

# Appraisal Policy

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

Key Words:	Appraisal, PDR, PDP	
Version:	8.0	
Approved by:	Strategic Workforce Group	
Ratified by:	People and Culture Committee	
Date this version was ratified:	16 January 2024	
Please state if there is a reason for not publishing on website:	N/A	
Review date:	August 2026	
Expiry date:	January 2027	
Type of Policy	Clinical	Non Clinical ✓
Which Relevant CQC Fundamental Standards:	14	

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Further guidance to support this policy is available via Staffnet.

## Version Control and Summary of Changes

Version number	Date	Comments
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.
8	01/09/23	Changes made to the overall appraisal process 2023 (appendix 8). Review of policy against current processes. Update of the health and wellbeing appraisal grid (2023 version) (4.10 and appendix 9) and EDI objective (4.9). Review against agreed appraisal objectives added (4.4). Addition of 'objective' definition on page 5. Removal of reference to two-month window for appraisals (4.1). Additional information around objective setting (4.8). Changes made to key principles of appraisal and process (section 4) to include process flow chart (appendix 8). Changes made to the link with probation periods for new starters (5.2 and appendix 8). Inclusion of 1:1 / supervision template (appendix 6). Amends throughout of reference to assurance committees/groups and accountable job roles.

**All LPT Policies can be provided in large print or Braille formats, if requested, and an interpreting service is available to individuals of different nationalities who require them.**

**For further information email: [org.developmentteam@nhs.net](mailto:org.developmentteam@nhs.net)**

## Key individuals involved in developing and consulting on the document

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Wider Consultation	All LPT Staff Bands 7 and above

## Governance

Level 2 or 3 approving delivery group	Level 1 Committee to ratify policy
Strategic Workforce Group	People and Culture Committee

## 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 promotes 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, sex (gender), gender reassignment, sexual orientation, marriage and civil partnership, race, religion or belief, pregnancy and maternity.

If you would like a copy of the policy in another format please contact the Corporate Governance Team,

## Definitions that apply to this Policy

<b>Appraisal</b>	An opportunity for appraiser and appraisee to discuss and review contribution over the past 12 months, or for new starters since their start date, recognise performance, discuss behaviours, address annual professional standards measures, set future objectives and agree personal development plan.
<b>Appraisal Form</b>	The document which records the appraisal conversation, including leadership behaviours and development needs discussed.
<b>Appraisee</b>	The individual being appraised.
<b>Appraiser</b>	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
<b>Objectives</b>	A series of described short, medium and long term tasks for the appraisee to take forward and achieve by the next appraisal.
<b>Due Regard</b>	Having due regard for advancing equality involves: <ul style="list-style-type: none"> <li>• Removing or minimising disadvantages suffered by people due to their protected characteristics.</li> <li>• Taking steps to meet the needs of people from protected groups where these are different from the needs of other people.</li> <li>• Encouraging people from protected groups to participate in public life or in other activities where their participation is disproportionately low.</li> </ul>
<b>Pay Step Progression</b>	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.
<b>Leadership Behaviours</b>	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.
<b>Personal Development Plan (PDP)</b>	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.
<b>Role/Individual Specific Standards</b>	Additional objectives and standards agreed in relation to the appraisee's specific role against which performance is appraised and recognised.
<b>uLearn</b>	The online system used for recording and monitoring appraisals in LPT. All staff and managers have access to uLearn.

## 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.

All staff should act in accordance to our Trust leadership behaviours for all and be able to evidence adherence in situations involving stress at work. A fundamental approach to developing our Leadership behaviours for all is our ability to both give and receive feedback in a positive and insightful way. The feedback method is based on defining; Context, Understanding, Behaviour and Effect (CUBE).

