Appraisal Policy

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## Introduction

A well-planned and consistently implemented staff appraisal system maximises the effectiveness of an organisation and improves the working climate by placing an emphasis on clarity, focus and openness. Appraisals are mandatory and there is a two-way responsibility between manager and role holder to ensure that the appraisal meeting takes place.

A successful system:

* + Creates a clear framework for relating the Integrated Care Boards (ICBs) aims and objectives to individual roles.
	+ Provides a formal structure within which to identify individual training

and development needs, and to demonstrate the impact of training.

* + Outlines the role requirements more clearly.
	+ Facilitates measurement of an individual’s performance against role

requirements and competencies.

* + Allows for other systems to be initiated if poor performance cannot be

remedied by training, coaching or counselling.

* + Offers a framework for continuous review of how roles are evolving.
	+ Facilitates regular two-way communication between the role holder and

their line manager.

* + Provides role holders with regular feedback, to the benefit of their

personal and professional development.

* + Establishes a sound basis for role holders to make career development

decisions.

Staff appraisals and performance reviews are an on-going process. Its success relies on a commitment by both role holder(s) and line manager(s) to provide effective feedback against agreed objectives, and to attending progress reviews and the annual appraisal. As such, it is expected that adequate time and resource is dedicated to ensuring that the appraisal process is meaningful for both the role holder and the organisation. A line manager who implements this staff appraisal framework is demonstrating this commitment, as well as an understanding that role holders:

* Are more 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 how progress is monitored and results measured.

Appraisal and performance review meetings are held annually. Role holders (the appraisee) are assessed, using agreed performance measures, to determine whether they’ve fulfilled their key deliverables, achieved their objectives, demonstrated the key competencies and values of the ICB.

The role holder and appraiser will review key deliverables and discuss success criteria.

Progress reviews occur six months into the performance review period. They allow the role holder and line manager to review progress against objectives, identify key issues for the next review period, and revise training and development plans as required.

A summary of the process can be found at Appendix B, in flowchart format.

Template forms for the appraisal process can be found on the staff intranet. Please use this link: [HR Forms](https://nhs.sharepoint.com/sites/99F_Connect/SitePages/HR-Forms-%26-Documents.aspx)

## Purpose / Policy Statement

The policy aims to provide employees and line managers with information and guidance on completing constructive, timely and supportive annual appraisal.

The ICB’s values are key to our success and we expect all our staff to demonstrate these values in their work. The appraisal and performance review process will identify the application of these values within an individual’s role in the ICB both in their behaviour, attitudes and outputs at work.

The ICB appraisal and performance review framework has been designed to ensure we have the right people with the right skills to deliver this vision and demonstrate these values in all that we do.

In 2018, the NHS Staff Council agreed an Agenda for Change contract refresh which included a reform of the pay structure and changes to Terms and Conditions. As a result of the refresh, pay bands have been restructured and the number of pay points reduced which allows staff salaries to increase over a shorter period of time. This process is underpinned by putting appraisal and personal development at the heart of pay progression.

For staff to progress through the pay points of their banding there is an expectation on employees and employers that staff will demonstrate that they have the required knowledge and competence for their role and have demonstrated the required levels of performance and standards to allow the pay progression. This will be assessed throughout the year at regular one to one /supervision meetings, and at the annual appraisal which must be completed in advance of the pay step review meeting.

Progression through the pay step point will not be automatic and will require line managers to meet with employees to ensure all standards have been achieved and confirmation passed onto payroll for processing. One of these standards is that appraisal has taken place.

Further information/detail can be found in the Pay Progression Policy.

## Scope

This policy applies to all ICB employees engaged on Agenda for Change Terms and Conditions of Service. Appraisal is a mandatory requirement for all staff under the agenda for change terms and conditions and applies to staff working at all levels within the ICB.

The appraisal process will also support professional revalidation requirements for nurses and other clinical professionals employed by the ICB.

