INDIVIDUAL PERFORMANCE REVIEW (IPR/APPRaisal)

For use in: All areas of Trust
For use by: All Staff (except doctors dentists and directors)
For use for: Appraisal, Personal Development Planning (PDP) and the Knowledge and Skills Framework (KSF)

Document Owner: Executive Director of Human Resources & Communications
Status: Approved

Purpose of this Document: To provide guidance to Trust Staff and Managers on Appraisal and KSF.

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1. Introduction

1.1 The West Suffolk NHS Foundation Trust is committed to developing its employees. Investing in people enhances the skills of individual members of staff, so increasing the capability of the Trust and improving our service to patients.

1.2 The Trust recognises that every employee has a contribution to make towards the overall success of the Trust. To develop this contribution, the Trust is committed to a process of reviewing individuals’ progress, setting objectives and providing development opportunities. The IPR process will support the achievements of the Trust values, ‘Putting you First’ behavioural standards and NHS constitution pledges.

1.3 The policy therefore outlines the entitlement of employees and ensures that managers must provide the minimum entitlement.

1.4 Consultants, Associate Specialists and Specialty Doctors have a separate IPR process governed by their terms and conditions of service. Details of the IPR process can be obtained from the Postgraduate Medical Education Department (PGME). Junior doctors in long term non-training posts will receive an IPR from their Clinical Supervisor using the same process that is place for doctors in training posts - details of this process are available from the Post Graduate Medical Education Department.

1.5 This policy applies to all permanent staff and those on a fixed term contract or bank employees but not medical and dental staff or Directors. The Knowledge and Skills Framework (KSF) applies to all NHS Staff other than medical and dental staff and Directors.

2. Individual Performance Review (IPR/Appraisals) and Personal Development Planning (PDP)

Managers are responsible for the performance management of their teams and individuals. IPR/PDP provides a tool to assist in the attainment of objectives and development opportunities. Additionally, if delivered effectively, it contributes to improved staff morale and communication and encourages a sense of belonging within the Trust. Staff value feedback and have a right to constructive feedback on a regular basis. IPR/PDP should therefore be a continuous process, and not simply an annual event.

The objectives of the Trust’s IPR and PDP Policy are as follows:

2.1 To ensure the employee is clear about their role and responsibilities, and the key aims of their ward/department and the Trust. This will include discussion around the ‘Patients First’ standards(http://staff.wsha.local/AboutUs/PatientsFirstServiceStandards.aspx); the KSF outline (see IPR guidance notes appendix B); and that the mandatory training requirements for the role are in date.

2.2 To provide an opportunity to jointly review the employee’s past performance by facilitating a constructive discussion between the employee and their manager.

2.3 To jointly agree future objectives, clearly linked to departmental plans and the Trust’s corporate objectives.

2.4 To jointly review progress made against the KSF outline.

2.5 To jointly prepare a PDP to assist the employee to meet the agreed objectives, to support future performance and develop KSF outline competencies.
2.6 **Please note**, the Trust currently offers three types of IPR process and paperwork:

A. The traditional **1:1 meeting** (see appendix E & F for paperwork).

B. In addition to the **1:1 meeting**, managers may also wish to use a **360° Feedback Questionnaire** to help in the collection of evidence (please also see appendices for process and paperwork guidance). **360° Feedback Questionnaire** should **not** be used for employees on Agenda for Change (AfC) bands 1-4.

In circumstances where staff have been employed by the Trust for less than twelve months, work autonomously and or in a developing role, the **360° Feedback Questionnaire** may not be the most appropriate IPR method to use. There may be difficulties in finding appropriate colleagues to complete the questionnaire part of the IPR process.

C. In specific cases, **team IPR** may also be seen as an effective form of IPR, although individual PDP’s will still need to be provided (please seek guidance from the Workforce Information Team if you wish to pursue this aspect of IPR).

Department Managers and staff need to discuss which IPR method would be the most suitable for their particular area and staff groups.

3. **New Employees**

3.1 All new employees should be properly inducted into the Trust in accordance with the Trust’s Induction Policy. This includes both corporate and departmental induction and a three-month review meeting. There is a standard induction process contained within the Trust’s Induction policy (PP076).

3.2 During an employee’s first three months of employment, initial objectives and training/development needs should be discussed. The three month review meeting provides the opportunity to ensure that the employee is clear about their role; their KSF outline; that they have completed mandatory training; to review any initial objectives and training needs and to deal with any difficulties the new employee might be experiencing. Objectives and training/development needs should also be identified for the remainder of the appraisal year, to ensure that the individual can meet their KSF foundation gateway by their first increment.

