Appraisal Policy

This policy describes the process to be followed for all appraisals, including performance and personal development.

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CONTRIBUTION LIST

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Name
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Operational HR Team
Equalities Team
Staffside
Learning and Organisational Development Group

Contents

References and Associated Documentation

Further guidance to support this policy is available via Staffnet

Version Control and Summary of Changes

Version number	Date	Comments (description change and amendments)
1		Initial draft policy developed with SLG feedback. This policy will supersede the Performance and Development Review (PDR policy)
2	10/06/13	Incorporated feedback following consultation with Staffside and management feedback.
3	16/01/14	Incorporate Agenda for Change incremental progression linked to performance.
4	29/10/14	Incorporated feedback following Organisational Consultation and agreement with staff side
5	26/08/16	Incorporated feedback following Organisational Consultation and agreement with staff side The following amendments have been made: Section 6.2 Appraisal Exemption has been added, including an Increment Exemption Application (Appendix 7) A suggested template has been added (Appendix 8) for recording six month reviews The wording on the performance outcomes (Appendix 2) has also been updated in response to feedback
6	01/04/19	Adapted for new pay deal NHS terms and conditions pay step progression Annex 23
7	1/9/20	Competencies and measure updated to include new Leadership Behaviours for all, as outcome of Our Future Our Way, Culture, Inclusion and Leadership programme.

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Did you print this document yourself?
Please be advised that the Trust discourages the retention of hard copies of policies and can only guarantee that the policy on the Trust website is the most up-to-date version.

For further information contact:

Organisational Development on 0116 295 1700

Definitions that apply to this Policy

Appraisal	An opportunity for appraiser and appraise to discuss and review contribution over the past 12 months, recognise performance, discuss behaviours, set future objectives and agree personal development plan.
Appraisal Form	The document which records the appraisal conversation, including leadership behaviours and development needs discussed.
Appraisee	The individual being appraised.
Appraiser	The person who undertakes the appraisal (usually the line manager or can be delegated to another appropriate person) This person is also known as a Reviewer on uLearn
Due Regard	Having due regard for advancing equality involves: • Removing or minimising disadvantages suffered by people due to their protected characteristics. • Taking steps to meet the needs of people from protected groups where these are different from the needs of other people. • Encouraging people from protected groups to participate in public life or in other activities where their participation is disproportionately low.
Pay Step Progression	Progression through all pay steps in all pay bands to be conditional on individuals demonstrating that they meet locally agreed performance requirements in line with Annex 23 of NHS Terms and Conditions.
Leadership Behaviours	A performance criteria against which the appraiser and appraisee discuss and agree a level for each leadership behaviour to reflect the appraisee's performance over the previous year.
Personal Development Plan (PDP)	The part of the appraisal process where a development plan for the coming year is discussed and agreed in relation to identified individual developmental needs.
Role/Individual Specific Standards	Additional objectives and standards agreed in relation to the appraisee's specific role against which performance is appraised and recognised.
uLearn	The online system used for recording and monitoring appraisals in LPT. All staff and managers have access to uLearn.

Equality Statement

Leicestershire Partnership NHS Trust (LPT) aims to design and implement policy documents 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 provisions of the Equality Act 2010 and advances equal opportunities for all. This document has been assessed to ensure that no one receives less favourable treatment on the protected characteristics of their age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex (gender) or sexual orientation.

In carrying out its functions, LPT must have due regard to the different needs of different protected equality groups in their area. This applies to all the activities for which LPT is responsible, including policy development, review and implementation.

1.0   Summary

This document describes the key principles and process of appraisal which contributes to the performance of the Trust by providing an assurance mechanism that staff are equipped with the right knowledge, skills, competence and behaviour to support them in demonstrating care, compassion and openness in their work in accordance with our Trust values. Please see Appendix 1. The appraisal process also supports professional registration for groups of staff.   This policy applies to all employees of the Trust covered by Agenda for Change Terms & Conditions. This policy excludes medical staff, bank staff and Executive Team.

2.0   Introduction

2.1   The appraisal process plays a vital part in achieving the Trust's objectives and helps each of us understand our contribution and the importance of our role in the Trust. Through appraisal our people are recognised and valued as critical to the effectiveness and quality of the service we provide.

2.2 The delivery of high quality, compassionate care within LPT depends on every member of staff having a well-structured appraisal. Effective appraisal and staff development contributes directly to improved patient experience, satisfaction and outcomes.   Research undertaken by The Kings Fund[1] identifies a well-structured appraisal leads to increased staff engagement, motivation, better health and wellbeing.

2.3   The appraisal process will clearly articulate and promote the leadership behaviours expected by the organisation in relation to the delivery of its services and allow the resulting data to be measured and reviewed to support continued excellence and development across the Trust. It will contribute to a broader organisational

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[1] *Leadership and Engagement for Improvement in the NHS – Kings Fund Leadership review May 2012*

understanding of trends enabling the Trust to support staff development and provides a mechanism for recognising and rewarding efforts relating to pay step progression.

2.4 Appraisal is a joint responsibility of the individual and line manager and should be a two-way process with agreed outcomes and expectations. This should not be solely an annual event but part of a continuous process with regular discussion and feedback which is vital to an effective working relationship between managers and individuals within their team.

2.5 The whole focus of the appraisal meeting should be on the conversation between the appraiser and appraisee, supported by a record of this captured on uLearn.

2.6 Identified performance issues should be dealt with as they occur outside of appraisal using the Supporting Performance Policy and Procedure for the Trust i.e. the appraisal should not contain any surprises for the appraisee. However overall performance should be considered and reviewed as part of the annual appraisal allowing developmental opportunities to be identified and accessible to enable the individual to address performance issues.

