

HR Policy Cluster - Performance & Development
Annual Appraisal and Pay Progression W12
Procedure – including Flowchart, FAQ's and Relevant
Forms/Paperwork

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Planning and Preparing for Appraisal

1. Why do I need an appraisal?

Every member of Trust staff is required to have an annual appraisal. It's a chance to sit down and talk with your line manager without interruptions about:

- your performance
- your contribution to Trust objectives and patient care
- how you demonstrate Trust Values
- your learning and development
- your aspirations for the future.

It's also a condition of your employment and a requirement for pay progression.

2. How often will I have an appraisal?

Your appraisal will be annual. You may have more meetings with your line manager during the year (e.g. monthly or quarterly) but you must meet formally at least once a year to discuss your appraisal.

3. When will my appraisal be held?

Your appraisal should be held approximately 6 weeks prior to your incremental date.

4. Who will carry out my appraisal?

In almost all cases your line manager or supervisor will carry out your appraisal. In some cases this may be delegated to another appropriate member of staff, but your line manager remains responsible for decisions made at the appraisal and for your pay progression.

5. How do I know when my incremental date is?

You'll find it on your pay slip.

6. How does my line manager know what my incremental date is?

You could tell them, or they can find it on a monthly report. They will be notified about how to find it.

7. What do I have to do to prepare for my appraisal?

Using the Trust Appraisal form, you must think about what you want to discuss and what would make it a meaningful discussion for you. You should make notes on the form about:

- What you want to discuss
- What learning and development you've done (including Statutory and Mandatory training)
- What you've done well over the period
- What you could have done better
- How you've demonstrated Trust Values
- What you want to achieve over the next 12 months
- What support you would appreciate from your line manager

8. I'm on a preceptorship, what does that mean for my appraisal?

Preceptorship is a period of structured transition for the newly registered practitioner during which he or she will be supported by an experienced member of staff, to develop their confidence as an autonomous health professional, refine skills, values and behaviours. The extent to which you have met your preceptorship objectives will form a key part of your appraisal discussion. Newly qualified staff have a six month review as well as an appraisal in your first 12 months.

9. I am on a probationary period how does this impact on my increment and appraisal?

Under HR74 the Trust Probationary Periods Policy, Managers and new post holders should meet during the Induction process to agree written objectives for the following 12 months in post. You will both have other responsibilities during this period, therefore you are advised to read the policy. Your Probationary period is normally for six months and is to allow employees to settle into the organisation, to learn the new job and to receive any required training.

10. Do I have to have an KSF Outline?

No, you may have a set of written objectives instead or be working to a competency framework (e.g. for HCAs).

11. What if I have a competency framework (e.g. HCAs)

How you have met your competency framework will form a key part of your appraisal discussion. After you have successfully met your competency framework, you will have a set of annual objectives.

12. What format will my annual objectives take?

Annual objectives could be in any written format so long as they are clear and achievable and that they include what is expected, by when (or how often) and how they link to Trust Values. Example templates are available on the Learning Zone of the Intranet.

13. What if I don't agree with my line manager that the objectives / KSF outline / competency framework is reasonable?

See sections 3 of the Policy. In the first instance you should speak with your line manager. You may also speak with a Staff Side Representative or a member of the HR Advisory team.

14. Will my increment be automatic?

No, pay progression (the achievement of an increment) is subject to demonstrating a satisfactory year's work. See Section 7.1 and 7.2 of the policy.

15. What if I have more than one appraiser?

Where more than one appraiser contributes to an appraisal, whether in person or by written report, a Lead Appraiser must be identified who has the overall responsibility to recommend the payment or withholding of an increment. The Lead Appraiser will, in most circumstances, be the line manager of the member of staff and will ensure the proper and timely completion of the appraisal meeting and the timely submission of fully completed paperwork.

16. What if I have more than one job role (also called an assignment)?

Where staff have 2 or more assignments in different roles, they must have an appraisal for each role and each appraiser is responsible for authorising the increment for each role.