4. **Newly promoted or employees transferring to other departments/wards**

4.1 Managers must not underestimate the importance of induction for staff promoted within or transferring into their department. Each department has specific working policies and practices, which must form part of the departmental induction. Induction provides the means to ensure that staff are aware of these and of how these may impact on their role. Managers should use the induction process as a checklist to ensure all areas covered. (Please refer to ‘Induction Management Process and Guidelines PP076’ for more information)

4.3 As staff change roles within the Trust they may be required to apply different knowledge and skills as described in their new KSF outline. Managers should identify with the individual any development needs, which arise from this change in job role, and develop/amend their PDP to meet these needs.
5. Existing employees

5.1 Employees must have the opportunity for constructive discussion about their progress and to have the opportunity to comment about their past performance, achievements, KSF outline and development experiences.

5.2 All employees must be provided with an IPR/PDP meeting on an annual basis in line with the employee’s incremental date, and ideally with an interim review discussion during the appraisal year if possible (this is regarded as best practice). It is important that future objectives and performance measures are jointly agreed and staff have an opportunity to influence these.

5.3 This meeting should compliment and support regular discussions throughout the year with the aim of enabling employees to improve their performance and continually develop their skills and potential.

5.4 Discussions about past performance, future objectives and the KSF outline will lead to the identification of training/development needs and progress made against the KSF outline; staff should be encouraged to consider interventions/actions which will help them achieve these and their longer term career aspirations, where these are compatible with service and Trust objectives.

5.5 The annual IPR/PDP meeting should be scheduled around the employee’s incremental date, to tie in with the KSF foundation and final (second) gateway progression.

6. Focus on Development

6.1 It is a key role of the manager to ensure the appropriate development of their teams, and that each member of staff has a realistic and timely development plan. Managers also have as part of their responsibility, a requirement to plan and resource development activities and for reviewing and evaluating development actions.

6.2 Some may view development simply in terms of training courses: others may feel they have passed what they consider the development stage. The Trust is keen to ensure that every employee has the opportunity to consider a wide range of development opportunities and interactions throughout their employment.

6.3 Managers are encouraged to consider different interventions and promote these to foster and encourage a culture of life-long learning. The focus should be on current and future organisational needs, although they can also include the employee’s career aspirations where these are compatible with service/Trust objectives. Development opportunities and or interactions may include the following (this is not exhaustive)

- Interactive learning using Trust facilities
- Clinical support
- Functional Skills: Numeracy, Literacy and ESOL
- Mentoring Coaching
- Work Shadowing
- Professional Conferences
- Open learning/distance learning courses
- Project Work
- Secondments to other posts/departments
- Additional responsibility
- Occupational Apprenticeship framework qualifications
- Trust IT Training
- Workshops/courses provided within the Trust
- Guided reading/reading journals/other materials
- Work rotation
- External training where this is essential
- e-learning

6.4 Employees are encouraged to take some responsibility for their own development. Whilst it is recognised that employees can expect mandatory/essential training and development to be provided by the Trust, it may also be necessary to encourage individuals to contribute
some of their own time to their personal development (please see, Study Leave Policy PP067).

6.5 The Trust is committed to equality of opportunity. The PDP is an important tool to ensure that every employee has the facility to make the most of their potential. Managers must ensure that all employees have equal access to training and development having regard for the needs of the service and available resources.

7. Links to Supervision

7.1 This Policy aims to support the arrangements currently in place for all supervision, which should be conducted in conjunction with supervision guidance for your role, profession or department.

7.2 Where supervision takes place between the post-holder and someone other than the line manager/team leader, e.g. clinical supervision, any matters discussed in a supervision meeting can be treated as confidential. However, there may be occasions when it would be beneficial to discuss these matters with the line manager/team leader and this should be with the prior agreement of the post-holder, e.g. where training needs have been identified or may provide useful evidence for the review of KSF.

8. The Process

8.1 The Trust’s IPR/PDP Scheme is documented in the attached Guidance Notes and is compulsory. Please see the Flow chart in the Guidance notes summarising the process. Additional paperwork may be added if required for professional development reasons.