New starters will have the appraisal principles and processes explained to them at local induction by their line manager. This is important to ensure that all new starters are clear about what is expected of them. An initial appraisal will take place with all new starters on completion of the Probation Period to measure initial performance in the role, set objectives, and identify areas of development.

This policy does not apply to ICB Board members, officer holders, bank, agency, work experience staff, students and volunteers.

## Definitions

* **Appraisal** - A meeting between an individual and their manager to review the individual’s performance, to set work related objectives, and to identify meaningful development needs. The appraisal is an essential link in the complete cycle of supervision and should enhance the regular supervision activity. Appraisal is a twelve (12) monthly cycle and should include a minimum six (6) month review to discuss progress on objectives.
* **Appraisee** - Individual taking part in their appraisal and being appraised.
* **Appraiser** - The line manager (or designated deputy) who undertakes the appraisal of another member of staff.

## Roles and Responsibilities

### Integrated Care Board

* + 1. The ICB Board is accountable and responsible for ensuring the use of effective processes for appraisals in accordance with Agenda for Change terms and conditions and best practice guidance.

### Chief Executive

* + 1. The Chief Executive is accountable for the policy and procedure being in place to ensure fair and equitable approach to appraisal for employees.

### Policy Authors

* + 1. Policy authors are responsible for ensuring that this document is updated when any changes are made to the NHS Agenda for Change Terms and Conditions for Service for appraisal/pay progression.

### Executive Chief People Officer

* + 1. The Chief People Officer oversees the implementation of this policy and is responsible for ensuring that managers take action to meet the organisation’s obligations to ensure equity and consistency.

### Line Managers

* + 1. The appraiser will:
* Ensure that each member of staff has an individual appraisal every 12 months.
* Ensure that each member of staff has an up-to-date job description / person specification for their role.
* Ensure they have the necessary training, skills and information to carry out an appraisal discussion and that direct reports understand their responsibilities in relation to the appraisal process.
* To ensure that an appraisal takes place before an employee’s pay progression date and in sufficient time that any payroll changes necessary can be put in place before the incremental date. Failure to do so will mean that the individual will not progress through the pay scale
* To update the staff member’s electronic staff record (ESR) with the date of when an appraisal discussion has taken place.
* To ensure the ICB’s formal appraisal documentation is completed, filed and a copy given to the staff member.
* To meet regularly with direct reports in between appraisal meetings

### All Staff

* + 1. The appraisee will:
* Participate in the appraisal process.
* Complete the appraisal document (appraisee) in preparation for the appraisal meeting
* Keep themself informed about what is expected in relation to the appraisal process
* Ensure they keep up to date with their mandatory training and actively pursue the development identified within the appraisal
* Work proactively to meet the objectives identified in the appraisal and notify their manager as soon as is practicable of any obstacles to satisfactory completion
* Work to support the ICB’s values and strategic objectives in all they do.
* Be aware that refusal to participate in the appraisal process may be considered a misconduct issue. Incomplete appraisals or mandatory training could result in the employee’s pay progression being withheld.

## Explanation of the Terms Used

### Job Description

* + 1. Job descriptions describe the purpose of the role, and do not change from year to year unless the role changes. By referring to the Role Purpose/Summary and the Competency Based Key Deliverables, the role holder can assess their effectiveness
		2. The Role Purpose/Summary and the Competency Based Key Deliverables for each role define what must be undertaken by the role holder if the role’s purpose is to be fulfilled. The role holder will need to understand their specific role in relation to each key area and the difference between being responsible for something and accountable for it.
		3. Individuals undertaking the same role will have the same role purpose and competency levels (although their objectives are likely to be set on an individual basis, for example, each person may lead on a specific area at the same level of responsibility as a colleague).
		4. The job descriptions for each role should:
	+ provide a clear definition of the role holder's accountabilities.
	+ set out where the role holder is accountable for an activity or output.
	+ define the relationship with other role holders.
	+ only change if the role itself changes (i.e. not because the role holder may change – role roles should be written around what the organisation needs, not to fit the person doing the role).

