# Appraisal Policy (non-medical)

<table>
<thead>
<tr>
<th>CATEGORY:</th>
<th>Policy</th>
</tr>
</thead>
<tbody>
<tr>
<td>CLASSIFICATION:</td>
<td>Training and Development</td>
</tr>
<tr>
<td>PURPOSE</td>
<td>To ensure that all staff take part in a formal annual appraisal.</td>
</tr>
<tr>
<td>Controlled Document Number:</td>
<td>939</td>
</tr>
<tr>
<td>Version Number:</td>
<td>1</td>
</tr>
<tr>
<td>Controlled Document Sponsor:</td>
<td>Executive Director for Delivery</td>
</tr>
<tr>
<td>Controlled Document Lead:</td>
<td>Head of Education</td>
</tr>
<tr>
<td>Approved By:</td>
<td>Chief Executive</td>
</tr>
<tr>
<td>On:</td>
<td>26 August 2015</td>
</tr>
<tr>
<td>Review Date:</td>
<td>August 2018</td>
</tr>
<tr>
<td>Distribution:</td>
<td></td>
</tr>
<tr>
<td>- Essential Reading for:</td>
<td>All Managers</td>
</tr>
<tr>
<td>- Information for:</td>
<td>All Staff</td>
</tr>
</tbody>
</table>
## Contents

<table>
<thead>
<tr>
<th>Paragraph</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0 Policy Statement</td>
<td>3</td>
</tr>
<tr>
<td>2.0 Scope</td>
<td>3</td>
</tr>
<tr>
<td>3.0 Framework</td>
<td>4</td>
</tr>
<tr>
<td>4.0 Aims of the Appraisal</td>
<td>4</td>
</tr>
<tr>
<td>5.0 Duties</td>
<td>5</td>
</tr>
<tr>
<td>6.0 Implementation, training and Monitoring</td>
<td>7</td>
</tr>
<tr>
<td>7.0 Associated Policy and Procedural Documentation</td>
<td>7</td>
</tr>
</tbody>
</table>
1 Policy Statement

1.1 The Trust is committed to Delivering the Best in Care and recognises that the personal and professional development of all employees is a key enabler to achieving this. To support their development all employees of the Trust must take part in a formal annual appraisal with the appropriate line manager (or delegate), the outcome of which will be work related objectives and a personal development plan.

1.2 The Trust expects high and consistent levels of performance from its employees who, with line managers, share the responsibility for maintaining standards and delivering the Trusts Vision and Values.

1.3 The Trust views the appraisal as an opportunity for a constructive dialogue that:

1.3.1 Reviews an individual’s performance, skills, behaviours and objectives over the previous 12 months.

1.3.2 Reviews what personal and professional development the individual has undertaken over the last year in line with their previous personal development plan

1.3.3 Is the mechanism for agreeing the individual’s objectives for the next 12 months which should reflect the Trust and Team objectives.

1.3.4 Establishes a plan for the personal and professional development that is required to support the individual to meet their objectives

2 Scope

2.1 This policy applies to all staff employed by, or seconded into, the Trust on permanent contracts, fixed term or temporary contracts or secondments of 6 months or more, with the exception of medical and dental staff, including UK recognised training grades, who are subject to a different process under the terms of their training contract (see Policy for Annual Appraisal and Revalidation of Medical and Dental Staff).

2.2 The Trust is committed to ensuring this policy and its associated procedural documents are applied fairly and consistently to all employees.

2.3 Any matters relating to health which are raised as part of the appraisal process should be referred to the Trust's Sickness Absence and Attendance Policy. Matters relating to deferral of pay progression (agenda for change staff only) should be referred to the Pay
Progression Procedure which shall be approved by the Executive Director of Delivery.

3 Framework

This section describes the broad framework for the Appraisal Policy. Detailed instructions are provided in the Appraisal procedural document.

3.1 The appraisal process will ensure that all employees have an clear understanding of their duties, responsibilities and objectives and that their development needs are formally identified.

3.2 There will be equity of access to agreed learning and development regardless of grade, full or part-time status, shift pattern, age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion and belief, sex and sexual orientation.

3.3 The appraisal process consists of 3 main steps which are detailed in the appraisal procedure:

   Step 1: Preparation
   Step 2: Appraisal discussion
   Step 3: Completion of appraisal documentation & reporting

3.4 Appraisal training workshops are provided for staff undertaking appraisals. It is strongly recommended that all appraisers attend/refresh their knowledge on a regular basis and attend the workshops which are advertised via the internal intranet site.

4 Aims of the appraisal

4.1 To ensure all employees are clear about their responsibilities and understand what is expected of them for their role.

4.2 To provide a formal opportunity for employees to present their achievements over a 12 month period and to agree and set Specific, Measurable, Achievable Realistic Timely (SMART) objectives for the coming year.

