

Appraisal Policy and Procedure for staff on Agenda for Change Terms and Conditions	
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Executive summary

This policy sets out Leeds Community Healthcare (LCH) NHS Trust's Appraisal process for staff on Agenda for Change Terms and Conditions. It localises the NHS Constitution through the Trust's vision, values and strategic objectives which is underpinned by the Trust's behaviours, known as How We Work (HWW).

This policy highlights the need for staff to perform the duties of their role (what they do) and the behaviours expected to be demonstrated while undertaking the role (how they do it). The appraisal procedure forms the basis of the Trust's approach to managing concerns with performance.

The Trust supports the Government's philosophy that lifelong learning and development are key to delivering the NHS vision of patient centered care. As such the Trust is committed to equipping staff with the necessary skills required to undertake their roles competently and confidently and the appraisal policy and process supports this.

This appraisal policy and procedure is supported by appraisal documentation (see Elsie for all appraisal documentation) and should be read in conjunction with the

- Managing Concerns with Performance Policy
- Organisational Development (OD) Implementation Plan.
- Managing Acceptable Standards of Behaviour Policy

This policy has been developed in consultation with staff side and management side representatives, and other key stakeholders.

This policy may be reviewed at the request of management or staff side by giving 4 weeks' notice with reasons for the review.

Equality Analysis

Leeds Community Healthcare NHS Trust's vision is to provide the best possible care to every community. In support of the vision, with due regard to the Equality Act 2010 General Duty aims, Equality Analysis has been undertaken on this policy and any outcomes have been considered in the development of this policy.

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1 Introduction

The Trust has 3 key values that underpin and represents the way in which the Trust works. The Trust values are:

- We are open and honest and do what we say we will
- We treat everyone as an individual
- We are continuously listening, learning and improving

These values localise the NHS Constitution and provide the guiding principles that underpin everything the Trust does.

This policy supports the Trust's vision, values and strategic objectives to provide the best possible care to our patients by recruiting, retaining and developing the best possible staff. Staff will demonstrate their performance by meeting the requirements of their role and by displaying the appropriate behaviours to support our values.

The appraisal process is the cornerstone to achieving our vision, values and strategic objectives through our key asset, our staff.

2 Aims and Objectives

Appraisal and associated process (outlined in Section 8) is a key determinant of organisational success and effectiveness and is the backbone to engaging with our staff. It gives the opportunity to share what the Trust is working towards and how the member of staff can contribute to this. It enables a conversation to take place around sharing achievements, establishing expectations, supporting development and providing feedback. The appraisal process is about motivating and developing our staff and supporting them in performing their roles at the highest standard to deliver the best possible care to our patients. The appraisal procedure forms the basis of the Trust's approach to managing concerns with performance at the earliest stages.

3 Definitions

All staff referenced in this policy relates to staff employed by the Trust under the Agenda for Change terms and conditions. Medical and Dental staff are covered within the Appraisal Policy and Guidance for Consultants, SAS Doctors, and Dentists.

The Appraisal process refers to the continuous professional development of an individual through induction, 1-1's, mid-year review and annual appraisal.

4 Responsibilities

All staff employed by Leeds Community Healthcare NHS Trust must work in concordance with the Leeds Safeguarding Multi-agency Policies and Procedures and local guidelines in relation to any safeguarding concerns they have for service users and the public with whom they are in contact.

Chief Executive and Trust Board are responsible for:

- Ensuring that the Appraisal Policy and Procedure are in place and that all staff employed under the Agenda for Change Terms and Conditions are aware of, comply with and operate within the Policy.
- The performance management of this Policy.

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Executive Directors and Senior Management Team are responsible for:

- Ensure this Policy is implemented within their sphere of responsibility.
- Monitor the compliance target with the policy through the Business committee
- Manage non-compliance with this Policy through the Business Committee reports (General Managers and Business Unit Clinical Leads).
- Proactively manage areas of concern highlighted with general manager and clinical leads.
- Support and prioritise methods of development and training needs identified through this process.

The Business Committee will:

- Review monthly reports from the Workforce Director on Key Performance Indicators (KPI's) and seek assurances about appraisal process.
- Where issues are identified, advise, recommend and monitor improvements.