## 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<sup>1</sup> 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 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

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<sup>1</sup> *Leadership and Engagement for Improvement in the NHS – Kings Fund Leadership review May 2012*

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, all parts of the appraisal process are completed, and done in a way that does 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 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 and advance equality of 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 and ensure that relevant training is in date and professional standards questions completed.
- 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, and that all relevant parts of the appraisal form are completed. 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.
- Ensure an equality objective is set as part of the appraisee's objectives (see 4.8)
- Ensure that the wellbeing grid is discussed as part of the appraisal, and in support of all and any ongoing wellbeing discussions, 1:1s, reasonable adjustments, occupational health guidance, flexible working agreements, and wellbeing check-ins.
- 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 all relevant sections and submit their appraisal via uLearn prior to the appraisal meeting. The appraisal form should be completed with sufficient details, examples, and evidence to provide rationale 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 Human Resources Advisory Team**

- 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 behaviours during the previous 12 months. Identify what is required for the next year and agree a personal development plan.
- 4.2 In order for pay step progression to take place, appraisals need to be undertaken, recorded and signed off on uLearn in preceding 12 months. 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.
- 4.3 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 understands the post and the duties of the appraisee.
- 4.4 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 appraisal objectives and leadership behaviours. (N.B. This should be a 'no surprises' discussion)
  - Discussion about leadership behaviours 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.
  - Confirmation of compliance with mandatory training and professional standards.
- 4.5 All individuals will be appraised against the following criteria:
- Role / Individual Specific Objectives
  - Leadership Behaviours.

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.

- 4.6 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.
- 4.7 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.
- 4.8 All staff's personal objectives need to be aligned to the organisational objectives and priorities for the year ahead.
- 4.9 All staff are required to have an equality objective set in addition to operational and organisational objectives. Guidance is available to access in the relevant section of uLearn.
- 4.10 All appraisal conversations should include a wellbeing discussion. The wellbeing grid is used as a reference guide to both appraisee and appraiser to aid this conversation, which should not be held in isolation to 1:1 meetings, wellbeing check-ins and wellbeing conversations. The grid should be considered in preparation of the appraisal for staff to have the opportunity to access all and any support required, and for this to be discussed and documented as necessary.
- 4.11 All staff will be asked to share their career aspirations as part of the appraisal and will be supported via the uLearn Resource pages.
- 4.12 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, a 6 month review is advised to be carried out as a minimum, as part of regular 1:1 meetings or management supervisions (appendix 6 and 7).

- 4.13 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.
- 4.14 The appraisal discussion will be formally recorded using uLearn. The content of the appraisal discussion and associated documentation should be treated confidentially.
- 4.15 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 and 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 and set initial role specific objectives.
- 5.2 An appraisal will take place with all new starters (either new to the organisation or to role) within 6 months of commencement in post (or within 12 months of the previous appraisal for internal moves, whichever is sooner), to measure initial performance in the role, set any new role specific objectives, and identify areas for development. For new starters who are within their probation period, this initial appraisal must also include the final probation review in line with the Probation Policy.
- 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.
- 5.5 For internal staff new to a role, managers need to ensure they are aware of the last appraisal date to ensure a new appraisal is completed within 12 months.

## **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 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 Trust Training Policy, this training has been identified as role essential for managers and appraisers.
- 8.2 A record of the training will be recorded on uLearn.
- 8.3 The governance group responsible for monitoring the training is the Strategic Workforce Group (SWG).

## 9.0 Monitoring Compliance and Effectiveness

Page / Section	Minimum Requirements to monitor	Self-assessment	Process for Monitoring	Responsible Individual /Group	Frequency of monitoring
Section 10.0	All available substantive staff to have an annual appraisal	Monthly Appraisal rates	Training Flash Report	Head of Organisational Development/ TED	Monthly

## 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 <a href="#">CQC essential standards</a>	All available substantive 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 Strategic Workforce Group (SWG) 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:

- Probation Policy
- Management of Stress at Work Policy
- Dispute Resolution Policy
- Disciplinary Policy
- Equality, Diversity and Inclusion Policy
- Recruitment and Selection Policy
- Supporting Performance Policy
- Attendance Management and Wellbeing Policy
- Study Leave Policy
- Professional Registration Policy
- Pay and Staff Expenses Policy
- Preceptorship Policy
- Supervision Policy.

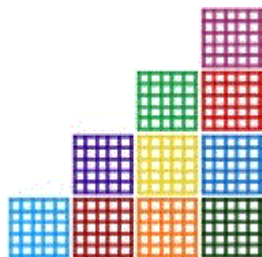
These policies can be found on Staffnet and the Trust website.

## Appraisal Standards

### Organisational Expectations

#### 1. Leadership Behaviours

- Valuing one another
- Recognising and valuing people's differences
- Working together
- Taking personal responsibility
- Always learning and improving.



