



**APPRAISAL POLICY AND PROCEDURE 2021**

|  |  |
| --- | --- |
| **Document Reference** | **FSUHR011** |

|  |  |
| --- | --- |
| **POLICY DOCUMENT – VERSION CONTROL SHEET** | |
| **Document Title** | Appraisal Policy and Procedure 2021 V1 |
| **Document reference** | FSUHR011 |
| **Supersedes** | N/A |
| **Originator/Author** | Regional Policy Development Forum (FSU) |
| **Ratified by Board** | June 2021 |
| **Circulated** | 01/12/2021 |
| **Review date** | 01/12/2022 |

**Appraisal**

**Policy and Procedure 2021**

**Contents**

[**1. Introduction** 5](#_Toc70411658)

[**2. Principles** 5](#_Toc70411659)

[**3. Purpose & Aim** 5](#_Toc70411660)

[**4. Roles & Responsibilities** 6](#_Toc70411661)

[**5. The Appraisal Cycle** 7](#_Toc70411662)

[**6. The Appraisal Process – A guide to each stage of the appraisal cycle** 7](#_Toc70411663)

[**7. New members of staff** 11](#_Toc70411664)

[**8. Staff on Secondment** 11](#_Toc70411665)

[**9. Changes in Reporting Lines** 12](#_Toc70411666)

[**10. Staff on Long Term Absence** 12](#_Toc70411667)

[**11. Appeals/Disagreements** 12](#_Toc70411668)

[**12. Equality Statement** 12](#_Toc70411669)

[**13. Data Protection / GDPR** 12](#_Toc70411670)

[**Appendix A- Performance appraisal and development review form** 13](#_Toc70411671)

[**Appendix B- Performance appraisal and development Interim review form** 19](#_Toc70411672)

### **1. Introduction**

The GP Federation / FSU is committed to organisational improvement, through organisational, team and personal development. This means that all staff need to continually develop their skills and expertise so that they are able to carry out their role efficiently and effectively and fully contribute to the success of the GP Federation / FSU.

This Appraisal Policy and Procedure provides a framework to maximise the effectiveness and

potential of each employee so that the GP Federation / FSU successfully achieves its objectives. The framework also helps to establish objectives for all staff ensuring links to team/service objectives and ensure the right support, tools and mechanisms are in place to achieve the objectives.

### **2. Principles**

This policy and procedure applies to all employees of the GP Federation / FSU and must be applied fairly and consistently in accordance with the GP Federation / FSU ’s commitment to equality and diversity.

Each individual employee should have appraisal meetings scheduled to review and complete the last year’s objectives and development actions and start setting objectives for the following financial year.

To be effective, it is essential that the appraisal process is interactive and jointly owned by each employee and their line manager. Line managers and employees will hold 1:1s on a regular basis to

discuss performance and development.

The appraisal process supports the identification of effective and meaningful learning and

development needs to enable employees to develop their skills and fulfil more of their potential to

deliver more effectively in their current and future roles. The process will result in a robust Personal Development Plan (PDP) which can be monitored throughout the year.

Appraisals provide a structure for the ongoing assessment of performance against agreed tasks and

development based objectives.

### **3. Purpose & Aim**

This policy and procedure is designed to ensure that all staff:

* Have the opportunity to formally discuss their performance and development needs with

their line manager/Lead

* Understand their role and responsibilities, what is expected of them and how they contribute to the performance of the GP Federation / FSU
* To look back and review what has been accomplished in line with the objectives that were set during the previous appraisal cycle.
* To look forward to what needs to be accomplished during the coming year and agree objectives accordingly.
* Discuss and identify support, learning & development activities that may help meet objectives and record this on the Performance Development Plan (PDP)
* Discuss career aspirations and plans.

### **4. Roles & Responsibilities**

**Leads/Line Managers**

Leads and Line managers are responsible for:

* Ensuring this policy is applied to all staff accountable to them for annual appraisals. It is the

responsibility of the manager to ensure that they complete the GP Federation / FSU appraisal process, including completing the relevant documentation.