2.7 Throughout the process all members of staff should be treated fairly and consistently and reviewers should take into account the diversity of staff and individual needs when implementing the appraisal process. The appraiser's manager will ensure appraisals are undertaken to the required standard and do not disadvantage individuals

3.0 Duties within the Trust

3.1 The Trust Board:

- Has a legal responsibility for Trust policies and for ensuring that they are applied consistently and effectively.

3.2. The Workforce and Wellbeing Group, Learning & Organisational Development Group and the Strategic Workforce Group:

- Have the responsibility for signing off and adopting policies and protocols, in accordance with Trust governance procedure.
- Have responsibility to support and consider implications arising from the appraisal process.

3.3 Directors and Heads of Service are responsible for:

- Ensuring the Appraisal Policy and Process is effectively implemented and monitoring appraisal completion rates.
- Reviewing and considering the implications of data arising from the performance outcomes across and within their responsibility.

- Supporting the equitable resourcing and support for opportunities for developments as identified through the appraisal process (supported by the Trust Study Leave Policy).

3.4 Appraiser's Manager

- Provide assurance for the quality and consistency of appraisal.
- Provide challenge and support for appraisers so that appraisals are undertaken in a fair and consistent manner for all individuals.
- Support appraiser and/or appraisee to resolve any disagreements arising from the appraisal discussions and performance rating. Where there is failure to agree, the appraiser's manager's decision is final and there is no further right of review.
- Complete manual Pay Step Submission form where appropriate.

3.5 Line Managers

- Ensure all staff are responsible for participating in appraisals annually
- Promote the appraisal process to the staff they are responsible for so that they understand its purpose, value and their role within it.
- Ensure fair, equal access to opportunities for all staff under their responsibility and demonstrate positive standards of behaviour in line with Trust values.
- Support individuals in participating in their appraisal and facilitate ongoing development agreed within PDPs
- Ensure all registered professionals, e.g. Nurses and Allied Health Professionals demonstrate the maintenance of up to date knowledge, meet the requirements of their registration, and display commitment, compassion and a caring approach.
- Familiarise themselves with professional/clinical requirements for staff that work in their area of responsibility.
- Ensure all employees they are responsible for are provided with sufficient time within work to prepare for their appraisal meeting.
- Appraise all direct reports, delegating this duty as appropriate to another suitable individual.
- Where this duty has been delegated, line managers to provide feedback on the appraisee to the other suitable individual
- Ensure all necessary documentation is completed via uLearn and submitted to the required deadlines. This also applies to appraisals that they have delegated, through checking with the appraiser.

3.6 All Appraisers

- Arrange a mutually convenient date and time for the appraisal meeting, giving a minimum of 2 weeks' notice in advance of this.
- Ensure they are familiar with the process and undertake relevant appraisal training as required.
- Provide the employee with sufficient time within work to prepare for the

appraisal, including time to log on to uLearn.

- Ensure all necessary documentation, via uLearn, is fully completed and relevant sections submitted to required deadlines. This is both pre and post appraisal review meeting.
- Monitor, review and together with the employee, rate performance and progress in relation to the objectives throughout the year, via one-to-one, supervision and informal discussions, taking appropriate action where there is a failure to meet acceptable standards of performance
- Ensure equity of approach for all employees they appraise.
- Support individuals in participating in their appraisal and facilitate ongoing development agreed within PDPs
- Ensure all registered professionals, e.g. Nurses, Allied Health Professionals, demonstrate the maintenance of up to date knowledge, meet the requirements of their registration and display commitment, compassion and a caring approach.
- Familiarise themselves with professional/clinical requirements for staff that they are responsible for appraising.
- Review appraisee's in accordance with standards (please see Appendix 1)
- Appraisers to seek feedback on the appraisee from the line manager or other suitable individual this duty has been delegated from

3.7 Appraisee

- Take responsibility for their own appraisal and request an appraisal meeting in a timely manner.
- Adequately preparing for their appraisal, including consideration of their performance over the previous twelve months against the Trust appraisal standards (see Appendix 1), previously agreed individual/role specific objectives (including examples to demonstrate this), their behaviour and attitude aligned to Trust values.
- Accessing uLearn to complete and submit their appraisal via ULearn prior to the appraisal meeting. The appraisal form should be completed with sufficient details and examples to provide rational for the performance score that has been selected.
- Articulate their personal and career ambitions.
- Identify any developmental needs they may have to support their job performance, achievement of objectives and professional or CPD requirements.
- Registered professionals, e.g. Nurses, Allied Health Professionals, must further demonstrate the maintenance of up to date annual learning portfolio (e.g. NMC revalidation) to meet the requirements of their registration and demonstrating commitment, compassion and a caring approach.
- Fully participate and contribute to the annual appraisal meeting and, together with appraiser, review and rate performance and progress
- Monitor and assess own achievements throughout the year against the agreed objectives and standards.
- Take personal responsibility for their own development and accountability in

their job role by demonstrating positive standards of behaviour in line with Trust values.

- To raise concerns in respect of own issues arising from appraisal via the appraiser and/or line manager. Support for resolution of any disagreements arising from the appraisal discussions and performance rating will be provided by the appraiser's manager. Where there is failure to agree, the appraiser's manager's decision is final and there is no further right of review.

3.8 Organisational Development

- Provide organisational support to make training available in relation to the appraisal policy and process.

3.9 Workforce Systems and Workforce Information

- Record, report and monitor appraisal completion rates across the organisation.
- Provide reports in relation to rating scores.
- Provide advice, guidance and support on the appraisal process
- Receive and process Manual Pay Step Submission forms

3.10 Operational Human Resources

- Provide support to the appraiser's manager with resolving disagreements between appraiser and appraisee if required.
- Provide advice, guidance and support on the appraisal process

3.11 Employee Services

- Maintain ESR with correct pay step points.