8.2 The Trust’s Induction Policy must be followed for every employee. This policy requires organisational and departmental induction for all new employees and those transferring between posts within the Trust (Please see, Induction Policy PP076)

8.3 IPR/PDP for every employee is mandatory (indeed staff will find it difficult to meet KSF Dimension 2 People and Personal Development without having one); this should be a continuous process providing regular review of objectives, progress made against KSF outline, opportunity for feedback and a formal annual review meeting.

8.4 Employees must be clear about their role within the department/ward, key aims and goals of the Trust/directorate/ward/department and how this translates into departmental/ward objectives and their forthcoming personal objectives for the year ahead.

8.5 There must be an opportunity to discuss any issues or changes required in the appraisee’s job description and KSF post outline in relation to their job role.

8.6 There must be an opportunity to discuss working hours and patterns of work. This discussion must be recorded on the IPR/PDP form.

8.7 A personal development plan linked to objectives must be agreed for every employee. Some experienced and knowledgeable staff will only require statutory/mandatory\(^1\) updates and “maintenance” development; others will need more in-depth development as per their KSF. Any agreed development/training intervention must be properly assessed and the appropriate evaluation undertaken. DP must be completed for all staff, and a copy kept on the individuals personal file. It is the responsibility of the manager to ensure that the PDP must include attendance on any mandatory/essential corporate training, for example, an annual refresher.

\(^1\) Statutory/Mandatory training is identified within the Trust “Mandatory Training Matrix” which can be found on the intranet using the e-learning yellow button
8.8 It is expected that the Individual Performance Review (IPR/Appraisal) meeting should be held no later than 12 weeks before the employee’s incremental date. If there are any concerns with the employee’s performance, this allows sufficient time for the employee to improve to an acceptable level, before progressing through their next incremental point. The incremental date is usually the anniversary of joining the Trust, or the date of promotion to a higher pay band. Managers/Appraisers should check the date with the employee.

8.9 Some directorates or departments may prefer to undertake all Individual Performance Reviews at set times of the year, rather than link directly to incremental dates. This is acceptable as long as the timing of the IPR ensures that it takes place at least 12 weeks prior to the employee’s incremental date. In these circumstances, where an employee has made progress against objectives, overall performance and their KSF outline at the time of the IPR meeting, this should be acknowledged.

The manager then has two possible options:

a) Plan a further review meeting no later than 12 weeks prior to the incremental date before confirming incremental progression through the Gateway so next increment can proceed.

Or

b) Advise that incremental/gateway progression to the next point will occur, subject to the employee continuing to meet the level of performance, up to and including the period 12 weeks before their due increment date. If there are any concerns between the IPR meeting and at any time in the period leading up to the incremental date, these should be discussed and addressed informally before proceeding through the “Managing Employee Performance process” (Please see, Managing Capability Policy PP094).

A mutually agreed record of the IPR/PDP meeting, PDP, and if necessary the 360° Feedback Questionnaire results (see Guidance notes for example form) must be provided to the employee and a copy retained confidentially on the employee’s departmental personal file. Appraiser to keep a copy of the PDP, as discussed in 8.7, on the persons file.

A project will be set up to look at the feasibility of managers using ESR or Healthroster to record IPR information directly.

9. Communication of the Individual Performance Review (IPR/Appraisal) /Personal Development Planning Scheme

9.1 This policy and procedure should be issued to all supervisors and managers who have responsibility for staff appraisal. All employees will be issued with guidance notes appropriate to the IPR/PDP process used, detailing the objectives of the performance and development review process. The IPR/PDP pack is available on the Intranet.

9.2 Regular training workshops will be provided for supervisors and managers involved in reviewing staff performance. Please see the Education Prospectus (http://staff.wsha.local/Intranet/EducationProspectus/EducationProspectus.aspx) for further details.

10. Remit of Appraiser

10.1 The Trust recognises the time needed to prepare appropriately for an IPR/PDP meeting and would advise that the maximum number of employees that a manager should appraise be no more than ten. The IPR/PDP process should be cascaded down wherever possible.
10.2 The IPR/PDP form will normally be signed off by the appraiser’s manager, as the third party, unless it is agreed that this level of review is not practicable.

11. KSF Foundation Gateways and Second Gateway

11.1 An individual entering a new post will require time to develop the full set of skills and knowledge to perform all aspects of the role. It will therefore be necessary to identify the basic knowledge and skills needed to do the job from the outset (the Foundation Gateway outline) and review progress of the post holder against this at regular intervals throughout the next 12 months leading up to their increment date. This will be known as the ‘Foundation Gateway’ development review.