* Conducting an objective review of the individual’s work based on feedback, examples and

previous informal discussions.

* Recording employee’s objectives, appraisals, development discussions and one-to-ones.
* Ensuring that when performance falls below the accepted levels it is managed effectively in

line with the GP Federation / FSU Capability Policy and that appropriate support is provided to address the concerns.

* Conducting appraisals/development reviews in line with the appraisal cycle.
* Ensuring they have the appropriate knowledge and skills to correctly apply this policy.

**Employees**

Employees are responsible for:

* Actively participating in the annual appraisal process and jointly agree and work towards their objectives, including completing the relevant documentation.
* Making their line manager aware of any organisational constraints that are preventing them from achieving their objectives.
* Completing learning and development activities to meet the agreed objectives with the

support of the line manager

* Ensuring behaviours and conduct are in line with the GP Federation / FSU ’s values.

**Practices**

Designated staff within Practices where Federation staff are based are responsible for:

* Providing timely feedback on staff performance and any developmental needs identified as relevant, to the employee’s Lead/line manager to input into the appraisal process.

**Human Resources (HR)**

HR are responsible for:

* Monitoring appraisal completion across the GP Federation / FSU
* Reporting on appraisal compliance across the GP Federation / FSU
* Undertaking a Training Needs Analysis to capture generic learning needs across the GP Federation / FSU
* Providing support and advice to managers and staff on the implementation of the policy, identification, and meeting of needs and, where possible, information about courses and

training resources

* Providing training to all staff about this policy.

### **5. The Appraisal Cycle**

The appraisal cycle is defined as being a 12-month rolling period. From April each year, objectives will be reviewed for all staff to ensure alignment to GP Federation / FSU, organisational and individual goals.

**Diagram 1- The Annual Appraisal Cycle**



### **6. The Appraisal Process – A guide to each stage of the appraisal cycle**

This section provides guidance on each of the areas outlined in the above appraisal cycle.

**The Appraisal Meeting – April/May**

The purpose of this meeting is for the Lead/line manager and member of staff to discuss the following areas:

* To look back and review what has been accomplished in line with the objectives that were set during the previous appraisal cycle.
* To look forward to what needs to be accomplished during the coming year and agree objectives accordingly.
* Discuss and identify support, learning & development activities that may help the member of staff meet their objectives and record this on the Performance Development Plan (PDP)
* Discuss member of staffs’ career aspirations and plans.
* Set a review date for the mid appraisal review.

**End of year review**

This part of the meeting should focus on reviewing the staff member’s full year performance against

the objectives that were set at the start of the year. The personal development plan should also be discussed and reviewed to identify the learning needs that have been met and the impact the learning and development has had on the appraisee’s performance. The Appraisal Review Form should be used to record this meeting or for GPP staff, the SMART system should be used.

**Setting Objectives**

This part of the meeting will focus on the objectives and development plans for the year ahead. The

Appraisal Form **(See Appendix A)** – Setting Objectives/SMART should be used to record this part of the meeting.

**How to set objectives**

Objective setting involves a two-way discussion between the Lead/manager and the employee. It is reasonable to set a minimum of 3 and maximum of 5 objectives which must be specific to the role, focusing on the key deliverables, as well as the competencies required, relevant to the employees pay banding. Agreed objectives must be Specific, Measurable, Achievable, Relevant, Time bound (SMART) to enable managers and employees to monitor progress against the objectives. For example:

|  |  |
| --- | --- |
| **SMART** | **Not SMART** |
| Prepare an options paper as to where services should be located with recommendations within one month | Consider where services should be located. |
| Produce minutes of meetings within 3 days of the meeting taking place after meetings. | Produce minutes of meetings as soon as possible. |
| Return calls within one working day. | Return calls as soon as possible. |

Objectives should wherever possible be agreed by the manager and employee. However, if an employee disagrees with an objective, a manager can set the objective (s) if they consider it to be reasonable to do so because it is in line with the employees’ job description.