## Overall Appraisal Performance Outcomes

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

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-to-day basis would gain a 5.



**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  <b>Leadership Behaviours</b> <ul style="list-style-type: none"> <li>• Valuing one another</li> </ul>		

<ul style="list-style-type: none"> <li>• Recognising and valuing people's differences</li> <li>• Working together</li> <li>• Taking personal responsibility</li> <li>• Always learning and improving</li> </ul>		
<p>Role/Specific Objectives</p> <p><i>(provide details of objective)</i></p>		
<p>Overall performance</p>		

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.....

.....

<b>Section Below for Completion by appraiser’s manager</b>	
Outcome	
Appraiser’s Manager signature	
Date Completed	
Date individual informed.	

**SECTION A TO BE MAINTAINED ON INDIVIDUAL PERSONAL FILE**

## Appendix 4 Training Requirements

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### Training Needs Analysis

Training topic:	Appraisal
Type of training: (see study leave policy)	<input type="checkbox"/> Mandatory (must be on mandatory training register) <input checked="" type="checkbox"/> <b>Role specific</b> <input type="checkbox"/> Personal development
Directorate to which the training is applicable:	<input checked="" type="checkbox"/> Mental Health <input checked="" type="checkbox"/> Community Health Services <input checked="" type="checkbox"/> Enabling Services <input checked="" type="checkbox"/> Families Young People Children / Learning Disability Services <input checked="" type="checkbox"/> Hosted Services
Staff groups who require the training:	Line managers and people who are responsible for appraising staff
Regularity of 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?	<input checked="" type="checkbox"/> ULearn <input type="checkbox"/> 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 Strategic Workforce Group (SWG).

## Appendix 5 The NHS Constitution

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- 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	<input type="checkbox"/>
Respond to different needs of different sectors of the population	<input type="checkbox"/>
Work continuously to improve quality services and to minimise errors	<input type="checkbox"/>
Support and value its staff	<input checked="" type="checkbox"/>
Work together with others to ensure a seamless service for patients	<input type="checkbox"/>
Help keep people healthy and work to reduce health inequalities	<input checked="" type="checkbox"/>
Respect the confidentiality of individual patients and provide open access to information about services, treatment and performance	<input type="checkbox"/>

**Contact meeting/ Supervision /Appraisal meeting**

<b>Name</b>	
<b>Manager</b>	
<b>Date</b>	

<b>Discussion Summary</b>	<b>Discussion and Agreed Actions</b>
<p><b>Introduction</b></p> <ul style="list-style-type: none"> <li>• What do you feel has gone well since last 1:1 meeting?</li> <li>• What do you feel has not gone well since last 1:1 meeting?</li> </ul>	
<p><b>Health and Wellbeing</b></p> <ul style="list-style-type: none"> <li>• Discuss any recent sickness or health challenges which impact on individual and team.</li> <li>• Review any MSK concerns?</li> <li>• Has DSE been completed?</li> <li>• Discuss stress levels of individual and team.</li> <li>• Physical, mental, financial wellbeing</li> <li>• Menopause support</li> </ul> <p>The full health &amp; Wellbeing offer can be accessed here:  <a href="https://staffnet.leicspart.nhs.uk/your-working-life/health-and-wellbeing/">https://staffnet.leicspart.nhs.uk/your-working-life/health-and-wellbeing/</a></p>	
<p><b>Work Status and KPI's</b></p> <ul style="list-style-type: none"> <li>• Review any urgent work requirements and priorities.</li> <li>• Review any work backlogs.</li> <li>• Review routine workload commitments.</li> <li>• Any outstanding IT concerns?</li> </ul>	

