the personal files. An overall picture of performance levels across and between teams, services and for the CCG as a whole will be added to the HR KPIs for the Governing body.

The written appraisal record will be processed in accordance with Data Protection principles and on completion, will form part of the employment record. Processing of appraisal information and viewing data may be carried out by the line manager, both current and previous, business support and HR.

APPENDIX 2

Summary of Individual Objectives

The discussion for setting these objectives can be a separate meeting or combined with the annual meeting as preferred.

Name:

Department:

Objective	Actions/Main Tasks	Standards/ Success Criteria	Resources allocated/requested Agreed	Expected Completion Date

APPENDIX 3

Employee and Manager Preparation Form for Annual Appraisal

The following are questions for employees and managers (as appropriate to the sections) to help plan and prepare for the annual appraisal meeting - think about your current role, your impact and effectiveness as well as your future development and potential:

<p>Are you clear about your role and responsibilities? Yes / No</p> <p>Is the job description up to date? Yes / No</p> <p>Is all the mandatory and statutory training up to date? Yes / No</p> <p>Is the professional registration up to date (if relevant to post)? Yes / No</p> <p>Are the direct report appraisals up to date? (<i>Line managers only</i>) Yes / No</p> <p>Is there a pay step due this year?</p>
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The annual appraisal discussion is a two-way process, and your views are important. You might find it helpful to consider in advance what you want to contribute to the discussion. This form is designed to help you to prepare. The questions are for guidance. **Any notes you make under these headings are for your use only.**

Your Job

1. Do you have an up to date job description that describes your work?

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2. What objectives are you currently working towards?

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3. What have been your major achievements during the year?

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10. How could your job be better developed to make better use of your skills?

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11. What stages of your development have you reached?

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12. How will you maintain your professional development?

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Your Career Interests

13. What is your main career interest?

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14. What skills, if any do you need?

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15. What other areas of interest do you have that you would like to develop in the workplace?

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APPENDIX 4

ANNUAL APPRAISAL FORM – RECORD OF THE DISCUSISON

Please use this document to the discussion in terms of objectives (the form at Appendix 2 can be used at this meeting or at a prior meeting), review of the year, work priorities and Personal Development Plan.

This document should be reviewed on a regular basis as part of 1:1's and updated where necessary.

Name:		Date of Review:	
Appraiser Name:		Date of Last Review:	

- 1. Summary of progress against objectives - including any factors affecting performance. Highlight those objectives which need to be taken forward to the next year**

- 2. Summary of progress in the role in the previous year**

3. Summary of progress in achieving the Personal Development Plan to date

4. Agreement on areas for development in the next year

5. Setting new objectives

Following discussions about the role and the overall corporate objectives set new **priorities** to be achieved within the next 12 months using the form above.

Objective	How will success be evaluated?	Action/ Progress <i>Comments can include reasons why the objective/standard had not been met so far</i>	Date Agreed	Completion Date	Objective Met? Y/N

6. Personal Development Plan

Personal development objective	How will this be achieved?	Resources needed	Completed by when?
1.			
2.			
3.			
Employee Signature:		Manager Signature:	
Date:		Date:	
Date for next review:			
<p>Remember - This document should be reviewed on a regular basis as part of one-to-one meetings and updated where necessary. This will then be used to complete the end of year review.</p>			

Please note:

Once completed managers should please email their business support officer to confirm that the appraisal has taken place so that overall completion rates can be recorded and monitored.

If a pay step increment is due a change will need to be made to ESR so, please provide sufficient notice for this to ensure the pay can be changed in the month when the increment is due.

APPENDIX 5

ADDITIONAL GUIDANCE

1. Guidance for giving Feedback on Performance and Objectives

The following prompt points may help to form the basis for your conversation and discussion on the performance of the individual for the previous 12 months.

Remember this should be a two-way process. Ideally the appraiser should do 20% of the talking and the appraisee 80% of the talking!

- What has gone well in the last year? What were your most important achievements? What are you most proud of?
- What did not go so well in the last year? What could have been done differently?
- Are there any particular barriers or obstacles that have interfered with your role and your contribution to the achievement of objectives?
- What do you consider to be your most important aims and objectives for this forthcoming year, taking into consideration the CCG's corporate objectives?
- What will you do to be effective next year?
- What are your aspirations for the next few years? What can you and the CCG do to help you achieve these ambitions?
- Are there any factors affecting your health and wellbeing that are impacting on your role?

As a Manager, consider using these Questions during your Conversations:

- How can I (the manager) support you?
- What progress have you made on your goals?
- What barriers are preventing you from accomplishing your goals?
- What has been a recent success? How did that work? How do you feel about it?
- What new opportunities would you like?
- What decisions do you need to make?
- What kind of feedback would be helpful right now?
- What is the most important thing you and I should talk about?
- Have I said anything that is not clear?

