



**East London**  
NHS Foundation Trust

# **Appraisal Process**

## **Guidance Notes for Employees**

# The Process and Key Principles

## 1. Introduction

- 1.1 East London Foundation Trust (ELFT) is committed to developing a culture of engagement based on frequent open discussions. Appraisal is not about recording two meetings across the year, but rather a process where managers and staff develop and create an environment of collaboration and mutual respect, with regular contact to deliver on the Trust Strategy. The appraisal system simply reflects good management practice and the appraisal paperwork merely records the actions that have been agreed.
- 1.2 An annual appraisal is a process that benefits both the individual and the organisation. This formal process is recorded in two conversations, one at the beginning of the process, and the other a mid-year review. However, it is important for managers and staff to bear in mind that a continuous culture of engagement is at the heart of any appraisal process and therefore regular supervisions must take place.
- 1.3 The formal process is an opportunity for employees and line managers to:
- hold a conversation and record performance and development over the past year and together agree a rating
  - set objectives for the year ahead
  - highlight any aspirations for career development
  - identify any learning and development needs that fall out of that process
  - provide feedback to line manager on leadership style

The form should be agreed and signed by both parties. The line manager will also rate performance and behaviours against the requirements of the job throughout the year.

- 1.4 The fundamental principal of any appraisal process is there should be no surprises at the appraisal discussion; and review of an employee's performance should be an on-going process through monthly supervision. If an employee is not on track to meet performance objectives, the manager should be aware and pro-actively be dealing with any issues and should have made the employee aware in such cases.

## 2. Scope

- 2.1 The appraisal process applies to all substantive and fixed term employees. The process, however, excludes staff on Medical and Dental terms and conditions as they are subjected to the Medical Revalidation process which is covered by separate policies available on the intranet. Bank staff are also excluded from the appraisal process, but managers may wish to set objectives for bank staff who work regular shifts.

### 3. Roles and Responsibilities

3.1 The following group of people are involved in the appraisal process:

- **The Appraisee**

The appraisee should prepare for the meeting by reviewing their progress against the previous year's objectives prior to their appraisal meeting. They should come prepared with relevant information and evidence on how they have performed against their objectives, including having a log of their achievements and any barriers they have encountered during the year. They should also come with ideas for future objectives and development needs for the coming year. The appraisee should take a proactive part in the process, ensuring that a meeting is held in a timely manner with their line manager / appraiser.

- **The Appraiser**

This is usually the appraisee's immediate line manager but could be an alternative appointed by senior management. Where the appraisee has worked for more than one person during the year, the appraiser / reviewer should seek input from others and enter their details on the form. If the appraiser is unavailable to conduct an appraisee's appraisal in a timely manner (e.g. through illness etc.) the manager next in line of seniority should appoint a suitable individual to undertake it on their behalf, so the employee is not disadvantaged.

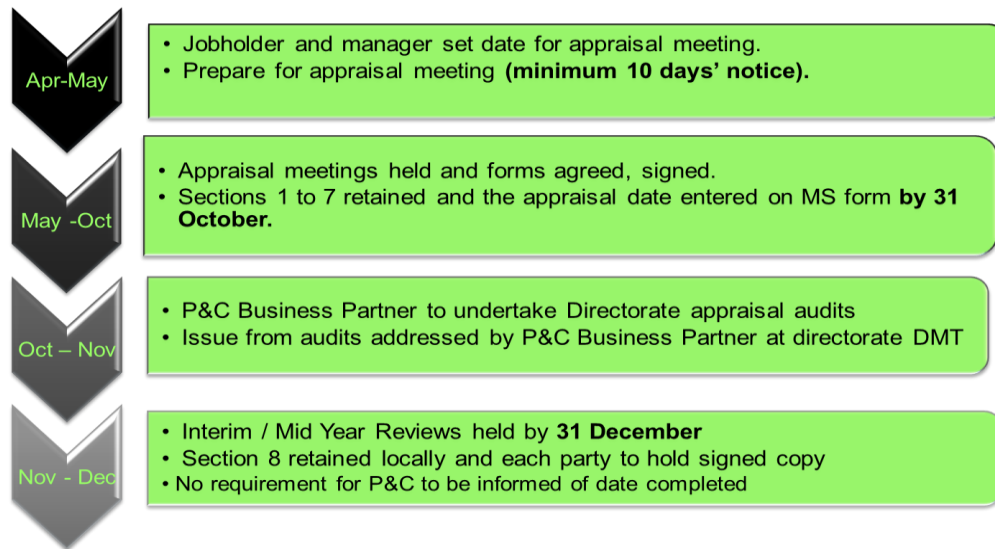
Line managers / appraisers are required to report on the performance and achievements of their staff over the review period and to agree objectives and development needs (where possible) with the appraisee for the coming year. They will also be responsible for determining the performance rating in discussion with the appraisee and take responsibility for ensuring the appraisal paperwork is completed and submitted on time.