11.2 At the ‘Final (Second) Gateway’ the development review will focus on confirming that the individual is meeting the full demands of the post, as expressed in the full KSF outline.

11.3 To ascertain an individual’s final gateway scale position, the following departments can be contacted:

A. Workforce Team
B. Payroll provider
C. Alternatively, ask the individual and/or look at their payslip

11.4 Explanation of KSF (Knowledge Skills Framework)

The KSF is a simple framework for managers and staff to map the knowledge and skills required for a role. From this it is much easier to map basic development skills and requirements for current roles and future careers. The Department of Health have published detailed guidance on KSF which is available on the website at: www.dh.gov.uk/policyandguidance/humanresourcesandtraining/modernisingpay/agendaforchange/fs/en

Or on the Trust’s intranet → Trust information → Knowledge and Skills Framework (KSF)

KSF Outline

The KSF applies to all NHS staff other than medical and dental staff and directors.

Each job role will have a KSF outline based on a generic profile linked to AfC Payband i.e. a description of the knowledge and skills required to fulfil the role; this description is based on 6 core dimensions. There are also 24 other dimensions that can be used as required (depending on the job role). See generic profile grid below.

Job roles may vary according to task and location but the sphere of responsibility and principles will be consistent; e.g. Clerical Officer post will have the same or a very similar outline regardless of which department the post holder works in.

The KSF outline does not in any way determine Pay banding and is not linked to job evaluation. Please see an attached example KSF outline.

Gateways

Progression through the pay band is the norm, however, each pay band has 2 gateways: foundation (first), and second gateway. The gateways should be treated as ‘open’ with staff supported to progress through them unless there are performance issues that justify the line manager stopping progression through a gateway.

However, it should be noted that there should not be any surprises at the review; any issues should be raised with the individual when they occur.

The foundation gateway is always within 12 months of the individual’s appointment to the role, whether it is an external appointment or an internal move.

The second gateway is set at a fixed point towards the top of a pay band as set out in the National Agreement (see below). This is an opportunity to examine what direction the individual wishes to take in their career and how the line manager can help them achieve this. This can be discussed at any time but must be discussed at this gateway.
Pay band | Position of second gateway
---|---
Pay band 1 | Before final point
Pay bands 2 – 4 | Before first of last two points
Pay bands 5 – 7 | Before first of last three points
Pay band 8, ranges A – D | Before final point
Pay band 9 | Before final point

Each KSF outline has a sub-set outline that describes the level of performance to be achieved after one year in post; i.e. at the foundation gateway.

The second gateway reflects the point at which the individual should fully meet the KSF outline.

**Evaluation, i.e. Evidence and Examples of Work**

Evaluation of performance against the KSF Outline is undertaken through the IPR/PDP Process, which consists of an annual review and regular updates via one-to-one. Each KSF dimension level has a number of examples of application; during PDP the individual will provide examples from their work in relation to requirements of the level.

The generic profile below demonstrates the level for each KSF dimension employees require by their second or final gateway.

However it is not expected for new employees or those that have moved to a new job role to meet the full KSF outline prior to their foundation gateway (1st increment date from appointment).

Therefore each KSF outline has a sub-set outline that indicates the required level of performance to be achieved before the foundation gateway. This sub-set of the full KSF outline is not part of the generic profile but reflects the level or some indicators of the level the post holder should achieve in their first year and is set by managers in their department/directorate. See KSF outline example at the end of this appendix.

**IMPORTANT NOTE**

**KSF Post Outlines Generic Profile for final gateways**

National information supplied by managers since October 2004 demonstrates that in the majority of cases the grid below indicates the required KSF Level for each Core Dimension, for all roles in Agenda for Change pay bands 1-9. This generic profile is therefore provided on this basis as a starting point in developing KSF outlines for all posts.

It is the Manager's responsibility to identify if roles within their area require different outlines for foundation and second gateway and to adapt the generic KSF outline accordingly. Managers can adapt these generic profiles by increasing or decreasing the levels for each of the competency areas if they feel particular roles in their area do not fit the generic profile. Individual levels can be downloaded for each core dimension.
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**Specific Dimensions:** Managers may choose to continue to use these and they are available as a downloadable extract from the national KSF Framework which can be found on the Trust intranet.
12. **Deferment of Pay progression**

12.1 Employees must demonstrate achievement of their Foundation and final KSF outline, where applicable, to pass through the Foundation Gateway and/or Final Gateway. The Agenda for Change (AfC): NHS Terms and Conditions of Service Handbook (Part 2: 1.8) states, “Within each pay band there will be a number of pay points to allow pay progression in post. Employees will progress from point to point on an annual basis to the top point in their pay band, provided their performance is satisfactory and they demonstrate the agreed knowledge and skills appropriate to that part of the pay band.” It is the normal expectation of the AfC terms that staff will progress through their pay points.