Questions about a Project / Specific Situation

- How do you think the project is going? What has worked well for you on this project?
- Would you say more about that? Why has it gone well?
- What do you see as the goal of this project? Has the goal changed since you started?
- How will we measure the success of this project?
- What other choices are there? What options do you have?
- What do you see as the next steps?
- What have you learned, so far?
- What are you committed to, in the short term?
- When should I follow-up progress with you?

Giving Feedback

- When feedback is given, it should be specific – it is not sufficient to say 'You're doing a great job' without letting people know the detail behind that statement.
- Convey your feedback with good intentions.

- Try looking ahead to ways of solving the problem, for example, “What can we do to help you feel more comfortable with the more difficult aspects of the project?”
- Focus on the behaviour rather than the individual, for example, “I’d like to discuss some of the quality problems we had on our last project.”
- Make sure there is positive and developmental feedback.

2. Agreeing Future Work Priorities and Behavioural Objectives

Agreeing work priorities & behavioural objectives for the next 12 months is a key element of a good appraisal. If as a manager, you have not had your appraisal yet and are unsure of the priorities in your department please do not let this hold up the appraisal of your team. You can agree short-term priorities which can be updated during your one to one reviews and catch ups.

These priorities should be agreed in the format of SMART objectives for work-based objectives.

Specific	The action, behaviour or outcome must be linked to a rate, number, percentage, or frequency. For example, ‘Answer the telephone quickly’ is not specific and allows for a subjective judgement to be made about whether the outcome has been achieved. In contrast, ‘answer the telephone within 3 rings’ is.
Measurable	The extent to which an objective has been achieved should be measurable. Successfully creating a specific objective linked to a rate, number, percentage, or frequency, makes this easier.
Achievable	An objective is achievable if, with a reasonable amount of effort and application, it can be achieved. Deciding what constitutes a realistic amount of effort and application calls for a subjective judgement to be made, which is one reason why objectives should be mutually agreed.
Realistic	This means that the outcome sought must be something the individual can impact upon. The key questions here are: Does the individual have the necessary knowledge, skill, and authority to complete this objective?
Time-based	This means quite simply: Is there a timeframe within which the objective should be undertaken? If there is no timeframe, the objective is not SMART.

3. Writing a Development Objective

A common mistake people make in this area is to put how the development will be achieved as the objective. So rather than listing ‘Complete on-line excel course’ as the objective consider what you want to achieve from completing the excel course and this should be the development objective.

See below for some examples:

Development Objective	How will this be achieved?	Date to be achieved
In excel: Use a variety of data validation technique; use a range of lookup and reference function & understand and create simple PivotTables	Spending time with a colleague to learn how to do these techniques. Completing the on-line excel training.	30 September 2020

Be able to give a ten-minute presentation in a meeting. Presentation to include an introduction; main content and conclusion.	Observing other managers giving presentations and noting down what went well. Researching on the internet on what makes a good presentation.	30 November 2020
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4. Behavioural Objectives

Setting objectives around behaviours can be quite difficult as sometimes it is not always easy to articulate. To help with this, you should 'break down' the behaviour into aspects of behaviour you can see or hear. For example, if an individual needs to 'be considerate to colleagues' how would you observe this?

You may see the following:

- Turning up for meetings on time,
- Not reading e-mail during a meeting
- Giving adequate time for actions to be completed
- Responding to client e-mail within stated guidelines

Please ensure all work priorities and behavioural objectives link to the CCG's corporate objectives, CCG values and behavioural standards, respectively.

5. Personal Development Planning and Review

Long-term goals are important to a person's sense of fulfilment and happiness. Your team members like to see that they are making progress toward their big career goals. You want to learn about their goals, and whether their current job fits into those goals. Here are some questions you can use:

- What do you want to achieve in the next 3 years?
- What do you think about your progress on your big goals? What needs to be done to move towards the goals? What can we do to help?
- Which part of the work here do you feel as most relevant to your long-term goals? What kinds of projects do you want to take part in to move toward your goals?
- Do not assume that development is limited to formal training courses and qualifications. Current research shows that in terms of how people learn the general concept is that the majority of learning (or around 70%) comes through experience i.e. on the job training; around 20% comes from social learning with colleagues and just 10% through formal learning such as classroom training or online courses. This approach is commonly known as the 70:20:10 approach to learning.
- Additionally, it reinforces how people learn naturally in their day to day lives: learning is most effective when it has proximity to the learning need. For example, if someone needs to learn how to complete a new task or acquire a skill, immediately prior to and during the task is the most effective time for the learning to take place.
- Ideas below on ways to develop skills:
 - On the job learning: observation & shadowing, delegation, stretch assignments, coaching and mentoring
 - Self-managed learning: reading, eLearning, use of the internet
 - Temporary assignments or project work
 - In function learning by colleagues
 - Trainer led interventions: training courses, seminars

6. Managers checklist

Responsibilities for Managers:

