



Stafford & Surrounds Clinical Commissioning Group

STAFFORD & SURROUNDS APPRAISAL POLICY

Agreed at Governing Body

Date: 16 September 2013

Signature: *David - Mervin - Hender*

Designation: Chair Stafford & Surrounds CCG

Review Date: 31 March 2016

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1.0 PURPOSE

- 1.1 This policy is designed to provide a framework across the Organisation for a well-planned and effective staff appraisal system.
- 1.2 The organisation is committed to organisational improvement through organisational, team and personal development. This means that all employees need to continually develop their skills and expertise so that they are able to carry out their role effectively and contribute to the success of the organisation.

2.0 INTRODUCTION

- 2.1 Appraisals are mandatory and there is a two-way responsibility between manager and job holder to ensure that the appraisal meeting takes place.

A successful system:

- creates a clear framework for relating the CCG's aims and objectives to individual jobs
 - provides a formal structure within which to identify individual training and development needs, and to demonstrate the impact of training
 - outlines job 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 job roles are evolving
 - facilitates regular two-way communication between the job holder and their line manager
 - provides job holders with regular feedback, to the benefit of their personal and professional development
 - establishes a sound basis for job holders to make career development decisions.
- 2.2 A line manager who implements this staff appraisal framework is demonstrating this commitment, as well as an understanding that job 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.
- 2.3 Appraisal and performance review meetings are held annually. Job holders (the appraisee) are assessed, using agreed performance measures, to determine whether they have fulfilled their responsibilities and achieved their objectives and demonstrated the key competencies and values of the CCG. The job holder and appraiser, who may or may not be the appraisee's direct line manager, will review responsibilities and discuss success criteria.
- 2.4 Progress reviews occur six months into the performance review period. They allow the job 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.

3.0 THE STAFF APPRAISAL FRAMEWORK

3.1 Explanations of terms used

Both the appraisee and appraiser should understand the terminology used within this process, summaries of which are as follow:

3.1.1 Responsibilities

These describe the purpose of the job (in the job description), and do not change from year to year unless the job changes. By referring to these responsibilities, the job holder can assess his or her effectiveness.

The key responsibilities and accountabilities for each job define the activities that must be undertaken by the job holder if the job's purpose is to be fulfilled. The job 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.

Individuals undertaking the same role will probably have the same responsibilities 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).

The responsibility statements for each job should:

- Provide a clear definition of the job holder's responsibilities
- Set out where the job holder is accountable for an activity or output
- Define the relationship with other job holders
- Specify only the 'what', the 'how' and the 'when'
- Only change if the job itself changes (i.e. not because the job holder may change – job roles should be written around what the organisation needs, not to fit the person doing the role).

3.1.2 Objectives

These should reflect the immediate priorities of the job, and be identified and set by the job holder in agreement with the line manager. They outline the specific, measurable levels of achievement expected within a given period. Objectives can be used to influence how the job holder and line manager assess effectiveness. They should be related to the responsibilities of the job (although each responsibility does not necessarily require its own objective) and the level of competency the job holder is expected operate at.

3.1.3 Success criteria

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?"

3.1.4 Training and development needs

Training and development needs, both personal and professional, are identified. A personal training and development plan will be constructed for the job holder as a result, with clearly defined expectations around timescales and the objectives to which the training supports. **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 jobs. **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.

3.1.5 Working towards objectives

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 job holder focus on specified objectives that need to be achieved within his or her responsibilities (although they are neither required for every responsibility nor intended to replace them). The setting of realistic objectives is an annual agreement between the job holder and the line manager. There are usually between three and four. Successful objective-setting gives the job holder a clear understanding of the priorities of his or her work, and so results in improved performance throughout the organisation.

Agreed objectives are recorded on the objective summary sheet as part of the appraisal meeting. The objectives set for each job 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 job holders' responsibilities
- provide additional performance measures.

3.1.6 Form of objective statements

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 a objective is that it should guide the actions of the job 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.

Each objective should be:

- Specific and personal to the job role and the holder of that job 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 appraisee and appraiser
- Aligned – the objectives should be consistent with the objectives of the team
- Time limited – within the review period

4.0 APPRAISAL PROCEDURE – WHAT TO DO AND HOW TO DO IT

4.1 The appraisal meeting

The appraisal meeting is an annual review of personal development, carried out by the job holder and the line manager. It is focused on reviewing performance, which is measured against his or her objectives and responsibilities.

The guidance offered in this section is primarily for managers who will be conducting the appraisal, but is also relevant for job holders as they need to know what to expect from the process.

4.2 Objectives of the appraisal meeting

- To look back at what has been accomplished
- To look forward to what needs to be accomplished

- To identify how the job holder can be helped to improve effectiveness in his or her current role
- To clarify the job holder's career plans, aspirations and intentions

4.3 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 job holder, retain the confidence of the job holder and enable problems to be discussed in a relaxed and constructive way.

The job holder should prepare for the appraisal by filling in the self-appraisal section of the appraisal form (Appendix 1). It may be useful for the line manager to receive this paperwork in advance of the meeting.

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.