12.2 Whilst it is the normal expectation that employees will progress through the pay point, AfC provides for deferment of incremental progression where the employee’s performance is not considered satisfactory. The Agenda for Change: NHS Terms and Conditions of Service Handbook (Part 2: 6.26 – 6.27) states: “Where significant weaknesses in performance in the current post have been identified, discussed and documented with the employee concerned and have not been resolved despite opportunities for appropriate training/development and support, exceptionally pay progress may be deferred at any pay point until the problems are resolved. Significant weaknesses are those which prevent an employee from continuing to apply consistently, across a recognised normal workload, the knowledge and skills specified under the KSF outline without continued supervision and support inappropriate to the post.”

13. **Difference of opinion between the employee and manager on IPR/PDP outcome**

13.1 If there is a disagreement between the employee and the appraiser about the achievement or competence at a gateway, either one has the right to seek support on an informal local basis from a third party, such as the line manager of the appraiser, a member of the HR department or a Trade Union Learning rep.

13.2 This third person may seek further information from either the appraiser and or the individual member of staff. Looking at the information from both and coming to an objective decision, which is non-discriminatory. If the informal process cannot address the problem then the individual member of staff can take their case through the Grievance procedure PP035.

14. **Monitoring Compliance with and Effectiveness of this Procedure**

14.1 The HR and Communications Directorate is responsible for monitoring the effectiveness of this procedure and will receive regular reports provided by Workforce Information on take-up of IPR’s. This procedure will be reviewed annually.

14.2 Currently ESR records all completed IPRs, and incremental dates) This information is updated upon notification of completion by managers (through a copy of the PDP paperwork being sent to Deputy Director of Workforce). A future project will be set up to look at the feasibility of managers using ESR or Healthroster to record IPR information directly.

14.3 Workforce Information is responsible for the preparation of regular non-compliance reports. This includes names of the members of staff who are not recorded as having had an IPR, thus enabling appropriate action to be taken to rectify the situation.

14.4 The Key Performance Indicator (KPI) for IPR compliance: 90% of staff to have had an IPR in the last 12 months in their current post.
14.5 Managers will be held accountable for ensuring compliance with the Trust requirement, that all staff receive an annual IPR. Failure to comply may result in disciplinary action. Where an employee refuses to participate in an annual IPR/gateway review, action may also be taken.

15. Further Advice and Support

15.1 Further advice and support is available from the Workforce Team.

16. Review of the Policy

16.1 This policy will be reviewed in consultation with the Trust Council, by the Executive Director of Workforce and Communications.

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<th>Deputy Director of Workforce (Development)</th>
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Appendix A

Individual Performance Review (IPR/Appraisal) and Personal Development Planning Guidelines

The Appraisal and PDR process is completed by agreeing a Personal Development Plan (PDP) and is based on the identification of gaps between the current knowledge and skills needed to undertake the post and that described in the KSF outline and job competencies.

Examples of application of knowledge and skills can be described verbally in the process, but it is recommended that all employees organise their evidence in some sort of portfolio.

PROCEDURE - Preparing Yourself for the Individual Performance Review (IPR/Appraisal) and the Personal Development Review Meeting

The review is a joint responsibility between the appraisee and appraiser. If the IPR and PDR meeting is to be a gateway review, the member of staff must be informed of this, either at the preceding personal development review (i.e. 12 months before the gateway review) or on appointment. Gateway reviews must take place in good time for the outcome to be relayed to the Human Resources and payroll department if necessary. The appraiser and appraisee will agree what action is needed to meet the relevant gateway and what evidence will be required to demonstrate the required levels. Progress should be measured informally during the year so that any issues or concerns can be identified and addressed. There should be no surprises!

Prior to the IPR/PDP meeting it will be necessary for both appraiser and appraisee to prepare. They must set aside protected time and space for the review to make sure that there are no interruptions.

Documentation

There are two sets of Individual Performance Review (IPR/Appraisal) documentation in use within the Trust.

