



# APPRAISAL AND STAFF DEVELOPMENT POLICY

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## Glossary

Term	Description

## 1 INTRODUCTION

The appraisal scheme gives staff the opportunity to discuss their work, their progress and any future requirements such as further training that they may need. The aim is to encourage and motivate individuals to perform at their maximum potential and is seen as integral to career development.

An appraisal procedure is widely recognised as one of the most efficient methods of keeping staff interested and committed to their work. It is also an excellent forum for two-way communication between staff members and their managers.

The appraisal meeting should take place at least annually and is a dialogue between appraiser and appraisee. It is important that a written record of the appraisal is made, so that action by both parties is noted down for future review.

It is important to note that the appraisal and staff development meeting is not used in any way as part of the disciplinary process. The aim of the meeting is to discuss continued progress of the appraisee and explore any problems encountered in their work that are causing concern or hinder achievement of objectives. The appraisal meeting is a dialogue between manager and staff member about achievement of objectives and continued career development aspirations.

The appraisal meeting should be supplementary to ongoing discussions and meetings between appraiser and appraisee. Problems and issues should be discussed as they arise on a day-to-day basis and not left until the annual appraisal meeting.

## 2 BENEFITS OF APPRAISAL

### For the appraisee:

- ✓ To find out how he/she is performing
- ✓ To have an opportunity to discuss work issues in detail
- ✓ To receive and give feedback
- ✓ To discuss ways to improve service provision
- ✓ To discuss opportunities for further training/career development

### For the appraiser:

- ✓ To gain a closer and more detailed knowledge of individual staff
- ✓ To discover areas of confusion or overlap in jobs
- ✓ To uncover future potential and opportunities for skill enhancement
- ✓ To pinpoint areas of priority for training and development
- ✓ A formal opportunity to praise and motivate staff member through positive feedback

### For the organisation:

- ✓ Creating closer working between staff and management
- ✓ Maximising opportunities to benefit from individual potential and aspirations
- ✓ Developing a motivated workforce who are clear about their duties and recognise their individual contribution to the organisation

### 3 APPRAISERS PREPARATION

A summary checklist form is available to help you. There is a series of forms including a preparation form, record of the appraisal meeting, objectives and personal development plan that all form part of the appraisal system.

When a manager is preparing to appraise a member of their team they should consider in advance:

- What was agreed at the last appraisal (if applicable)? Check the record. Does the appraisee have a copy?
- What criteria you assess the appraisee's performance against. Areas from the job description? Agreed objectives? Defined competencies?
- The appraisee's strengths and areas for improvement. What is your evidence?
- The appraisee's work over the appraisal period (not just last week). What has gone well? What has gone less well? Why?
- Any significant changes in the appraisee's job. Check the job description.
- Any factors which made the appraisee's job harder over the past appraisal period (Resources? Support from others? Working relationships? Unforeseen crises? Policy? Etc).
- Possible further training and development needs. How will you meet these? (Don't just think about training courses)
- Arrangements for the discussion (privacy, appropriate venue, adequate time, paperwork, sufficient notice for the appraisee to prepare).

### 4 APPRAISEE'S PREPARATION CHECKLIST

A summary checklist form is available to help you

#### The past

- **Your previous appraisal (if applicable)** – Ensure you have a copy of the notes from your previous appraisal. What did you agree at that discussion?
- **Your performance** – Make sure you think about this over the entire appraisal period (not just last week). What has gone well? Why? What has gone less well? Why?
- **Your job** – Have there been significant changes? Check your job description.
- **Difficulties** – Are there any factors which made your job harder over the past appraisal period (Resources? Unforeseen crises? Policy? etc).

#### The present

- **Strengths and areas for improvement, likes and dislikes** – What do you think you are best at? Least good at? What do you like most about your job? What do you dislike most?
- **Issues** – What are the most important issues you want to raise with your manager at your appraisal?