### Objectives

* + 1. These should reflect the immediate priorities of the role and be identified and set by the role holder in agreement with the line manager. They outline the specific, measurable levels of achievement expected within a given period.
		2. Objectives can be used to influence how the role holder and line manager

assess effectiveness. They should be related to the purpose and competency based key deliverables of the role (although each does not necessarily require its own objective) and the level of competency the role holder is expected operate at.

### Success Criteria

* + 1. These outline how to judge whether or not an objective has been achieved. A simple way to identify success criteria is to ask: “How will I know when I have got there?” and “What should I see as an end result?”.

### Training and Development Needs

* + 1. Training and development needs, both personal and professional, are

Identified during appraisal. A personal training and development plan will be constructed for the role holder as a result, with clearly defined expectations around timescales and the objectives to which the training supports.

* + 1. Personal development is concerned with making a better contribution to the current role and improving potential to become more successful in securing and working in other roles.
		2. Professional development refers to skills and knowledge attained for both

personal development and career advancement. Professional development encompasses all types of facilitated learning opportunities, ranging from college degrees to formal coursework, conferences and informal learning opportunities situated in practice.

### Purpose of Objectives

* + 1. People will perform more effectively in their roles if they are clear on what they are aiming for and understand how their individual role supports

organisational achievement and success. Objectives help each role holder

focus on specified areas that need to be achieved within their role (although they are neither required for every competency nor intended to replace them).

The setting of realistic objectives is an annual agreement between the role holder and the line manager. There are usually between three and six.

Successful objective-setting gives the role holder a clear understanding of the priorities of their work and should result in improved performance throughout the organisation.

* + 1. Agreed objectives are recorded on the objective summary sheet as part of the appraisal meeting. The objectives set for each role holder should:
	+ be focal points for short-term action.
	+ demonstrate links with specific plans and programmes.
	+ reflect the priorities of the individual and the organisation.
	+ provide a means of co-ordinating role holders key deliverables.
	+ provide additional performance measures.

### Form of Objective Statements

* + 1. Ideally, objectives should be stated in terms of measurable results by specific dates. Omitting a date is to imply completion before the next review. An important test for an objective is that it should guide the actions of the role holder, who may well need to formulate an action plan detailing how it is to be achieved. This will in itself be a measurement of how effective the individual is at organising their time and activities.
		2. Each objective should be:
	+ Specific and personal to the role and the holder of that role.
	+ Clear – unambiguous and understood and clearly recorded.
	+ Challenging – not too easy to achieve and would involve some effort to

Reach, but be realistic.

* + Measurable – what is the outcome, what are the milestones along the

way, what information will we use to know that the objective is achieved.

* + Agreed – between both the appraise and appraiser
	+ Aligned – the objectives should be consistent with the objectives of the

Team.

* + Time limited – within the review period.

### Competencies and Key Deliverables

The ICB’s competency based key deliverables form the basis of the employment contract, i.e. the commitment by the role holder to the ICB and its customers to deliver their role in a specific manner and level. Competencies apply across the whole organisation, with relative levels of output according to grade. As part of the appraisal process, the role holder will be assessed against these competencies and evidence recorded of how these have been met and examples of achievements.

## Appraisal Procedure

### The Appraisal Meeting

* + 1. The appraisal meeting is an annual review of personal development, carried out by the role holder and the line manager. It is focused on reviewing performance, which is measured against their objectives and key deliverables. NB: Regular feedback and communication ensures that concerns relating to performance issues aren’t a surprised to the individual and tackled at the earliest opportunity.
		2. The guidance offered in this section is primarily for managers who’ll be

conducting the appraisal but ~~is~~ may also be relevant for role holders as they’ll need to know what to expect from the process.