<ul style="list-style-type: none"> <li>• Review outstanding SystemOne tasks / scanning/copying/typing.</li> <li>• Is the individual effectively time managing/prioritising?</li> <li>• Are there any performance concerns?</li> </ul>	
<p><b>Workplace Relationships</b></p> <ul style="list-style-type: none"> <li>• Any concerns?</li> <li>• Review whether there are any concerns regarding bullying/harassment.</li> <li>• Has the individual provided any support provided to new starters?</li> </ul>	
<p><b>IT / Equipment / Accommodation</b></p> <ul style="list-style-type: none"> <li>• Any outstanding IT concerns?</li> <li>• Any problems with chair / desk or associated equipment?</li> <li>• Any stationary requirements?</li> <li>• Any accommodation challenges?</li> </ul>	
<p><b>Training/Appraisal/Team Meetings</b></p> <ul style="list-style-type: none"> <li>• Is staff member up to date with all mandatory training.</li> <li>• Is any further training required to carry out role?</li> <li>• Review current progress against objectives.</li> <li>• Feedback from any recently attended training or meetings?</li> </ul>	
<p><b>Incidents/Complaints/Concerns/ Compliments</b></p> <ul style="list-style-type: none"> <li>• Review any recent incidents reported.</li> <li>• Discuss learning from any complaints or concerns.</li> </ul>	

<p><b>Annual Leave / Cover arrangements / handover / Timeclock balance</b></p> <ul style="list-style-type: none"> <li>• Discuss upcoming leave plans and review cover arrangements.</li> <li>• Remind re importance of handover.</li> <li>• Review timeclock balance if appropriate.</li> <li>• Are start/times working well for individual and team?</li> </ul>	
<p><b>Personal matters</b></p> <ul style="list-style-type: none"> <li>• Discuss if there are any concerns outside of work.</li> </ul>	
<p><b>Miscellaneous</b></p> <ul style="list-style-type: none"> <li>• Use of personal mobile phone.</li> <li>• Dress code.</li> <li>• Discuss any conduct issues.</li> </ul>	