4.3 To improve employee motivation, job satisfaction and effective performance through the agreement of personal objectives and learning needs.

4.4 To agree work related objectives for the coming year and linking team and personal objectives with Trust requirements and the business planning process.
4.5 For employees and managers to take responsibility in identifying and agreeing learning and development needs for both the coming year and in the longer term. These will be recorded in the personal development plan.

5 Duties

5.1 Executive Director of Delivery

5.1.1 The Executive Director of Delivery (EDoD) has responsibility for compliance with this policy and the associated appraisal procedure.

5.1.2 The EDoD will provide assurance to the Board of Directors on compliance with the Policy and Procedure.

5.2 Operational Workforce Group

The Operational Workforce Group will be responsible for reviewing and reporting compliance on a monthly basis.

5.3 Divisional Directors of Operations

Divisional Directors of Operations are required to ensure the following requirements are met within their areas of responsibility:

5.3.1 That all employees within their Directorate that hold line management responsibilities are familiar with the appraisal policy and relevant procedure, and are trained in applying all elements of its associated procedural documentation;

5.3.2 implementing and monitoring the scheme within their Directorate, ensuring that education and training records are maintained; and

5.3.3 determining which Line Managers (unless in certain circumstances) are responsible for carrying out the appraisal for specific employees.

5.4 Head of the Education Directorate

The Head of the Education Directorate is responsible for:

5.4.1 Supporting the implementation of the procedural element of this controlled document;

5.4.3 supporting the implementation of the process to include the on-going training of appraisers;
5.4.4 ensuring that identified learning & development needs feed into the Education and Development Training Strategy and Training plan;

5.4.5 monitoring and reporting appraisal compliance across the Trust; and

5.4.6 reviewing and updating the policy and associated documentation and communicating any changes.

5.5 **Line Managers**

Line managers are responsible for effectively and fairly implementing and operating this policy and relevant procedure within their sphere of control. In addition all managers will be responsible for ensuring that they:

5.5.1 Are familiar with the Appraisal Policy and its application within their area of responsibility;

5.5.2 ensure new starters have an initial meeting to discuss their job role and to set objectives within 6 weeks of commencement of their new role;

5.5.3 meet each employee who reports to them at least every 12 months to agree relevant and realistic objectives and to discuss the employee’s progress in their role;

5.5.4 plan, agree and record specific, measurable, achievable, realistic and timely objectives for each employee for whom they are an appraiser;

5.5.5 maintain accurate appraisal records and report appraisal completion to ensure that records are updated;

5.5.6 ensure all relevant documentation is completed and that they give honest and constructive feedback regarding performance and that they respect and listen;

5.5.7 support employees in their agreed learning and development activities and achieve their objectives;

5.5.8 attend the appropriate training and updates and are competent to implement the Appraisal Policy and Procedure in a consistent and fair manner; and

5.5.9 utilise any available support that is available from third parties i.e. mentors, Human Resources, Practice Development, Learning and Development.
5.6 Employees

Employees must:

5.6.1 endeavour to meet the required Trust standards of performance in line with their job description and Trust policies and procedures;

5.6.2 take an active part in the appraisal process;

5.6.3 raise concerns if their line manager/reviewer does not initiate the appraisal;

5.6.4 understand that if appraisals are not undertaken then pay progression may not occur;

5.6.5 reflect on how they have performed and be prepared to accept honest feedback and plan for the next 12 months ahead, and to take responsibility for their actions and progress made over the review period; and

5.6.6 endeavour to suggest innovative ideas and contribute to shaping their objectives for the next 12 months.

5.7 Accredited Trade Union Representatives

Trade Union Representatives should be familiar with this policy and associated procedures in order to provide advice and support to their members as requested.

6 Implementing, Training and Monitoring

6.1 The Appraisal Policy and associated procedural documents will be disseminated throughout the Trust to ensure accessibility.

6.2 A communication strategy will support Trust wide dissemination of the policy and procedures via Trust Newsletters Intranet and Team Briefings.

6.3 The Education Directorate will ensure that a training programme relating to the Appraisal Policy and Procedure is developed and delivered to relevant employees. It is strongly recommended that staff are encouraged to attend the training that is provided.

6.4 Appraisal compliance will be monitored via the workforce dashboard. The Education Directorate will report compliance to the Operational Workforce Group monthly.

7 Associated Policy and Procedural Documentation
Trust policies and procedures should be given full consideration where appropriate, including:

7.1 Appraisal Procedure
7.2 Procedure for the monitoring of staff registered with the Nursing and Midwifery Council
7.3 Mandatory and Statutory Policy and Procedure
7.4 Sickness Absence and Attendance Policy
7.5 Pay Progression Procedure
7.6 Managing Poor Performance Policy and Procedure
7.7 Equal Opportunities in Employment Policy