4.0 Key Principles of Appraisal

4.1 Every employee will participate in an annual appraisal. This provides an opportunity for the appraisee and appraiser to reflect on the appraisee's contribution, performance, health and wellbeing, career aspirations and leadership behaviour's during the previous 12 months. Identify what is required for the next year and agree a personal development plan. All employees will achieve an overall performance rating which will determine annual pay step progression.

In order for pay step progression to take place, appraisals need to be undertaken, recorded and signed off on uLearn in the two month window before the month in which the increment is due. For example: increment date 9 April, appraisal must be undertaken on or after 1 February and be signed off on uLearn by 31 March (please see Appraisal section on uLearn for further information).

Where this has not been undertaken a manual pay step review form will need to be completed. Please use the Pay Policy for more information on pay progression.

4.2 To avoid delaying appraisals and pay step progression, appraisal can be delegated to another appropriate appraiser, for example, where the identified appraiser is on prolonged leave. Delegation can be upwards to the appraiser's manager. Appraisal should be delegated to someone who has an understanding of the post and the duties of the appraisee.

4.3 Appraisal is a two-way discussion, and provides the opportunity to reflect on the appraisee's contribution during the previous 12 months and will consist of:

- Review and recognition of performance against agreed leadership behaviour's. (N.B. This should be a 'no surprises' discussion)
- Discussion about leadership behaviour's aligned to organisational values
- Assessment of competence in role
- Agreement of future work related objectives
- Identification of future development needs
- Establishment of an overall performance outcome score.

4.4 All individuals will be appraised against the following criteria:

- Role / Individual Specific Objectives
- Leadership Behaviour's.

An overall Performance outcome will be agreed using the following:

Definition of performance outcome	Outcome Score
Exceeds expectations and consistently displays leadership behaviours on a day to day basis	5
Acceptable in all areas	4
Some areas for improvement	3
Significant areas for improvement	2
Unacceptable	1

A full explanation of the performance outcomes is provided at Appendix 2

4.5 The appraisal should be carried out, where possible, by the immediate line manager/supervisor of the employee. However, managers with large numbers of direct reports can delegate to another appropriate appraiser. The maximum number of individuals a Whole Time Equivalent (WTE) appraiser should be responsible for appraising in a 12 month period is 10. However, it is at the line

manager's discretion regarding whether they have capacity to carry out more than this. This should be reviewed regularly. Managers need to be aware that pay step progression is subject to all appraisals having been completed for all their staff as required.

4.6   To get the most from the annual appraisal review meeting it is important for both the appraiser and appraisee to give some thought and preparation about the appraisee's achievements in advance.   Time will be facilitated during working hours to enable this of one hour. If it is felt further time is required individuals should raise this with their manager.

4.7   All staff's personal objectives need to be aligned to the organisational objectives and priorities for the year ahead.

4.8   All staff will be asked to share their career aspirations as part of the appraisal and will be supported via the uLearn Resource pages.

4.9   The annual appraisal review meeting is only one element of effective performance management. Discussions regarding work performance, progress with objectives, and development needs should take place regularly throughout the year between the individual and their line manager.   This could be undertaken via one-to-one meetings, supervision sessions, informal discussion etc. However, at least a formal half year review will be carried out as a minimum, as part of regular one to one meeting's or management supervisions.

4.10   Where agreement cannot be reached, between the appraiser and appraisee, regarding the performance rating, the appraisee will have the right to request a review by the appraiser's manager, whose decision will be final.

4.11   The appraisal discussion will be formally recorded using uLearn. The content of the appraisal discussion and associated documentation should be treated confidentially.

4.12   The appraisal must be signed off by both appraiser and appraisee on uLearn by the required deadline to ensure pay step progression is processed where applicable to ensure   monitoring of compliance and performance ratings can be maintained. All appraisers have the authority to authorise approval of pay step progression following appraisal where appropriate.

5.0   New Starters/New to Role/Secondments

5.1   Managers should discuss the principles of appraisal at LPT with new employees within their first two weeks in post, providing an opportunity to clarify expectations.

5.2 An initial appraisal will take place with all new starters (either new to the organisation or to role) within 3 months of commencement in post, to measure initial performance in the role, set any role specific objectives, and identify areas for development. This can be undertaken in conjunction with the 3 month review under the Probation Policy. Progress should then be regularly monitored, and a further appraisal will take place prior to completion of 12 months in post in line with individual's pay step progression date. Upon return to the substantive post, any outstanding appraisal actions are reviewed as appropriate.

5.3 Newly qualified healthcare professionals should be appraised with consideration to the requirements of the Preceptorship Policy and Programme.

5.4 Individuals on secondment should have an appraisal before taking up the secondment to discuss and document progress to date within that appraisal year. Whilst on secondment they should participate in appraisal for the seconded role. This includes staff undertaking an educational course as part of a seconded role. For example; school nurses undertaking SCPHN.

6.0 Right of Review Process

6.1 Where agreement cannot be reached, between the appraiser and appraisee, regarding the performance rating, the appraisee will have the right to request a review by the appraiser's manager, whose decision will be final.

6.2 Requests for reviews must be lodged with the appraiser's manager within 10 working days of the appraisal in writing (emails are acceptable) using the template provided at Appendix 3. In requesting a review the individual must state clear grounds for a review, including details of where they believe their appraisal has not been an accurate assessment of their performance and provide examples.