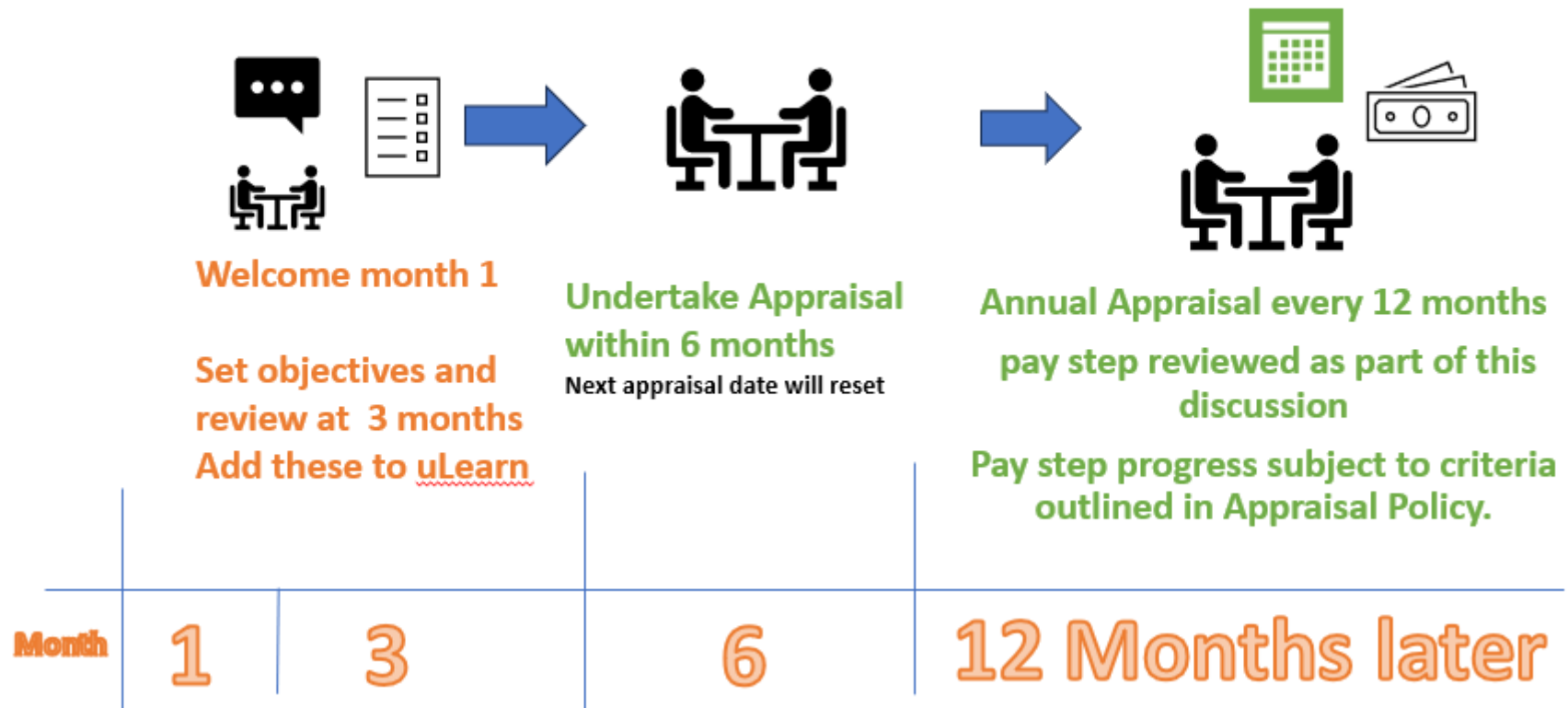
### SIX MONTH APPRAISAL REVIEW TEMPLATE

Use this prompt sheet to make notes during face to face six month appraisal review meeting.

Looking Back		
No	Discussion Areas	Comments
1.	<b>Discussion of Objectives Set at Last Appraisal</b>	
2.	<b>Organisational Expectations Leadership Behaviours</b> <ul style="list-style-type: none"> <li>• Valuing one another</li> <li>• Recognising and valuing people's differences</li> <li>• Working together</li> <li>• Taking personal responsibility</li> <li>• Always learning and improving</li> </ul>	
3.	<b>Documents to Discuss</b> <ul style="list-style-type: none"> <li>- Check if the appraisee has uploaded any documents on their appraisal form</li> <li>-</li> </ul>	
4.	<b>Feedback to Discuss</b> <ul style="list-style-type: none"> <li>- Check if the appraisee has received any feedback on their appraisal form</li> </ul>	
Looking Forward		
5.	<b>Future Objectives</b> (note any changes)	

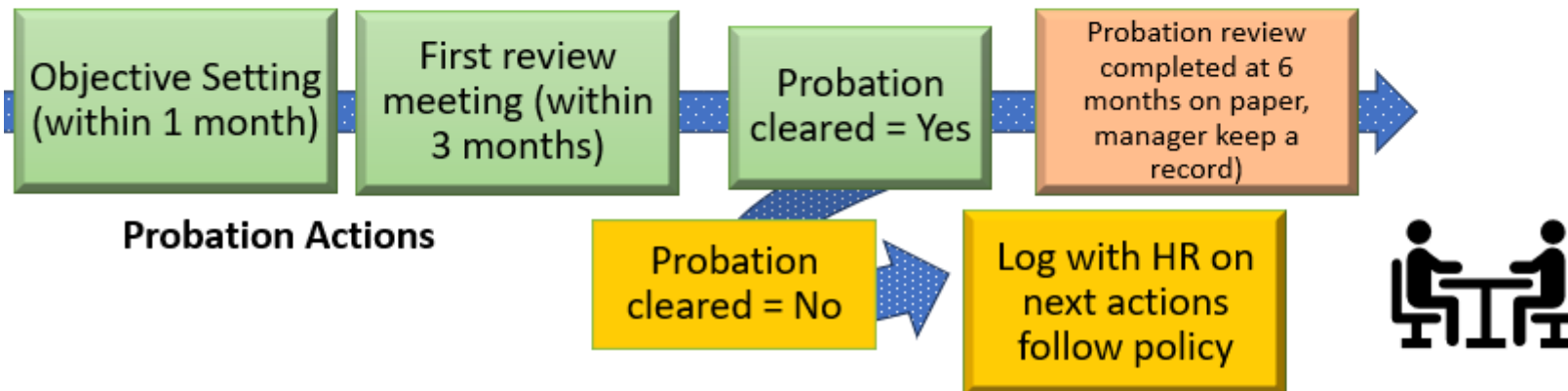
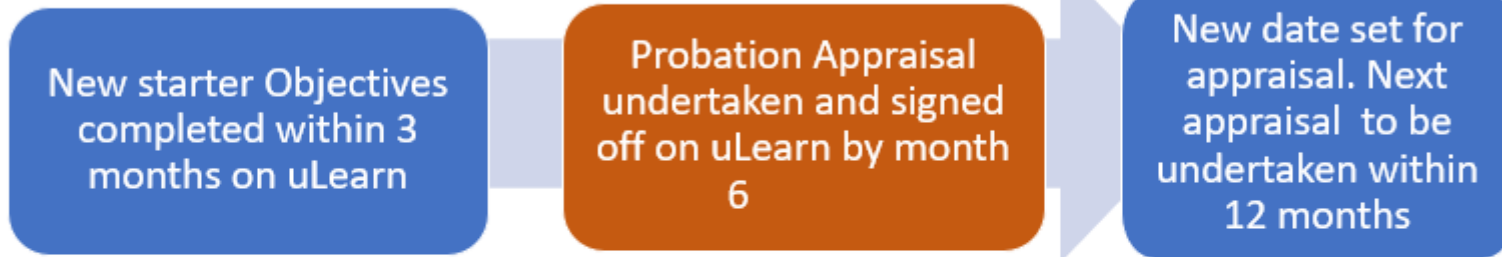
6.	<b>Future Actions</b> - Personal Development Plan	
7.	<b>Keeping in Touch</b> - How and when will you and the appraisee review this appraisal?	