- Carry out your role as outlined in the local annual appraisal process.
- Undertake annual appraisals and pay step reviews for all members of your team and ensure they are fully completed.
- Ensure that if absence or other circumstances will prevent you from completing these, that you flag this to your manager at the earliest opportunity so that cover can be put in place.
- Ensure that all staff have access to and undertake statutory/ mandatory and any essential skills training.
- Hold regular appraisal discussions with staff on the basis of “no surprises” so that if an individual may not be on track to reach their pay step point, any areas for development or improvement are identified and remedial action taken at the earliest opportunity.
- Conduct an objective review of the individual’s work against the required standards as part of the annual appraisal process. This should include an assessment of the staff member’s achievement of any personal and or organisational objectives.
- Demonstrate you have encouraged and supported the staff member to achieve the standards required during each local appraisal process.
- Ensure that staff understand what evidence they will need and its relevance to achieving the required standards.

For Pay Step Review meetings:

- Undertake a meeting with the member of staff to review standards and follow the pay step submission process.
- Where a staff member is not meeting the required standards, set a plan following your local guidance to support the individual.
- Understand the required standards for progression and your local policies.
- Give the staff member at least two weeks’ notice of their appraisal to allow them to prepare. You should not try to postpone the appraisal, but where this is necessary rebook without delay.
- Ensure that the member of staff has access to any forms or materials they may need as per the local policy, the organisation’s standards, and any other local requirements. This may include a copy of the previous appraisal form, a copy of their job description.

7. Pay Step Reviews

It is the expectation that staff will go through the appraisal process annually even if there is no pay step due that year. It is expected that staff will receive the support they need to meet the required standards so that they can progress to the next pay step on their pay step date.

A pay step review meeting should take place to confirm this. It is the manager's responsibility to initiate this meeting in a timely manner. In the meeting it is important to draw on the staff member’s most recent appraisal and any relevant progress since then as well as the other pay progression standards. See pay progression flow chart Appendix 6.

It is possible to defer pay step progression for a member of staff if it is concluded that they are not meeting the pay progression requirements unless this is due to factors beyond their control or there are other relevant mitigating factors.

If a decision is made to withhold the pay step, it is the managers responsibility to make the payroll team aware that the pay progression is deferred for that individual and the reason for it. Following this the

manager must work with a staff member to assist them in meeting the expectations and standards required in a timely manner and once these have been achieved the pay step can be applied from that date.

As soon as the standards have been met is essential that the manager meets with the employee and confirms that the standards have been met and also to take the appropriate action to ensure the pay step is effective from the date that they are shown to be meeting these standards

Deferral of the pay step at this stage will not affect the next pay step date if and when there is one.

8. Frequently Asked Questions

1. You say there should be no surprises in an appraisal – what if there is something that should have been raised but was not at the time. What is the best way to deal with this issue?

It is important to address all issues at the time that they arise. If this has not been done, you can discuss the issue, but this should not be documented as part of the appraisal. If you feel that further actions need to be taken to address the concern, you should arrange to meet with the appraisee, after the appraisal, to discuss the specifics and how to address the concerns.

2. How often should the appraisal be done?

The appraisal is done once a year. However, you should be having regular one to one to review performance of objectives and agree further objectives if appropriate.

3. The appraisee is on maternity leave or adoption leave; what should I do about the appraisal?

While the appraisee is out of the business, on maternity or adoption leave, there is no need to have an appraisal. You should arrange to do the appraisal as soon as possible after the return to work.

4. The appraisee is on long term sick; should I just leave the appraisal?

As the appraisee is out of the business, you cannot set objectives or review their performance. You should ensure that, as part of their return to work, you plan the appraisal as soon as possible.

5. Who will make sure I get my development (as identified on the development plan)?

It is the responsibility of the appraiser and appraisee to ensure that those areas identified and agreed in the development plan are implemented / made available.

6. How long must an individual be in a job before they have an appraisal?

An appraisal should take place within the first 3 months of an individual starting in a role. This will enable them to be aware of the objectives they need to meet. For new roles, it may be beneficial to meet more regularly, to check achievement against the objectives and to ensure that the development plan is being followed through.

7. What can I do if an appraisal meeting has not been scheduled?

It is the responsibility of the manager to arrange and hold the appraisal. You should work with your manager to agree a time. Hectic schedules can interfere with even important tasks. Some managers may handle scheduling differently. One option may be to offer to schedule the meeting time. If that is appropriate, it is important to give your manager enough time to prepare for the appraisal discussions.

8. How much time should be allotted for the appraisal meeting and discussion?

It is recommended that an appropriate amount of time for the meeting and discussion is at least one hour. The meeting should give both the appraiser and the appraisee time to discuss expectations, performance, and development opportunities.

APPENDIX 6

Pay Step Flow Chart

This flowchart explains the pay step submission process for the pay progressions system implemented on 1st April 2019.