* + 1. During the appraisal process managers should be aware of any unconscious bias that they may have, and that staff with certain protected characteristics may experience a disproportionate lack of self confidence in their communications and personal expectations of future progression.

### Objectives of the Appraisal Meeting

* + 1. To look back at what has been accomplished:
	+ To look forward to what needs to be accomplished.
	+ To identify how the role holder can be helped to improve effectiveness
	+ in their current role.
	+ To clarify the role holder’s career plans, aspirations and intentions.

### Preparation for the Appraisal Meeting

It is essential for the appraiser in the reviewing role to prepare thoroughly for these appraisal meetings in order to be fair to the role holder, retain the confidence of the role holder and enable problems to be discussed in a relaxed and constructive way.

* + 1. The role holder should prepare for the appraisal by filling in the self-appraisal section of the appraisal form. It may be useful for the line manager to receive this paperwork in advance of the meeting, but there is no requirement for this to happen.
		2. The appraiser should ensure that information is gathered from all other

relevant project managers, team leads etc. with whom the appraisee has

worked since the last review.

### Structure of the Appraisal Meeting

* + 1. An effective appraisal meeting needs to be structured, clear and succinct.
		2. The appraiser should begin by outlining the aim of the appraisal and the way in which it will proceed. The role holder should have completed the self-appraisal section of the appraisal form before the meeting (which should be clearly communicated by the appraiser prior to the meeting). The role holder will be asked to share their self-appraisal verbally.
		3. At this stage it helps if the appraiser listens to what the role holder says during the presentation of this self-appraisal: the appraiser is often able to bring up additional information, present alternative interpretations, and to guide the role holder informally as the meeting proceeds.

### Conducting the Appraisal Meeting

* + 1. The appraisal meeting must involve frank, thorough and a “**no surprises**‟

discussion.

* + 1. The discussions in the appraisal meeting, and the form itself, are normally considered confidential, but either party can pass on information if professional practice is compromised (for example, if there are child protection issues).
		2. It may be necessary to offer constructive comment on negative aspects of

performance, as well as recognition of positive performance. Where there are performance weaknesses, remedial action must be discussed, and

appropriate training or coaching offered.

* + 1. Line managers are accountable for helping role holders to improve their performance. In doing so, they will assist both the organisation and the individual concerned.
		2. The appraisal is not, however, the occasion for disciplinary proceedings, which must be undertaken separately as mentioned previously the meeting should be a ‟**no surprises**‟ discussion and is not the forum to discuss issues of a disciplinary nature. Concerns regarding capability/performance should be discussed with the individual as they occur and not ‘saved’ for the appraisal meeting.
		3. The appraisal meeting should take place in a private place, and appraisers should make every effort to ensure that it begins on time and away from telephones and other interruptions. When deciding on details such as location and seating arrangements, appraisers should choose conditions in which they and their staff will be best able to work.
		4. Line managers will make a decision on whether the appraisal meeting will be held ‘face to face’ or via Microsoft Teams and will communicate this to the employee in advance of the meeting.

### Focus on Performance/Key Deliverables

* + 1. Line managers should use the appraisal process to congratulate and praise as well as improve performance, if necessary. Role holders should be asked for their own views including asking whether the role holder has any suggestions for how performance could be improved or what they have done well.
		2. The appraisal process is most successful when it leads to a practical plan of action that can build upon the individual’s strengths and identify areas for improvement and plans to address these, allowing the individual to have ownership of their development.
		3. This should include looking at how the role holder applies their knowledge to the work, and at any gaps in the role holder’s knowledge and skills.
		4. No matter how good or longstanding the relationship between a manager and a role holder is, an appraisal session can be challenging. It involves a detailed and specific discussion of the role holder’s progress in achieving results.
		5. An effective manager will help make this an objective, role-relevant experience, remembering that it is the role holder’s performance in the role that is being appraised, and not the individual’s personality.
		6. The central issue is performance against key deliverables and objectives through the results achieved, taking into consideration the success criteria and objectives adopted.
		7. The relevant sections of the appraisal form should be completed step by step during the meeting by the appraiser and then typed up and shared with the role holder for agreement and comment following on from the meeting.
		8. The completion of the documentation should be used as a basis for discussing whether any objectives outstanding from the previous review period should be carried forward and included on the sheet with a new timescale, or if they are no longer valid. These should also be linked with the discussions held earlier on in the appraisal meeting with regards to looking back and reviewing the completion of the previous year’s objectives and achievement within the competency areas of the staff compact.
		9. Once the above has been completed, new objectives for the forthcoming year should be agreed by both the role holder and line manager during the course of the appraisal meeting.

