

TRUST POLICY FOR APPRAISAL PROCESS

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	V1.3	01/09/23	Simon Holmes	New policy
Intended Recipients				
This policy is for all non-medical colleagues directly employed by the Trust (permanent, part-time or temporary).				
Training & Dissemination				
Policy cascade through approvals process and uploaded to Net-i. Training in place by Organisational Development Team.				
Associated Policies & Guidelines				
NHS Terms & Conditions of Service Inclusion & Belonging at Team UHDB Guidance for Your Appraisal				
Consultation & Date				
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Contact for Review	Simon Holmes, Head of OD			
Executive Lead	Amanda Rawlings, Chief People Officer			

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1. Purpose

- 1.1 The purpose of this policy is to ensure that an appraisal is a supportive, useful, meaningful and fair annual conversation. This policy is for all non-medical colleagues directly employed by the Trust (permanent, part-time or temporary).
- 1.1 This policy should be implemented in conjunction with the "Guidance for Your Appraisal" and "UHDB Appraisal Paperwork" documents. Both documents are hyperlinked in section 7.

2. Contributing to UHDB success

- 2.1 The annual appraisal is a mandatory requirement for all colleagues. This policy only applies to non-medical colleagues.
- 2.2 The annual appraisal provides a process to connect all colleagues' contributions towards the Trust's strategic objectives. This alignment connects colleagues with the Trust's priorities and helps ensure this ambition is achieved.
- 2.3 Key objectives are disseminated from the Trust Board and cascaded through the leadership hierarchy to all Trust employees.
- 2.4 Typically, a leader will delegate elements of their objectives to their direct reports to ensure both team alignment and delivery of priority work.

3. Principles of the appraisal process

- 3.1 The annual appraisal is a key component of great staff engagement and research shows that regular appraisals have a positive impact on both organisational performance and patient care. An appraisal, supported by regular one-to-ones will enable us to deliver Exceptional Care Together. Appraisal is a key part of our compassionate and inclusive culture where we want all staff to thrive, be supported to be the best they can be, develop their skills, confidence, values and behaviours to contribute effectively.
- 3.2 An appraisal is a two-way discussion between an individual and their line manager. Appraisers will provide feedback to individuals on their performance through regular line management supervision throughout the year so there are no surprises at the appraisal meeting. Any concerns about an individual must be addressed at the time and not left until the annual appraisal meeting.
- 3.3 The appraisal should include a review of an individual's wellbeing as well as their behaviours, objective assessment of workplace performance and future aspirations. This holistic approach is designed to help them perform to the best of their ability and an opportunity to reflect on the skills, knowledge, values and behaviours needed to perform effectively. An appraisal is important because it provides protected time for a report and their line manager to have this conversation in a safe and supportive manner.

- 3.4 It is expected that all colleagues will participate in the annual appraisal / pay progression process.
- 3.5 The appraisal form guides both the individual and the line manager through the conversation. When setting objectives for the next 12 months it is helpful to use SMART principles (specific, measurable, achievable, realistic and have a timescale).
- 3.6 There is no restriction on when the appraisal meeting will happen within the year, therefore the appraisal meeting may occur at a different time to the individuals pay step progression date, but all colleagues must have had their annual appraisal before the pay step progression date.
- 3.7 It is mandatory for all colleagues to have an annual appraisal regardless of whether there is a pay step progression point or if the employee has reached the top of their pay band.
- 3.8 Appraisal processes should involve regular conversations between people and their line managers to ensure that required standards are understood, and additional support identified in good time. Appraisals should continue to take place as a minimum on an annual basis, regardless of whether it is a year which includes a pay step date.
- 3.9 Although colleagues must have successfully completed their last appraisal to move to their next pay step point, the date the appraisal takes place does not have to be linked to their pay step date. This is covered in more detail in the Guidance for Your Appraisal on Net-i.

4. Pay step point

- 4.1 The 2018 framework agreement on the reform of Agenda for Change introduced provisions to move to a new pay system with faster progression to the top of pay bands through fewer pay step points. It is intended to ensure that within each pay band colleagues have the appropriate knowledge and skills they need to carry out their roles.
- 4.2 An employee's pay step point is set in relation to their start date in that pay band. It is expected that colleagues who meet reasonable behaviour and performance expectations (including professional standards and code of conduct) will progress to their next pay step point.
- 4.3 Where colleagues move to a job in a higher pay band, their pay step date will become the anniversary of the date they commenced in that new band. The exception to this clause is professional roles covered by Agenda for Change annex 20 who will retain their original pay step date. In all other cases including changing jobs within the same band and moving to a lower band as part of an organisational change process, pay step dates will remain unchanged.