#### The Future

- **Training and Development** – What further training and development would you like?
- **The next appraisal period** – What do you want to achieve in the next appraisal period and do you want to discuss your career this with your manager? If so, what do you want to say?

## 5 THE APPRAISAL PROCEDURE

All staff with 6 months service or more are entitled to receive an appraisal and it is the responsibility of their line manager to ensure this happens at least once a year. The manager with whom their personal objectives were originally agreed will appraise each individual.

Appraisal meetings should take place on at least a yearly basis although the length of time between interviews is at the discretion of the line manager. It is good practice for regular meetings to occur within that period to discuss progress against agreed objectives.

The employee should be given 2 weeks notice so that he/she can prepare in advance.

At the meeting, the appraiser will confirm the employee's details and job description

- ✓ Review progress against objectives during the past year.
- ✓ Discuss problems that have impacted on the appraisee's ability to achieve objectives.
- ✓ Give an opportunity for feedback from the appraisee about the level of support required from their line manager.
- ✓ Agree a performance plan within their current job description for the next year, including specific objectives.
- ✓ Give an opportunity for the employee to discuss his/her future ambitions, training needs and personal development.

The achievement of objectives will be judged by agreed standards laid down by the member of staff and the manager immediately following the meeting, the appraiser will complete an appraisal form noting the comments of both appraisee and appraiser. It is a useful exercise to get short-term action into a framework of longer-term development so that plans can be made for the appropriate personal career development to take place.

The staff member will be given the opportunity to read and amend the form and when he/she agrees that it is a correct record of the meeting will sign and return it to the appraiser. It will then be forwarded to the next line of management for signature and passed to the Human Resources department so that the appraisal form can be added to the appraisee's personal file.

If a member of staff is unhappy, or felt unfairly treated, he/she has the right of appeal to the appraiser's manager. These matters may be taken up formally under the Grievance Procedure.

## 6 SELF-ASSESSMENT

The full appraisal process and documentation may not be too onerous for staff working few hours (zero-hour or bank contracts). In this case a Self-assessment form should be completed in accordance with the same principles of the full process. Staff completing self-assessment will be given the option to meet with their line-manager to discuss any matters regarding development or advancement. The Self-assessment will be reviewed by the line manager who will confirm agreement of the self-assessment or set up a meeting with the individual to discuss any concerns. HR will monitor the self-assessments to identify and trends and inconsistencies.

## 7 CONFIDENTIALITY

The appraisal form is confidential and should be handled as such. Only those authorised to read an appraisal form should have access to the files, therefore they should be kept safely.

The appraiser is responsible for ensuring the appraisal interview is conducted in a private room, free from interruptions and distractions.

It is the responsibility of the line manager to note any general issues arising from the appraisal interview (e.g. future personal training and development needs).

Staff should be assured that appraisal interviews are conducted in complete confidence and that the details of the discussion will not be discussed with any unauthorised person.

## 8 SUGGESTED AREAS FOR DISCUSSION

Please add your own ideas but consideration **must** be given to objectives 1, 2 and 3.

1. **How have you contributed to the overall success of your team?**
2. **How has your performance enhanced the financial performance of Badger?**
3. **How has your work contributed to the quality of patient care?**
4. **To what extent do you think you have achieved the objectives in your job description and those set at the last appraisal – (unless this is your first appraisal)**
5. **Briefly describe how you have maintained and improved your technical or professional knowledge and competencies?**
6. **Which aspect of your work have you performed best or what is your biggest achievement?**
7. **What aspect of your work has improved most since the last appraisal or since you commenced the post?**
8. **Which aspect of your work do you think needs reviewing for improvement?**

## 9 DEVELOPMENT TRAINING

List training/courses attended since last appraisal or since commencement in post. How effective was the training?

Were any other training needs identified at the last appraisal, which have not been met?

What training (internal or external courses) or development (experience of different activities) do you feel might be of benefit to you over the next 6 months?

