

Appraisal Policy

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Summary

This Policy is written to support the appraisal process as an integral part of the CCG's performance management system.

Version History

Version Number	Review Date	Name of Reviewer	Ratification Process	Notes
3.0	27/5/16	Remuneration & Nominations Committee	Approved revision	

Equality Statement

Surrey Downs Clinical Commissioning Group (Surrey Downs CCG) aims to design and implement services, policies and measures that meet the diverse needs of our service, population and workforce, ensuring that none are placed at a disadvantage over others. It takes into account the Human Rights Act 1998 and promotes equal opportunities for all. This document has been assessed to ensure that no-one receives less favourable treatment on grounds of their gender, sexual orientation, marital status, race, religion, age, ethnic origin, nationality, or disability.

Members of staff, volunteers or members of the public may request assistance with this policy if they have particular needs. If the person requesting has language difficulties and difficulty in understanding this policy, the use of an interpreter will be considered.

Surrey Downs CCG embraces the four staff pledges in the NHS Constitution. This policy is consistent with these pledges.

Equality Analysis

This policy has been subject to an Equality Analysis, the outcome of which is recorded below.

		Yes, No or N/A	Comments
1.	Does the document/guidance affect one group less or more favourably than another on the basis of:		
	• Race		
	• Ethnic origins (including gypsies and travellers)		
	• Nationality		
	• Gender		
	• Culture		
	• Religion or belief		
	• Sexual orientation including lesbian, gay and bisexual people		
	• Age		
	• Disability - learning disabilities, physical disability, sensory impairment and mental health problems		
2.	Is there any evidence that some groups are affected differently?		
3.	If you have identified potential discrimination, are there any exceptions valid, legal and/or justifiable?		
4.	Is the impact of the document/guidance likely to be negative?		
5.	If so, can the impact be avoided?		
6.	What alternative is there to achieving the document/guidance without the impact?		
7.	Can we reduce the impact by taking different action?		

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The Appraisal process is an integral part CCG's performance management system.

The aim of the appraisal process is to maximize the effectiveness and potential of each employee so that the CCG successfully achieves its objectives.

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Appraisal Policy

1. Purpose and Objectives

- 1.1 The appraisal process is an integral part of the CCG's performance management system. This Policy is in place to ensure that the CCG has a clear, consistent and fair approach to appraisals.

The aim of the appraisal process is to maximise the effectiveness and potential of each employee so that the CCG successfully achieves its objectives.

The objectives of the appraisal process are:-

- Maximise performance
- Reinforce the CCG's values and behaviours
- Acknowledge good performance
- Set objectives for the year ahead
- Encourage staff development

2. Scope

- 2.1 All staff must have an appraisal discussion at least once every 12 months and reviewed on a 6 monthly basis.

Appraisals are held the month prior to each employee's incremental date. HR will provide all Heads of Service of appraisals that are required two months in advance.

The CCG formal appraisal documentation must be completed a copy kept in the employee's personal file.

Appraisal is not a substitute for good day to day management and managers should provide their staff with regular and ongoing opportunities for discussion, coaching and feedback to encourage and enable them to improve their development /performance.

3. Duties

Appraisee

To participate fully in the appraisal process. Refusal to participate in the appraisal process will be considered to a disciplinary matter and will be dealt

with through the Disciplinary Policy. Incomplete appraisals or mandatory training could result in the employee's increment being withheld.

To complete the Appraisal document (appraisee) in preparation for the appraisal meeting

To keep informed about what is expected in relation to the appraisal process

Appraiser

Ensure that each employee has an individual appraisal at least once every 12 months (1 month prior to the incremental date), reviewed on a 6 monthly basis.

Ensure that each employee has an up to date job description/person specification

To check that the employees mandatory training record is up to date; If mandatory training needs to be completed appropriate action should be taken by the appraiser with the employee prior to the appraisal date. If the employee fails to remedy this **within 28 days** of the appraisal date, this will result in the increment being withheld

To provide HR will a completed copy of the appraisal document which has been signed by all parties (line manager, Head of Service, employee)

To ensure that an appraisal takes place before an employee's incremental date and in sufficient time that any payroll changes can be put in place.

To meet regularly with individuals or as a team in between appraisal meetings.

If a member of staff is on long term sickness, maternity leave or a career break it may not be possible to carry out their regular annual appraisal. In this case, a formal review should take place within 30 days of their return.

HR

Providing appraisal advice, support and training to managers

Ensure that appraisers have had the necessary training and information to carry out an appraisal discussion and that all direct reports understand their responsibilities in relation to the appraisal process.

Helping managers to identify and overcome the barriers which prevent appraisals taking place.

Providing an independent review of all submitted appraisals to ensure consistent compliance and equality.

Recording appraisal completion dates as reported by the appraisers on ESR and updating the Executive Management Team on a monthly basis

Executives/Heads of Service

Executive Directors are accountable to the Chief Officer for ensuring that, within their areas of responsibility, appraisal completion rates are managed and completed in a timely manner.

Heads of Service are responsible for ensuring appraisals are completed consistently and for ensuring that appraisals deal fairly with any equality issues.

4. Target Audience

This Policy applies to all substantive CCG employees with the exception of the Medical Staff – Refer to the Clinical & Medical Revalidation Policy. All Interim Consultants and agency staff are excluded from this Policy.

5 The Appraisal Process

Prior to the appraisal discussion

- 1) Agree time and date of appraisal
- 2) Ensure that both have the relevant documentation
 1. Job description/person specification
 2. Objectives for the previous 12 months
 3. Proposed objectives for discussion for the next 12 months
 4. Record of statutory/mandatory training
 5. Demonstrated evidence of CCG desired behaviours/values
 6. Training and Development plan complete and to be agreed
- 3) Undertake 360 degree appraisal where appropriate

The appraisal discussion

- 1) Discuss performance against objectives for the previous year – ***there should be no surprises at the appraisal meeting***

- 2) Discuss how the CCG values and behaviours have been met during the previous year
- 3) Agree objectives for the 12 months ahead. Ensure that the appraisee understands their job and how their role contributes to the work of the team and the CCG.
- 4) Discuss training and development needs from the previous year.
- 5) For registered professionals ie: Nurses etc to discuss requirements for maintaining professional registration
- 6) Agree a new training and development plan for the next 12 months.
- 7) Complete the appraisal documentation

Following the appraisal discussion

- 1) Appraisee to complete any final comments in the appraisees summary of the appraisal document
- 2) Appraiser to provide a signed copy of the completed appraisal document for HR
- 3) Document to be held on the employees personnel file
- 4) Appraiser to advise HR of any changes which may impact payroll.

5. Monitoring Compliance

Appraisal compliance rates are reported monthly at Executive team meeting

Each Head of Service is responsible for monitoring compliance with the CCG's appraisal targets; 98% compliance each month.

Line managers who consistently refuse to comply with the appraisal target in their respective areas of responsibility, without good reason, will be dealt with under the Performance Management Policy.

The appraisal rate is a key performance indicator.

6. Associated Documentation

CCG Vision and values

7. Appendices

- 7.1 Appraisal document – line manager
Appraisal document – employee