### Training and Development Plan

* + 1. The staff appraisal process is ideal for conducting a regular professional and personal development review for each role holder. The training and

development plan is completed by the line manager and should record all the agreed actions relating to the role holder’s training and personal development.

* + 1. Progress against both the objective summary sheet and the training and development plan should be monitored at 6 monthly progress review meetings and fully assessed at the next appraisal meeting (when a new plan is drawn up).
		2. When deciding on a personal development plan, consideration should be given to the role holder’s personal views and wishes. In addition, the manager should undertake an assessment of potential plans for developing or improving individual capacity or performance.
		3. The Learning and Development Policy should be reviewed for guidance. This is pertinent where there may be cost involved regarding the personal development plan and both employee and line manager need to be clear on this before any agreement is made.
		4. In terms of personal and professional training, plans for the next review period might include:
	+ Work experience/shadowing.
	+ Mentoring/coaching.
	+ On the job training within the team.
	+ Training and development within the ICB.
	+ Relevant professional training (or continuous professional training/CPD).

### Purpose of Progress Reviews

* + 1. The progress review meeting occurs annually, half-way between the appraisal meetings. It has the following objectives:
	+ To measure and record performance to date against agreed objectives.
	+ To review the role holder’s training and development plan.
	+ To identify and record the role holder’s successes over the previous six

months.

* + To identify and record key issues for the role holder for next six months.
		1. Effective staff appraisal depends on these progress reviews to check that Key deliverables are being fulfilled and objectives attained. The meetings provide the opportunity for the line manager and role holder to identify situations where some unforeseen or uncontrollable factor is impeding achievement. If a point has been reached where the original objectives have been invalidated, they should be revised (if this is the case, it may be helpful to carry out a subsequent interim appraisal).
		2. In addition, objectives should be reviewed regularly during monthly one-to-one/supervision meetings.
		3. If a role holder is appointed during the year, the line manager could use an interim appraisal to introduce the role holder to the staff appraisal framework, establish agreed key deliverables and objectives for the rest of the year, and outline their training and development plan.

### Conducting the Progress Review Meeting

* + 1. The progress review meeting involves the role holder and the line manager. The structure, location, seating arrangements and general nature of this meeting should be similar to those for the appraisal meeting.
		2. Line managers will make a decision on whether the appraisal meeting will be held ‘face to face’ or via Microsoft Teams and will communicate this to the employee in advance of the meeting.
		3. Before the meeting, the role holder should ensure that they have reviewed the previously set objectives by completing the progress review form and identifying three areas of success during the six-month review period. During the progress review meeting, the line manager should record their assessment of the role holder’s performance over the same period. After discussing these sections, the meeting focuses on the role holder’s performance against the tangible objectives set at the previous appraisal meeting. The line manager records both this performance and the agreed key issues for the next six months.
		4. The role holder’s training and development plan is then reviewed, focusing on what has occurred since the appraisal meeting. This is recorded on the progress review form, along with any outcomes and further or continuing needs relating to training and development that may be identified.
		5. The completed form must be signed and dated by both the appraisee and the appraiser following the same format outlined in the appraisal template.

