# Appraisal and Performance Review Framework

<table>
<thead>
<tr>
<th>Document Owner</th>
<th>Helen Edmondson</th>
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<tr>
<td>Document Author</td>
<td>Jenny Ambrose, Senior HR Advisor</td>
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<tr>
<td>Version</td>
<td>1</td>
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<tr>
<td>Directorate</td>
<td>Human Resources</td>
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<td>Authorised By</td>
<td>(Approval body/Manager)</td>
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<td>PMO</td>
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<tr>
<td>Date of Approval</td>
<td>June 2013</td>
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<td>Date of Review</td>
<td>May 2015</td>
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## Change History

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<th>Date</th>
<th>Name</th>
<th>Revision Description</th>
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<tr>
<td>0.1 Draft</td>
<td>May 2013</td>
<td>Jenny Ambrose</td>
<td></td>
</tr>
<tr>
<td>1.0</td>
<td>September 2013</td>
<td>Julie Andrews</td>
<td>Quality assurance</td>
</tr>
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1. **Appraisal and Performance Management Process Flowchart**

- **Objectives set out at beginning of role or at least annually**

- **Appraisal date agreed**
  - Appraisal preparatory work completed by job holder and line manager

- **Face to face appraisal meeting conducted**
  - Last year’s performance reviewed against objectives
  - Performance objectives set for the coming year
  - Training and development needs identified in the personal development plan

- **Appraisal paperwork completed by line manager and agreed by job holder**
  - Six month progress review date set

- **Six month progress review of objectives and personal development plan completed**
  - Performance recognised/rewarded or in the case of underperformance, appropriate support/remedial action as necessary (i.e. training/development/line manager support)

- **Under performance supported closely over next six months until formal appraisal meeting takes place.**
  - Remedial action taken if performance does not improve (please refer to capability policy)
2. Overall Purpose of Staff Appraisal and Performance Review

A well-planned and consistently implemented staff appraisal system maximises the effectiveness of an organisation, and improves the working climate by placing an emphasis on clarity, focus and openness. A successful system:

- provides a formal structure within which to identify individual training and development needs, and to demonstrate the impact of training
- outlines job requirements more clearly
- facilitates measurement of an individual’s performance against role requirements and competencies
- creates a clear framework for relating the CCG’s policies and priorities to individual jobs
- allows for other systems to be initiated if poor performance cannot be remedied by training, coaching or counselling
- offers a framework for continuous review of how job roles are evolving
- facilitates regular two-way communication between the job holder and their line manager
- provides job holders with regular feedback, to the benefit of their personal and professional development
- establishes a sound basis for making career development decisions for job holders.

Staff appraisal and performance review is an on-going process. Its success relies on a commitment by both job holders and line managers to providing effective feedback against agreed objectives, and to attending progress reviews and the annual appraisal. A line manager who implements this staff appraisal framework is demonstrating this commitment, as well as an understanding that job holders:

- are more motivated to achieve objectives if they have been involved in establishing them
- are more likely to achieve results if they believe they are important
- work more effectively towards meeting targets that they have helped to plan
- are in a better position to improve their performance when they understand how progress is monitored and results measured.

The staff appraisal framework in the context of the organisational vision and mission

East and North Hertfordshire CCG is a forward thinking Clinical Commissioning Group that was established in April 2013 as a statutory body under the Health and Social Care Act. The Act puts local GPs and healthcare professionals at the forefront of commissioning services for local people. East and North Hertfordshire CCG values itself as a clinically led, professionally managed organisation that has a passion for improving the health of its local population.

East and North Hertfordshire CCG is committed to commissioning high quality, cost efficient and effective healthcare services for the population(s) it serves. Our mission statement is guided by our aim to ensure we achieve our vision, informs all of the groups’ activities.

Our Mission is to reduce health inequality and achieve a stable and sustainable
health economy by working together, sharing best practice and improving expertise and clinical outcomes.

Our **Aim** is to work with patients, managers and clinical colleagues from all sectors to commission the best possible healthcare for our patients within the available resources.

Our **Vision** is to:
- Have a clinical focus in everything we do;
- Be clear about improvements we want to see in every service we commission;
- Include patients in our commissioning discussions;
- Tackle variation and inequalities;
- Work collaboratively with our partners to commission integrated care for our patients;
- Be accountable for the decisions we make;
- Improve outcomes for our patients;
- Show commitment to working transparently and openly;
- Abide by the standards in Public Life; and Listen to the clinical voice.

The CCG appraisal and performance review framework has been designed to ensure we have the right people with the right skills to deliver our mission, aim and vision.

**Competencies and Values**
The appraisal and performance review framework will seek evidence of where competencies and the organisation’s values have been met and displayed in day to day work and dealings with customers, colleagues, peers and other stakeholders.