Band 4 and below
Traditional ‘Self Appraisal Form’ and ‘Record of Discussion & Action Plan’

Band 5 and above
Choice of either the traditional paperwork detailed above, or the 360° questionnaire, self-assessment and appraisal form

The relevant documentation should form the basis for discussion, together with the appraisee’s KSF outline. Following the meeting, the ‘Record of Discussion Form’ should be completed. Both appraisee and appraiser should sign to say that the contents accurately reflect the review meeting, and copies should be kept by both the appraiser (to be retaining on the personal file) and the appraisee.

The following additional guidelines have also been developed to help this process.

- Good practice guidelines
- KSF Explanation
- Individual Performance Review (IPR/Appraisal) Checklist

A copy of the completed PDP page of the “Record of Discussion” should be sent to the Deputy Director of Workforce (Development).
Individual Performance Review (IPR/Appraisal)

Start here

The job-holder is

Newly appointed or newly promoted in the role

As part of induction, line manager/appraiser and appraisee to agree:
Objectives
Knowledge and skills required in the first year (within 3 months of starting)
Mandatory Training

Already in post

Interim review to take place after 6 months, use KSF foundation outline where staff groups operate a Trust preceptorship process (see Preceptorship Policy PP(231)).

Foundation gateway within 12 months of appointment, using KSF foundation outline.

Using KSF outline, annual appraisal and personal development plans (PDPs) leading to:

Second gateway review

Fully competent in the post, use full KSF outline

Ongoing continuing professional development (CPD), career development, personal development plans (PDRs)

Pay Band
Pay Band 1 Before final point
Pay Band 2-4 Before first of last 2pts
Pay Band 5-7 Before first of last 2 pts
Pay Band 8, ranges A-D Before final point
Pay Band 9 Before final point

Position of 2nd Gateway

See Appendix C

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GOOD PRACTICE GUIDELINES

Managers/appraisers should read this Good Practice Guidelines section and Checklist for Appraisers at Appendix D before conducting an IPR/PDP meeting:

Individual Performance Review (IPR)/and Personal Development

Review and Objective Setting Corporate Objectives
The IPR and PDR process will start with corporate objectives agreed by the Board and will be cascaded to the entire Organisation in order to ensure individual and corporate objectives are linked. Whilst desirable, if time scales mean corporate objectives are not available at the time of IPR this should not delay the IPR and PDR process.

Performance objectives should be SMARTER i.e.
Specific - there needs to be an explicit statement of the objective – clarity is vital.
Measurable - quantifiable and where necessary, other measures of success and progress must be used.
Attainable - the objectives should not be too easy or too few in number.
Resourced - it is important to ensure that resources (e.g. money, materials, and time) are allocated to enable the objective to be achieved.
Timely - all objectives must have time-frames for completion, with benchmarks along the way.
Evaluated and Reviewed - Objectives should be reviewed regularly throughout the IPR period and then evaluated as part of the next year’s process.

Team Performance Review and Objective Setting
Although it is important that review meetings occur on a one-to-one basis between the manager and the employee, it may be helpful in some cases to also incorporate objectives common to the entire team into individual IPR and PDP’s. Encouraging the team to review its performance, as a whole may also be beneficial. The simplest objective, which can apply to any posts is;
“to undertake the job role, as per job description and to the agreed standards.”

Job Description and Knowledge and Skills (KSF) Outline
The job description should be reviewed as part of the IPR process and any changes made (As per Trust policy). Everyone should have an up to date job description, and the review date should be noted on the top. If appropriate the KSF outline should also be reviewed.

Personal Development Planning (PDP)

Creative Learning and Development Activities
It is important to emphasise that the PDP process is not just about identifying training courses for staff. Development and learning needs can be met using a wide variety of activities, such as work shadowing, mentoring or special projects.

Other Relevant Policies of West Suffolk Hospitals NHS Trust
PDPs should only be made after due consideration of the:
- Study Leave Policy PP067 (particularly with reference to funding for training expenses and study leave)
- The Equal Opportunities Policy PP021 (in respect of fairness for access to learning and development opportunities).

MONITORING
NB If any member of staff feels this Policy has not been fairly applied to them they should refer to WSH Trusts Grievance Policy and Procedure. The Organisation will monitor the take-up of grievances against the IPR/PDP process and take appropriate action if required.
CHECKLIST FOR APPRAISER (MANAGER / TEAM LEADER)
CONDUCTING A 1:1 PERSONAL DEVELOPMENT REVIEW

Arrange a date, time and place with the employee, giving plenty of prior notice (usually at least two weeks) and explain the process to the employee. Issue the Self Appraisal Form.