What Might Affect my Appraisal and/or the Achievement of An Increment?**17. What do I have to do to earn an increment?**

The criteria for achieving an incremental award are:

- Completion of a recorded annual appraisal within 12 months of your previous appraisal
- Compliance with Statutory Safety Update training requirements (unless you have been prevented from attending by the line manager or insufficient places were available as confirmed by the Head of Education).
- Not being subject to a live formal disciplinary sanction, (see section 7.5 of the policy)
- Achievement of your work objectives identified prior to appraisal
- Demonstration of Trust Values in your day to day work
- Not being subject to a live Formal Performance Management Improvement Plan

18. We have a set of team objectives. If we don't achieve them, will that prevent me getting an increment?

An individual cannot be held responsible for failure to achieve a team or departmental performance target unless the contributions of individuals to that objective or target can be identified.

19. I'm a nurse/midwife that is due to Revalidate – how will that affect my increment?

Your Revalidation date may be at any time of year and will not be aligned to your incremental date or appraisal. As a result, you will discuss your progress towards Revalidation in the appraisals prior to your renewal date. A template can be found on the Corporate Nursing pages of the Intranet and should be discussed at your appraisals. You will have a separate meeting with your line manager to sign off your Revalidation application.

20. I've not had a full year to achieve my objectives, will that affect my increment?

No, you can only be expected to achieve objectives that were reasonable in the time that you have had. Ideally this will have been recognised when your objectives were set. The other criteria will still apply and you are expected to have demonstrated Trust Values in your day to day work, not be subject to disciplinary sanctions or a formal Performance Improvement Plan, and be up to date in your Statutory and Mandatory training.

21. What if I have just moved from one team to another, (on the same band), and/or I have a new line manager?

No member of staff should be disadvantaged because they have moved teams or have a new line manager; all staff are required to undertake an Appraisal every 12 months. In these circumstances your new manager should carry out a forward looking Appraisal, setting objectives for the next 12 months. In some cases the new manager will have had feedback on your previous 12 months performance at work to be able to confirm your incremental progression. Where previous feedback is not available on your performance, your increment will not be withheld.

22. I'm on an Informal Performance Improvement Plan (PIP). Will that prevent me getting an increment?

No, an Informal PIP is designed to be a supportive means of improving your performance and can be used at any time with any member of staff.

42. I'm being managed under the Formal Performance Management process. Will that prevent me getting an increment?

The purpose of a Formal PIP and the Formal Performance Management process is to support you to achieve the required standard of performance. If you are being managed under the Formal Performance Management process at the time of the appraisal meeting and there is a record of notification to you that this will affect your ability to earn an increment, your increment will be delayed. You will not be eligible for consideration for an increment until you have achieved the level of performance required for the PIP. It will not be backdated and your incremental date will not change.

23. What if I have a live formal Disciplinary Sanction on my file at the time of my appraisal?

Please refer to section 7.5 of the policy document.

24. What happens if I'm off on short term sickness at the time of my appraisal?

If you are on short term sickness at the time of your appraisal and it cannot be rescheduled prior to your incremental date, you will receive an increment at the normal time unless you have failed to meet the criteria outlined in section 7.1 and 7.2 of the policy document. Your appraisal must be rescheduled as quickly as possible on your return to work.

25. What if my manager is off sick at the time of my appraisal?

If your line manager delays your appraisal meeting because of their sickness absence and it cannot be rescheduled prior to your incremental date, you will receive an increment at the normal time unless you have failed to meet the criteria outlined in section 7.1 and 7.2 of the policy.

26. What if I'm on Maternity/Adoption/Paternity Leave/Long Term Sickness at the time of my appraisal?

If you are on Maternity/Adoption/Paternity Leave or long term sickness leave, you will receive your incremental award in the next qualifying payment period as though you were at work.

27. What if I am on an Employment Break at the time my appraisal is due?

If you commence an Employment Break your incremental pay point will be frozen at exactly the same point as on your last working day. For example, if you commence your Employment Break 8 months into your increment year and you take a 3 month career break, on the date you return your incremental date will be moved to 4 months after your return date, to enable a full 12 months to be worked prior to your incremental date.

28. What if I am Acting Up into a higher banded post?

During the period of your Acting Up, (which should be no longer than six months), you will be paid at the pay rate, appropriate to the post you are doing. On return to your substantive post you will receive an increment, if your incremental date had fallen during the period of Acting Up.

29. What if I am Seconded into a higher banded post?

During the period of your secondment, you will be paid at the pay rate, appropriate to the post you are doing. If your secondment lasts longer than 12 months, you will be eligible for consideration for an increment within that pay band. On return to your substantive post you will be awarded any incremental rises that would have been due during your period of secondment, subject to satisfactory performance.

30. What if I'm suspended from work at the time of my appraisal?

If you are suspended from work at the time of your appraisal, you will receive an increment at the normal time unless you have failed to meet the criteria outlined in section 7.1 and 7.2 of the policy. In these circumstances, your increment will be withheld and an appraisal held as soon as possible after your return to work to determine if it is to be awarded or not.

31. What if my manager delays my appraisal meeting?

If your line manager delays your appraisal meeting and it cannot be rescheduled prior to your incremental date, you will receive an increment at the normal time unless you have failed to meet the criteria outlined in section 7.1 and 7.2 of the policy. Timely completion of staff appraisals is likely to be one your line manager's objectives for a satisfactory year's performance, so it is in their interest as well as yours to ensure that it is held in time and that it is a useful discussion for you both.

32. What if my appraiser is not my line manager? Can they prevent me receiving an increment?

Your appraiser will have spoken to your line manager prior to carrying out your appraisal. Only your line manager (or a disciplinary panel) can authorise the withholding of an increment.

33. If I don't agree with my manager about withholding an increment, can I appeal?

Yes, see section 8 of the Policy.

34. Can I appeal if I think my line manager is being malicious in withholding my increment?

Yes, see section 8 of the Policy.

35. If I appeal, what is the timescale for an appeal?

Refer to section 8 of HR16 Trust Grievance Policy.

36. If I appeal, is my increment paid until the outcome is known?

No, your increment will be withheld. If your appeal is successful it will be backdated to your incremental date.

37. If I don't achieve an increment, when can I be next eligible to achieve it?

If you are on a Performance Improvement Plan, you will be told by your line manager when you have achieved the improvements required and will receive your increment. This will not be backdated to your incremental date and this date will not change.

If you are subject to a live formal disciplinary sanction and have had an increment withheld, you will be eligible for consideration for the payment of an increment at the next incremental date following the expiry of your formal disciplinary warning.

Changing Over to the New Pay and Progression Policy

38. My annual appraisal doesn't fall anywhere near my incremental date at present, so what has to happen?

Your appraisal will be rescheduled by your line manager to fall approximately 6 weeks prior to your incremental date. You may also require a short interim appraisal meeting to ensure that you do not go longer than 12 months without an appraisal.

39. I've never had annual objectives before, so how can I earn an increment?

For the first appraisal only under these amended Agenda for Change terms and conditions of employment, you may discuss what was expected in the period under review and how you demonstrated this. You will then have a discussion with your line manager to agree written objectives for the next 12 months.

Staff on Bands 8c, 8d and 9

40. What if I am on Band 8c, 8d and 9 how does this affect my increments?

The last 2 pay points for staff on Bands 8c, 8d and 9 are non-recurring and are reviewed annually at appraisal. This means that staff in these grades must meet all the criteria to maintain their final 2 pay points. Failure to meet all the criteria in 7.1 and 7.2 of the Policy could result in an increment being removed and you moving down to the pay point below on your incremental date. You will then be eligible for consideration to move back up to the next pay point at your next appraisal.

Examples

Informal PIP

Joe Bloggs has not met the standard required for carrying out tasks related to record keeping. His line manager implements an informal (4-week) Performance Improvement Plan (PIP) on Tuesday 1st March which requires an improvement in his filing accuracy. His appraisal takes place as scheduled on Wednesday 9th March at which it is confirmed that he is up to date with his Statutory and Mandatory training and he consistently demonstrates Trust Values in his work. He is told that even though his informal PIP has only just been put in place, his increment will be paid as normal on his incremental date of 12th April. This is due to the fact that he has met all the criteria in 7.1 of the policy document.

Formal PIP

Joanna Jones has been put onto a formal PIP (8 weeks) for regularly failing to ensure accurate and timely handover of patient care to the staff on the following shift. Her line manager has informed her that this will affect her ability to earn an increment as her appraisal is due within the monitoring period. Joanna makes good progress, such that her line manager signs her off as consistently meeting the standard of handover required after only 6 weeks. Two weeks later her appraisal is held and her line manager confirms that she will be awarded an increment on her normal incremental date. This is due to the fact that she was not on a formal PIP at the time of her appraisal and she has met all the criteria in 7.1 of the policy document.

Formal PIP – Top of the Band

Peter Parker has not met a significant number of his annual objectives as a Band 7 Business Manager. His line manager places him on a formal 12-week PIP and informs him that this will affect his ability to earn an increment as his appraisal falls in 6 weeks' time. At his appraisal, his line manager confirms that, had he not been on the top of the Band already, he would not have been awarded an increment anyway. This is because he was on a formal PIP at the time of his appraisal. His line manager advises him that failure to reach the standards required may lead to further action under the Employee Performance Management Policy (W10).

Disciplinary Sanction - 1

Tommy Smith was issued a formal written warning for 18 months after offensive behaviour to a patient. The warning will run until June 2017. His appraisal is held in April 2016 and Tommy is advised that his increment will be withheld as at the time of the appraisal he had a live formal disciplinary sanction in place which demonstrated Tommy had not met the Trust values. The panel advised Tommy of their decision at the time of the hearing that he will next be eligible for consideration for an increment at his appraisal in April 2018.

Disciplinary Sanction - 2

Mark Morrison is a newly appointed Band 3 team leader who was issued with a formal written warning for 12 months after giving a detrimental reference for an employee which was not in line with Trust Policy. Although the staff member was seriously affected by this reference, Mark had never had any supervisor training and he didn't know he wasn't allowed to give a reference which included personal opinions and his line manager was on long-term sickness. The disciplinary panel decided that Mark should receive his increment as normal reflecting that he was now undertaking supervisor training and also his relative inexperience.

Disciplinary Sanction - 3

Ziggy Zinfandel was issued a formal written warning for 18 months after offensive behaviour to a colleague from another department. Whilst Ziggy argued that she should still receive an increment as the other staff member was in a totally different department and it didn't affect her day to day performance, the disciplinary panel decided otherwise. They thought that her abusive behaviour demonstrated a lack of respect for others and that she hadn't demonstrated the Trust Values. As a result her increment would be withheld for the full 18 month period of her formal warning.

Long –Term Sickness

Sally-Ann Sheerness commences a period of sickness in September and this continues into December when her appraisal is due. Her line manager maintains contact during her absence and informs her that she will receive an increment as normal in January and she will see this in her January payslip.

Employee-Led Appraisal Review

This is your Appraisal and you are expected to prepare for it by thinking through your contribution over the last year and any career aspirations you may have. Please start by completing the table below and share your thoughts with your line manager on what would make this a meaningful and useful appraisal for you.

Your Name			
Your Job Title			
Your next incremental Date (dd/mm/yyyy)		Is your next increment a pay affecting one?*	Yes / No
Reviewer Name			
Reviewer Job Title			
Date of Review Meeting			
Job Description up to date?		Action Required N/A	
Any relevant other interest?	Y / N	Staff are reminded that under the Managing Conflicts of Interest in the NHS Policy, they are required to disclose to their line manager for approval any interests that may impact on their work for the Trust – including secondary employment. Details to be kept on personal file.	
What would make this a meaningful and useful appraisal for you? e.g.: I want to know how my manager thinks I am performing/I want to know how to do my job better/I want to discuss my career prospects and how to progress/I want to know how my role helps meet overall Trust objectives			

An important part of your appraisal is our Trust Values which are part of everything we do. Listed below are some of the behaviours linked to Trust Values that we expect from each other and which must be demonstrated in our day to day work.

Partnering	Working effectively together with patients, families, colleagues, the local health and care system, universities and other stakeholders and through our improvement alliance
Ambitious	Setting and achieving high standards for ourselves personally and for the care we deliver, both today and in the future. Embracing innovation to continuously improve the quality and sustainability of our services
Caring	Showing compassion, respect and empathy for our patients, families and each other, caring about the difference we make for our community
Trusted	Open, transparent and reliable, continuously learning, doing our best to consistently deliver excellent care for our communities

* Please follow the guidance on how to check if your next increment is a pay affecting one and share this information with your line manager to ensure there is no delay in the payment of any increase due to you.

SECTION 1 – Learning and Development Undertaken During the Period Under Review

Statutory and Mandatory Training Fully Compliant?								NO / YES						
Items outstanding and plans to ensure satisfactory completion														
Statutory Safety Update Annual/2-yearly	Date completed	d	d	m	M	y	y	Next Due	d	d	m	m	y	y
Equality and Diversity 3 year training	Date completed	d	d	m	M	y	y	Next Due	d	d	m	m	y	y
Annual Information Governance training	Date completed	d	d	m	M	y	y	Next Due	d	d	m	m	y	y
Child Protection 3 year training/awareness	Date completed	d	d	m	M	y	y	Next Due	d	d	m	m	y	y
Other (e.g. Medical Devices, Safeguarding Adults, Conflict Resolution)														
Other Continuous Professional Development (CPD) or training undertaken in period under review, including any Transforming Care Production System training or activity (use separate TCPS form if appropriate).														