Director of Workforce is responsible for:

- On behalf of the Chief Executive, ensuring the implementation of this policy throughout the Trust and evaluate its effectiveness.
- Informing the relevant Workforce teams of any issues which may change the needs of the Policy, Toolkit or training provision.
- Oversight of training needs emerging from appraisal process.
- Providing assurance regarding the quality of appraisals.

Managers/appraisers are responsible for:

- Ensuring that each individual member of staff has meetings planned in throughout the year in line with procedure.
- Undertake relevant training to support the delivery of quality 1-1's, mid-year reviews and annual appraisals.
- Ensuring each member of staff is clear on the expectations around the tasks, competences and duties of the role and expected behaviours in line with HWW
- Sharing with each appraisee the expectations around completing the preparation form.
- Preparing for the appraisal meeting using the preparation form and if appropriate other feedback tools e.g. peer review
- Ensuring that each individual member of staff has regular feedback on their performance and ensure feedback mechanisms within the team exist.
- Ensuring the follow up letter outlining the content of the meeting is written and provided to the individual within 28 days. This should be an accurate record of the discussion.
- Supporting employees to understand the links between Trust and departmental goals and targets in relation to individual performance.
- Supporting and encouraging the development of clinical and patient management skills appropriate to the role and in line with professional and trust requirements and codes of conduct.
- Ensuring that each individual member of staff's communication and access requirements are met (e.g. interpreter, hearing loop, accessible venue)
- Encouraging and facilitating access to training and development opportunities e.g. time away from service, knowledge of long course process etc.
- Providing assurance that staff are compliant with statutory/mandatory training relevant for their role using the ESR compliance matrix.

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- Ensuring that the member of staff's name, date of the meeting and any development needs identified (that are not currently offered by the Trust) has been emailed to lch.wfi@nhs.net

Employees have a responsibility to:

- Attend and participate in the planned meetings (initial meeting (new starter), one to one's, mid-year review and annual appraisal).
- Make their line manager aware of any access requirements they have (e.g. interpreter, hearing loop)
- Prepare for the appraisal using the preparation form ensuring examples of practice are captured.
- Understand their own role and how it links with Trust/departmental/team goals and targets.
- Recognise and take opportunities for self-development, actively seeking feedback from others and using feedback to improve performance.
- Reflect on learning experiences to allow knowledge and skills to be applied in the workplace.
- Attend and remain up to date with statutory and mandatory training relevant to their job role.
- Complete the objectives and priorities set at each meeting or provide mitigation for those not completed.
- Be open and transparent in identifying their development needs relating to clinical practice and patient/service user management.

Workforce Information and Organisational Development (OD) Teams will:

- Work with services to support them attaining appraisal compliance
- Provide training to support managers/appraisers or appropriate clinical supervisors in the undertaking of appraisals
- Plan, schedule and commission training relating to appraisal for the given year based on the identified need.
- Ensure all training has clear aims, objectives and delivery methods which may include the provision of alternative delivery format to meet the needs of individuals, i.e. providing signers or audio versions at training sessions.
- On receipt of the monthly Business Unit reports for compliance and non-attendance, review the information and if necessary address this with identified teams.
- Provide quality assurance of the training delivered
- Produce monthly activity reporting directly to business units, on compliance.
- Report monthly as part of the integrated performance report to the Business Committee on appraisal compliance.
- Advertise appraisal training provision.
- Identify and monitor appraisal compliance and take appropriate action.
- Collect additional training and development needs from the appraiser to contribute to the Trust's Training Needs Analysis (TNA).

5 Performance - Task

All staff will be appraised on their fulfilment of the technical competencies and duties for the role they are undertaking and achievement of the agreed objectives for the year being reviewed. The process will start at the induction stage for new members of staff with an objective setting meeting for the year ahead. This initial meeting will introduce the competencies and duties in full, set out expectations and objectives. A full appraisal

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process will ensure that this objective setting meeting is followed by regular one to one meetings, a mid-year review and an annual appraisal.

This process will provide clarity on what is expected. Where performance issues are identified feedback should take place as soon as possible to enable the member of staff to make the necessary changes to their practice and demonstrate learning and improvement. The appraisal process will highlight when staff are under performing and it is expected that the appraiser deal with this informally, through a clear action plan, as part of this process. However it is recognised that issues may need to be escalated and it is at the manager's discretion to establish when informal discussions have not resolved the issue, and when to escalate to the Managing Concerns with Performance Policy. This can be at any point within the appraisal process. The process should also highlight and give credit where performance has been above what is expected – using opportunities to feed into reward schemes, innovations or awards.

5.1 Assessing the task

Managers/appraisers who work directly with staff can assess performance through observation and supervision processes, and are therefore able to determine whether someone is performing as expected against their competencies, duties and agreed objectives. Other methods of assessment include peer review, shadowing practice, patient feedback, review of care records, reports the individual may have written, or information available from electronic systems such as SystmOne or Datix. Peer review and 360° feedback are also tools that staff and managers/appraisers find useful to get a wide ranging view point from others who work with the member of staff. These assessments should however be managed appropriately and with the more structured assessments used where there has been training in their use and how to give feedback.

6 Performance - Behaviour

The Trust behaviours – How We Work (HWW), support the appraiser and member of staff to provide examples of how the behaviours are demonstrated or not and how they support the Trust's values. These values localise the NHS Constitution and provide the guiding principles that underpin everything the Trust does. What we say, how we say it and how we interact with others is just as important as what we do. Staff with a professional registration must adhere to their professional code of conduct and professional registration policy which includes the revalidation process.

6.1 Assessing behaviour

Staff are expected to behave professionally at all times showing dignity and respect to others that they work with and to service users and members of the public (for those working in a frontline role). If the expected behaviour outlined in HWW is not demonstrated it is the responsibility of all staff to raise the concern directly with the individual or with the appraiser or manager. If we do not challenge inappropriate behaviour this will be seen as accepting the behaviour and in some cases becomes the 'norm'. Inappropriate behaviour must be discussed when it occurs to give the individual opportunity to acknowledge, reflect and improve. If after informal discussions the behaviour has not improved, it is at the managers/appraisers discretion to determine when to escalate to the Acceptable Standards of Behaviour Policy.

7 Training Needs

All staff who undertake appraisals are expected to undertake relevant training to support the delivery of quality appraisal conversations. Up to date course details can be found on the Trust intranet.

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PROCEDURE

8 Procedure for undertaking appraisals

To establish the process of support and review at the beginning provides a good foundation to build the employment relationship. Teams within the Trust that have built this foundation stone can demonstrate how this has a positive impact on retention of staff and lower sickness rates. Indicated below are the stages of the process that are mandatory and best practice. The Appraisal Checklist is available for further support.

Induction and Initial Objective Setting

For new members of staff the appraisal process should begin as part of the induction arrangements. This part of the process is the 'initial objective setting meeting' which outlines the objectives and expectations around task and behaviour (HWW) for the forthcoming year; how their role fits with the competencies and duties, team, service, Trust and appropriate learning and development identified. The appraisal preparation form can be used in part to help with planning and discussion. This part of the process is crucial in the support and development of our staff.

This initial meeting should be recorded in ESR by sending an email with the individual's name, date of meeting and any identified development needs (that are not currently offered by the Trust) to lch.wfi@nhs.net

One to One meetings

It is good practice to hold one to one meetings on a regular basis with members of staff, giving them the opportunity to discuss their work. These are supportive meetings to ensure that staffs needs are being met; objectives set are being progressed; and HWW is being demonstrated. If there are any issues that have been identified in the individual's work or development the one to one meetings are a good time to address these, they should not be left until the appraisal meeting. The guiding principle of the appraisal process is "no surprises". The appraiser and/or manager should document these discussions; this could be in the form of an email outlining the points discussed. This can be placed on file to inform future discussions.

6 Monthly Meeting (mid-year review)

The appraisal preparation form can be used to provide more structure to this meeting ensuring that the core elements within the form are covered.. There should be no surprises at this stage.

This meeting should be recorded in ESR. To do this the appraiser must email the individual's name, date of meeting and any identified development needs (that are not currently offered by the Trust) to lch.wfi@nhs.net

Annual Appraisal

This meeting involves both the appraiser and member of staff and dedicated time must be set aside for this. The meeting should be held at a mutually convenient time that allows both parties sufficient time to prepare beforehand using the appraisal preparation form.

The Appraisal should take place in a venue that is private and avoids distractions or interruptions. (Appendix - appraisal checklist)

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At the meeting the core elements of appraisal will be discussed which will include confirmation of expectations around performance and standards of behaviour.

The appraisal meeting brings together all the discussions that have taken place throughout the year and jointly reflected on in a structured way. The appraiser and member of staff will look back and reflect on achievements, challenges, objectives, standards of performance, behaviour and personal development plan for the review period.

The main purpose of the appraisal meeting is to look at the way in which an individual member of staff is performing and developing in relation to:

- The duties and responsibilities of their post and current agreed objectives.
- The application of knowledge and skills within the workplace.
- The appropriate behaviour and attitude expected within the workplace.
- The consequent development needs of the individual member of staff. Future career development.

The meeting will consider how the member of staff is performing against the objectives and expectations. This could include reviewing a particular piece of work, peer review or perhaps elements of the individual's personal development portfolio that they are prepared to share. The appraiser should:

- Encourage the member of staff to actively participate in their meeting and come prepared (it may be useful to have a brief pre meet several weeks in advance of the appraisal).
- Offer examples of what the individual has done well and if necessary examples of things that have not gone so well.
- Discuss any challenges the individual/team or service has experienced over the review period and the impact of these on the individual.
- Provide developmental feedback in a way that focuses on what the individual has done or not done.
- Evaluate training and development activity that has taken place and its application in the workplace.
- Encourage members of staff to be involved in the formulation of objectives/standards at both departmental and individual levels, making sure that there are links to the Trust's overall corporate aims and objectives.
- Identify and agree a personal development plan with learning goals that are realistic for the individual and for the organisation.
- Ensure that objectives are aligned with team, service and organisation goals.
- Explain how they will support the member of staff's learning and development.
- Ensure the follow up letter is written and provided to the individual within 28 days. This should be an accurate record of the discussion.

The appraiser should not:

- Leave everything to the annual appraisal meeting as there should be no surprises; issues should be raised with members of staff as they occur with discussions taking place on an on-going basis (one to one meetings)
- Talk too much.
- Be too directive and simply instruct the member of staff regarding objectives/standards/behaviours and learning and development needs/solutions.
- Simply tell the member of staff how they have done.

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This meeting should be recorded in ESR. To do this the appraiser must email the individual's name, date of meeting and any identified development needs (that are not currently offered by the Trust) to lch.wfi@nhs.net

8.1 Priorities and Objectives

It is important for staff to understand what is expected of them and the value of their contribution. Having an understanding of the priorities and objectives for the Trust, Service and Team will help them to see how their individual contribution adds value.

Having a written record of the priorities and objectives for each individual member of staff provides clarity and structure. These can be reviewed at different points in the appraisal process to ensure things are on track and can highlight any support the individual may need in completing these. Being clear on what it is that needs to be achieved and when it needs completing helps the individual to focus on the purpose and outcome, enabling the appraiser to hold the member of staff to account for what has been previously agreed.

8.1.1 Standing objectives for appraisers

Appraisers will have standing objectives that will ensure part of their role is achieved, these are

- To comply with the appraisal policy and procedure
- To ensure all direct reports are compliant, at the time required, with statutory and mandatory training relevant to role

8.1.2 Standing objectives for individual members of staff

In addition to the objectives outlined in 8.1.1, all staff will have standing objectives that will ensure part of their role is achieved, these are

- To attend and participate in the appraisal process, initial objective setting, 1-1's, mid-year review and annual appraisal.
- To undertake statutory and mandatory training relevant to role at the time required.
- To maintain productivity levels as appropriate to team/service.
- To comply with the Acceptable Standards of Behaviour Policy.

These are set within the Trust's overall strategic objectives. In addition, everyone is expected to have at least 1 quality objective to support the Trust's strategic objective - To provide high quality, safe services, continuously improving the patient experience and measuring our success in outcomes.

8.2 Timing of the annual appraisal

To support pay progression, the annual appraisal should broadly be in line with the individual's incremental date. (Whilst individuals may be at the top of their band they still retain an incremental date). When the Trust's Corporate Objectives are re-set during the year, individual objectives can be modified to incorporate these, as part of the regular 1 to 1 meetings.

8.3 Documentation

The appraiser and member of staff should prepare for the meeting by using the appraisal preparation form. This framework focuses on the core elements of the appraisal discussion.

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The outcome of the meeting should be recorded in the form of a letter from the appraiser to the member of staff. This should be with the member of staff within 28 days from the date of the meeting. This should provide an accurate record of the meeting however there is an opportunity for the member of staff to suggest amendments to this once it is completed. Any suggested amendments agreed or not should be noted and kept on file with the appraisal letter.

Once the appraisal letter has been sent and agreed clarifications noted the preparation form can be kept on file for reference by the appraiser and a copy for the member of staff. The documentation is a confidential record however access to this may be required for quality assurance purposes.

Notes taken within one to one meetings and any other discussions relating to the individuals performance should also be kept.

8.4 Development Plan

The development plan supports the individual to achieve their objectives and undertake their role. Development will be considered at the time of preparation for both appraiser and member of staff. Any development needs identified will be discussed, considered and where possible agreement reached at the time of the appraisal meeting. The development needs should be captured in the preparation form and recorded in the letter sent to the member of staff by the appraiser. When considering what development needs are required, the appraiser and member of staff should:

- Clearly focus on the knowledge, skills and competence that the individual needs for the post.
- Identify the learning and development that the individual needs to enable them to develop and apply their knowledge and skills in the shorter and longer term.
- Prioritise the learning and development that needs to take place, considering;
 - The specific requirements that affect the work of the individual (e.g. statutory and regulatory requirements);
 - Organisational direction, policy and other factors that may affect priorities;
 - Any specific objectives that the individual needs to meet in their post;
 - The individual's strengths and development areas.
- Identify how the individual prefers to learn (e.g. group work, practical on the job learning, formal courses, shadowing etc.) and plan accordingly.
- Identify who has responsibility for taking the different aspects of the learning and development forward, along with a means for reviewing that this is happening as planned.

As job roles and team/departmental/Trust procedures change and develop, staff will also need to develop new skills and knowledge. Individuals should be encouraged to take the initiative, informing their own development plan with the help of their appraiser. It should be remembered that learning and development can take place through many different means and will not always be a 'course' or 'training'. For example it may be through reading, shadowing, buddy arrangements/mentoring, experiential (e.g. exposure to a situation with support).

Appraisers will provide commitment to the support of individuals throughout the appraisal process and in particular in meeting learning and development needs however individuals are also responsible for informing, being aware of their development needs and participating in the development opportunities offered.

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8.4.1 Access to development

The Trust will expect that staff applying for any development will be up to date with the statutory and mandatory training relevant for their role. Development will not be authorised until the necessary statutory and mandatory training is completed. For more information refer to the Trust's Personal and Professional Development Policy.

9 Raising Concerns

If the member of staff is unhappy with the appraisal discussion/outcome or the appraisal is not being offered or regularly postponed, both parties should seek to resolve this informally.

If the informal mechanism is unable to resolve the differences, the member of staff has a right to lodge a grievance under the Trust's Grievance Procedure.

10 Monitoring Compliance and Effectiveness

Minimum requirement to be monitored / audited	Process for monitoring / audit	Lead for the monitoring/audit process	Frequency of monitoring / auditing	Lead for reviewing results	Lead for developing / reviewing action plan	Lead for monitoring action plan
Annual appraisal activity captured	Appraisal data	Appraiser Workforce Intelligence Manager	Once appraisal taken place Monthly	Appraiser Workforce Intelligence Manager	Appraiser Workforce Intelligence Manager	Appraiser Workforce Intelligence Manager Director of Workforce
Qualitative Review	Questionnaire sent out to random sample, returns collated and information reviewed	Organisational Development Lead	Annually	Organisational Development Lead Head of OD	Organisational Development Lead Head of OD Director of Workforce	Development Lead Head of OD Director of Workforce
Effectiveness of appraisal process	Staff Survey	Organisational Development Lead Head of OD	Annually	Organisational Development Lead Head of OD	Organisational Development Lead Head of OD	Organisational Development Lead Head of OD

11 Approval and Ratification process

The policy has been approved by the Joint Negotiating Consultation Forum (JNCF) and ratified by the Remuneration Committee on behalf of the Board.

12 Dissemination and Implementation

This policy will be available to staff via the intranet and referenced through training.

Implementation will require:

- Operational Directors/ Heads of Service/General Managers to ensure staff have access to this policy and understand their responsibilities for implementing it into practice
- The OD Lead will provide appropriate support and advice to staff on the implementation of this policy

13 Review arrangements

This policy will be reviewed by the author three years following ratification or sooner if there is a local or national requirement.

14 References

Managing Concerns with Performance Policy

Managing Acceptable Standards of Behaviour Policy

Agenda for Change Terms & Conditions of Service Handbook

NHS Constitution

Professional Registration Policy

Personal and Professional Development Policy