

Appraisal Policy

Policy Control

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Version Control

| Version No | Date | Editor Initials | Consultation Route | Revision Description |
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| 1.0 | 01/08/2005 | LN | Board | New Policy |
| 1.1 | 25/07/2007 | JF | Board | Redraft by Associate Director – Learning and Development. |
| 1.2 | 07/09/2010 | CS | Q&HGC | An administrative amendment |
| 2.0 | 01/03/2011 | TW | Q&HGC | Historical not recorded |
| 2.1 | 04/10/2011 | TW | Q&HGC | Administrative amendments |
| 2.2 | 12/07/2013 | TW | Historical not recorded | Extend review date until 30 September 2013 |
| 2.3 | 19/09/2014 | SM/RC | Historical not recorded | Reviewed by Senior Management Team Review |
| 2.4 | 25/03/2014 | RC | GNG | Historical not recorded |
| 2.5 | 26/03/2014 | RC | Employee Strategy and Engagement Committee | Historical not recorded |
| 3.0 | 19/04/2016 | RC | Quality and Standards Committee | Historical not recorded |
| 3.1 | 17/04/2016 | AD | Quality and Standards Committee | Historical not recorded |
| 4.0 | 01/06/2017 | TN | Historical not recorded | Administrative change only |
| 5.0 | 25/05/2018 | ES | PRG, GNG, HR, HR Director | Revised policy in line with new template, best practice advice and pay amendments |

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1. What this policy covers

We recognise that an appraisal plays a fundamental role in supporting employees and research clearly shows the resulting improvement this has on the service and our service users.

This policy forms the guidelines for a best practice approach and also the national increment requirements required in line with 'Agenda for Change' terms and conditions of employment.

Further information can be found at the following websites:

- [Ourspace Link](#)
- www.nhsemployers.org

This policy will:

- Clearly set the Trust expectations for appraisal and incremental progression
- Help you understand your role in the process
- Explain what will happen in situations where individuals fall short of expectations
- Explain how you can complain if you feel unhappy with the assessment undertaken

2. Principles

The Trust is committed to ensuring appraisals are completed yearly for all employees as they play a fundamental role in supporting and developing individuals.

The appraisal policy aims to ensure that employees are clear about their role in the team and the Trust and that contributions and achievements are recognised.

The [Trust Values and expected behaviours](#) are also crucial to an appraisal and will be evaluated as part of the process:

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| <p>Passion - Doing my best all of the time</p> <ul style="list-style-type: none"> ✓ In the interests of everyone who uses our services ✓ Positive and enthusiastic in work ✓ Receptive to new ideas and service improvements ✓ Seek opportunities to learn and develop |
| <p>Respect: Listening, understanding,</p> <ul style="list-style-type: none"> ✓ Compassion and kindness at all times ✓ Team player and support colleagues ✓ Listen carefully and communicate clearly ✓ Respond positively to differences of opinion |
| <p>Integrity: Being open, honest, straightforward and reliable</p> <ul style="list-style-type: none"> ✓ Encourage and value feedback from others to help me develop ✓ Complete and deliver what I have agreed ✓ Open and honest about things that have not gone well ✓ Raise concerns and report incidents as that arise |
| <p>Diversity: Relating to everyone as an individual</p> <ul style="list-style-type: none"> ✓ Listen without judging ✓ Respect other people's culture, beliefs and abilities ✓ Understand and promote the importance of equality ✓ Appreciate the variety of skills, experience and knowledge that others bring |
| <p>Excellence: Striving to provide the highest quality support</p> <ul style="list-style-type: none"> ✓ set high standards for my work and personal conduct ✓ plan my workload and deliver on my commitments ✓ make best use of available resources ✓ put forward ideas to improve the quality of services |

The policy aims to establish a fair approach to performance reviews and assessment of the national terms and conditions criterion for incremental progression.

This policy applies to all employees with the exceptions of [Medical and Dental](#) who have a separate arrangement. This policy does not cover bank workers.

3. Responsibilities

- **Executives/Senior Management** have overall responsibility for oversight of the process and maintaining fair and consistent application and monitoring compliance rates in their areas.
- **Managers** have a responsibility for familiarising themselves with the best practice guidance and fostering an environment of honesty and accountability and assessing in a fair and consistent manner. Managers are also responsible for timely completion of an appraisal and summary sheet alongside updating the electronic record system
- **Employees** have a responsibility for familiarising themselves with the best



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practice guidance, for delivering their objectives and highlighting issues/support they may need to their manager. They also have a duty to behave in a way that demonstrates the Trust values.

4. Policy in Practice

Appraisal completion and records are maintained using the [IQ system](#). Both the employee and managers are *jointly* responsible for ensuring that appraisals are completed at least eight weeks in advance of any due incremental increase. This allows time for full consideration and the background payroll process to be completed on time.

4.1 The Appraisal

Appraisals will generally be completed on a one-to-one basis. Both manager and employee should always seek informal feedback on performance and behaviours from others to bring to the appraisal, including for example:

- Colleagues
- Team members and
- Other managers

Some teams choose to make use of group appraisals. In this situation the participants should have the process explained to them in advance.

In certain circumstances, the line manager

may delegate the appraisal process to other senior members of the team who are competent in completing appraisals. This is to help manage the number of appraisals due to be carried out by the manager. Support and coaching for those carrying out appraisals can be booked via the MLE system.

4.2 Pay Progression

Incremental progression is not automatic.

Prior to the appraisal conversation, the manager should determine if this is an incremental review. Both the manager and the employee are jointly responsible for ensuring the [Appraisal Summary Record](#) is fully completed to instruct payroll of the outcome.

4.3 Non-achievement

It may be determined that an increment is not awarded because of:

- Not meeting objectives and/or demonstrating the required Trust values and expected behaviours
- Failure to complete statutory and/or mandatory training in full
- An active performance management issue
- A formal disciplinary sanction which is still in place
- For line managers – all appraisals in their team must be completed & submitted





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If the above standards are not met then the appraisal should be recorded as not/partially met, to match the incremental decision.

This decision should be clearly explained to the individual and expectations going forward explored. It should also be clearly recorded on the [Appraisal Summary Record](#).

4.4 Failure to attend/arrange appraisal

If an individual is unable to attend their appraisal for any reason, the manager will agree with them one further date to complete this. Failure to attend the second date will be considered as a failure to undertake appraisal and pay progression will be deferred.

4.5 Absence

Where an employee has been absent from work for an extended period (such as long term sickness) and missed their appraisal, their manager will ensure it is conducted within 12 weeks of their return to work to allow for completion of relevant statutory and mandatory training.

Where there is a planned extended period of absence (such as maternity), the manager and employee should meet prior to the absence to review and amend objectives so that an employee is not disadvantaged.

4.6 Appeals

Every effort should be made to resolve issues regarding the decision making process informally in the first instance. Should individuals feel aggrieved by the decision made, then they should refer to the Trusts [Grievance policy](#).

5. Monitoring

The Trust will monitor the policy through data gathering from the annual staff survey and will use frameworks such as the strategic workforce group to identify and where appropriate, address disparities between different groups.

Please review [Ourspace](#) for the appraisal paperwork and best practice guidance.