3. **Staff Appraisal Framework**

**Appraisal and performance review meetings**
These are held annually during April - June. Job holders (the appraisee) are assessed, using agreed performance measures, to determine whether they have fulfilled their responsibilities and achieved their objectives and demonstrated the key competencies and values of the CCG. The job holder and appraiser, who may or may not be the appraisee’s direct line manager, will review responsibilities and discuss success criteria.

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

**Objectives**
These should reflect the immediate priorities of the job, and be identified and set by the job holder in agreement with the line manager. They outline the specific, measurable levels of achievement expected within a given period. Objectives can be used to influence how the job holder and line manager assess effectiveness. They should be related to the responsibilities of the job (although each responsibility does not necessarily require its own objective) and the level of competency the job holder is expected operate at.
Success criteria
These outline how to judge whether or not an objective has been achieved. A simple way to identify success criteria is to ask: “How will I know when I have got there?” and “What should I see as an end result?”

Training and development needs
Training and development needs, both personal and professional, are identified in the Personal Development Plan.

Talent Map
A Talent Map is an opportunity to describe the performance and potential for an individual and give an indication of what their next career move could be. The position map should be completed for each employee as part of the appraisal process.

Progress reviews
These occur six months into the performance review period. They allow the job holder and line manager to review progress against objectives, identify key issues for the next review period, and revise personal development plans as required.

4. Key Responsibilities and Accountabilities

The key responsibilities and accountabilities for each job define the activities that must be undertaken by the job holder if the job’s purpose is to be fulfilled. Individuals undertaking the same role will probably have the same responsibilities and competency levels (although their objectives are likely to be set on an individual basis).

The responsibility statements for each job should:
• provide a clear definition of the job holder’s responsibilities
• define the relationship with other job holders
• specify only the ‘what’, the ‘how’ and the ‘when’
• only change if the job changes (not just because there is a new job holder).

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

Agreed objectives are recorded on the objective summary sheet as part of the appraisal meeting. The objectives set for each job holder should:
• be focal points for short-term action
• demonstrate links with specific plans and programmes
• reflect the priorities of the individual and the organisation
• provide a means of co-ordinating job holders’ responsibilities
• provide additional performance measures.
Form of objective statements
Ideally, objectives should be stated in terms of measurable results by specific dates. Omitting a date implies completion before the next review. An objective should guide the actions of the job holder, who may well need to formulate an action plan detailing how it is to be achieved.

The objectives should be:
- Specific and personal to the job and job holder
- Clear – unambiguous and understood and clearly recorded
- Challenging – not too easy to achieve and would involve some effort to reach but be realistic
- Measurable – what is the outcome, what are the milestones along the way, what information will we use to know that the objective is achieved
- Agreed – between both the appraise and appraiser
- Aligned – the objectives should be consistent with the objectives of the team
- Time limited – within the review period

5. Appraisal Meeting

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

The annual appraisal meeting should not detract from regular one to one discussions that manager will have with their team and performance issues, both positive and negative will be discussed routinely so that at the annual review there should be no surprises.

The guidance offered in this section is primarily for managers, but is also relevant for job holders.

Objectives of the appraisal meeting
- To look back at what has been accomplished
- To look forward to what needs to be accomplished
- To identify how the job holder can be helped to improve effectiveness in their current role
- To clarify the job holder’s career plans, aspirations and intentions

Preparation for the appraisal meeting
It is essential for the appraiser in the reviewing role to prepare thoroughly for these appraisal meetings in order to be fair to the job holder, retain the confidence of the job holder and enable problems to be discussed in a relaxed and constructive way. If the individuals direct line manager is not around i.e. on sick leave for example alternative arrangements will be made by the relevant Director to ensure completion of appraisal is possible.

HR will inform Directors when employees are near to reaching a gateway and provide support to the reviewing manager on asking the appraisee to provide evidence to support going up a gateway. HR will inform Directors every 6 months of
who is getting near a gateway. Further information on gateways can be found in the NHS terms and conditions of service handbook, which can be found at http://www.nhsemployers.org/PayAndContracts/AgendaForChange/TermsAndConditionsOfServiceHandbook/Pages/Afc-Handbookrp.aspx

The job holder should prepare for the appraisal by completing the appraisee’s comments section of the Appraisal and Performance Review Form and to send this paperwork to their line manager in advance of the meeting.

The appraiser should ensure that information is gathered from all other relevant project managers, team leads etc. with whom the appraisee has worked since the last review.

**Conducting the appraisal meeting**

The appraisal meeting must involve frank, thorough and a ‘no surprises’ discussion. The discussions in the appraisal meeting, and the form itself, are normally considered confidential, but either party can pass on information if professional practice is compromised (for example, if there are child protection issues).