5. Pay step criteria

- 5.1 Colleagues will progress to the next pay step point on their pay step date where the following can be demonstrated:
- i. The appraisal process has been completed within the last 12 months
 - ii. Reasonable behaviour and performance expectations (including professional standards and code of conduct) have been met
 - iii. There is no formal capability process in place
 - iv. There is no formal disciplinary sanction live on the individual's record
 - v. Statutory and/or mandatory training has been completed
 - vi. For line managers only: appraisals have been completed for all their team as required.

6. Delaying a pay step

- 6.1 In situations where reasonable behaviour and performance expectations (including professional standards and code of conduct) have not been met and there are no mitigating factors sufficient to justify this, it is expected that an individual's pay step will be delayed. The line manager must hold a pay step review meeting to discuss the standards that have not been met and review previous discussions about these, consider any mitigating factors, and record their decision.
- 6.2 The line manager should advise the individual of their right to contest any decision through the Concerns Resolution Policy. If this is upheld, the pay step should be applied backdated to the pay step date. The line manager should also discuss and agree a plan with the individual for any remedial actions.
- 6.3 A further pay step review meeting should be arranged at an agreed date to review progress and, where satisfactory, initiate the opening of the pay step. The effective date for progressing to the next pay step should be the earliest date that the relevant requirements are shown to have been met. The pay step date for future years will remain unchanged.
- 6.4 Where a pay step is delayed due to a live disciplinary sanction, or a formal capability process, the line manager should initiate a pay step review meeting before the expiry of the sanction or support plan. This should be used to confirm that all other requirements have been met and to ensure that the individual progresses to the next pay step, effective the day after the sanction expires. Future pay step dates will remain unchanged. A disciplinary sanction cannot be applied retrospectively to delay a pay step if it comes into effect after the pay step date.
- 6.5 For clarity, "capability" covers the processes for dealing with lack of competence, including professional and clinical competence. "Capability" is a clear failure by an individual to achieve a satisfactory standard of work through lack of knowledge, ability or consistently poor performance.
- 6.6 "Disciplinary" refers to conduct and relates to formal disciplinary sanctions such as formal warnings. Investigations, informal warnings, counselling and other informal activities are specifically excluded.

- 6.7 If an individual is on long-term absence (which includes maternity, paternity, shared parental and adoption leave) the pay step point should be automatically applied in the individual's absence. If there was a live disciplinary sanction in place at the point the individual went on leave, the pay step point should be applied in their absence if appropriate, effective the day after the sanction expires. The line manager is responsible for ensuring these pay steps are applied, in the absence of the individual, in a fair and a non-discriminatory manner.
- 6.8 If there was an active formal capability process underway at the point they went on leave, the pay step point can be delayed. The improvement support should be resumed immediately upon their return.
- 6.9 Suspension from work on full pay is a neutral act. Employers should ensure that the pay step point is applied from the pay step review date where an individual is suspended on that date, provided they were meeting reasonable behaviour and performance expectations (including professional standards and code of conduct) at the point of suspension.
- 6.10 Individuals in bands 8c and above who have reached the top of their pay band must meet reasonable behaviour and performance expectations (including professional standards and code of conduct) in order to retain the highest pay point. This clause becomes relevant 12 months after colleagues (in bands 8c and above) have passed through their pay step point to reach the top of their pay band.

7. Associated policies and guidelines

NHS Terms & Conditions of Service
 Inclusion & Belonging at Team UHDB
 Guidance for Your Appraisal (on KOHA)
 Concerns Resolution Policy
 UHDB Appraisal Paperwork <https://neti.uhdb.nhs.uk/download.cfm?ver=61046>

8. Monitoring

Measurable policy objectives	Monitoring	Frequency of monitoring	Monitoring responsibility	Reporting arrangements	Action to address gaps
Trust compliance target 95%	Monthly report from training database	Monthly	People Services	People & Culture Group	Action plan to monitor and improve compliance