6.3 The appraiser's manager will hear the review within 21 calendar days of receiving the request for a review. It may be appropriate for the appraiser's manager to use peer review or specialist support in considering a review if they do not have sufficient knowledge of the role of the individual under review. It is the responsibility of the appraiser's manager to decide if they wish to use peer review or specialist support in the review.

6.4 Should a review result in pay step progression being reinstated, the employee will receive their pay step backdated to their pay step date.

7.0 Due Regard

7.1 The Trust's commitment to equality means that this policy has been screened in

relation to paying due regard to the general duty of the Equality Act 2010 to eliminate unlawful discrimination, harassment, victimisation, advance equality of opportunity and foster good relations. A full due regard assessment has been undertaken and is available at appendix 8.

8.0 Training Needs Analysis

8.1 There is a need for training identified within this policy. In accordance with the classification of training outlined in the People Strategy and the Learning & Development Approach, this training has been identified as role essential for managers and appraisers.

8.2 A record of the event will be recorded on uLearn.

8.3 The governance group responsible for monitoring the training is the Learning & Organisational Development Group.

9.0 Monitoring Compliance and Effectiveness

Systems	Monitoring and/or audit			
Criteria	Measurable	Frequency	Reporting to	Action plan/ monitoring
All staff will have an annual appraisal	Reports from uLearn IQPR	Monthly	Directors/Heads of Service of Clinical, Enabling and Hosted Services. SWG Trust Board L&OD Group	Director of HR and OD
Appraisal quality assurance report	Reports taken from uLearn	Bi-Annual	L&ODG	

10.0 Standards and Key Performance Indicators:

10.1 The table below details the standard and performance indicators that relate to this policy.

TARGET/STANDARDS	KEY PERFORMANCE INDICATOR
Care Quality Commission outcome 14	All available staff have received an appraisal within the previous 12 months.

11.0   Dissemination and Implementation

11.1   The policy is approved by the Leicestershire Partnership NHS Trust Learning & Organisational Development Group and is accepted as a Trust wide policy. This policy will be disseminated immediately throughout the Trust following adoption.

12.0   References

12.1   This policy was developed with reference to the following:
- NHS Constitution
- Francis Report
- NHS Outcomes Framework
- The Equality Delivery System 2
- NHS Terms & Conditions Handbook
- NHS Staff Council
- NHS Employers

13.0   Associated Policies

13.1   To support effective implementation and understanding the following policies and procedures are signposted for additional guidance.
- Anti-Bullying, Harassment and Victimisation Policy
- Disciplinary Policy
- Equality and Human Rights Policy
- Grievance and Disputes Policy and Procedure
- Recruitment and Selection Policy
- Supporting Performance Policy
- Management of Ill-Health Policy
- Study Leave Policy
- Professional Registration Policy
- Induction Policy
- Pay Policy
- Preceptorship Policy
- Supervision Policy

These policies can be found on Staffnet

Appraisal Standards

Organisational Expectations
1. Leadership Behaviours   • Valuing one another   • Recognising and valuing peoples differences   • Working together   • Taking personal responsibility   • Always learning and improving

NEW - Overall Appraisal Performance Outcomes

In response to staff and manager feedback we have reduced the number of ratings for the final assessment section. Ratings 6 & 7 have been removed and should not be used.

Definition of Overall Performance Outcome	Outcome Score
Exceeds expectations. Exceeds expectations and requirements of their role and are demonstrating our Leadership Behaviours on a day to day basis.	5
Consistently meets requirements of role. There have been no issues with performance during the year.	4
Some areas for improvement. Delivers against the majority of requirements of their role. Some development needs or improvements required. Note: This may be someone who is new to the role.	3
Significant areas for improvement. Does not deliver against the majority of the requirements of their role. Note: The expectation is that the individual would be managed under the Performance Management Policy to help address this.	2
Unacceptable Does not meet requirements for any area of their work. Robust action plans required to address this level of performance. Note: It is recognised that few individuals should reach this stage of performance assessment. This should be managed in line with the Performance Management Policy.	1

Please note: it is expected that the majority of staff would achieve a score of 4 as they will be performing as required and delivering against the requirements of their role. Those staff who are new to post or on a development plan would gain a 3 and those who are exceeding the requirements of their role and are living our Leadership Behaviours on a day today basis would gain a 5. We are moving to an updated system and will no longer be using the score of 6 and 7, so please do not use these options.

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Appraisal Policy - Request for Review

Please refer to the Appraisal Policy prior to completion of this form.

SECTION A – to be completed by the Appraisee

Name of employee requesting review…………... …………………….....................

Job Title……………………………………………….....................................

Employee Number……………………………………………………………..

Department/Service Area………………………………………........................

Contact Telephone Number…………………………………….........................

Work Address……………………………………………………………………

…………………………………………………………………………………....

I am requesting a review of the outcome of my annual appraisal review meeting in line with the Appraisal Policy. I have discussed this with my appraiser:

Name and job title of appraiser…………………………………........................

Name of appraiser's manager……………………………………………………

Date of appraisal…………………………………………………………………..

Please indicate where you believe there has not been an accurate assessment of your performance and provide examples:

Area	√	Example
Organisational Expectations		

Leadership Behaviours • Valuing one another • Recognising and valuing peoples differences • Working together • Taking personal responsibility • Always learning and improving		
Role/Specific Objectives *(provide details of objective)*		
Overall performance		

Signature…………………………….. Date completed……………………….

SECTION B – to be completed by the Appraiser's Manager following the review.

Name of employee requesting review……………... …………………….....................

Job Title…………………………………………………………………………………....

Employee Number………………………………………………………………………..

Department/Service Area………………………………………………………………...

Contact Telephone Number………………………………………….........................