- **People and Culture (P&C)**

L&D will provide training in the appraisal process and in the general principles of appraisal (including the interpersonal skills needed for a successful appraisal). Briefings and training sessions will be available and advised on the intranet. P&C will advise managers on individual cases of local issues arising from appraisal discussion. P&C Business Partners will undertake random audit of completed appraisals to ensure quality.

## 4. The Appraisal Process

4.1 The appraisal review period for all employees is 1<sup>st</sup> May – 31<sup>st</sup> October.



4.2 The formal process provides an opportunity for employees and line managers to hold a discussion to answer three simple questions:

- What did I do last year (and how well did I do it)? - Section 2
- What will I do next year? *Forward planning Objectives* – Section 3
- What additional development do I need to allow me to achieve next year's tasks or improve my performance/career potential? – Sections 4 & 5

### 4.3 Appraisal Form

This year, it has been agreed that the Trust will revert to paper appraisal form. Staff can complete all sections of the form and submit to their line manager. The manager will then be able to see staff comments and make notes of discussion points to raise at the appraisal meeting. Once the appraisal form is agreed by both parties, the manager is authorised to submit the date completed [here](#)

### 4.4 What did I do last year (and how well did I do it)? Section 2

4.4.1 In this part of the conversation, the appraisee needs to consider last year's objectives and how well they were met, detailing any issues. This section is free text for reflection on performance throughout the year.

4.4.2 The employee and line manager should discuss last year's objectives and review performance in line with the Trust values / competency that the employee displayed in meeting the objectives. There is space on the form to identify whether the objectives have been met and to provide evidence and explanation to reflect the conversation. The employee and line manager will need to look at the '**WHAT**' of the performance, the objectives and the '**HOW**', Trust values / competency framework. It is here that the performance rating is made.

**Please discuss which of the ELFT values and behaviours you have demonstrated over the past 12 months, whilst undertaking your objectives**

| VALUE/DIMENSION                                       | INDIVIDUAL   |
|---|--|
| <b>We Care</b>  |  |
| Empathy   | I use empathy to understand others' feelings and respond appropriately.  |
| Understanding impact of actions                       | I use self-awareness to understand the impact of my actions on others and can adapt my behaviour according to the person and situation I am dealing with.                |
| Kindness  | My language, tone and actions are always kind and considerate when dealing with patients and service users, their families, and my colleagues.                           |
| Going the extra mile                                  | I regularly go the extra mile to play my part in delivering the best possible care for our patients and service users.   |
| Listening   | I make time to ask how people are and to listen carefully to them when they talk to me.  |
| <b>We respect</b>                                     |  |
| I can put myself in your shoes                        | I recognise that we are all different and always try to put myself in others' shoes to see things from their perspective.  |
| Trustworthy   | I am honest and always act with integrity.   |
| Active listening                                      | I listen actively and with an open mind to patients, service users, families, and colleagues, asking questions to help me understand their point of view.                |
| Respecting dignity and privacy                        | I am always looking for ways to protect the dignity and privacy of patients and service users.   |
| Managing expectations                                 | I deliver on my promises. When I can't deliver what is expected of me by colleagues, patients, service users or families, I am clear about what they can expect and why. |
| <b>We are inclusive</b>                               |  |
| Having a can-do attitude & solution-oriented approach | I am quick to find solutions to problems and am always positive about what can be done to deliver the highest standard of care.  |
| Flexibility   | I am flexible and adaptable when things change and do my bit to make change successful.  |
| Knowing when change is necessary                      | I recognise when change is necessary to improve things.  |
| Removing barriers                                     | Where barriers exist between people, whether physical or emotional, I do my best to remove them.   |
| Recognising difference                                | I treat everyone as a unique and valued individual, recognising, accepting, and celebrating difference.  |
| <b>Involvement in Quality Improvement (QI)</b>        |  |
| Curiosity   | I am always looking for ways to improve the services that I provide  |
| Dedication  | I work hard to deliver what is expected of me and set high standards for myself.   |

