

APPRAISAL GUIDANCE



1. INTRODUCTION

Appraisals are an integral component of staff support and professional development.

Every employee at Humber should benefit from a high-quality development conversation, in which they create a plan of career progression, performance improvements, learning, development and training and set clear objectives.

Along with the opportunity to feedback on performance, staff should use the appraisal as an opportunity to set out their career aspirations at Humber. The annual appraisal is an opportunity to formally recognise our people, their efforts and in order to impact on the quality of service delivery that affects outcomes for our patients and service users.

Although supervision and communication should be regularly occurring between staff and managers, appraisals offer a formal setting to have an open conversation regarding career aspirations and expectations in the working environment.

The below provides further detail on how to complete each section of the appraisal.

Appraisals should be used as productive mechanism to initiate conversations that day-to-day workloads can often prevent.

2. SUPPORTING DOCUMENTS / USEFUL LINKS

Supporting Documents:

- Previous appraisals
- Behavioural Standards

Useful Links:

- [Appraisal Policy](#)
- [Apprenticeships \(humber.nhs.uk\)](#)
- [Flexible Working Policy \(humber.nhs.uk\)](#)
- [Trust Benefits \(humber.nhs.uk\)](#)
- [Occupational Health \(humber.nhs.uk\)](#)
- [How to Enter an Appraisal in ESR Self Service.pdf \(humber.nhs.uk\)](#)

3. PERSONAL DETAILS

Appraisee/Appraiser Name:

Although it may seem like a basic requirement, it is important that employee's full names are used, and nicknames are not. If managers change or a staff member moves departments, it could cause unnecessary confusion.

ESR Details:

It is essential that employees ensure their information is accurate on ESR. This is a good opportunity to ensure that personal and address details particularly are up to date. Equality, Diversity and Inclusion data should also be updated however this can be completed outside of the appraisal meeting and independently by the individual.

4. ACHIEVEMENTS/STRENGTHS

Key Achievements:

Highlighting an employee's achievements over the previous 12 months is a good way to feedback formally on the work they have produced and to celebrate their achievements and successes. During busy periods, staff may often forget the good work they have carried out, and therefore using appraisals is an opportunity to highlight achievements and show appreciation.

Key Strengths and Demonstration of Trust Behaviour Standards:

The Behavioural Standards are a fundamental tool developed by the organisation to reinforce the expected behaviours of everyone employed in the organisation. Taking an opportunity to discuss behaviours good and bad and reflecting on the organisations standards is a key tool in embedding the standards and raising the profile of expected behaviours.

Review of Last Year's Objectives:

It is essential to have the employee's previous appraisal to hand during the meeting to reflect upon progress against last year's objectives. An assessment will need to be carried out as to whether objectives were achieved, partially met or not met and any mitigation that may have impacted the employees ability to meet the objectives that were set.

5. BARRIERS TO ACHIEVEMENTS/THINGS THAT HAVE BEEN CHALLENGING/AREAS FOR DEVELOPMENT

Objectives set should be reasonably achievable given an assessment of the employee's role, responsibilities and the environment they work within, however challenges may present that may result in objectives not being met. Non achievement of objectives may be mitigated by a number of factors within the workplace and therefore it is worthwhile assessing why certain objectives were not met, particularly if the reason was unavoidable.

Employees should be given an opportunity to discuss their development needs and requirements as part of a supportive development conversation. Managers should give some prior thought to development that may benefit the employee and give consideration to internal programmes such as the Humber High Potential Development Scheme, Leadership programmes and Coaching and Mentoring etc, to support the employee to develop and meet their own career aims.

6. TRAINING/DEVELOPMENT UNDERTAKEN AND EVALUATION

Mandatory/Specialist Training

Whilst review and monitoring of training compliance should be ongoing, the appraisal is a good opportunity to review compliance levels and to agree with the employee the time and space to complete any outstanding statutory and mandatory training in line with organisational standards.

Those not compliant, with no exceptional circumstances or timescales for completion may have their pay progression withheld.

7. CAREER ASPIRATIONS

Some people have a specific goal in mind regarding their career progression, whereas some want to progress but have no fixed agenda. Appraisals are a useful tool in facilitating conversations between employee and manager and to look at options for progressing, even if the staff member does not have a fixed plan in mind.

The appraisal should be used as a platform to discuss how the employee can achieve their goals.

There is no expectation for a manager to accommodate every development request they are presented with, however reasonable consideration should be given to requests, taking into account team dynamics, environment and demands and a formal follow up should be arranged with the employee on the outcome and rationale for the decision.

