

Appraisal Special Circumstances

1. Employee is absent at the time of appraisal

An employee who is temporarily absent from work at the end of the reporting year, when the appraisals are being completed is not assessed as a 2-way discussion cannot be held. An appraisal does not need to be completed and they will not be rated. An appraisal / objective setting should, however, be completed on their return.

2. Employees absent for most of the reporting year

If an employee has been absent from work for most of the reporting year (e.g. due to ill health, maternity or paternity leave, career break, external secondment etc and remains absent at the time of the appraisal then an appraisal is not required.

3. Employee changes job within the Appraisal year

If an employee changes job during the year they should sign off their existing appraisal and objectives prior to leaving. At appraisal time, the responsibility will be on the new manager; however, the previous line manager should be consulted.

New objectives, competencies or behaviours will be agreed with the new line manager on commencing the new role and these will also be assessed as part of the appraisal review, along with development needs.

4. Employee has a change of line manager

If an employee has a change of line manager, the previous line manager should hold the appraisal meeting with the employee (depending on when the last one was held) to summarise the performance to date and to hand over to the new line manager. The employee's existing objectives, competencies or behaviours can remain valid but the new line manager may wish to amend / change these during a supervision or mid-year review with the employee as necessary.

5. Employees on Fixed Term Contracts

An employee on a fixed term contract must be treated the same as other employees and have an appraisal of their work undertaken.

6. Agency workers

Under the Agency Workers Regulations, temporary staffs from Agency do not have the right to the same appraisal process as directly employed staff and therefore no appraisal needs to be completed.

7. Bank Staff

An employee on Bank only contract will not receive an appraisal; however, managers must ensure that objectives and regular supervision are in place for those staff who work regular shifts.

8. Employees not directly employed by ELFT

If the employee remains employed by another organisation but working for ELFT they will be appraised by their employer's process with possible input from their ELFT manager.

The Appraisal process will NOT apply to employees temporarily engaged by ELFT where ELFT is not their substantive employer, e.g. contractors, medical and other employees on honorary contracts,

9. Employee has retired, resigned, or been dismissed

An appraisal is not required if the employee has left the organisation (retired, resigned, been dismissed, or made redundant) and is not in post on 31 October. Staffs working their notice period are also not required to have an appraisal.

10. Employee is undergoing formal performance management

Employees who are undergoing formal performance management at appraisal time will still have an appraisal but will automatically be given an 'Unsatisfactory' performance rating.

11. Employee is 'at risk' (Redeployees)

Employees on redeployment list, awaiting new positions must have an appraisal based on their most recent role and assessed under the normal appraisal process.

12. Medical and Dental Staff

Medical and Dental (including medical consultants) in ELFT must comply with General Medical Council (GMC) appraisal and revalidation process. Further details are available on the intranet or via medical staffing team.

13. Recording staff on Electronic Staff Record (ESR)

The appraisal completed date must be entered on the electronic staff record system (ESR). For this year, we are asking that after an appraisal has been completed and agreed, the manager must complete the Microsoft form [here](#) and People and Culture (P&C) will ensure that the information is uploaded onto ESR.

14. Rotational staff

Rotational staff should have individual objective for each rotation specific to that speciality; this is signed off at the end of each rotation. Within these objectives there will also be some generic objectives. Feedback should be given from rotations and signed off at the end of the objective period.

15. Refusal to sign appraisal

The fundamental principal of appraisal is **'no surprise'**; and as managers and staff have regular monthly supervision it is expected that any issues will be addressed during supervision. Thus, there should be no surprise at the appraisal meeting and limited disagreement at appraisal.

Managers are also encouraged to gain agreement throughout the appraisal meeting at each section of the form to avoid disagreements occurring at the end of the where the form requires signing.

However, if a staff refuses to sign their appraisal paperwork a discussion should be had with the manager and where possible compromise sought.

If no agreement can be reached, the appraisee may then escalate the issue to the line managers' manager who will attempt to reach a resolution. At this point if the matter is not resolved then advice should be sought from the relevant directorate P&C Business Partner.

16. Upward Feedback

The upward feedback is an opportunity for staff to give feedback to managers on their leadership style to encourage and build an environment of collaboration, and openness to build and maintain relationships.

If the manager delegates the appraisal responsibility to another manager, the individual undertaking the appraisal should inform the appraisee that the discussion and feedback should be addressed at the next scheduled supervision with their line manager.