It may be necessary to offer constructive comment on negative aspects of performance, as well as recognition of positive performance. Where there are performance weaknesses, remedial action must be discussed, and appropriate training or coaching offered. Line managers are accountable for helping job holders to improve their performance. In doing so, they will assist both the organisation and the individuals concerned. The appraisal is not, however, the occasion for disciplinary proceedings, which must be undertaken separately as mentioned previously the meeting should be a 'no surprises' discussion and is not the forum to discuss issues of a disciplinary nature.

The appraisal meeting should take place in a private place, and appraisers should make every effort to ensure that it begins on time and away from telephones and other interruptions. When deciding on details such as location and seating arrangements, appraisers should choose conditions in which they and their staff will be best able to work.

**The structure of the appraisal meeting**

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

**Focus on performance**

Line managers should use the appraisal process to improve performance, including asking whether the job holder has any suggestions for how this could be done. The appraisal process is most successful when it leads to a practical plan of action that can build upon the individual’s strengths and identify areas for improvement and
plans to address these, allowing the individual to have ownership of their development. This should include looking at how the job holder applies his or her knowledge to the work, and at any gaps in the job holder's knowledge and skills. No matter how good or longstanding the relationship between a manager and a job holder is, a performance appraisal session can be challenging. It involves a detailed and specific discussion of the job holder’s progress in achieving results. An effective manager will help make this an objective, job-relevant experience, remembering that it is the job holder's performance in the job that is being appraised, and not the individual's personality. The central issue is performance against responsibilities and objectives through the results achieved, taking into consideration the success criteria and objectives adopted.

**Competency Levels**
The allocation of a competency levels should clearly reflect the performance of the individual during the entire review period. There are 4 competency levels:

**Exceptional performer**
- All expectations in terms of objectives, competencies and values have been met and some will have been exceeded.
- The reviewee will have demonstrated a consistent positive, flexible and proactive approach to their work.
- The reviewee takes responsibility for their own performance and development.

**Sound performer**
- Consistently meets most expectations and some may have been exceeded.
- Where expectations have not been met this has been marginal. Reasons have been identified and addressed.
- The reviewee demonstrates a positive and flexible approach to their work and their development.

**Developing performer**
- Some expectations will have been met or exceeded.
- Some expectations will not have been met and improvement is needed. Reviewee recognises and understands the reasons for this and is developing (This may reflect an individual getting to grips with a new role).
- The reviewee demonstrates a positive approach to their work and development.

**Under performer**
- Consistently fails to meet some expectations. Immediate improvement is required.
- A formal development plan will have been agreed with the reviewee to achieve a minimum standard of performance to enable the reviewee to achieve their role.

The relevant sections of the appraisal pack should be completed step by step during the meeting by the appraiser and then typed up and shared with the job holder for agreement and comment following on from the meeting.
Areas for discussion in the appraisal meeting may include the following:

Responsibilities
- Continued relevance
- Corporate vision and objectives.
- Fit with other jobs
- Current weighting of importance

Objectives
- How far they have been achieved
- Continued relevance to the organisation’s priorities, programmes and business plans
- Order of priority

Success criteria
- Relevance
- Adequacy

**Personal development plan**
The staff appraisal process is ideal for conducting a regular professional and personal development review for each job holder. The personal development plan is completed by the line manager and should record all the agreed actions relating to the job holder’s training and personal development. Progress against both the objectives and the personal development plan should be monitored at 6 monthly progress review meetings and fully assessed at the next appraisal meeting (when a new plan is drawn up).

**Personal development**
Personal development is concerned with making a better contribution to the current role and improving potential to become more successful in securing and working in other jobs. When deciding on a personal development plan, the following steps should be taken:
- development requirements to meet agreed objectives
- consideration of the job holder’s personal views and wishes
- an assessment of plans for developing or improving individual capacity or performance to enable them to progress their career.

**Personal and professional training**
Immediate plans for the next review period might include:
- work experience
- training and development within the CCG
- relevant professional training

6. **Six Month Progress Review**

**Purpose of progress reviews**
The progress review meeting occurs annually, half way between the appraisal meetings, ideally during November – December. It has the following objectives:
- to measure and record performance to date against agreed objectives
- to review the job holder’s personal development plan
- to identify and record the job holder’s successes over the previous six months
to identify and record key issues for the job holder for next six months.

Effective staff appraisal depends on these progress reviews to check that responsibilities are being fulfilled and objectives attained. The meetings provide the opportunity for the line manager and job holder to identify situations where some unforeseen or uncontrollable factor is impeding achievement. If a point has been reached where the original objectives have been invalidated, they should be revised (if this is the case, it may be helpful to carry out a subsequent interim appraisal).

If a job holder is appointed during the year, the line manager could use an interim appraisal to introduce the job holder to the staff appraisal framework, establish agreed responsibilities and objectives for the rest of the year, and outline their personal development plan.