8. FUTURE TRAINING AND DEVELOPMENT NEEDS

There are a number of internal programmes intended to develop staff across the organisation, such as the Humber High Potential Development Scheme, Leadership Development Programmes etc.

Apprenticeships should be considered when debating a course that may assist a person to development, contact the Trust L&D Team for further information.

9. FUTURE PERFORMANCE OBJECTIVE SETTING

The manager should assess the wider team and department as they consider suitable objectives for each team member. The setting of objectives should be agreed collaboratively and should include realistic deadlines.

Using the SMART method, managers should discuss with the staff member what tools they may need to achieve the objectives, for example are there any courses they may need, do they need to shadow a senior member of staff, will they need to carry out research etc.

10. HEALTH AND WELLBEING

The Trust has introduced a number of measures over the last 12 months to ensure staff are fit and healthy and have a positive work life balance.

Having a conversation with the employee about how they are is a means to make the employee feel valued and recognised and provides a platform to discuss any issues that may be impacting overall health and wellbeing which may be supported or resolved by the manager, particularly where issues are related to work.

Things to consider to support health and wellbeing:

- Flexible Working opportunities may support an employee to achieve a healthy work/life balance.
- Does the employee suffer with MSK issue – would they benefit from a review and new equipment?
- Does the employee require referral to psychological services or OH to support their health and wellbeing?

The Trust has a broad offering of staff benefits, NHS discounts, occupational health support and procedures to improve working life for staff. During the appraisal it is worthwhile exploring these with the employee and encouraging staff members to read newsletters and bulletins for updated information going forward.

11. REVALIDATION, PROFESSIONAL BODY'S REGISTRATION REQUIREMENTS, HCPC REQUIREMENTS AND DBS

If an employee is currently progressing with a qualification or course, explore their progress and understand if they require any additional support or practical experience. All details of their progression should be noted on the appraisal document for reference next year.

If a DBS is a requirement of the role, ensuring staff are compliant should be checked during the appraisal. If their DBS has expired, the staff member must contact the W&OD Transactional Team to update.

12. OVERALL COMMENTS

Both the appraiser and appraisee should add comments to the document, for discussion at the meeting. This gives the manager an opportunity to thank the staff member for their hard work and dedication over the last 12 months, list the highlights, and the plan for the next 12 months. Any support required or issues should also be summarised in this section along with any actions to resolve.

13. FREQUENTLY ASKED QUESTIONS

Q. If someone moves into a new team within the Trust, are we expected to use past appraisals to inform new ones, even if the job role is different?

A. An employees previous appraisal should be reviewed as part of the process, however it may be the case that previous objectives cannot be assessed in this instance and new more realistic objectives set that relate to the new role. Similarly, development should be reviewed but may have changed.

Q. A lot of my staff feel this is a tick box exercise.

A. An effective employee appraisal provides an opportunity to give feedback as well as receive it. The staff member receives important information as to what areas of the job they are performing well in and those that need improvement.

It is also an opportunity for the employee to feedback to their manager regarding improvements for their department and working environment.

Guidance is provided to ensure both managers and staff gain the most out of the appraisal.

Q. I find addressing development really difficult. Is there guidance for this?

A. Development for all staff is important as it allows them to enhance their current skills and enhance any areas for improvement. Therefore, this helps for staff to be more all rounded and better at every element of their job.

We have a dedicated Learning and Development Team who are able to look at developmental options for staff, book courses or support you with apprenticeships. It is for you as a manager to gain trust and confidence with your staff, so they discuss their aspirations with you, and you create a plan of how to get there.

Q. Is it inappropriate to discuss somebody's sickness absence with them in an appraisal meeting?

A. Yes – although it may be tempting to raise this as it may be a factor in certain parts of the discussion, any issues regarding sickness or conduct should be raised at the time and through the relevant procedure. Sickness absence however may be a part of the health and wellbeing discussion but must be a reciprocal and supportive conversation.

13. FREQUENTLY ASKED QUESTIONS (CONT)

Q. Why do I need to be specific in setting objectives?

A. To ensure that an objective is realistic and for both the manager and employee to understand the same objective, clarity is essential when setting objectives including agreeing deadlines and timeframes. Always use the SMART approach:

- Specific
- Measurable
- Attainable
- Relevant
- Timely

Q. Can a staff member bring a trade union rep/workplace colleague with them for their appraisal?

A. There is no need for a staff member to be accompanied during an appraisal meeting, unless there are medical reasons, or an interpreter is required.

Q. The staff member has been with us for less than a year so doesn't have a previous appraisal to go off, do I use their probationary documentation?

A. Yes – although the details may be slightly different, aims and objectives were set within the probationary period which can be assessed.