New Starters ( internal & external, return from long term sick or maternity leave.



## New starter – probation and appraisal transition steps

### uLearn Actions



## Health and Wellbeing

Take time to have a wellbeing conversation, which should be a supportive, coaching-style chat that focuses, one-to-one, on your health and wellbeing (e.g., physical, mental, emotional, social, financial, lifestyle, safety) and identify areas where you may need support or signposting to support available.




**Questions you may like to consider:**

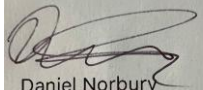
- How is your general wellbeing at the moment?
- What might be having an impact on your health and wellbeing?
- How are things going both in and outside of work?

Flexible Working	Blended working	Reasonable Adjustments	Psychological Wellbeing
<p>Could flexible working help contribute to your wellbeing?</p> <p>Is your working pattern working for you? This is an opportunity to discuss any changes that may benefit your well-being.</p> <p>If you have a current agreement in place this is the opportunity to review it.</p> <ul style="list-style-type: none"> <li>○ <a href="#">Flexible Working Policy and Procedure</a></li> </ul>	<p>Is a blended working arrangement beneficial to your health and wellbeing?</p> <p>As part of the agile working policy, we have guidance and support available to explore the best way of working for your service.</p> <p>Please see the resources to support blended working below.</p> <ul style="list-style-type: none"> <li>○ <a href="#">Agile working Policy</a></li> <li>○ <a href="#">Blended Working Principles</a></li> <li>○ <a href="#">Best Practice for Microsoft Outlook</a></li> <li>○ <a href="#">Meetings Best Practice</a></li> <li>○ <a href="#">Going Home checklist</a></li> </ul>	<p>Do you have a disability or underlying health condition? What adjustments could be made to support you?</p> <p>If you already have reasonable adjustments in place, this is your opportunity to review them. As a Trust we will aim to support adjustments that you may require.</p> <ul style="list-style-type: none"> <li>○ <a href="#">Access the Health Passport</a></li> <li>○ <a href="#">Reasonable Adjustments Information</a></li> <li>○ <a href="#">Remploy</a></li> <li>○ <a href="#">Long Covid, Asthma &amp; COPD</a></li> <li>○ <a href="#">Physical health support</a></li> </ul> <p>Are you aware of the MAPLE (mental &amp; life experience) staff network? Find out more here: <a href="#">LPT Staff Support Networks</a></p>	<p>How is your general wellbeing? How do you feel your mental health and stress levels are at present?</p> <p>What helps you to manage your wellbeing at work? What hinders it?</p> <p>What, if any, support or resources would you benefit from?</p> <ul style="list-style-type: none"> <li>○ <a href="#">Immediate Mental Health Support</a></li> <li>○ <a href="#">LPT Staff Health &amp; Wellbeing Support</a></li> <li>○ <a href="#">AMICA counselling service</a> / Call on 0116 254 4388</li> <li>○ <a href="#">Management of Stress at Work Policy (inc. Stress Risk Assessment)</a></li> <li>○ <a href="#">MIND Wellness Action Plan for Employees</a></li> <li>○ Contact the Listening Ear service on 0150 956 4218 / <a href="mailto:lpt.chaplaincy@nhs.net">lpt.chaplaincy@nhs.net</a></li> </ul>
Occupational Health	Healthy Lifestyle	Carer Responsibility	Staff Networks
<p>Occupational Health seeks to promote and maintain the health and wellbeing of employees, with the aim of ensuring a positive relationship between an employee's work and health. With this in mind are there any issues that Occupational Health could offer you support or advice on?</p> <p>Managers should also consider an OH referral as part of a return to work after long term sickness/ phased return.</p> <p>Have any infection prevention and control measures impacted on you? Have you completed a mandatory skin integrity check?