Work Address……………………………………………………………………………

……………………………………………………………………………………………....

Section Below for Completion by appraiser's manager	
Outcome	
Appraiser's Manager signature	
Date Completed	
Date individual informed.	

IMPORTANT
SECTION B MUST BE RETURNED TO WORKFORCE INFORMATION TO ENSURE ACCURATE RECORDS OF PAY PROGRESSION ARE MAINTAINED.

SECTION A TO BE MAINTAINED ON INDIVIDUAL PERSONAL FILE

Policy Training Requirements

The purpose of this template is to provide assurance that any training implications have been considered

Training topic:	Appraisal
Type of training:	☐ Mandatory (must be on mandatory training register) x Role specific ☐ Personal development
Directorate(s) to which the training is applicable:	x Adult Learning Disability Services x Adult Mental Health Services x Community Health Services x Enabling Services x Families Young People and Children's Services x Hosted Services
Staff groups who require the training:	People who are responsible for appraising staff
Update requirement:	Once only. Available as refresher should the individual require it.
Who is responsible for delivery of this training?	Organisational Development
Have resources been identified?	Yes
Has a training plan been agreed?	Yes
Where will completion of this training be recorded?	x Trust learning management system ☐ Other (please specify)
How is this training going to be monitored?	Course evaluations. Quality of appraisal through review of policy in first 12 months and feedback from staff appraised. The monitoring will be through L&OD Group.

Policy Monitoring Section

Criteria Number & Name: Appraisal Policy

Duties outlined in this Policy will be evidenced through monitoring of the other minimum requirements

Where monitoring identifies any shortfall in compliance the group responsible for the Policy (as identified on the policy cover) shall be responsible for developing and monitoring any action plans to ensure future compliance

Reference	Minimum Requirements	Self-assessment evidence	Process for Monitoring	Responsible Individual / Group	Frequency of monitoring
Section 10.0	80% of all staff have an annual appraisal	Monthly Appraisal rates	IQPR	Head of Organisational Development/ Head of Workforce Support / SWG	Monthly

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The NHS Constitution

NHS Core Principles – Checklist

Please tick below those principles that apply to this policy

The NHS will provide a universal service for all based on clinical need, not ability to pay.

The NHS will provide a comprehensive range of services

Shape its services around the needs and preferences of individual patients, their families and their carers	☐
Respond to different needs of different sectors of the population	☐
Work continuously to improve quality services and to minimise errors	☐
Support and value its staff	X
Work together with others to ensure a seamless service for patients	☐
Help keep people healthy and work to reduce health inequalities	X
Respect the confidentiality of individual patients and provide open access to information about services, treatment and performance	☐

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SIX MONTH APPRAISAL REVIEW TEMPLATE

Use this prompt sheet to make notes during face to face six month appraisal review meeting. You can type up your notes and upload this form on to the Appraisee's uLearn site.

	Looking Back	
No	**Discussion Areas**	**Comments**
1.	**Discussion of Objectives Set at Last Appraisal** These will not appear on uLearn in year one so should be completed on paper.	
2.	**Organisational Expectations Leadership Behaviours** • Valuing one another • Recognising and valuing peoples differences • Working together • Taking personal responsibility • Always learning and improving	
3.	**Documents to Discuss** - Check if the appraisee has uploaded any documents on their appraisal form	
4.	**Feedback to Discuss** - Check if the appraisee has	

	received any feedback on their appraisal form	
	Looking Forward	
5.	**Future Objectives** (note any changes)	
6.	**Future Actions** - Personal Development Plan	
7.	**Keeping in Touch** - How and when will you and the appraisee review this appraisal?	

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Full Due Regard (Equality Analysis)

Overview

Organisation	Leicestershire Partnership NHS Trust
Service area	HR & OD
Unit/Team	Organisational Development
Lead Officer Responsible for Due Regard	Fiona McNamee
Proposal Subject/Title	Appraisal Policy

Aims of the Due Regard (Equality Analysis)

What are the aims and scope of the proposal? Indicate if this is a new proposal or the review of an existing one? (The term 'proposal' covers *activities such as, policy development, policy review, service redesign and internal reorganisation or restructuring processes*)	To undertake a Due Regard on the implementation of Appraisal Policy to minimise any disadvantage or adverse impact as a result of its implementation. It was agreed that a review of the policy would be undertaken, once it had been familiarised by staff across the Trust. A review is now being implemented with some changes to ensure the policy is robust.
Provide a summary of the current activity to which the proposal relates e.g. policy or service structure and provision and the reasons for the changes being proposed? (State if the proposal involves relocating a service to another site; extended service hours; puts staff at risk or involves significant change)	The objective is to ensure the policy provides opportunities for all staff to participate in the appraisal procedure and maximise the opportunities for future development within the Trust. The current policy has gaps in clarity around the incremental progression, mitigation and scoring and working within the scoring and the timescales of appraisals for staff. Additionally, there is an absence around revalidation and clinical supervision in the documentation.

Options/mitigations	The mitigations are to ensure that the policy and process is applied fairly and consistently across the Trust, so that no individual identified under the Equality Act 2010 is treated less favourably.
	In light of the changes, the due regard is being further extended to ensure any changes do not adversely impact on protected groups.

Phase 1: Gathering information

List examples of background information that you think are **relevant**. If carrying out an assessment of a proposal, this section should include the data used to establish whether the proposal has an impact. Where possible refer to web-links to data sources used.