4.4 The structure of the appraisal meeting

An effective appraisal meeting needs to be structured, clear and succinct. The appraiser should begin by outlining the objectives of the appraisal and the way in which it will proceed. The job 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. At this stage it helps if the appraiser reacts to what the job holder says during the presentation of this self-appraisal: he or she is often able to bring up additional information, present alternative interpretations, and to guide the job holder informally as the meeting proceeds.

4.5 Conducting the appraisal meeting

The appraisal meeting must involve frank, thorough and a 'no surprises' discussion. 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).

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. Line managers are accountable for helping job holders to improve their performance. In doing so, they will assist both the organisation and the individuals concerned. 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.

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.

4.6 Focus on performance

Line managers should use the appraisal process to improve performance, including asking whether the job holder has any suggestions for how this could be done. 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. This should include looking at how the job holder applies his or her knowledge to the work, and at any gaps in the job holder's knowledge and skills. No matter how good or longstanding the relationship between a manager and a job holder is, a performance appraisal session can be challenging. It involves a detailed

and specific discussion of the job holder's progress in achieving results. An effective manager will help make this an objective, job-relevant experience, remembering that it is the job holder's performance in the job that is being appraised, and not the individual's personality. The central issue is performance against responsibilities and objectives through the results achieved, taking into consideration the success criteria and objectives adopted.

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 job holder for agreement and comment following on from the meeting.

4.6 Training and development plan

The staff appraisal process is ideal for conducting a regular professional and personal development review for each job holder. The training and development plan is completed by the line manager and should record all the agreed actions relating to the job holder's training and personal development. 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).

When deciding on a personal development plan, consideration should be given to the job 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.

In terms of personal and professional training, plans for the next review period might include:

- work experience
- Training and development within the CCG
- Relevant professional training (or continuous professional training/CPD)

5.0 APPRAISAL APPEAL PROCESS

If the appraisee is unhappy with the outcome of their appraisal they should discuss this with the appraiser in the first instance. If this meeting does not resolve the issues the next immediate line manager should be informed. If the situation continues then the Human Resource department should be informed to assist with resolution of the issues.

6.0 PROCESS FOR MONITORING COMPLIANCE AND EFFECTIVENESS

The Policy and Procedure on Performance Appraisal will be subject to formal review every three years by the HR Department, or earlier if legislation so dictates.

Appendix 1 - Preparing for your Appraisal

Your appraisal aims to discuss the competencies, knowledge and skills you need to have to function well in your role. It looks at your training / learning needs to meet your job requirements and possible career aspirations. It is an opportunity to look at your role, workload, to look back on what you have achieved during the year and to agree where necessary areas of development for the forthcoming year and beyond.

It is recommended that you consider the questions on the self-appraisal questionnaire (below) prior to your review as this will be used as the basis for discussion in your review meeting.

Other documents you need to refer to in order to prepare for the review include:

- Previous appraisal documentation and personal development plan
- Evidence of progress and achievements
- Job description
- Mandatory training certificates

(If this is your first appraisal you may not have all of these)

Self-Appraisal Questionnaire

To what extent if any have the objectives from your last review have been achieved and what has been learned from these?
How well do you feel you perform in your role?
What have been your major successes or achievements over the last 12 months?
Are there any significant changes in carrying out your role you feel could be made to benefit the clients, staff etc or improve performance?
What do you feel you do well?
What areas for improvement in your role can you identify?
What learning and development has been undertaken during the period under review and how has this been used in practise?
What development is needed over the next twelve months to help you achieve your role objectives and to support your career development? (Record details on Personal Development Plan)

Objectives

Name:	Job Title:	Line Manager/Supervisor:	Review Date:
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Objectives (you should try to limit these to a maximum of 4)

No.	Individual/Team Objective	Target date	Success Criteria <i>How do I measure that I have achieve this</i>	A = achieved B = partly achieved C = not achieved	<u>Notes</u>
1					
2					
3					
4					

Signed: Appraisee Line Manager:.....

Indicators for measuring performance and a plan of how the objectives are to be measured should be agreed between the manager and the individual. Remember objectives should be **SMART: Specific, Measurable, Agreed, Realistic, and Time related and should reflect corporate objectives.** For those who manage staff one objective should relate to this role as managing/supporting the development of these individuals.

Copy to employee and reviewer (personal file)

PERSONAL DEVELOPMENT PLAN (PDP)

Employee Name: **Reviewer:**.....

Development Need Identified (link to objectives)	Method / Action / Intervention	Date for completion / review	Evaluation of progress	Impact on role / development?

Copy to employee and reviewer (personal file)

RECORD OF PERSONAL DEVELOPMENT REVIEW

Period under review (from and to)	Date of this review meeting	
Post-holder's Name	Post-holder's job title and pay band	
Post-holder's work base	Incremental date	
Were last year's agreed learning and development needs met? Please state YES/NO	Has a personal Development Plan been agreed for the next 12 months Please state YES/NO	
Names/Signatures – please print names clearly (Manager's Name – Authorised signatory – required to confirm entitlement to pay progression at gateway reviews only)	Post-holders Signature	Date
Reviewer's Name	Signature	Date
Manager's Name	Signature	Date

Copy to employee and reviewer (personal file)