### One to One Meetings

* + 1. It is essential that managers meet with their staff regularly to ensure performance is at the required level. To achieve this, regular one-to-one meetings should be formally set arranged. Whether the frequency for these is agreed between the two as weekly, bi-weekly or monthly, it is important that these meetings happen. There are a number of benefits to this:

1. It enhances the working relationship.

2. It provides an opportunity to review objectives, sign off completed

pieces of work and set new tasks where there is capacity to do so.

3. Workload can be reviewed.

4. It makes the progress reviews and appraisal meetings much easier to conduct, as there will have been regular dialogue throughout the year.

* + 1. Keeping a written record of these discussions will be useful to both parties when planning and preparing for both the progress review and appraisal meetings.

### Requiring Intervention

* + 1. During the regular one-to-one meetings and the six-monthly progress review meeting Line Managers and employees should be able to identify where progress is not being achieved on the objectives set. Where little or no progress has been made to achieve the objectives set (or it is likely that the objectives will not be achieved within the desired timeframe), line managers need to take action which includes:
* Asking the employee what the barriers to achieving are e.g., is the employee being asked to complete work/tasks that are not related to the objectives?
* Line manager to clarify non-negotiables and what the priorities are for the role.
* Ensuring that the employee is motivated by the objectives and can achieve the goals.
* Assisting the employee by describing specific behaviours or actions that may be affecting achievement.
* Draft a plan, in agreement with the employee, on how the objectives are to be achieved eg this could include not working on other projects/work streams until the objectives are completed, setting aside regular time each week to work on an objective or requiring a more regular reports/updates on progress.
* If progress is not made, then line managers are to consider action under the Managing Performance Policy.

During the appraisal meeting, the appraiser should make time to ask the employee about their general health, well-being and working life. They should consider any issues which may be preventing them from being effective in their role.

This provides an opportunity for employees to discuss and raise issues, for example, this may prompt discussions about work-life balance, workload, and flexible working. However, the employee need not divulge anything they do not wish to. The documentation should however be completed to show that this area has been discussed.

The appraiser should attempt to help resolve any issues or if appropriate refer to their line manager or Occupational Health (providing they have the agreement of the appraisee to do so).

The Stress Management Policy may also be referenced where there are concerns regarding workload or stress.

## Long Term Absence

If an employee is absent from work for reasons such as sickness or maternity leave when an appraisal (or pay step) is due, the principle of equal and fair treatment should be followed, so that there is no detriment as a result.

In the cases of long term planned absence, it may be possible to hold the appraisal prior to the employee going on leave, allowing the pay step to be applied on their pay step date in their absence. If it is not possible to hold the appraisal meeting prior to absence, then their pay step should be automatically progressed on their pay step date. For further information refer to the Pay Progression Policy.

## Disagreement during Appraisal Meeting

Every effort should be made to ensure that appraisers and appraisees are able to resolve differences of opinion during the appraisal process without recourse to formal proceedings.

If there is disagreement, in the first instance the meeting can be adjourned to allow consideration of different viewpoints and convened on another day. There is no right for an employee to be appraised by any other than their immediate line manager.

## Appraisal Appeal Process

### Informal and Formal Processes

* + 1. If the appraisee is unhappy with the outcome of their appraisal they should discuss this with the appraiser in the first instance. This is the informal process, and it is anticipated that most situations can be resolved via discussion between the two parties. If this meeting does not resolve the issues the next immediate line manager should be informed.
		2. The next stage is a formal appeal and should follow the process below:
	+ The appeal should be submitted to the next line of management (i.e. the manager of the person who conducted the original appraisal), within 10 working days of the appraisal taking place.
	+ The grounds for the appeal must be clearly stated.
	+ Copies of the original forms and any additional supporting information should be included.
	+ The appeal meeting should be held within 10 working days of receipt of the appeal, wherever possible.
	+ The appeal meeting will be chaired by the next line of management (the manager of the appraiser).
	+ A Human Resources representative can be requested to attend the meeting by either party.
	+ The appeal outcome should be communicated in writing within 10 working days of the meeting and set out the reasons for the decision to uphold or dismiss the appeal.
	+ All decisions are final, and the matter will then be regarded as closed.
	+ All employees have the right to be accompanied by a Union Representative, colleague or friend employed by the ICB.
	+ There is no further right of appeal via any other ICB policy, for example the Grievance Policy.
		1. Where disputes occur which are related to pay progression and the dispute is resolved in the employees’ favour, the associated pay will be backdated to the pay progression date.