**Personal Development Plan**

All employees are required to have a personal development plan setting out their learning and development needs, how the needs will be measured and what will be achieved to support continuous improvement, development, and career planning. The GP Federation/FSU encourages the learning and development of all employees in the knowledge and skills required to competently perform in their role, particularly when they take up a new post. A core part of the process is discussing and agreeing the supportive mechanisms that will help the achievement of the objectives throughout the year.

Performance development plans encompass learning needs that have been identified to help members of staff meet their objectives. The performance development plan should be reviewed regularly.

The completion of a personal development plan will enable managers and staff to discuss and agree the most effective way to meet the learning needs.

The appraisal form **(See Appendix A)** /SMART includes a template PDP which managers and staff can complete at the annual appraisal review and monitor progress through 121s and the mid- year review.

**Appraisal Meeting – Mid-year Review**

The mid-review meeting should take place halfway through the appraisal cycle.

The purpose of the mid-review meeting is to:

* Discuss and record progress against the objectives at the start of the year.
* Review the personal development plan to identify any further support, learning & development activities that may help the member of staff meet their objectives.
* Identify and record the successes over the previous six months.
* To look forward to what needs to be accomplished during the next six months.

During the review, it may also be an opportunity to reflect whether the objectives agreed at the start of the year remain appropriate for the team member as other organisational needs may have taken priority. This may have been highlighted in a recent one to one but can now be formalised at the interim review. At this stage, the objective may be made redundant or deprioritised due to more pressing matters and another one created in its place. If objectives have not been met, they should be recorded detailing any potential barriers on the Appraisal Form.

The Appraisal Review Form **(See Appendix B)** or SMART should be used to record this meeting.

**Recording Appraisals**

The mid/end appraisal reviews should be recorded on the Appraisal Review Form/SMART. The appraisal meeting to set objectives and performance development plans at the start of the years should be recorded on the Appraisal Form – Setting Objectives. Both forms should be signed by both the manager undertaking the appraisal and the member of staff. Completed and signed appraisal forms should be held by both the manager and member of staff. Confirmation should be sent to the HR Team that the appraisal has been carried out along with any training identified that may be addressed at Federation wide level for recording, planning, and monitoring purposes.

**Ongoing Review and Conversations**

**Communicating with staff**

Communicating effectively and regularly with staff is an important part of a Lead/ line manager’s role and helps to enhance employee engagement. A lack of communication between managers and staff can cause uncertainty amongst staff on organisational issues which can go onto to impact the ability of staff to work effectively. Effective communication can lead to:

* Better management decisions due to greater opportunity for feedback
* Better performance and higher productivity
* Lower levels of absence as staff feel more engaged.
* Greater staff retention because staff feel more valued.

**121 meetings**

Every manager should schedule in regular 1:1’s with members of their staff. The frequency of 1:1s is generally every 1- 3 months. However, the frequency of reviews should always be scheduled in-line with what is needed and therefore may increase where a specific need or circumstances have been identified.

Managers are reminded that during the first few months, new members of staff tend to require more support and so more regular 1:1’s during this initial period until the member of staff is more settled into the role.

**121’s should:**

* Be scheduled in the diary regularly.
* Have an agenda.
* Not have any interruptions
* Focus on the member of staff.
* Be noted with the key points and actions.
* Be used to discuss any support the member of staff may require.
* Provide an opportunity to discuss of key projects/tasks and objectives.
* Provide an opportunity to give feedback.
* Allow discussion on follow up from previous 121.

**No Surprises**

If Leads/managers ensure good, regular dialogue with the members of their team all year, there should be no surprises in the appraisal meeting. The discussion of past performance should be straightforward, to enable managers to focus on planning for the future year. The review is not a substitute for good management throughout the year.