</p> <ul style="list-style-type: none"> <li>○ <a href="#">Occupational Health</a> / Call 0116 225 5431</li> <li>○ <a href="#">Hand Integrity – Infection Protection and Control Team</a></li> </ul>	<p>What usually helps you maintain your wellbeing and health?</p> <p>Would you like to be signposted to any support or resources regarding Smoking, Alcohol, Weight, Exercise, Sleep, Mindfulness?</p> <p>Have you visited the Health and Wellbeing pages on Staff.Net?</p> <ul style="list-style-type: none"> <li>○ <a href="#">Keeping Active</a></li> <li>○ <a href="#">Healthy Eating &amp; Diabetes</a></li> <li>○ <a href="#">Alcohol Awareness</a></li> <li>○ <a href="#">Stop smoking</a></li> <li>○ <a href="#">NHS England wellbeing apps</a></li> </ul>	<p>Are you able to manage to work alongside any carer responsibilities? Are you aware of the Carers staff support network?</p> <p>Do you need flexible working to be considered to help you manage your responsibilities?</p> <ul style="list-style-type: none"> <li>○ <a href="#">Carers Support</a></li> <li>○ <a href="#">Carers Passport</a></li> <li>○ <a href="#">Carers Staff Support Network</a></li> </ul>	<p>Are you aware of the <a href="#">LPT Staff Support Networks</a>?</p> <p>Each informal group meets up at various times, both in-person and online, contact <a href="mailto:lpt.edi@nhs.net">lpt.edi@nhs.net</a> for more information</p> <ul style="list-style-type: none"> <li>• MAPLE (Mental and Physical Lived Experience)</li> <li>• REACH (Race, Equality and Cultural Heritage)</li> <li>• Spectrum (LGBTQ+)</li> <li>• Carers</li> <li>• Neurodiversity</li> <li>• Women's Network,</li> <li>• Armed Forces Community Staff Group</li> <li>• Young People</li> </ul>
DSE	Staff Physiotherapy	Outside of Work	At Work
<p>Have you completed your DSE eLearning?</p> <p>Has anything changed since you did this?</p> <p>Have any issues arisen due to changes that you need to discuss or require support with?</p> <ul style="list-style-type: none"> <li>○ <a href="#">DSE assessment</a></li> <li>○ <a href="#">How to order equipment</a> / Try <a href="#">Warp-it</a></li> <li>○ <a href="#">Health &amp; Safety</a></li> <li>○ <a href="#">Healthy Working Day Resource Sheet</a></li> <li>○ <a href="#">Working From Home – DSE information</a></li> <li>○ <a href="#">Workstation Exercises</a></li> </ul>	<p>Do you have any musculoskeletal problems that would benefit from seeing a physiotherapist?</p> <p>Are you aware we have a self-referral service if you have any musculoskeletal problems?</p> <ul style="list-style-type: none"> <li>○ Access the <a href="#">Staff MSK Physiotherapy Self-Referral Form</a> Email the team on: <a href="mailto:llr.msktherapy@nhs.net">llr.msktherapy@nhs.net</a></li> </ul>	<p>Are there any issues outside of work that concern you that you would like to talk about?</p> <p>Are you aware we have resources to support concerns around finances?</p> <p>Are you aware that we also have support we can offer in cases of domestic violence?</p> <ul style="list-style-type: none"> <li>○ <a href="#">Financial Wellbeing</a></li> <li>○ <a href="#">Our NHS People Bereavement Support</a></li> <li>○ <a href="#">Domestic Violence Policy (For Managers)</a></li> <li>○ <a href="#">Our NHS People substance misuse and gambling support</a></li> </ul>	<ul style="list-style-type: none"> <li>○ <a href="#">Menopause Wellbeing Support &amp; Staff Toolkit</a></li> <li>○ <a href="#">Attendance Management and Wellbeing Policy</a></li> <li>○ <a href="#">Carer development / opportunities</a></li> <li>○ <a href="#">Coaching</a></li> <li>○ <a href="#">People Promise</a></li> <li>○ <a href="#">LHIS</a></li> </ul> <p>Are there any other specific issues regarding your health, safety and wellbeing at work that you would like to raise? If you feel you can't discuss these in your appraisal you can pick them up with a more senior manager, <a href="#">staff side representative: 0116 295 8719</a>, <a href="#">The Freedom to Speak Up Guardians</a>, HR advisor, EDI team: <a href="mailto:lpt.edi@nhs.net">lpt.edi@nhs.net</a>, <a href="#">Staff Engagement Lead</a>, <a href="#">Health &amp; Wellbeing team: lpt.hwb@nhs.net</a></p>