## Monitoring Compliance

The HR Team will be responsible for monitoring that this procedure is followed and may be consulted at any stage through the process to offer advice to those involved.

Monitoring information will be published and reported as appropriate.

Should the monitoring uncover any shortfalls in the implementation of the policy, the HR team will work with the relevant management team to draw up an action plan for improvement. This action plan may include, for example:

• Training for line managers.

• A risk assessment.

It is also anticipated that any issues in respect of the implementation of the policy may be identified as a result of staff exercising their right of appeal.

## Staff Training

Appraisal training for appraisers – is provided by the ICB and should be attended by the following members of staff:

* Managers who are new to the appraisal process.
* Staff with the responsibility for appraising others.

Appraisal training for appraisees – is provided by appraisers/managers or accessed directly by the appraisee.

Guidance can be sought from the Human Resources team.

## Arrangements For Review

This policy will be reviewed no less frequently than every two years. An earlier review will be carried out in the event of any relevant changes in legislation, national or local policy/guidance, organisational change or other circumstances which mean the policy needs to be reviewed.

If only minor changes are required, the sponsoring Committee has authority to make these changes without referral to the Integrated Care Board. If more significant or substantial changes are required, the policy will need to be ratified by the relevant committee before final approval by the Integrated Care Board.

## Associated Policies, Guidance and Documents

#### Associated Policies

* Managing Performance Policy.
* Pay Progression Policy.
* Stress Management Policy.
* Learning and Development Policy.

## References

* NHS Terms and Conditions of Service - any reference is to the latest edition.

## Equality Impact Assessment

The EIA has identified no equality issues with this policy.

The EIA has been included as Appendix A.

**MSE ICB Key Documents**

Appraisal form: [ICB Appraisal Form 2022.dotx (sharepoint.com)](https://nhs.sharepoint.com/%3Aw%3A/r/sites/99F_Connect/_layouts/15/Doc.aspx?sourcedoc=%7BCC877803-59C9-4537-B8DE-4A3C9352714B%7D&file=ICB%20Appraisal%20Form%202022.dotx&action=default&mobileredirect=true&DefaultItemOpen=1)

Appraisal Guidance Note: [Connect Online - ICB Appraisal Guidance Notes 2022.pdf - Default (sharepoint.com)](https://nhs.sharepoint.com/sites/99F_Connect/Shared%20Documents/Forms/Default.aspx?id=%2Fsites%2F99F%5FConnect%2FShared%20Documents%2FHR%2FAppraisal%2FICB%20Appraisal%20Guidance%20Notes%202022%2Epdf&parent=%2Fsites%2F99F%5FConnect%2FShared%20Documents%2FHR%2FAppraisal)

ESR Appraisal Guide: [Connect Online - Appraisal Guide ESR.pdf - Default (sharepoint.com)](https://nhs.sharepoint.com/sites/99F_Connect/Shared%20Documents/Forms/Default.aspx?id=%2Fsites%2F99F%5FConnect%2FShared%20Documents%2FHR%2FAppraisal%2FAppraisal%20Guide%20ESR%2Epdf&parent=%2Fsites%2F99F%5FConnect%2FShared%20Documents%2FHR%2FAppraisal)

## Appendix A - Equality Impact Assessment

**INITIAL INFORMATION**

|  |  |
| --- | --- |
| **Name of policy:** Appraisal **Version number (if relevant):** 1.0 | **Directorate/Service**: People Services  |
| **Assessor’s Name and Role Title:** Carolyn Druce, HR Business Partner  | **Date:** 16th May 2022 |

|  |
| --- |
| **OUTCOMES** |
| *Briefly describe the aim of the policy and state the intended outcomes for staff*  |
| The policy aims to provide employees and line managers with information and guidance on completing constructive, timely and supportive annual appraisal. |
| **EVIDENCE** |
| *What data / information have you used to assess how this policy might impact on protected groups?* |
| The ICB monitors the composition of its workforce under the nine protected equality characteristics and reports on this annually. This information helps the ICB to assess the potential impact of its policies upon staff. |
| *Who have you consulted with to assess possible impact on protected groups? If you have not consulted other people, please explain why?*  |
| Relevant Trade Unions have been consulted on the policy and any comments will be taken into consideration when the policy is published. |

**ANALYSIS OF IMPACT ON EQUALITY**

The Public Sector Equality Duty requires us to **eliminate** discrimination, **advance** equality of opportunity and **foster** good relations with protected groups. Consider how this policy / service will achieve these aims.

N.B. In some cases it is legal to treat people differently (objective justification).

* ***Positive outcome*** *– the policy/service eliminates discrimination, advances equality of opportunity and fosters good relations with protected groups*
* ***Negative outcome*** *–**protected group(s) could be disadvantaged or discriminated against*
* ***Neutral outcome***  *–**there is no effect currently on protected groups*

Please tick to show if outcome is likely to be positive, negative or neutral. Consider direct and indirect discrimination, harassment and victimisation.

| ProtectedGroup | Positiveoutcome | Negativeoutcome | Neutraloutcome | Reason(s) for outcome |
| --- | --- | --- | --- | --- |
| Age |  |  | x |  |
| Disability(Physical and Mental/Learning) | x |  |  | The policy makes provision for long term absence and any required reasonable adjustments |
| Religion or belief |  |  | x |  |
| Sex (Gender) |  |  | x |  |
| Sexual Orientation |  |  | x |  |
| Transgender / Gender Reassignment | x |  |  | The policy is gender neutral |
| Race and ethnicity |  |  | x |  |
| Pregnancy and maternity (including breastfeeding mothers) | x |  |  | The policy makes provision for absence due to maternity and any required reasonable adjustments.  |
| Marriage or Civil Partnership |  |  | x |  |

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| --- |
| **MONITORING OUTCOMES** |
| Monitoring is an ongoing process to check outcomes. It is different from a formal review which takes place at pre-agreed intervals. |
| *What methods will you use to monitor outcomes on protected groups?* |
| It is anticipated that any issues in respect of the implementation of the policy will be identified as a result of staff exercising their right of appeal. |

|  |
| --- |
| **REVIEW** |
| *How often will you review this policy / service?*  |
| Every 2 years as a minimum and earlier if there are any significant changes in legislation, policy or good practice. |
| *If a review process is not in place, what plans do you have to establish one?* |
| N/A |

## Appendix B – Appraisal Process Flow Chart

Appraisal Date Set

Appraisal preparatory work completed by the job holder and line manager as detailed in the appraisal form

Appraisal paperwork completed by the line manager and agreed by the job holder

6 month progress review date set

Objectives monitored through regular one to one meetings

6 month Progress Review completed

Performance recognised/rewarded or in the case of underperformance appropriate support/remedial action taken as necessary eg training/line manager support

Appraisal meeting conducted

Performance reviewed against objectives

Training and Development Plan constructed

Staff Health and Wellbeing, including any Equality and Diversity considerations, discussed

Tra

Under performance monitored closely over next 6 months with appropriate support put in place

Remedial action taken if performance does not improve eg refer to Performance Management Policy