**Preparation for Appraisal Meetings**

Both managers and members of staff should familiarise themselves with the appraisal process and

requirements as set out in this policy and procedure as well as guidance on the SMART system as appropriate. A Lead/ line manager may ask the member of staff to provide a summary of how they have progressed against the objectives prior to the review meeting. A few tips on preparing for the appraisal review meetings in line with the appraisal forms are highlighted below:

|  |  |
| --- | --- |
| **Employee Preparation** | **Line Manager Preparation** |
| Have I achieved my objectives this year?  What have I done particularly well?  What examples of my work demonstrate this? | Has the appraisee achieved their annual  objectives?  What has the appraisee done particularly well? What examples of their work demonstrate this? |
| What have I done that has been less successful or enjoyable this year and why?  What examples of my work demonstrate this? | What has the appraisee done that has been less  successful this year and why? What examples of their work demonstrate this? |
| What are likely to be my main objectives over the next year? | What should be the main objectives for the appraisee over the next year? |
| What are the main skill and knowledge development needs that I have? How could I fill my development gaps/learning needs? | What significant development needs does the appraisee have? How could their development gaps/learning needs best be filled? |

The appraisal form /SMART can be used by staff to review their progress against their objectives and the end of their appraisal cycle and new objectives can be added directly onto the workforce system.

Training will be made available at regular intervals during the appraisal cycle. Any questions should be forwarded to the HR who will provide clarification and further information as required.

### **7. New members of staff**

The probation and appraisal processes contain many of the same elements. To avoid duplication, the

probation documents should take precedence over the appraisal form until the member of staff has been confirmed in post. Managers and team members should discuss how and when reviews will be held and how elements of the appraisal process will be incorporated into the probation process e.g.

setting objectives. Please read the probation policy for more information.

### **8. Staff on Secondment**

Employees who are on short term secondments or acting up into another post (i.e. a temporary role not their substantive role) may continue to be assessed against the role and objectives of their substantive role depending on evaluation from the line manager. Alternatively, objectives can be modified to align with the seconded/temporary role if considered more appropriate by the line manager.

Employees who are on long term (more than six months) secondment or temporary posts (i.e., a role not their substantive role) should be assessed against the objectives for the seconded/acting up role.

Appraisal discussions should take place to ensure performance continues to be of a satisfactory standard and that the employee is continuing to meet any performance objectives in the secondment role and develop as appropriate.

### **9. Changes in Reporting Lines**

When an individual changes manager during a review period there will be a handover process in which the previous manager will rate the individual’s performance to date, and their new manager will complete this by setting expectations for the remainder of the review period. This will ensure continuity in the team member’s personal development and that outstanding responsibilities in the original role is transferred to others so that business & individual objectives continue to be achieved.

### **10. Staff on Long Term Absence**

Where staff are absent for a reason such as maternity or sickness leave and are unable to attend the appraisal meetings during the cycle the timing of the meeting can be adjusted, with the

intention of holding it as close to the cycle as is possible in the circumstances.

### **11. Appeals/Disagreements**

If an individual and their manager cannot agree on the objectives being set, the objective setting process, outcome of the mid-term or full-year development reviews, the manager’s manager will need to become formally involved to try to resolve the disagreement. The reviewer’s manager should look at information from both parties and come to an objective, non-discriminatory decision.

### **12. Equality Statement**

In applying this policy, the GP Federation/FSU will have due regard for the need to eliminate unlawful discrimination and promote equality of opportunity.

### **13. Data Protection / GDPR**

In applying this policy, the Organisation will have due regard for the Data Protection Act 2018 and the General Data Protection Regulation (GDPR). Personal Confidential Data of data subjects will be processed fairly and lawfully and in accordance with the six data protection principles. Data Subject’s

Rights and freedoms will be respected, and measures will be in place to enable employees (data subjects) to exercise those rights. Appropriate technical and organisational measures will be designed and implemented to ensure an appropriate level of security is applied to the processing of personal confidential data.