Type of information	Findings
Data on user trends (i.e. patient/service user/population)	The policy was circulated to staff across the Trust to gain feedback on the process implemented. The two-week consultation period ended Staff side are due to review the changes on A further 7 day consultation period is being used to engage staff and union representatives on the changes in the policy.
Benchmarking	n/a
Dates on consultation with **staff**	
Dates on consultation with **patients/service users**	Not applicable
Results of consultation (highlighting which stakeholders groups were involved in context of protected characteristic/equality groups).	Feedback re policy discussed and changes made to policy before final sign off. This is an internal policy that affects staff only.

Phase 2: Impacts

From the evidence outlined above use this section to identify the risks and benefits according to the different characteristics protected by the Equality Act 2010.

All/general: Any issue that cuts across a number of protected characteristics

Issue/option	Positive Impact or benefits	Negative impact or risks	Action Required
Fairness and consistency of appraisal and right of review process. The proposal has been developed which will be subject to open and transparent engagement with all concerned. Any issues or concerns based on any protected characteristics or otherwise will be considered and acted upon accordingly.	**Good employee relations**		Training and support for appraisers and appraises
Overall, there are no significant changes in the policy that impact adversely on protected groups. However, this policy relies on managers adopting a consistent approach for staff within their direct line management. Consideration is being given to providing support and training to appraisee's (face to face).	This will be a positive impact that will enable staff to gain better understanding of the system and address any concerns.	n/a	OD to adapt existing training to comply with the new pay deal NHS terms and conditions pay step progression Annex 23 Appropriate monitoring and review of appraisals is undertaken against the protected characteristics to ensure no individual is adversely impacted upon in comparison to others.

Age: Where a person is at risk of unfair treatment because of their age group

Consider access to services or employment based on need/merit not age, effective communication strategies etc.			
Issue/option	Positive Impact or benefits	Negative impact or risks	Action Required
as above	As above		None as proposal is for the whole service

| There are staff that have been with the Trust for some years and this is more likely to affect age groups/length of service of staff. | n/a | Staff within this age group/length of service will be more likely to resist the appraisal process, due to being at the top of the Agenda for Change banding process.

The appraisal process has been introduced to deal with such matters. | Staff have a responsibility to meet the requirements under the role. Failing to demonstrate capability or refusal to engage may lead to performance or disciplinary action. |

Disability and health and wellbeing: All forms of disability recognised under the Equality Act 2010 including sensory impairment, mental health, learning disabilities, dyslexia and mobility related conditions, conditions such as heart disease, diabetes, and asthma. This also covers any impact on health and well being

Consider building access, communication requirements, making reasonable adjustments for individuals etc.			
Issue/option	**Positive Impact or benefits**	**Negative impact or risks**	**Action Required**
Access to IT system to record appraisal	Removes the need for handwritten notes.	May have Issues for staff with dyslexia or general eyesight.	Work with provider of IT system to develop alternative view options. Reasonable adjustments will be considered where necessary in line with the Trust Reasonable Adjustment Policy. Review and evaluation of policy post implementation
Consideration is being given to providing support and training to appraisee's (face to face), due to their identified disability. For example; staff with a learning disability/difficulty.	This will be a positive impact that will enable staff to gain better understanding of the system and address any concerns.	The negative impact will be that the system will not be fair and equitable to someone who has a disability/difficulty, if appropriate reasonable adjustments are not implemented.	OD to discuss and develop appropriate training for Appraisee's that ensures full engagement for all staff, particularly considering people with disabilities. Also, provision to train managers to consider reasonable adjustments during appraisal process.

Gender Reassignment: this relates to a person (or persons) who is proposing to undergo, are undergoing or have undergone a process (or part of a process) for the purpose of reassigning their sex, by changing physiological or other attributes of sex from that which was assigned to them at birth.

Consider privacy of data, harassment, access to unisex toilets & bathing areas etc.			
Issue/option	**Positive Impact or benefits**	**Negative impact or risks**	**Action Required**
The proposal has been developed which will be subject to open and transparent engagement with all concerned. Any issues or concerns based on any protected characteristics or otherwise will be considered and acted upon accordingly.			Review and evaluation of policy post implementation
Managers have a responsibility to consider staff needs and make any reasonable adjustments to accommodate their needs.		No negative impact identified for the target group.	Continue to review the policy (18–24months), ensuring no protected group is excluded from accessing or engaging in the Trust appraisal process.

Marriage and Civil Partnership: people who have or share the common characteristics of being married or of being a civil partner can be described as being in a marriage or civil partnership.

Consider whether civil partners are included in benefit and leave policies etc.			
Issue/option	**Positive Impact or benefits**	**Negative impact or risks**	**Action Required**
The proposal has been developed which will be subject to open and transparent engagement with all concerned. Any issues or concerns based on any protected characteristics or otherwise will be			Review and evaluation of policy post implementation

considered and acted upon accordingly.		
Managers have a responsibility to consider staff needs and make any reasonable adjustments to accommodate their needs.		No negative impact identified for the target group.	Continue to review the policy (18–24months), ensuring no protected group is excluded from accessing or engaging in the Trust appraisal process.

Pregnancy and Maternity: relates to women who are pregnant or within their allocated maternity period; up to 26 weeks after birth.

Consider impact on working arrangements, part-time working, infant caring responsibilities etc.			
Issue/option	**Positive Impact or benefits**	**Negative impact or risks**	**Action Required**
The proposal has been developed which will be subject to open and transparent engagement with all concerned. Any issues or concerns based on any protected characteristics or otherwise will be considered and acted upon accordingly.			Review and evaluation of policy post implementation
Managers have a responsibility to consider staff needs and make any reasonable adjustments to accommodate their needs.		No negative impact identified for the target group.	Continue to review the policy (18–24months), ensuring no protected group is excluded from accessing or engaging in the Trust appraisal process.