4.4.3 The performance ratings are as follows:

| Rating                  | Comments   |
|-------------------------|--|
| Exceeds Expectations    | <ul style="list-style-type: none"> <li>• Consistently overachieved in the <b>'What'</b> and the <b>'How'</b></li> <li>• Goes above and beyond and works outside duties and across teams</li> <li>• Continually looks for ways to improve service and actively involved in QI work</li> <li>• Actively involves service users in processes and changes</li> </ul> |
| Meets Expectations      | <ul style="list-style-type: none"> <li>• Have achieved their objectives and operated within the values / competency required</li> <li>• Works across teams to improve service</li> <li>• Puts forward ideas and changes to improve service / processes etc</li> </ul>  |
| Partly Met Expectations | <ul style="list-style-type: none"> <li>• Has not achieved most of the set objectives, and does not always operate within the values of the Trust</li> <li>• Needs assistance to develop and ensure they fully meet the requirements of the post</li> </ul>   |
| Unsatisfactory          | <ul style="list-style-type: none"> <li>• Consistently does not achieve objectives, and does not act in line with the values of the Trust</li> <li>• Under informal or formal performance management measures in line with performance management policy</li> </ul>   |

4.4.4 Ratings must be evidence-based and agreed, regardless of band, age, race, sexual orientation, gender reassignment, pregnancy and maternity, civil partnership or marriage, religion or belief, disability, or sex. Most employees will be rated 'Meets Expectations' achieving their objectives and doing so in a manner that reflects the Trust values and/or their competency framework.

4.4.5 Performance ratings should reflect performance of the objectives (**WHAT**) and the Trust Values (**HOW**) across the year. NB: Managers should exercise discretion and factor issues outside of the employee's control which may have impacted on the completion of the objectives and or performance when agreeing ratings.

4.4.6 Line managers should carry out regular supervision with staff. It is crucial that line managers have open and constructive conversations with employees about their performance and agree appropriate support interventions. Early intervention can help to restore performance to the agreed standard and strengthen the relationship.

4.4.7 Regular or one-off dips in performance should be addressed quickly, as under-performance can adversely impact on the morale of other employees and the overall productivity of the team.

## 5. What will I do next year? Objectives Section 3

- 5.1 In this part of the conversation, the manager and the appraisee will need to consider next year's objectives and complete Section 3 of the appraisal form.
- 5.2 The basis of performance rating is in clearly established objectives, using the **SMART** principle. Objectives should be agreed between the appraisee and their line manager in line with the Trust Strategy so that every member of staff can see how they contribute to the bigger picture. Objectives should be challenging and stretching but should also be achievable.
- 5.3 Best practice states that staff should have between 4-8 objectives.
- 5.4 Note that all managers must have the below set objectives in addition to their core work objectives:

### Act to embed and contribute to the Trust Strategy

|                   |   |
|-------------------|---|
| <b>Specific</b>   | <ul style="list-style-type: none"><li>Clearly define what you expect the member of staff to do/deliver</li><li>What actions will be taken?</li><li>Provide an appropriate level of detail so that the objective is clearly understandable</li></ul>   |
| <b>Measurable</b> | <ul style="list-style-type: none"><li>Identify how success will be measured, usually stated in terms of quantity, quality, timeliness, or cost</li><li>What data will be measured?</li></ul>  |
| <b>Achievable</b> | <ul style="list-style-type: none"><li>Can the member of staff successfully complete this goal with the skills, resources, and time available to them?</li><li>Are there factors beyond the control of the staff member that need to be considered?</li><li>Also consider the total set of objectives – each may be achievable individually, but they must also be achievable collectively</li></ul> |
| <b>Relevant</b>   | <ul style="list-style-type: none"><li>How does the objective align with the Trust strategy?</li><li>Make sure the objective is relevant to the individual's role, skills, and qualifications.</li><li>Link the objective to a service, directorate priority or goal</li></ul>   |
| <b>Time bound</b> | <ul style="list-style-type: none"><li>Specify when the objective needs to be completed [for example: by the end of Q2, every month, annually]</li></ul>   |

## Examples of SMART objectives

| Not SMART   | SMART  |
|---|--|
| Work effectively with the Community Mental Health Team MDT.                 | By the end of July, to ensure that specialist OT input is evident in the assessment and treatment of all relevant patients covered by the team.                      |
| Continually deliver and maintain high standards for a defined caseload      | To deliver patient care for your caseload in line with local procedures and standards, as demonstrated through quarterly record keeping audits.                      |
| Provide specialist psychological input to secondary mental health services. | To carry out specialist psychological assessment on all at-risk patients within the locally agreed timeframes.   |
| Reduce the number of shifts covered by bank and agency.                     | To ensure that the numbers of shifts covered by bank/agency reduces to fewer than 5% each month during the first six months of the year.                             |
| Ensure that all patients are assessed.                                      | To ensure that all new referrals to the team are assessed, prioritised, and allocated to an appropriate clinician/service within 24 hours.                           |
| To improve care planning on the ward.                                       | To ensure that every patient on the ward has a care plan in place, using the standard approach and recorded on the ward template, within the agreed local timeframe. |

### 6. Career Aspiration - Section 4

- 6.1 This is the section where managers should be having a 'talent conversation' with their staff, by finding out what motivates them and where they see themselves in the future. It should also cover whether there are any skills or experience that they feel are not being fully utilised and or any barriers to their development.
- 6.2 The manager and employee should agree outcomes and document these either in this section or within the personal development plan (PDP) section as appropriate.