Obtain the necessary documentation:
- Current job description
- KSF job outline
- Last objectives set
- Take Record of Discussion and Action Plan Form
- Information relevant to setting next year's objectives
- Your own objectives

Complete own copy of Self Appraisal Form for Appraisee.
- Review job description and KSF outline
- Review performance against objectives
- Consider the effect of work environment
- Consider Trust's aims and future plans
- Set clear objectives
- Consider what the development needs are for the coming year (working to KSF outline)

Prepare the environment:
- Private room
- Divert telephone
- Arrange for no interruptions.
- Make appropriate seating arrangements (informal if possible)
- Ensure you have the appropriate documentation

At the review:
- Explain the purpose and process
- Ask the appraisee to give their views first (self appraisal)
- Start with strengths in performance
- Review evidence provided by the appraisee
- Be helpful and forward looking where there are weaknesses
- Actively listen and communicate non-verbally
- Ask open and probing questions
- Discuss working arrangements and flexible working opportunities
- Summarise and check agreement and understanding
- Remember that this is a development review
- Summarise key points
- Advise appraisee of process for completing and signing the forms

Following the review:
- Ensure agreements and actions from the meeting are written up within 5 working days of review
- Pass to appraisee for their comments within 15 working days. Send a copy of the PDP to Deputy Director of Workforce as discussed in section 8.7.
- Arrange a follow up meeting if required
- Make dates in diary for the interim reviews (if appropriate)
- Ensure that those responsible take action as identified on the PDP

Ongoing development activity:
- Talk to employee both informally and formally about performance and development on an ongoing basis
- Ensure training and development are a regular team meeting agenda item
- Regularly review learning activities and evaluate their effectiveness
- Encourage the employee’s self-development wherever possible
- Give praise when it is due and constructive feedback as required

REMEMBER THAT AS A MANAGER/TEAM LEADER IT IS YOUR ROLE TO DEVELOP AND MOTIVATE YOUR STAFF
Is the employee performing as expected in all areas of the KSF outline and in line with the Trust’s Seven Ambitions?

(Refer to intranet for KSF descriptions for the appropriate Agenda for Change band (http://staff.wsha.local/Intranet/Documents/A-D/AppraisalAndKSFDocuments/AppraisalAndKSFForms.aspx) – please contact HR if you are unable to access the intranet)

<p>| Communication: Effectively communicating the needs and requirements of patients, carers, staff and others to provide excellent care and service. Effective communication is a two way process. It involves identifying what others are communicating and the development of effective relationships as well as one’s own communication skills. |
| Personal and People Development: Developing oneself using a variety of means and contributing to the development of others during on-going work activities. This might be through structured approaches (e.g. appraisal and development review, mentoring, professional/clinical supervision) and/or informal and ad hoc methods (such as enabling people to solve arising problems and appropriate delegation). |
| Health, Safety &amp; Security: Maintaining and promoting the health, safety and security of everyone in the organisation or anyone who comes into contact with it either directly or through the actions of the organisation. It includes tasks that are undertaken as a routine part of one’s work such as moving and handling |
| Service Improvement: Improving services in the interests of the users of those services and the public as a whole. The services might be services for the public (patients, clients and carers) or services that support the smooth running of the organisation (such as finance, estates). The services might be single or multi-agency and uni or multi-professional. Improvements may be small scale, relating to specific aspects of a service or programme, or may be on a larger scale, affecting the whole of an organisation or service. |
| Quality: Maintaining high quality in all areas of work and practice, including the important aspect of effective team working. Quality can be supported using a range of different approaches including codes of conduct and practice, evidence-based practice, guidelines, legislation, protocols, procedures, policies, standards and systems. This dimension supports the governance function in organisations – clinical, corporate, financial, information, staff etc. |
| Equality and diversity: It is the responsibility of every person to act in ways that support equality and diversity. Equality and diversity is related to the actions and responsibilities of everyone – users of services including patients, clients and carers; work colleagues; employees, people in other organisations; the public in general. |</p>
<table>
<thead>
<tr>
<th>KEY DISCUSSION POINTS</th>
<th>NOTES</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Job Description</strong></td>
<td></td>
</tr>
<tr>
<td>Have there been any significant changes?</td>
<td></td>
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<tr>
<td><strong>Previous Objectives</strong></td>
<td></td>
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<tr>
<td>Were previous objectives met?</td>
<td></td>
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<tr>
<td><strong>Factors hindering achievements (If any) since last appraisal / performance review meeting</strong></td>
<td></td>
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<tr>
<td>How can any issues be resolved?</td>
<td></td>
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<tr>
<td><strong>Key achievements since last appraisal / performance review meeting:</strong></td>
<td></td>
</tr>
<tr>
<td>Details of any areas ticked as “exceeds expectations” should be recorded here:</td>
<td></td>
</tr>
<tr>
<td><strong>Training / Development opportunities since last appraisal / performance review meeting:</strong></td>
<td></td>
</tr>
<tr>
<td>Does the employee require any additional training/development?</td>
<td></td>
</tr>
<tr>
<td><strong>Areas for improvement (if applicable):</strong></td>
<td></td>
</tr>
<tr>
<td>Details of areas ticked as “improvement required” on the previous page should be recorded here:</td>
<td></td>
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<tr>
<td><strong>Summary of overall work performance / Any other comments:</strong></td>
<td></td>
</tr>
</tbody>
</table>
**DEPARTMENT OBJECTIVES**