### **Appendix A-** **Performance appraisal and development review form**

Performance appraisal and development review form

|  |  |
| --- | --- |
| **Your Name:** | **Appraisers Name:** |
| **Your Role:** | **Appraisers Role:** |

Preparation

Think about the past year and consider the questions below before the annual performance appraisal and development review meeting. You may find it helpful to make notes and take these to the meeting.

|  |  |
| --- | --- |
| **Appraisee preparation** | **Appraiser preparation** |
| **1**. Have I achieved my objectives this year? What have I done particularly well? What examples of my work demonstrate this? | **1**. Has the appraisee achieved their annual objectives? What has the appraisee done particularly well? What examples of their work demonstrate this? |
| **2**. What have I done that has been less successful or enjoyable this year and why? What examples of my work demonstrate this? | **2**. What has the appraisee done that has been less successful this year and why? What examples of their work demonstrate this? |
| **4**. What are likely to be my main personal objectives over the next year? | 4. What should be the main personal objectives for the appraisee over the next year? |
| **5**. What are the main skill and knowledge development needs that I have? How could I fill my development gaps/learning needs? | **5**. What significant development needs does the appraisee have? How could their development gaps/learning needs best be filled? |

Section 1 – Review of past year’s objectives

Before the meeting, please list the objectives agreed last year. During the meeting, discuss the outcomes and levels of achievement since then.

|  |  |
| --- | --- |
| **Objectives over the last year** | **Briefly describe how well the objective has been achieved, referring to actual examples and actions where possible. If the objective has not been achieved, why?** |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |

2 – Objectives for next year

This section should be discussed during the appraisal.

What should the person’s objectives be for next year? Take account of the organisation, departmental and the relevant team objectives. Objectives should be **SMART** (specific, measurable, agreed, realistic and time-bound).

|  |  |  |  |
| --- | --- | --- | --- |
| **Objectives** | **Expected outcome/measure of achievement/deliverables** | **Timescale  (by when)** | **Any support/action by manager or others** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

Section 3 – Personal development review and plan

This section should be discussed during the appraisal. Keep a record of examples of application of required skills and knowledge throughout the year and refer to them during the review discussion. Regular discussion should mean that it is no need to provide written evidence against all the knowledge and skill requirements.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Skills and Knowledge Identified for Development** | **Review** of progress during the past year, including examples of achievement of required levels of skills and knowledge | Required level of skill/ knowledge achieved? Yes/No | **Personal development plan**/actions to address development needs over the next 12 months | Priority Level \* |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Skills and Knowledge Identified for Development** | **Review** of progress during the past year, including examples of achievement of required levels of skills and knowledge | Required level of skill/ knowledge achieved? Yes/No | **Personal development plan**/actions to address development needs over the next 12 months | Priority Level \* |
|  |  |  |  |  |
|  |  |  |  |  |

\* **Priority-** **1. Job requirement** means that it is a requirement of your role that you have this skill/knowledge. **2.Personal requirement** means that you would like to develop this skill/knowledge to aim for a future role or for your personal satisfaction.

|  |  |  |  |
| --- | --- | --- | --- |
| **Statutory/mandatory training** | **Required? Yes/No** | **Requirement met? Yes/No** | **Plan/actions to address any unmet requirement over next 12 months** |
| List (to be added) |  |  |  |

Section 4 – Summary of performance and development

|  |
| --- |
| **Appraiser’s summary comments on performance and development over the past year.** |
| **Appraisee’s summary comments on performance and development over the past year.** |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Achievement of objectives\*** | | |  | **Levels of skill and knowledge\*** | | |
| Not met all requirements/ objectives | Met all the requirements/ objectives | Exceeded the requirements/ objectives |  | Below/developing the required levels of knowledge and skills for this post | At the required levels of knowledge and skills for this post | Beyond the required levels of knowledge and skills for this post |

\* tick the appropriate box

Signed (appraiser) Date

Signed (appraisee) Date \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

### **Appendix B- Performance appraisal and development Interim review form**

Performance appraisal and development review - Interim review form

**Progress against objectives.** Discuss with your manager how you are getting on in the achievement of your objectives. Has anything changed, such as priorities or workload, that means your objectives need to be revised? If so, come prepared to discuss this.

**Appraisee’s comments:**

**Appraiser’s comments:**

**If objectives changed, please note:**

**How are you developing?** Discuss with your manager how you are getting on in meeting your development needs for your role. Is anything hindering or preventing your development needs, as outlined in your development review? If so, come prepared to discuss this.

**Appraisee’s comments:**

**Appraiser’s comments:**

**If specific development action required, please note:**