All resources can be found under Health and Wellbeing Conversations section on Staff.Net here: <https://staffnet.leicspart.nhs.uk/your-working-life/>

## Appendix 10 Due Regard Screening Template

Section 1			
Name of activity/proposal		Appraisal Policy	
Date Screening commenced		23/11/23	
Directorate / Service carrying out the assessment		HR & OD	
Name and role of person undertaking this Due Regard (Equality Analysis)		Claire Taylor, Head of Operational HR	
Give an overview of the aims, objectives and purpose of the proposal:			
<p><b>AIMS:</b> 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 understanding of trends enabling the Trust to support staff development and provides a mechanism for recognising and rewarding efforts relating to pay step progression.</p>			
<p><b>OBJECTIVES:</b> 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.</p>			
Section 2			
Protected Characteristic	If the proposal/s have a positive or negative impact please give brief details		
Age	Fairness and consistency of appraisal and right of review process 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.		
Disability	As above. Additionally, if there are any concerns re performance that impact on appraisal due to disability, consideration will be given to supporting appropriate reasonable adjustments in line with the Reasonable Adjustment Policy.		
Gender reassignment	As above.		
Marriage & Civil Partnership	As above.		
Pregnancy & Maternity	As above. Additionally, automatic pay progression is in place for staff on maternity leave to prevent pregnancy-related detriment.		
Race	As above.		
Religion and Belief	As above.		
Sex	As above.		
Sexual Orientation	As above.		
Other equality groups?	As above.		
Section 3			
Does this activity propose major changes in terms of scale or significance for LPT? For example, is there a clear indication that, although the proposal is minor it is likely to have a major affect for people from an equality group/s? Please tick appropriate box below.			
Yes		No x	
High risk: Complete a full EIA starting click <a href="#">here</a> to proceed to Part B		Low risk: Go to Section 4.	
Section 4			
If this proposal is low risk please give evidence or justification for how you reached this decision:			
This policy ensures a clear and transparent process for assessing performance for annual appraisal with appropriate adjustments as needed. Training is available for both appraisers and appraisees.			
Signed by reviewer/assessor		Date	23/11/23
Sign off that this proposal is low risk and does not require a full Equality Analysis			

Head of Service Signed	 Daniel Norbury Deputy Director of Human Resources and Organisational Development		Date	23/11/23
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## Appendix 11 Data Privacy Impact Assessment Screening

<p>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.</p> <p>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.</p>		
<b>Name of Document:</b>	<b>Appraisal Policy</b>	
<b>Completed by:</b>	<b>Claire Taylor</b>	
<b>Job title</b>	<b>Head of Operational HR</b>	<b>Date 23/11/23</b>
<b>Screening Questions</b>	<b>Yes / No</b>	<b>Explanatory Note</b>
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	
<p><b>If the answer to any of these questions is 'Yes' please contact the Data Privacy Team via <a href="mailto:Lpt-dataprivacy@leicspart.secure.nhs.uk">Lpt-dataprivacy@leicspart.secure.nhs.uk</a></b>  <b>In this case, ratification of a procedural document will not take place until review by the Head of Data Privacy.</b></p>		
<b>Data Privacy approval name:</b>		
<b>Date of approval</b>		

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