Discuss the overall department objectives:

<table>
<thead>
<tr>
<th>Employee's SMART Objectives (These should be linked to the Department Objectives) (SMART- Specific, Measurable, Achievable, Realistic, Time-frame)</th>
<th>Development Needs (Linked to KSF)</th>
<th>Timeframe</th>
</tr>
</thead>
<tbody>
<tr>
<td>Objective 1</td>
<td>To undertake job role as per job description and to agreed standards</td>
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<tr>
<td>Objective 2</td>
<td></td>
<td></td>
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<td>Objective 3</td>
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<td>Objective 4</td>
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<td>Objective 5</td>
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<td>Objective 6</td>
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<td>Objective 7 (please add further objectives as necessary)</td>
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<tr>
<td><strong>Mandatory Training</strong></td>
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</tbody>
</table>

Detail areas which need to be completed during the review period:
### Additional support:

Does the employee require any further support to achieve the objectives listed above?

Is Health & Wellbeing Support required (i.e. Occupational Health, Care First or Physiotherapy)?

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This document should represent a true reflection of the discussion and agreement reached during the meeting and should be signed as confirmation by the following staff:

<table>
<thead>
<tr>
<th>Employee Name:</th>
<th>Job Title:</th>
<th>Date Signed:</th>
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<tr>
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<table>
<thead>
<tr>
<th>Employee Signature:</th>
<th>Department:</th>
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<thead>
<tr>
<th>Appraiser / Line Manager Name:</th>
<th>Job Title:</th>
<th>Date Signed:</th>
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<tr>
<th>Departmental / Service Manager's Name: (if applicable)</th>
<th>Job Title:</th>
<th>Date Signed:</th>
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<table>
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<tr>
<th>Departmental / Service Manager’s Signature: (if applicable)</th>
<th>Department:</th>
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Once this form has been fully completed and signed, please email workforce.information@wsh.nhs.uk confirming name of employee, date appraisal / IPR completed and name of the reviewer. You do not need to send a copy of the form to Workforce Information at this stage.

An audit on completed appraisals / IPR’s will be conducted by the Workforce Team on an annual basis; you will be required to provide copies of appraisal / IPR documentation for a random % of your team therefore these must be stored securely.
## Employee’s Individual Performance Review (Appraisal) Preparation Form

The purpose of this Preparation Form is to help you prepare for your Individual Performance Review (IPR) meeting and to analyse your job performance over the last year. The boxes/headings are prompts to help you make notes.

Please complete as much of the form as you feel is relevant and bring the completed form to your IPR (appraisal) meeting.

<table>
<thead>
<tr>
<th>Employee name:</th>
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<table>
<thead>
<tr>
<th>Employee job title:</th>
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<tr>
<th>Department/Team:</th>
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<table>
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<tr>
<th>Are there any changes to your current job description?</th>
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<table>
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<tr>
<th>What training or development have you undertaken in the last year?</th>
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<tr>
<th>What part of your job do you feel you have done well since your last IPR? (or in the last 12 months)</th>
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</table>
What part of your job do you think you could have done better/differently? (Why?)

What would you like to achieve over the next 12 months?

What development/training will you need to achieve this?

Please add any additional notes here: