

Appraisal Policy



Please complete the table below:

To be added by corporate team once policy approved and before placing on website

Policy ref no:	39
Responsible Executive Director:	Sarah Truelove, Deputy Chief Executive and Chief Finance Officer
Author and Job Title:	Rob Osment, HR Business Partner
Date Approved:	July - 2019
Approved by:	<i>Sarah Truelove, Deputy CEO and CFO</i>
Date of next review:	Nov - 2020

	Yes/No/NA	Supporting information
Has an Equality Impact Assessment Screening been completed?	Yes	
Has the review taken account of latest Guidance/Legislation?	Yes	Amended to align to new Agenda for Change Pay Progression Framework
Has legal advice been sought?	N/A	
Has HR been consulted?	Yes	Written by HR based on other CCG Appraisal Policies
Have training issues been addressed?	Yes	Line Managers training will cover setting objectives, appraising performance and holding effective 1:1's
Are there other HR related issues that need to be considered?	Yes	Needs to be applied alongside Recruitment and Selection Policy and starting pay guidelines
Has the policy been reviewed by SPF?	No	
Are there financial issues and have they been addressed?	Yes	May result in non-payment of pay steps
What engagement has there been with patients/members of the public in preparing this policy?	N/A	
Are there linked policies and procedures?	Yes	Managing Performance (Capability) Policy Recruitment and Selection Policy
Has the lead Executive Director approved the policy?	No	
Which Committees have assured the policy?		Corporate Policy Review Group and Staff Partnership Forum will review before Executive Sign off
Has an implementation plan been		TBC

provided?		
How will the policy be shared with: <ul style="list-style-type: none"> • Staff? • Patients? • Public? 		Staff will be able to access on the Hub and Consult HR Portal
Will an audit trail demonstrating receipt of policy by staff be required; how will this be done?	Yes	Measured through submission of Appraisal paperwork for Staff and confirmation of Appraisals being conducted correctly

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1. Introduction

Bristol, North Somerset and South Gloucestershire Clinical Commissioning Group (BNSSG) is committed to organisational improvement through continuous development at organisational, team and personal levels. This means that all employees need to continually develop their skills and expertise as well as gain enjoyment and pride in their work, so that they are able to carry out their role effectively and contribute to the success of BNSSG.

2. Aim

The aim of this policy is designed to provide a framework across BNSSG for a well-planned and effective staff appraisal system.

Changes to this policy will be made in accordance with legislative changes and any frameworks linked to the NHS Agenda for Change Terms and Conditions.

3. Purpose and Scope

Appraisals are about motivating and developing employees and supporting them in performing in their roles at the highest standard possible. This is achieved through the provision of opportunities for them to constructively discuss their performance with their line manager, and in particular to identify areas for development and mutually agreed ways in which those needs can be met. It is also an opportunity for staff to discuss what they enjoy about work, what is less enjoyable and what support the manager can provide to help with job satisfaction and positive wellbeing.

Appraisals should be a positive experience, although development needs and areas where performance has been less strong should also be discussed. It does not replace normal day to day feedback or performance conversations for work done well or where there are concerns. BNSSG expects managers to have meetings with their employees at regular intervals throughout the year to discuss how they are doing and to complete formal appraisals each year between April and July and then a mid-year review between October and January. The organisation will prioritise dedicated and protected time for both staff and line managers to prepare for and carry out these reviews.

4. What is an Appraisal?

An appraisal is a two way discussion between an individual and their line manager about the individual's role, progress towards their objectives and demonstration of the organisations' standards, their accomplishments, future objectives, personal motivations and enjoyment in work, development needs and career aspirations.

Protected time should be given to both individuals and line managers to prepare for and undertake appraisal meetings, and there is a responsibility on both sides to actively

participate in these meetings and to ensure that they are constructive, with actions agreed at appraisals followed up and carried out.