SECTION 2 – Secondary Roles

Do you have a current secondary assignment or other role in the Trust (eg Infection Control or Moving & Handling Link Worker, Champion etc) that is different from your main role?		Yes (please complete below)	No (continue to section 3)
		<input checked="" type="checkbox"/>	
Role Title			
Date role started			
Brief summary of strengths and area for development in Secondary Role	<u>Strengths</u>		
	<u>Area for Development</u>		
Evidence of CPD for Role (eg attendance at Link Meetings, updates etc) last 12 mths			

How is your health and wellbeing at work? Is there any additional support that would help you? Are there any specific issues you would like to discuss (eg diversity/environment etc)

How are your working arrangements working for you? (eg flexible/part-time hours)

SECTION 3 – Main Role - Meeting Objectives and Demonstrating Trust Values

In achieving your objectives, what has gone well for you over the past 6 or 12 months* and why? (continue overleaf)		

In achieving your objectives, what has been difficult for you to achieve over the past 6 or 12 months* and why?		

How do you consistently demonstrate Trust Values? Choose a minimum of 2 to discuss and give examples		

Summary of Relevant Feedback (e.g. from Patients/Customers/ 360-degree appraisal/ Colleagues) where relevant		

On balance, has the appraisee demonstrated Trust Values in their day to day work over the period under review?	Yes	No
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Summary of Area(s) for Development		

Overall assessment of performance over the period under review.		

SECTION 4- Looking Forward – Supporting You to Achieve Your Objectives - your Personal Development Plan (incl. statutory & mandatory training)

Clinical or Competency Framework Ref	Your Agreed Learning Need	Development or training to be undertaken	Priority*	How will costs/time be resourced/other support required & from whom?	How will you put this into practice in the workplace?	Date completed
	Statutory and Mandatory Training to be completed in the next 12 months		Stat & Mand	Work time allocated (and recorded on e-roster if appropriate)	As normal	
Post holder name			Post holder signature		Date	
Reviewer name			Reviewer signature		Date	