### 7. Personal Development Plan – Section 5

- 7.1 In this part of the conversation, you should consider what development is needed to achieve the objectives in Section 3, improve performance generally or work towards the career aspirations in Section 4 (in line with the role).
- 7.2 All mandatory and other development requirements should be recorded on the form. Development opportunities can be achieved through several different processes, e.g. getting involved in projects, shadowing, team working, eLearning and classroom-based courses. Employees and line managers are encouraged to be creative rather than resorting to classroom-based courses.
- 7.3 Both parties are also encouraged to review statutory and mandatory compliance. Details of statutory and mandatory training requirements can be



found on the [Training Needs Analysis](#) (TNA) on the Learning and Development Page of the intranet and also staff profile on Oracle Learning Management (OLM)

## **8. Upward Feedback – Section 6**

- 8.1 Considering your working relationship with your line manager, their respective leadership style and how these impact on your performance. Employees are encouraged to provide upward feedback to their line manager. The aim of this section is to create an environment to encourage feedback, as well as build and maintain collaborative relationships in line with the Trust Strategy.
- 8.2 Employees will be asked to structure this feedback as below:  
What would you like your manager to:
- Continue doing
  - Do differently
  - Start doing
- 8.3 This should prompt an open discussion during the appraisal meeting and assist in improving line managers to make a greater difference to employees.

## **9. Approval – Section 7**

- 9.1 All completed appraisal forms must be retained locally by all parties and the date of the appraisal held entered [here](#) as soon as possible, but no later than the **deadline date of 31<sup>st</sup> October**. P&C will upload completion dates onto the electronic staff record (ESR).
- 9.2 All sections of the forms must be treated in confidence and employees who handle completed forms from colleagues must be compliant with the relevant data security (previously known as Information Governance) training.

## **10. Quality Assurance**

- 10.1 Directorate People Business Partner will undertake random 10% sample audits of completed appraisals.
- 10.2 The audit will look to ensure the following:
- Objectives are set are achievable
  - Ratings provided and evidenced
  - Form signed and agreed by both parties.
- 10.3 Where issues arise as part of the audit, the Business Partner (BP) will discuss with the relevant manager and raise it at the Directorate Management Team (DMT) meeting if necessary

## **11. Pay Progression**

- 11.1 As the NHS prepares to move out of the 2018 three-year deal with effect from 1 April, the NHS pay review body have been exploring with the trade unions the best way to present the pay structure moving forwards. The national agenda for change pay scales will be shorter (few incremental progression steps) than they have been previously.
- 11.2 The Trust maintains a position that incremental progression that does remain on each pay scale will be given automatically regardless of appraisal. I.e. appraisal and pay progression do not link.
- 11.3 Once the NHS 2021 pay deal has been announced we will publish the new agenda for change pay scales.

## **12. Maintaining Safety Standard**

Disclosure and Barring Service (DBS) is required to maintain the safety of our service users, carers, and staff. The Trust is committed to ensuring this safety is maintained and therefore staff are required to confirm they have no convictions, cautions or reprimands since their last DBS check conducted by East London Foundation Trust. In the event that staff have incurred convictions, cautions or reprimands please refer to the [Disclosure and Barring Service \(DBS\) Policy](#)

## **13. Wellbeing Conversations**

- 13.1 Recently, you would have seen the launch of the wellbeing conversation campaign, via communications. The campaign was set in motion based on a requirement set out by the people plan.
- 13.2 The requirement is that every employee have at least one wellbeing conversation with their manager per year. As a result of the pandemic, we are encouraging that this conversation takes place as many times as necessary, as part of any interaction, either in 121's, supervisions, catch ups etc.
- 13.3 The engagement & wellbeing team have created the guides which can be found on the intranet that will be helpful in 1) preparing for the conversation and 2) to document personal progress using the wellbeing plan.
- 13.4 The personal wellbeing plan is not mandatory to use, so feel free to structure the conversation in a way that best suites you. The main objective of this is that we all get talking about wellbeing!!

**[Employee's Guide >>](#)**

**[Manager's Guide >>](#)**

**[The Personal Wellbeing Plan >>](#)**

## **14. Summary**

- 14.1 Employees should take an active and full role in their Appraisal by reviewing their own performance against objectives and actively identifying their development needs in advance of their appraisal meeting. Each review should relate strictly to the period specified and should not be based on earlier assessments.
- 14.2 Appraisal training (various) is available for both managers and appraises and where changes have been made to the process, a briefing will also be available.
- 14.3 Further advice on managing performance is available from local People Relations team.