Training/Development

Expected Benefits

Briefly summarise how you have assisted in creating a team environment in your area.

## 10 IDEAS FOR EVALUATION OF YOUR ROLE

Which aspect of your role gives you most satisfaction and why?

Which aspects of your role cause you frustration or stress, please explain why?

Are there any aspects of your role that you would like to be reviewed?

Are there any issues regarding your future that you would like to discuss?

In relation to your performance, what more do you feel could be done to help you carry out your job more effectively by:

a) Yourself

b) Your manager

c) Others

## 11 PERFORMANCE APPRAISAL GUIDANCE FOR MANAGERS

The Appraisal meeting

### Step 1 – Opening

#### State purpose of interview

Give outline of structure

Make it clear it is a two-way conversation

### Step 2 – The appraisee

#### Listen carefully to the appraisee

Ask open and probing questions to clarify points

Periodically summarise what appraisee has said to test your understanding

### Step 3 – Discuss your views of appraisee's performance

Review performance systematically – use facts that can be substantiated

Praise employee where appropriate

Point out areas for improvement – the performance not the person – analyse and discuss

### Step 4 – Agree a plan of action

How to achieve any improvements – set objectives / training requirements

How to use the appraisee's strengths in the future

How the person sees his/her development

Complete personal development plan

## 12 AGREEING KEY OBJECTIVES AND WRITING OBJECTIVES

Defining objectives, which are closely linked with the aims, targets, and goals of the organisation remind us of where we are going and what we are here to achieve. They also provide a means of monitoring and measuring the performance of individuals and teams.

They are useful for all aspects of the individuals job and can include development as well as performance objectives.

A useful way of ensuring that objectives set will be effective is to check that they are based on the SMART acronym.

**Specific** – is the objective clear and unambiguous?

**Measurable** – does it identify clear success criteria, i.e. how will you know when it has been achieved?

**Appropriate** – is the objective right for the organisation and the individual/team concerned?

**Realistic and challenging** – is it achievable as well as being challenging?

**Time-bound** – is there a deadline/specific review date?

To manage the objectives you need to have a clear idea of where you want to be, and how you are going to get there. Planning can be short, medium or long term, but three main areas must be considered: Objectives, Implementation and Evaluation.

Each statement should deal with a single specific task. Use only acceptable terminology, which is familiar to the people concerned. Do not include any phrases that have to do with the knowledge needed to perform the task; focus on the skill.

An action plan is a condensed version of the above process and should include what is to be achieved, when it will be achieved, what resources will be needed, how it will happen and how you will know it has been successful.

An overview of the process:

1. Preparation
2. Initial meeting to set and agree objectives
3. Implementing the plan
4. Regular feedback
5. Annual appraisal

### 13 PERSONAL DEVELOPMENT PLANS

Everyone in Badger should have a Personal Development Plan (PDP). This should assist staff to continually improve performance in their current role or to prepare them for a different role in the future.

Appraisees have the opportunity to take ownership of their career development by expressing short, medium or long term career aspirations and to plan work and training accordingly.

Personal Development Plans are not an abdication of responsibility for training and development by the organisation, they are to help identify needs, create development opportunities, and assist individuals learn from their experiences.

### 14 USES AND BENEFITS

Encourages ownership for training and development by the employee.

Reinforces training and development as a line responsibility, not a training department or Human Resources responsibility.

Makes the prospect of training ongoing and relevant.

Encourages innovation of training – more flexibility on time and where and how training can be carried out.

Matches training and development needs of the organisation.

Individuals can measure their own performance.

Develop line manager skills in coaching and mentoring

Continual ongoing process – encouraging growth of potential from within.

Assists with ongoing workforce planning/succession planning

**Organisations need people who are flexible and willing and able to learn new skills. Personal development is about identifying those skills and finding timely and cost effective ways to acquire them.**