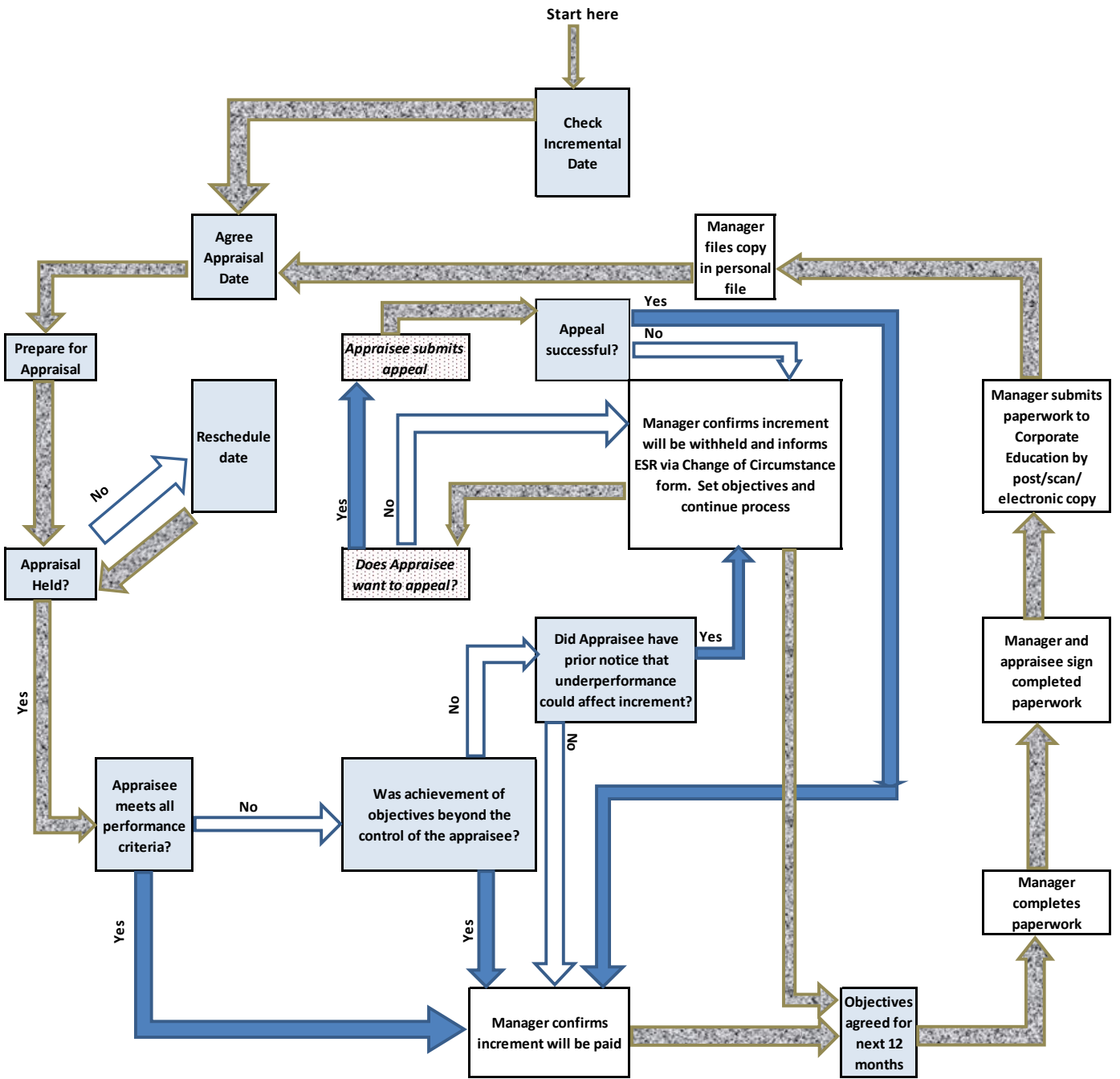
***Priority:**

Stat & Mand Required Statutory and Mandatory training - required by law or the NHS to enable staff to do their job safely and effectively and for Pay Progression Important for the individual to enable them to competently fulfil their job role.

Mutual Benefit For Mutual Benefit. Development that is not considered a priority for the Trust to enable it to deliver core services. Areas where an individual would like to develop further and is supported by their line manager.

Appendix B

Appraisal and Pay Progression Process



Key Next action

Leads to next action / questions if answer is no

Leads to next action / questions if answer is yes

Template Letter to confirm increment withheld

Appendix C

Strictly Private and Confidential

NAME

ADDRESS

Princess Royal Hospital / Royal
Shrewsbury Hospital
Apley Castle / Mytton Oak Road
Telford / Shrewsbury
Shropshire
TF1 6TF / SY3 8XQ

Tel: 01952 641222 / 01743 261000 ext.
XXXX

DATE

Dear NAME

Re: Delay / Withholding of incremental progression

With effect from MONTH 2016 the Trust implemented incremental pay progression in accordance with Annex W of the Agenda for Change Terms and Conditions Handbook. This is applicable for all pay points, within each pay band of Agenda for Change and is conditional upon individuals fulfilling a number of criteria.

Further to our discussion on DATE our records show that you have not achieved the locally agreed performance requirements, described below, required for general pay progression:

[Delete as appropriate]

- a. Completion of a recorded annual appraisal within 12 months of the previous appraisal
- b. Compliance with Statutory Safety Update training requirements (unless the individual has been prevented from attending by the line manager or insufficient places were available as confirmed by the Head of Education)
- c. Not being subject to a live formal disciplinary sanction
- d. Achievement of work objectives identified prior to appraisal
- e. Demonstration of Trust Values in day to day work
 - You are being managed under the Formal Performance Management process at the time of the appraisal meeting, and
 - there is a record that you have been notified that this will affect your ability to earn an increment

The impact of this (***other than those already at the top of their pay band***) is that your next pay increment will be withheld for a year until DATE; I have notified Pay Services accordingly.

Should you wish to appeal this decision you have the right to seek a review. The review will be dealt with in line with the principles outlined in the Trust Grievance Policy HR16, Section 8. An appeal request should be made within 10 working days from receipt of this letter.

Should you wish to discuss the contents of this letter please do not hesitate to contact me.

Yours sincerely

Managers Name
Job Title

cc: Personal File