A successful appraisal system should therefore:

- create a common purpose and understanding of the business's strategic objectives, vision and core values.
- create a clear framework for relating BNSSG's aims to individual jobs
- outline job requirements clearly and allow reflective discussion to any changes to such requirements
- provide an opportunity to reflect on the year, highlighting and championing successes and reviewing opportunities for development
- provide a formal structure within which to identify and discuss individual training and development needs
- facilitate a two-way communication between the job holder and their line manager to assess progress against objectives
- provide job holders with regular feedback, to the benefit of their personal and professional development
- establish a sound basis for job holders to discuss career aspirations and make career development decisions
- allow for other systems to be initiated if poor performance cannot be remedied by training, coaching or counselling. However if concerns relating to performance arise they should not be withheld until the appraisal meeting
- offers a framework for continuous review of how job roles are evolving
- provides an evidence base to determine pay step progression where applicable

Delivering the appraisal framework demonstrates the organisations and line managers' commitment to individuals, as well as an understanding that job holders:

- are more engaged and motivated to achieve objectives if they have been involved in establishing them
- are more likely to achieve results if they believe they are important
- work more effectively towards meeting targets that they have helped to plan
- are in a better position to improve their performance when they understand what is required, how progress is monitored and results measured

5. Setting Strategic Objectives

It is crucial an individual's objectives are linked to BNSSG strategic objectives so that everyone within the organisation understands and is working to a common purpose. These strategic objectives will be communicated widely to all staff and will be available on the Hub.

The process for setting objectives should cascade from the strategic objectives identified for the year ahead by the Governing Body, Executive Team and Senior Management team at the beginning of the financial year in April each year and will form the Directorate and team objectives, which then cascade down into the individual's work programme (objectives).

Line managers and employees are jointly responsible for the setting of objectives that reflect how individuals will help deliver these corporate objectives. Objectives should be drafted for discussion and agreement by both the employee and line manager, and ensure there is a balance between a challenging goal and a realistic goal.

Objectives should be meaningful and appropriate for each role and level and support the delivery of the overall strategic objectives. They should also be linked to specific, measurable and achievable actions which can be evidenced, and where appropriate linked to specific skills development. They should be finalised for each individual by the end of June at the latest.

Objectives should also be formed around the CCG's Core Values which are described below and can be evidenced by demonstrating the following:

We act with integrity

By communicating with each other, respecting each others time and being honest and open we build a culture of trust and respect.

We support each other

By looking out for each other and investing in our training and development we create a caring workplace where staff are empowered to fulfil their potential.

We embrace diversity

By fostering an inclusive workplace with diverse perspectives, and recognising the value of each individual, we make better decisions.

We work better together

By building strong relationships with our colleagues and partners, and sharing our skills, knowledge and experience we become a stronger team.

We strive for excellence

By challenging ourselves and each other, taking ownership and pride in our work, and investing in our skills, we endeavour to be the best we can be.

We do the right thing

By making evidence based decisions and listening to our population we will shape better health for everyone in our communities.

Where a member of staff is new to the CCG, their objectives should be set and agreed within the first two months of their employment and will then fall into the same cycle as for all staff.

6. Reviewing Performance

Formal appraisals should take place and be documented formally twice a year using the relevant forms between April and July and mid-year review between October and January. These forms must be recorded by the individual on their Consult OD account for record

keeping and easy access. Throughout the year regular, informal discussions should also take place between the individual and their line manager to discuss and monitor the individual's progression.

Informal Reviews (One to One's or Update Meetings)

Informal reviews of day to day activities, as well as broader objectives should take place regularly, with a minimum mandatory requirement of all line managers holding these monthly with their direct reports and on an ad-hoc basis in-between when required. One to one reviews and update meetings can provide an opportunity to update on progress and address any issues as they arise. Discussions should also include the approach taken to work to ensure alignment to the CCG's vision and core values.

It's also a great opportunity for the manager to catch up with the individual about their personal development and discuss the impact of any training recently attended as well as their health and wellbeing.

In addition, managers should also periodically check at One to One meetings that employees are completing statutory and mandatory training which is a contractual requirement for all staff. Line Managers are able to check their staff records on the Consult OD portal and should contact the Consult OD team if they are unable to view their staff.

To assist managers with conducting One to One's, Guidance for line managers is available which provides some suggestions on how to structure the meeting and hold productive conversations. There is also a One to One Form which managers can use as a tool formally record the outcomes of the meeting if needed, as well as provide a framework for conducting the meeting.

The recording of One to One's on the form template is not mandatory, but line managers are expected to use this tool when appropriate and are recommended to do so when keeping a record of any performance issues. The Guidance and One to One Form template can be found on the Consult HR portal under forms.

Formal Reviews (Appraisal)

Formal reviews, as already mentioned take place twice a year, (interim review between October to January and final review April to July). They provide management information around both individual and organisation development needs and skills analysis and are an opportunity to take stock against overall business and individual performance.

The interim review allows managers and individuals to review progress and take action to ensure objectives are achieved by the year end.

At an appraisal review managers should:

- Ensure changes in the organisation are communicated to each member of the team and reflect this in their individual objectives
- Provide honest individual feedback to members of the team with focus on positives as well as areas for improvement

- Approve suggested amendments and updates to objectives if relevant and reasonable
- Ensure that an individual has the necessary knowledge and skills they need for their job.
- Ensure statutory and mandatory training has been completed.
- Discuss and evidence how the individual has demonstrated the CCG core values.
- Consider what training and development needs the individual may have and research what would be available to them to achieve these needs

At an appraisal discussion individuals being appraised should:

- Keep the manager updated with progress against objectives and where objectives have been met through providing verbal and written evidence
- Reflect and discuss what they consider has gone well over the period and things that haven't gone so well and why
- Alerts the manager to any risk of an objective not being achieved or any barriers to achieving objectives
- Suggest relevant and reasonable amendments and updates to objectives
- Come prepared with examples to support their successes (see below for further guidance) including how they demonstrate evidence of working towards the CCG core values
- Discuss any training and development needs they have identified, or have recently completed

To ensure an appraisal review is effective, time should be taken to prepare by both parties to enable this to be a two way discussion about the individual's performance, their competence and their training and development. Protected time should be given to individuals to enable appropriate preparation for the appraisal reviews and one to one meetings. Line managers should also make sure they protect their time to prepare for such meetings to ensure both parties get the best out of the discussions.

During the conversation, where it is relevant and appropriate, managers and individuals should have a discussion about an individual's career aspirations and next moves.

At formal reviews sufficient information needs to be provided and recorded (using the relevant forms) to allow both the manager and the individual to evidence the performance against their objectives.

At each formal review, managers will complete an appraisal and management development audit form to record the outcome of the review. A copy of this form is available on the Consult HR Portal and The Hub and once completed should be recorded on Consult OD by the member of staff. The CCG will regularly monitor the completion rates of appraisals and will report on this on a regular basis at Organisational and Directorate level.

A more detailed review of individual performance will be needed where the individual:

- Has significant performance problems and is failing to meet their objectives
- Is developing towards another role and requires a detailed development plan
- Is new to their current position and requires detailed discussions on objectives and development needs for their new role

In these circumstances managers should identify specific instances where the individual has to change to improve their performance or achieve the standard required and clearly communicate this to the member of staff verbally and follow up in writing. Such instances should be dealt with at the time of arising and should not be kept until an Appraisal.

If the line manager has identified performance problems for the first time in the course of the review, these should be managed using the BNSSG CCG Managing Performance (Capability) Policy and not as part of the Appraisal. Managers should seek advice from Human Resources in such circumstances.

Exceptions to the Appraisal Process

For employees who have been absent for the majority of the appraisal year (maternity, sickness, secondment, career break, etc.) it may not be appropriate to follow the standard appraisal process. When the employee returns to work, the manager should hold a meeting with them at that time to discuss what support is needed to re-introduce them back into the workplace and also set and agree objectives. At this time previous objectives should also be considered in the context of what was reasonable for the employee to have achieved whilst they were at work. A formal appraisal will then be held as usual in the appraisal cycle.

7. Pay Progression

With the introduction of the new pay progression framework on 1 April 2019 there will be changes for both new and existing staff during the period of transition until 31 March 2021.

As before, any pay progression is subject to satisfactory performance of an individual and the required standards being met. These are:

- That an appraisal has been completed within the last 12 months and outcomes are in line with the organisation's standards
- An individual is not in a formal capability process
- There is no formal disciplinary sanction live on an individual's record
- An individual has completed all required statutory and/or mandatory training
- If the individual is a line manager, they have completed all appraisals for their team as required.

Line managers will be required to complete and submit the Pay Step Progression Form to action Pay Progression as this will no longer be automatically applied on Payroll. The form can be found on the Consult HR Portal.

From April 2021 pay step submissions (previously known as the incremental date) for all staff will then only take place after two, three and five years depending on the pay band although

ongoing regular appraisal discussions and annual appraisals should continue to take place regardless of whether it is or not a year which includes a pay step date.

The date an appraisal takes place for an individual doesn't have to be linked to their pay step date. It is not necessary to re-schedule appraisals to coincide with this date, but to ensure that staff have had a satisfactory appraisal at the time of their pay step and that this has been maintained in subsequent One to One meetings.

Transitional Arrangements

During the transitional period up until March 2021, the following arrangements should be followed for the appropriate group of staff:

For all staff in post prior to 1 April 2019

During the three year transition period ending on 31 March 2021, current organisational pay progression procedures will continue to apply to staff in post prior to April 2019, unless an individual is promoted to a new post.

These staff, unless they have received a promotion, will continue to receive incremental progression according to the transitional arrangements and follow the individual pay journeys described in the framework agreement on the reform of agenda for Change (June 2018).

During transition, pay points are removed for the pay structure in April 2018, April 2019 and April 2020. Staff already on a pay point at the time it is to be removed will immediately move to the next available point, even when it does not coincide with their existing incremental date.

These staff will then not receive a further increase on their incremental date in that year because they would have received their pay increase early.

Staff will retain their existing incremental date through transition. On this incremental date, if they have not already benefited from deletion of their pay point, it is expected that all staff will move to the next pay point reflecting their additional complete year of experience unless they are already at the top of the payband.

Pay progression during transition will continue subject to any existing locally-agreed arrangements for managing pay progression which might have been implemented with the Staff Council's 31 March 2013 pay progression agreement.

Annual and mid-term appraisals and regular ongoing appraisal discussions should continue to take place during this transitional period.

For all new starters or those promoted to a new role after 1 April 2019

For all staff who join the NHS after 1 April 2019, or have been promoted to a new (higher banded) role on or after this date, the new pay progression system will come into effect on 1 April 2019.

For these staff, the pay step date (previously referred to as incremental date) is the anniversary of the date the individual commenced their employment in their current band.

As pay progression will no longer be annual under the new system, the first pay step reviews will take place from April 2021 as staff joining or promoted from 1 April 2019 will then reach their first pay step dates.

Line managers will receive notifications via ESR only when an individual's next pay-step is due up until 1 April 2021 and they must ensure that they complete the necessary form in the process which needs to be submitted in a timely fashion for payroll to action accordingly with the recommendation.

Further detailed guidance can be found in Agenda for Change Terms and Conditions [Annexe 23 – Pay Progression \(England\)](#)

8. Personal Development

During appraisals, a conversation should take place about any development opportunities that are needed to support the individual to maximise their performance in their current job or in future career opportunities.

Individual development requiring financial support from BNSSG will be subject to financial constraints and assurance that the development is appropriate for both the individual and will benefit the organisation. An application for funding for such financial support will need to be made by the individual with approval by the line manager that such development is relevant to their role and is appropriate for the individual. The funding requests will be reviewed by the Corporate team and Learning and Development manager, with final signoff to release funds approved at Executive Director level.

9. Equality Impact Assessment

All relevant persons are required to comply with this document and must demonstrate sensitivity and competence in relation to the nine protected characteristics as defined by the Equality Act 2010. The Act prohibits discrimination on the basis of age, disability, gender reassignment, marriage/civil partnership, pregnancy/maternity, race, religion/belief, sex or sexual orientation.

It also means that each manager or member of staff involved in implementing the policy must have due regard to the need to: eliminate unlawful discrimination, harassment, victimisation; advance equality of opportunity between those who share a protected characteristic and those who do not; and foster good relations between people who share a protected characteristic and those who do not.

If you, or any other groups, believe you are disadvantaged by anything contained

in this document please contact the Document Lead (author) who will then actively respond to the enquiry.

The Equality Impact Assessment is included in Appendix 1.

10. Monitoring compliance and effectiveness

This policy will be initially reviewed 1 year after implementation to assess the effectiveness of one cycle of Appraisals. Data will be collected and reported through the Workforce report every six months on the compliance of completing appraisals as well as monitoring the development requirement themes emerging from personal development plans.

A further review will take place 6 months prior to the transitional pay period ending on the 31 March 2021 in readiness to expand the pay progression elements out to the whole workforce. This policy will then be reviewed every 3 years but can be reviewed at any time if the CCG deems it necessary to do so, if a review is requested by management or staff or there are changes to national terms and conditions or legislation which make a change necessary.

11. Counter fraud

The CCG is committed to reducing fraud in the NHS to a minimum, keeping it at that level and putting funds stolen through fraud back into patient care. Therefore, we have given consideration to fraud and corruption that may occur in this area and our responses to these acts during the development of this policy document

12. References, acknowledgements and associated documents

NHS Agenda for Change Terms and Conditions Staff Handbook
Annex 23 Pay progression
Managing Performance (Capability) Policy
Recruitment and Selection Policy
One to One Form
One to One Guidance for Managers
Appraisal Form
Pay Step Submission Form

13. Appendices

Appendix 1 - Equality Impact Assessment

Equality Impact Assessment Screening		
Query	Response	
What is the aim of the document?	Provide advice and guidance on conducting and attending Appraisals and Performance Reviews	
Who is the target audience of the document (which staff groups)?	All staff groups.	
Who is it likely to impact on and how?	Staff	Support staff in receiving and conducting Appraisals and Performance Reviews
Does the document affect one group more or less favourably than another based on the 'protected characteristics' in the Equality Act 2010:	Age (younger and older people)	No
	Disability (includes physical and sensory impairments, learning disabilities, mental health)	Yes – staff with visual impairment will need additional support with completion of forms and audio description where needed. Staff with hearing impairment will need visual representation of appraisal process and feedback
	Gender (men or women)	Yes – female employees are statistically more likely to be in part time roles in the organisation so are risks to missing contact time with managers for 1:1's and appraisals – managers must be flexible around such working arrangements
	Pregnancy and maternity	Yes – staff on Maternity or Adoption leave will miss appraisals, reviews and 1:1's so is a risk loss of contact with manager can disadvantage such staff. Managers need to ensure staff on such leave are kept reasonably well informed and updated on organisation developments.
	Race (includes ethnicity as well as gypsy travellers)	No
	Sexual Orientation (lesbian, gay and bisexual people)	No
	Transgender people	No
	Groups at risk of	No

	stigma or social exclusion (e.g. offenders, homeless people)	
	Human Rights (particularly rights to privacy, dignity, liberty and non-degrading treatment)	No