The review meeting should be supported by regular one to one meetings between the job holder and their line manager. Regular meetings enable the continued monitoring of delivery of objectives and implementation of actions to ensure successful completion of work streams.

**Conducting the progress review meeting**

The progress review meeting involves the job holder and the line manager. The structure, location, seating arrangements and general nature of this meeting should be similar to those for the appraisal meeting.

Before the meeting, the job holder should ensure they have reviewed the previously set objectives and complete their comments in the objectives table within the appraisal and performance review form. During the progress review meeting, the line manager should record under his or her assessment of the job holder’s performance over the same period. After discussing these sections, the meeting focuses on the job holder’s performance against the tangible objectives set at the previous appraisal meeting. The line manager records both this performance and the agreed key issues for the next six months. The job holder’s personal development plan is then reviewed, focusing on what has occurred since the appraisal meeting. The completed form must be signed and dated by both the appraisee and the appraiser.
### Appendix 1 – Equality Impact Assessment Stage 1 Screening

#### 1. Policy

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<th>Title: Appraisal and Performance Review Framework</th>
<th>EIA Completion Details</th>
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<tr>
<td>✔ Proposed Date of Completion: May 2013</td>
<td>Names &amp; Titles of staff involved in completing the EIA: Jenny Ambrose, Senior HR Advisor</td>
</tr>
<tr>
<td>Review Date: May 2015</td>
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#### 2. Details of the Policy. Who is likely to be affected by this policy?

- ✔ Staff
- ☐ Patients
- ☐ Public

#### 3. Impact on Groups with Protected Characteristics

<table>
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<tr>
<th>Group Description</th>
<th>Probable Impact on Group?</th>
<th>High, Medium or Low</th>
<th>Please Explain Your Answers</th>
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<tr>
<td>Age</td>
<td>☐ Positive ☐ Adverse ☑ None</td>
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<td>Being married or in a civil partnership</td>
<td>☐ Positive ☐ Adverse ☑ None</td>
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<tr>
<td>Disability, inc. learning difficulties, physical disability, sensory impairment etc.</td>
<td>☐ Positive ☐ Adverse ☑ None</td>
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<td></td>
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<tr>
<td>Having just had a baby or being pregnant</td>
<td>☐ Positive ☐ Adverse ☑ None</td>
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<tr>
<td>Race, ethnicity, nationality, language etc.</td>
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<td>Religion or belief</td>
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<td>Sex (inc. being a transsexual person)</td>
<td>☐ Positive ☐ Adverse ☑ None</td>
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<tr>
<td>Sexual Orientation</td>
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<td></td>
<td></td>
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<tr>
<td>Other:</td>
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<tr>
<td>No impact on any of the groups above.</td>
<td>Please explain and provide evidence</td>
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#### 4. Which equality legislative Act applies to the policy?

- ☐ Human Rights Act 1998
- ✔ Equality Act 2010
- ☐ Health & Safety Regulations
- ☐ Mental Health Act 1983
- ☐ Mental Capacity Act 2005

#### 5. How could the identified adverse effects be minimised or eradicated?

#### 6. How is the effect of the policy on different Impact Groups going to be monitored?
## Appendix 2 – Privacy Impact Assessment Stage 1 Screening

### 1. Policy

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<td>□ Existing</td>
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### 2. Details of the Policy. Who is likely to be affected by this policy?

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<th>Yes</th>
<th>No</th>
<th>Please explain your answers</th>
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<td>☑</td>
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<tr>
<td></td>
<td>Does the policy apply new or additional information technologies that have the potential for privacy intrusion? (Example: use of smartcards)</td>
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<td></td>
</tr>
<tr>
<td>Identity</td>
<td>☐</td>
<td>☑</td>
<td></td>
</tr>
<tr>
<td></td>
<td>By adhering to the policy content does it involve the use or re-use of existing identifiers, intrusive identification or authentication? (Example: digital signatures, presentation of identity documents, biometrics etc.)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>☐</td>
<td>☑</td>
<td></td>
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<tr>
<td></td>
<td>By adhering to the policy content is there a risk of denying anonymity and de-identification or converting previously anonymous or de-identified data into identifiable formats?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Multiple Organisations</td>
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<td>☑</td>
<td></td>
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<tr>
<td></td>
<td>Does the policy affect multiple organisations? (Example: joint working initiatives with other government departments or private sector organisations)</td>
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<td>Data</td>
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<tr>
<td></td>
<td>By adhering to the policy is there likelihood that the data handling processes are changed? (Example: this would include a more intensive processing of data than that which was originally expected)</td>
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If Yes to any of the above have the risks been assessed, can they be evidenced, has the policy content and its implications been understood and approved by the department?