Race: All ethnic groups including Asian, Black, East Asian and white minority ethnic groups, including Eastern Europeans and Gypsy and Travellers.

Consider cultural traditions, food requirements, communication styles, language needs etc.			
Issue/option	**Positive Impact or benefits**	**Negative impact or risks**	**Action Required**
The proposal has been developed			Review and evaluation of policy post

			implementation
which will be subject to open and transparent engagement with all concerned. Any issues or concerns based on any protected characteristics or otherwise will be considered and acted upon accordingly.			
Managers have a responsibility to consider staff needs and make any reasonable adjustments to accommodate their needs.		No negative impact identified for the target group.	Continue to review the policy (18–24months), ensuring no protected group is excluded from accessing or engaging in the Trust appraisal process.

Religion/belief: all faiths including Christianity, Islam, Judaism, Hinduism, Buddhism, Sikhism and non-religious beliefs such as Humanism

Consider holiday scheduling, appointment timing, dietary considerations, prayer space etc.			
Issue/option	**Positive Impact or benefits**	**Negative impact or risks**	**Action Required**
The proposal has been developed which will be subject to open and transparent engagement with all concerned. Any issues or concerns based on any protected characteristics or otherwise will be considered and acted upon accordingly.			Review and evaluation of policy post implementation
Managers have a responsibility to consider staff needs and make any reasonable adjustments to accommodate their needs.		No negative impact identified for the target group.	Continue to review the policy (18–24months), ensuring no protected group is excluded from accessing or engaging in the Trust appraisal process.

Sex (Gender): referring to being a man or a woman

Consider gender preference in key worker, single sex accommodation etc.

Issue/option	Positive Impact or benefits	Negative impact or risks	Action Required
The proposal has been developed which will be subject to open and transparent engagement with all concerned. Any issues or concerns based on any protected characteristics or otherwise will be considered and acted upon accordingly.			Review and evaluation of policy post implementation
Managers have a responsibility to consider staff needs and make any reasonable adjustments to accommodate their needs.		No negative impact identified for the target group.	Continue to review the policy (18–24months), ensuring no protected group is excluded from accessing or engaging in the Trust appraisal process.

Sexual Orientation: including heterosexual, gay, lesbian and bisexual people

Consider whether the service acknowledges same sex partners as next of kin, harassment, inclusive language etc.			
Issue/option	Positive Impact or benefits	Negative impact or risks	Action Required
The proposal has been developed which will be subject to open and transparent engagement with all concerned. Any issues or concerns based on any protected characteristics or otherwise will be considered and acted upon accordingly.			Review and evaluation of policy post implementation
Managers have a responsibility to consider staff needs and make any reasonable adjustments to accommodate their needs.		No negative impact identified for the target group.	Continue to review the policy (18– 24months), ensuring no protected group is excluded from accessing or engaging in the Trust appraisal process.

Carers This relates to general caring responsibilities for someone of any age.

Consider impact on part-time working, shift-patterns, options for flexi working etc.			
Issue/option	**Positive Impact or benefits**	**Negative impact or risks**	**Action Required**
The proposal has been developed which will be subject to open and transparent engagement with all concerned. Any issues or concerns based on any protected characteristics or otherwise will be considered and acted upon accordingly	Please refer to Carers Policy and passport		Review and evaluation of policy post implementation
Managers have a responsibility to consider staff needs and make any reasonable adjustments to accommodate their needs.	Managers have the Trust policy on caring responsibilities available to support staff whilst caring for family members.		Continue to review the policy (18– 24months), ensuring no protected group is excluded from accessing or engaging in the Trust appraisal process.

Socio-Economic Status: This can include people on low incomes, as well as issues around rural and urban deprivation – You may wish to include this, although it is beyond the scope of the Equality Act 2010.

Consider ease of access, location of service, historic take-up of service etc.			
Issue/option	**Positive Impact or benefits**	**Negative impact or risks**	**Action Required**
The proposal has been developed which will be subject to open and transparent engagement with all concerned. Any issues or concerns based on any protected characteristics or otherwise will be			Review and evaluation of policy post implementation

Issue/option	Positive Impact or benefits	Negative impact or risks	Action Required
considered and acted upon accordingly			
Managers have a responsibility to consider staff needs and make any reasonable adjustments to accommodate their needs.		No negative impact identified for the target group.	Continue to review the policy (18–24months), ensuring no protected group is excluded from accessing or engaging in the Trust appraisal process.

Other Disadvantaged Groups: This relates to groups experiencing health inequalities such as people living in deprived areas, new migrants, people who are homeless, ex-offenders, and people with HIV.

Consider ease of access, location of service, historic take-up of service etc.			
Issue/option	Positive Impact or benefits	Negative impact or risks	Action Required
The proposal has been developed which will be subject to open and transparent engagement with all concerned. Any issues or concerns based on any protected characteristics or otherwise will be considered and acted upon accordingly			Review and evaluation of policy post implementation
Managers have a responsibility to consider staff needs and make any reasonable adjustments to accommodate their needs.		No negative impact identified for the target group.	Continue to review the policy (18–24months), ensuring no protected group is excluded from accessing or engaging in the Trust appraisal process.

Good Relations: This is where a decision or a change to services may risk creating tensions between community groups in a local area, or has the potential to improve relations between groups.

Issue/option	Positive Impact or benefits	Negative impact or risks	Action Required
The proposal has been developed	Comprehensive and		Review and evaluation of policy post

which will be subject to open and transparent engagement with all concerned. Any issues or concerns based on any protected characteristics or otherwise will be considered and acted upon accordingly	inclusive engagement with all staff affected by proposals		implementation
Managers have a responsibility to consider staff needs and make any reasonable adjustments to accommodate their needs.		No negative impact identified for the target group.	Continue to review the policy (18–24months), ensuring no protected group is excluded from accessing or engaging in the Trust appraisal process.

Phase 3: Findings from the Equality Analysis

Use the space provided below to elaborate on your decision based on the findings of the equality analysis – Please complete one of the following options (1,2, 3 or 4) by adding appropriate comment i.e. option 1 below add 'Yes as no amendments or alterations required to proceed with implementation' or option 2 'Refer to action plan or specific adjustment to allow proposal to proceed to implementation'
1. **Accept the proposal**
2. **Adjust the proposal** - take steps to remove barriers to advance equality. It may involve introducing actions to mitigate the potential effect or to look at how to deliver the proposal in a different way. It *is* lawful under Equality Law to treat people differently in some circumstances, for instance developing single sex provision where required.
3. **Continue the proposal** - despite adverse effects or taking opportunities to advance equality provided the proposals do not unlawfully discriminate and can be objectively justified. *(To identify whether a proposal may unlawfully discriminate due regard should be given to discrimination on the basis of the protected characteristics)*
4.**Stop the proposal** – the policy shows unlawful discrimination and adverse effects that cannot be mitigated.

Phase 4: Action Planning
Based on actions raised in the action required box above

Area for further action	Actions proposed	Lead officer	Link to Equality Objective	When	Resource implications	Outcome
Review implementation of	Agree 6 monthly review following	Fiona McNamee,	All	Timing to be agreed	Invite employees who have	To inform 12 month review of policy and any required changes

policy	implementation to ensure any adjustments to policy are undertaken	Head of Organisational Development			undergone new appraisal process to provide feedback either online i.e. survey monkey or via short feedback form	post implementation
Access to IT systems	Work with provider to develop alternative view options	Nicola Ward, Head of Workforce Support	Disability, health & wellbeing	On-going	External supplier	Provide alternative view options.
Appraisal Training	Face to Face training for appraisee's	Fiona McNamee	All	TBA	Capacity within trainers and staff availability	To review 12 month progress on delivery

Phase 5: Monitoring and Publishing

a) How will the proposal be monitored and by whom?
Learning and Organisational Development Group, Workforce and Wellbeing Group and Strategic Workforce Group. Sample audit of appraisals to check for quality, consistency and fairness across protected groups, identified under the Equality Act 2010.

b) What are the arrangements for distributing this Equality Analysis where and by whom?
Distribution will take place with the policy to Executive Team, Senior Managers and staff side.

What Happens Next?

Once a plan has been put in place to mitigate against adverse impacts, the Equality Analysis should then be signed off by the Director/ Head of Service. Following this, the proposal can then be implemented. It is important to remember that Equality Analysis is not a one off process. It is important therefore, to be alert to emergent equality impacts throughout implementation.
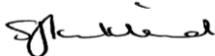
Phase 6: Governance

Due Regard findings addressed in Board Report (or other relevant governance body)	Policy adopted at LODG, WWG and SWG
Have staff been involved in developing the Due Regard?	Via consultation on policy
Have community organisations/patients/service users and carers been involved?	N/A
Date Completed	1/4/19
Review date (Review at least once every three years unless otherwise stated)	As per policy As per policy
Sign off by Director or Head of service	
Date copy of equality Analysis emailed to **Equality and Human Rights Team**	03/11/14 20/09/16 1/4/19

Need Support from the Equality and Human Rights Team?
Telephone 0116 295 7680 or email equality@leicspart.nhs.uk or visit Staffnet

DATA PRIVACY IMPACT ASSESSMENT SCREENING

Data Privacy impact assessment (DPIAs) are a tool which can help organisations identify the most effective way to comply with their data protection obligations and meet Individual's expectations of privacy. **The following screening questions will help the Trust determine if there are any privacy issues associated with the implementation of the Policy. Answering 'yes' to any of these questions is an indication that a DPIA may be a useful exercise. An explanation for the answers will assist with the determination as to whether a full DPIA is required which will require senior management support, at this stage the Head of Data Privacy must be involved.**	

Name of Document:	**Appraisal Policy**	
Completed by:	**Fiona McNamee**	
Job title	**Head of Organisational Development**	Date 01/9/20

Screening Questions	Yes / No	Explanatory Note
1. Will the process described in the document involve the collection of new information about individuals? This is information in excess of what is required to carry out the process described within the document.	No	
2. Will the process described in the document compel individuals to provide information about them? This is information in excess of what is required to carry out the process described within the document.	No	
3. Will information about individuals be disclosed to organisations or people who have not previously had routine access to the information as part of the process described in this document?	No	
4. Are you using information about individuals for a purpose it is not currently used for, or in a way it is not currently used?	No	
5. Does the process outlined in this document involve the use of new technology which might be perceived as being privacy intrusive? For example, the use of biometrics.	No	
6. Will the process outlined in this document result in decisions being made or action taken against individuals in ways which can have a significant impact on them?	No	
7. As part of the process outlined in this document, is the information about individuals of a kind particularly likely to raise privacy concerns or expectations? For examples, health records, criminal records or other information that people would consider to be particularly private.	No	
8. Will the process require you to contact individuals in ways which they may find intrusive?	**No**	

If the answer to any of these questions is 'Yes' please contact the Data Privacy Team via **Lpt-dataprivacy@leicspart.secure.nhs.uk** **In this case, ratification of a procedural document will not take place until review by the Head of Data Privacy.**	
Data Privacy approval name:	Sam Kirkland, Head of Data Privacy
Date of approval	23/09/2020

Acknowledgement: This is based on the work of Princess Alexandra Hospital NHS Trust